



## REAFFIRMATION REPORT

FOR THE SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS  
COMMISSION ON COLLEGES



September 2016

## TABLE OF CONTENTS

University Overview . . . . .	1
Compliance Certification . . . . .	2

### ***Core Requirements***

CR 2.1: Degree Granting Authority . . . . .	3
CR 2.2: Governing Board . . . . .	5
CR 2.3: Chief Executive Officer . . . . .	10
CR 2.4: Institutional Mission . . . . .	12
CR 2.5: Institutional Effectiveness . . . . .	16
CR 2.6: Continuous Operation . . . . .	32
CR 2.7.1: Program Length . . . . .	35
CR 2.7.2: Program Content . . . . .	38
CR 2.7.3: General Education . . . . .	48
CR 2.7.4: Coursework for Degrees . . . . .	53
CR 2.8: Faculty . . . . .	58
CR 2.9: Learning Resources and Services . . . . .	67
CR 2.10: Student Support Services . . . . .	80
CR 2.11.1: Financial Resources . . . . .	107
CR 2.11.2: Physical Resources . . . . .	125
CR 2.12: Quality Enhancement Plan . . . . .	135

### ***Comprehensive Standards***

CS 3.1.1: Mission . . . . .	136
CS 3.2.1: CEO Evaluation/Selection . . . . .	140
CS 3.2.2: Governing Board Control . . . . .	143
CS 3.2.2.1: Mission . . . . .	144
CS 3.2.2.2: Fiscal Stability . . . . .	146
CS 3.2.2.3: Institutional Policy . . . . .	149
CS 3.2.3: Board Conflict of Interest . . . . .	152
CS 3.2.4: External Influence . . . . .	155
CS 3.2.5: Board Dismissal . . . . .	157
CS 3.2.6: Board/Administration Distinction . . . . .	158
CS 3.2.7: Organizational Structure . . . . .	160
CS 3.2.8: Qualified Administrative/Academic Officers . . . . .	164
CS 3.2.9: Personnel Appointment . . . . .	176
CS 3.2.10: Administrative Staff Evaluations . . . . .	180
CS 3.2.11: Control of Intercollegiate Athletics . . . . .	185
CS 3.2.12: Fund-raising Activities . . . . .	188
CS 3.2.13: Institution-related Entities . . . . .	191
CS 3.2.14: Intellectual Property Rights . . . . .	197
CS 3.3.1: Institutional Effectiveness . . . . .	202
CS 3.3.1.1: Educational Programs . . . . .	203
CS 3.3.1.2: Administrative Support Services . . . . .	217
CS 3.3.1.3: Academic and Student Support Services . . . . .	229
CS 3.3.1.4: Research . . . . .	237
CS 3.3.1.5: Community/Public Service . . . . .	254
CS.3.3.2: Quality Enhancement Plan . . . . .	272
CS 3.4.1: Academic Program Approval . . . . .	273
CS 3.4.2: Continuing Education/Service Programs . . . . .	277

CS 3.4.3: Admissions Policies . . . . .	282
CS 3.4.4: Acceptance of Academic Credit . . . . .	289
CS 3.4.5: Academic Policies . . . . .	299
CS 3.4.6: Practices for Awarding Credit . . . . .	306
CS 3.4.7: Consortial Relationships/Contractual Agreements . . . . .	312
CS 3.4.8: Noncredit to Credit . . . . .	322
CS 3.4.9: Academic Support Services . . . . .	323
CS 3.4.10: Responsibility for Curriculum . . . . .	337
CS 3.4.11: Academic Program Coordination . . . . .	343
CS 3.4.12: Technology Use . . . . .	347
CS 3.5.1: General Education Competencies . . . . .	361
CS 3.5.2: Institutional Credits for a Degree . . . . .	377
CS 3.5.3: Undergraduate Program Requirements . . . . .	379
CS 3.5.4: Terminal Degrees of Faculty . . . . .	385
CS 3.6.1: Post-Baccalaureate Program Rigor . . . . .	388
CS 3.6.2: Graduate Curriculum . . . . .	395
CS 3.6.3: Institutional Credits for a Graduate Degree . . . . .	401
CS 3.6.4: Post-Baccalaureate Program Requirements . . . . .	404
CS 3.7.1: Faculty Competence . . . . .	412
CS 3.7.2: Faculty Evaluation . . . . .	419
CS 3.7.3: Faculty Development . . . . .	428
CS 3.7.4: Academic Freedom . . . . .	434
CS 3.7.5: Faculty Role in Governance . . . . .	436
CS 3.8.1: Library and Other Learning Resources . . . . .	440
CS 3.8.2: Instruction of Library Use . . . . .	450
CS 3.8.3: Qualified Staff . . . . .	460
CS 3.9.1: Student Rights . . . . .	466
CS 3.9.2: Student Records . . . . .	472
CS 3.9.3: Qualified Staff . . . . .	481
CS 3.10.1: Financial Stability . . . . .	493
CS 3.10.2: Financial Aid Audits . . . . .	500
CS 3.10.3: Control of Finances . . . . .	505
CS 3.10.4: Control of Sponsored Research/External Funds . . . . .	519
CS 3.11.1: Control of Physical Resources . . . . .	527
CS 3.11.2: Institutional Environment . . . . .	535
CS 3.11.3: Physical Facilities . . . . .	545
CS 3.12.1: Substantive Change . . . . .	554
CS 3.13: Compliance with Other Commission Policies . . . . .	557
CS 3.13.1: Accrediting Decisions of Other Agencies . . . . .	558
CS 3.13.2: Collaborative Academic Arrangements: Policy and Procedures . . . . .	561
CS 3.13.3: Complaint Procedures against the Commission or Its Accredited Institutions . . . . .	565
CS 3.13.4a: Reaffirmation of Accreditation and Subsequent Reports (a) . . . . .	570
CS 3.13.4b: Reaffirmation of Accreditation and Subsequent Reports (b) . . . . .	589
CS 3.13.5a: Separate Accreditation for Units of a Member Institution (a) . . . . .	590
CS 3.13.5b: Separate Accreditation for Units of a Member Institution (b) . . . . .	591
CS 3.14.1: Publication of Accreditation Status . . . . .	592

***Federal Requirements***

FR 4.1: Student Achievement . . . . .	594
FR 4.2: Program Curriculum . . . . .	605
FR 4.3: Publication of Policies . . . . .	610
FR 4.4: Program Length . . . . .	612

FR 4.5: Student Complaints . . . . .	616
FR 4.6: Recruitment Materials . . . . .	623
FR 4.7: Title IV Program Responsibilities . . . . .	628
FR 4.8.1: Student Identification . . . . .	632
FR 4.8.2: Privacy Procedures . . . . .	635
FR 4.8.3: Charge Notification . . . . .	639
FR 4.9: Definition of Credit Hours . . . . .	641

## **University Overview as of 2017**

The University of Louisville (UofL) is a state supported research university located in Kentucky's largest city. UofL was established in 1798 as one of the nation's first urban institutions. The 409-acre Belknap Campus is home to eight of its twelve schools and colleges: arts and sciences, business, education and human development, engineering, interdisciplinary and graduate studies, law, music, and social work. The 62-acre Health Sciences Campus, located in the city's downtown medical complex, includes the schools of medicine, nursing, dentistry, public health and information sciences, and the UofL Hospital. The 235-acre Shelby Campus is located in eastern Jefferson County, Kentucky, and is used for continuing education and professional development programs and the ShelbyHurst Research and Office Park.

The University of Louisville has become known especially for teaching, research, and service to its community and the advancement of educational opportunity. With an enrollment of over 22,000, its academic programs attract students from every state and from all over the world. UofL offers a total of 208 degrees.

The University of Louisville is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award associate, bachelor, master, specialist, doctoral, and first-professional degrees (D.M.D., J.D., M.D.). Individuals who wish to contact the Commission on Colleges regarding the accreditation status of the university may write the Commission at 1866 Southern Lane, Decatur, Georgia 30033-4097, or call (404) 679-4500.



# **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.

## 2.1

### Degree-granting Authority

The institution has degree-granting authority from the appropriate government agency or agencies.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) has the required degree-granting authority from the Kentucky Council on Postsecondary Education (CPE). Kentucky Revised Statute (KRS) 164.815 [1] grants UofL degree-granting authority. KRS 164.815 states:

- (1) The University of Louisville shall provide:
  - (a) Upon approval of the Council on Postsecondary Education, associate and baccalaureate degree programs of instruction;
  - (b) Upon approval of the Council on Postsecondary Education, master's-degree programs, specialist degrees above the master's-degree level, doctoral degree programs, and joint doctoral programs in cooperation with other public institutions of higher education;
  - (c) Upon approval of the Council on Postsecondary Education, professional degree programs including medicine, dentistry, law, engineering, and social professions.
- (2) The University of Louisville is authorized to provide programs of a community college nature in its own community comparable to those listed for the community college system as provided in this chapter.

UofL was a private, municipal institution until the early 1970s when it became a state, publicly funded institution. KRS 164.815 was established in 1972 and amended in 1997 by the House Bill 1 *Postsecondary Education Improvement Act of Kentucky* [2]. The university has remained unconditionally approved by the Commonwealth of Kentucky since 1972.

The university has several degree programs that are offered online and off-campus, and the university applies for state authorization as required by each locale [3].

Additionally, the university offers select programs in international locations that are subject to the educational approvals of those foreign countries – Panama [4] and Germany [5]. Each international agreement has been reported to SACSCOC, and the university's substantive change report list is available online [6]. See Comprehensive Standard 3.4.7 for more information about the university's consortial agreements.

The Board of Trustees of the university has, among its powers under KRS 164.830 (f) [7], the specific authority to grant degrees. This authority is also addressed in the Board of Trustees' Bylaws [8] and in *The Redbook*, the university's governance document [9].

## SUMMARY

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.

[1] KRS 164.815, UofL Degree Granting Authority  
2\_1\_fn01.pdf

[2] House Bill 1 *Postsecondary Education Improvement Act of Kentucky*  
2\_1\_fn02.pdf

[3] State Authorization Checklist  
2\_1\_fn03.pdf  
<http://louisville.edu/stateauthorization/state-authorization-checklist>

[4] Quality Leadership University – Panama Agreement with Arts & Sciences  
2\_1\_fn04.pdf

[5] European Business School - Germany Agreement  
2\_1\_fn05.pdf

[6] Substantive Change Reports to SACSCOC  
2\_1\_fn06.pdf  
<http://louisville.edu/oapa/2017-sacs-general-information/sacs-approved-substantive-changes>

[7] KRS 164.830(f), Powers of Board  
2\_1\_fn07.pdf

[8] Board of Trustees, Bylaws, Section 4.2, Diplomas, Degrees, and Certifications  
2\_1\_fn08.pdf  
<https://louisville.edu/president/board-of-trustees/bylaws/>

[9] *The Redbook*, Section 1.1.1, Powers of the Board  
2\_1\_fn9.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.1>



## 2.2

### Governing Board

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.

A military institution authorized and operated by the federal government to award degrees has a public board on which both the presiding officer and a majority of the other members are neither civilian employees of the military nor active/retired military. The board has broad and significant influence upon the institution's programs and operations, plays an active role in policy-making, and ensures that the financial resources of the institution are used to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from the board except as specified by the authorizing legislation. Both the presiding officer of the board and a majority of other voting board members are free of any contractual, employment, or personal or familial financial interest in the institution.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville's (UofL) Board of Trustees is the legal body of UofL with specific authority over the institution [1] [2]. The powers of the Board of Trustees as delineated by Kentucky Revised Statutes KRS 164.830 [3] and *The Redbook* (the university's governance document) [4] [5] 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.

UofL's Board of Trustees consists of twenty members. As required by Kentucky Revised Statute (KRS) 164.821 [6] (effective until July 15, 2016), UofL's board members consist of the following: seventeen members that are appointed by the Kentucky Governor and serve a term of six years; the faculty member who is the chief executive of the faculty senate; the staff member who is the chief executive of the staff senate; and a student member who is the president of the student body [7].

The presiding officer of the board is the Chair, who is annually elected by the board from among its members [8] [9]. Each member of the Board of Trustees has a full and independent right to vote upon matters coming before the board [10]. A majority of all the Trustees constitute a quorum of the board, which will act by a majority of those present at a meeting at which a quorum is present [11].

The Board of Trustees and its various board committees [12] meet regularly [13] to carry out the board's governance function and to receive reports and information from the president and other administrators [14]. The Executive Committee of the board may act for the board when the board has specifically authorized an action. In any other case, an action taken by the Executive Committee must be ratified by the full board [15]. The meetings of the Board of Trustees are subject to the *Kentucky Open Meetings Act*, which includes a prohibition on taking a final action in a closed session [16].

In consultation with the Finance Committee, the board acts to approve the annual operating budget for the university [17] [18] [19] [20]. The approval of the annual operating budgets include the setting of tuition and fees, campus housing rates and food/meal plans. Also, at the end of each fiscal year, the president informs the Board of Trustees of progress toward the strategic goals and reports periodically on selected key strategic planning indicators that measure progress toward those goals. Consistent with Section 2.1.3 of *The Redbook*, the board annually evaluates the performance of the university president [21] [22]. Personnel actions are a component of most regular board agenda meetings [23]. The board approves the granting of degrees twice yearly for inclusion in the winter and spring commencements.

The Board of Trustees approves the university mission and various institutional policies as recommended by the president. In 2015 the board approved a revised mission statement for UofL [24]. Examples of board approval of university policy [25] and consultant report recommendations are provided [26].

All board members are required to disclose any known conflict of interest and are to refrain from participating in any decision in which a conflict of interest exists [27]. Conflict of interest is covered during orientation for new trustees and each member of the Board is required to complete a Conflict of Interest Certification form on an annual basis [28]. Copies of signed Conflict of Interest forms for the current board are provided [29].

In addition, a trustee may not have an interest in any contract with the university unless the contract has been subject to competitive bidding and the trustee is the lowest bidder and the trustee in advance of submitting the bid has notified in writing the remaining members of the board and the newspaper with the largest circulation in the county where the university is located of the intention to bid [30].

No relative of an appointed board member can be employed by the university [31]. The board also adopted, at its February 10, 2005 [32], meeting the following Ethics Statement [33]:

In all matters entrusted to the Board of Trustees of the University of Louisville, the Board, individually and collectively, is committed: to uphold the public trust in the University of Louisville; to carry out its responsibilities in accordance with the laws of the Commonwealth; to act with care and make informed decisions; to comply with University policies applicable to the Board of Trustees; to refrain from actions which put a Trustee's personal or professional interests in conflict with that of the University and to abstain from any action or vote where appropriate; and, to avoid the use of Trustee appointment to obtain any private benefit.

## SUMMARY

The University of Louisville is in compliance with Core Requirement 2.2. The UofL Board of Trustees is an active policy-making body, responsible for ensuring the financial resources of the university, not controlled by a minority of board members, and free from contractual, employment, personal, or familial interests.

[1] UofL Organizational Chart  
2\_2\_fn01.pdf

[2] Board of Trustees Bylaws  
2\_2\_fn02.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[3] KRS 164.830, Powers of Board  
2\_2\_fn03.pdf

[4] *The Redbook*, Section 1.1.1, Powers of the Board  
2\_2\_fn04.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.1>

[5] *The Redbook*, Section 1.1.5, Suspension or Removal of University Personnel  
2\_2\_fn05.pdf

[6] KRS 164.821, Board of Trustees of UofL—Membership—Terms  
2\_2\_fn06.pdf

[7] Board of Trustees, Member Roster  
2\_2\_fn07.pdf  
<http://louisville.edu/president/board-of-trustees>

[8] Board of Trustees Bylaws, Section 2.5, Organization of Meetings of the Board of Trustees  
2\_2\_fn08.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[9] Board of Trustees Bylaws, Section 3.2, Duties of the Chair  
2\_2\_fn09.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[10] *The Redbook*, Section 1.1.2, Voting by the Board  
2\_2\_fn10.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.2>

[11] Board of Trustees Bylaws, Section 2.4, Quorum  
2\_2\_fn11.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[12] Board of Trustees Committees  
2\_2\_fn12.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

- [13] Board of Trustees, Meeting Schedule  
2\_2\_fn13.pdf  
<http://louisville.edu/president/board-of-trustees/docs/meeting-schedule-and-agenda>
- [14] *The Redbook*, Section 1.1.3, Meetings of the Board  
2\_2\_fn14.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.3>
- [15] Board of Trustees Bylaws, Section 2.7, Committees of the Board  
2\_2\_fn15.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>
- [16] KRS 61.815, Requirements for Conducting Closed Sessions  
2\_2\_fn16.pdf
- [17] Approval of 2012-13 Operating Budget, Board of Trustees Meeting Minutes, 5/10/12  
2\_2\_fn17.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2012/may-10-2012/bot-minutes-5-10-2012/view>
- [18] Approval of 2013-14 Operating Budget, Board of Trustees Meeting Minutes, 6/13/2013  
2\_2\_fn18.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2013/june-13-2013h>
- [19] Approval of 2014-15 Operating Budget, Board of Trustees Meeting Minutes, 5/8/2014  
2\_2\_fn19.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2014/may-8-2014-full-board-minutes/view>
- [20] Approval of 2015-16 Operating Budget, Board of Trustees Meeting Minutes, 6/4/2015  
2\_2\_fn20.pf  
<http://louisville.edu/president/board-of-trustees/docs/6415MinutesAttachmentsBOT.pdf>
- [21] *Redbook*, Section 2.1.3, Review of Service  
2\_2\_fn21.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.3>
- [22] 2014 and 2015 Board of Trustees Retreat Minutes, Evaluation of the President  
2\_2\_fn22.pdf
- [23] BOT Meeting Agenda Outline  
2\_2\_fn23.pf
- [24] Board of Trustees, Meeting Minutes, Approval of Revised Mission Statement 1-14-16  
2\_2\_fn24.pdf
- [25] BOT Minutes, Approval of Short Term Investment Policy 1-14-16  
2\_2\_fn25.pdf
- [26] BOT Minutes, Approval of Strothman Recommendations 7-10-14  
2\_2\_fn26.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2014/july-10-2014>

[27] Board of Trustees Bylaws, Section 4.1, Conflict of Interest  
2\_2\_fn27.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[28] Board of Trustee Conflict of Interest Certification Form  
2\_2\_fn28.pdf

[29] Board of Trustees' Signed Conflict of Interest Certification Forms  
2\_2\_fn29.pdf

[30] KRS 45A.340 (7), Conflicts of Interest of Public Officers and Employees  
2\_2\_fn30.pdf

[31] KRS 164.830 (1) (a), Powers of Board  
2\_2\_fn31.pdf

[32] Board of Trustees Meeting Minutes, Adoption of Ethics Statement  
2\_2\_fn32.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2005/bot050210>

[33] Board of Trustees Ethics Statement  
2\_2\_fn33.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

## 2.3

### Chief Executive Officer

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.") (Note: If an institution is part of a system and its chief executive officer is also the chief executive officer of the system, the institution must provide information requested in Commission policy "Core Requirement 2.3: Documenting an Alternate Approach." This information should be submitted as part of the Compliance Certification.)

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville's acting president is Neville G. Pinto. Dr. Pinto, who was appointed to the acting position on July 27, 2016, 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. As described in the president's job description [1], the Board may delegate powers to the president, and the president is to perform duties as prescribed by the Board. The president recommends major policies or major actions to the Board for final action and serves as the official medium of communication between the Board and the university.

The president's primary duties are:

- to make overall policy for all aspects of the university's academic and administrative functions;
- to recommend to the board personnel actions for administrators and faculty, including tenure decisions for faculty; and
- to prepare and recommend the annual budget to the board.

The president is also responsible for all university functions relating to student affairs and the life of students at the university, for intramural and extramural or intercollegiate athletics, and for the university's relations with its alumni and the community.

The job description of the university provost designates the provost as Acting President when there is no permanent president [2].

The presiding officer of UofL's Board of Trustees is the Chair [3]. The Chair is annually elected by the board from among its members. Dr. Laurence Benz is the 2016-17 chair of the Board of Trustees [4].

## SUMMARY

The university is in compliance with Core Requirement 2.3 by employing a chief executive who is not a member of the board and whose primary responsibility is to the university.

[1] *The Redbook*, Section 2.1.2, Powers and Duties of the President  
2\_3\_fn01.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>

[2] Executive Vice President and University Provost Job Description  
2\_3\_fn02.pdf  
<http://louisville.edu/provost/who-we-are/EVP-UP%20JOB%20DESCRIPTION.pdf>

[3] Board of Trustees Bylaws, Section 3.2, Duties of the Chair  
2\_3\_fn03.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

[4] 2016-17 Board of Trustees Roster  
2\_3\_fn04.pdf  
<http://louisville.edu/president/board-of-trustees>

## 2.4

### Institutional Mission

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 [1] [2]. The mission statement was updated to align with the university's current goals:

The University of Louisville pursues excellence and inclusiveness in its work to educate and serve its community through:

1. teaching diverse undergraduate, graduate, and professional students in order to develop engaged citizens, leaders, and scholars;
2. practicing and applying research, scholarship and creative activity; and
3. providing engaged service and outreach that improve the quality of life for local and global communities.

The University is committed to achieving preeminence as a nationally recognized metropolitan research university.

The mission statement is appropriate to an institution of higher education and to UofL specifically in that it addresses teaching, learning, research, and public service, which are all areas of involvement for UofL. It also reflects the full scope of UofL's program offerings for undergraduate, graduate, and professional students.

The new mission statement was developed by a committee composed of representatives from the academic deans, vice presidents, and faculty, staff, and student senates. The Faculty [3a] and Staff [3b] senates, the Student Government Association [3c], and the University Council of Academic Officers [3d] provided commentary and recommendation prior to the revision being sent to the Board of Trustees for approval on January 14, 2016 [4]. The new mission statement was disseminated on January 15, 2016 to faculty and staff via UofL Today News [5] and to students via *The Louisville Cardinal* [6].

UofL's mission statement is available to the university community and the public on the About UofL webpage [7]. It is also published in the Undergraduate Catalog [8], the Graduate Catalog [9], and professional schools' handbooks or bulletins [10a] [10b] [10c].



The mission statement is consistent with the university's goals as provided by the Commonwealth of Kentucky (outlined in the *Kentucky Postsecondary Educational Improvement Act of 1997* [House Bill 1] [11]). Kentucky Revised Statute (KRS) 164.003, Section 2 outlines goals to be achieved by UofL by the year 2020, including that UofL be a premier, nationally recognized metropolitan research university [12]. The Kentucky CPE Strategic Agenda, *Stronger by Degrees*, supports House Bill 1 [13]. The university's mission statement aligns with state strategic goals and with UofL's strategic plan and goals.

The 2020 Plan, UofL's strategic plan [14], is built upon the foundational areas of educational excellence; research, scholarship and creative activity; community engagement; diversity, opportunity, and social justice; and creative and responsible stewardship, all of which fall into the major categories covered by our mission statement. Located in Kentucky's largest city, we are the major driver of Kentucky's educational, social, health-care, cultural, and economic development. The university drives economic development by providing an educated workforce and turning research innovations into commercially useful technologies.

UofL is known for excellence in educating students, creating new knowledge and making new discoveries. The university strives for and achieves transformational results that lead to a better quality of life for all Kentucky citizens. UofL works to prepare students to become critical thinkers that are involved in the cultural, social, and economic aspects of their communities. UofL focuses its energy and resources on enhancing scholarship and research as it works toward its goal to be a nationally recognized research university. Our creative stewardship involves the university community helping to create new ideas and devising and implementing action plans for achieving excellence in education, scholarship, civic service, and engagement. Our diverse student population makes for a great educational environment in which coursework is supplemented by what students learn from one another about different cultures and ethnicities, an important asset for thriving in today's global economy.

As well, the university's 21<sup>st</sup> Century Initiative [15], which supplements the 2020 Plan, covers academic and research priorities (empowering undergraduate learning; providing an environment for student success, providing excellence in graduate and professional education, investing in competitive multidisciplinary areas of strength; and investing in emerging research and creative areas); establishing a culture of excellence (equity, fairness, and recognition; professional development and training; communication); and financial health (revenue enhancement; administrative enhancement).

## **SUMMARY**

The University of Louisville has a clearly defined, comprehensive, and published mission statement that is specific to the institution. It addresses the university's teaching, research, and service missions and is regularly reviewed and updated based on constituent input, and is made available electronically to the university community and the public.

[1] Board of Trustees, Meeting Minutes, Approval of Revised Mission Statement 1-14-16 2\_4\_fn01.pdf

[2] UofL Mission Statement, Recommendation to Board 1-14-16 2\_4\_fn02.pdf  
<http://louisville.edu/about/>

[3] Constituent Input into Mission Statement Revision

[3a] Faculty Senate  
2\_4\_fn03a.pdf

[3b] Staff Senate  
2\_4\_fn03b.pdf

[3c] Student Government Association  
2\_4\_fn03c.pdf

[3d] University Council of Academic Officers  
2\_4\_fn03d.pdf

[4] Board of Trustees, Meeting Minutes, Approval of Revised Mission Statement 1-14-16  
2\_4\_fn04.pdf

[5] UofL News Announces UofL Adopts New Mission Statement  
2\_4\_fn05.pdf  
<http://uoflnews.com/post/uofltoday/uofl-adopts-new-mission-statement/>

[6] *The Louisville Cardinal*, UofL Adopts New Mission Statement  
2\_4\_fn06.pdf  
<http://www.louisvillecardinal.com/2016/01/brief-u-of-l-adopts-new-mission/>

[7] Mission Statement on UofL webpage  
2\_4\_fn07.pdf  
<http://louisville.edu/about/>

[8] Mission Statement in Undergraduate Catalog  
2\_4\_fn08.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=11](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=11)

[9] Mission Statement in Graduate Catalog  
2\_4\_fn09.pdf  
<http://louisville.edu/graduatecatalog>

[10] Mission Statement in Professional Schools' Materials

[10a] Dental School Bulletin, page 10  
2\_4\_fn10.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)

[10b] Law School Handbook  
2\_4\_fn10b.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16-new>

[10c] Medical School Bulletin, page 10  
2\_4\_fn10c.pdf  
<http://louisville.edu/medicine/studentaffairs/student-services/2015-2017-medicine-bulletin>

[11] House Bill 1, *Kentucky Postsecondary Educational Improvement Act of 1997*  
2\_4\_fn11.pdf

[12] KRS 164.003, Section 2 (c), UofL Goals for Achievement by 2020  
2\_4\_fn12.pdf

[13] Kentucky CPE Strategic Agenda, *Stronger by Degrees*  
2\_4\_fn13.pdf

[14] *The 2020 Plan*, UofL's Strategic Plan  
2\_4\_fn14.pdf  
<http://louisville.edu/president/the-2020-plan>

[15] UofL's 21<sup>st</sup> Century Initiative: Powering the 2020 Plan (PDF)  
2\_4\_fn15.pdf  
<http://louisville.edu/21stcentury>

## 2.5

### Institutional Effectiveness

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) has a systematic, ongoing process for assessing institutional effectiveness and provides adequate institutional support for the assessment process [1]. 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.

#### History of Strategic Planning at the University of Louisville

The Kentucky Council on Postsecondary Education (CPE) has broad statutory authority to coordinate the state system of postsecondary education in Kentucky. CPE fulfills its coordinating role through a variety of planning activities, including overseeing the development and implementation of the statewide strategic agenda on a five-year cycle. The CPE strategic plan for Kentucky, *Stronger by Degrees: A Strategic Agenda for Kentucky Postsecondary and Adult Education 2011-2015* [2], includes the state's mission, vision, and strategic agenda values; policy objectives and strategies; and statewide, regional, and institutional performance metrics [3] for state institutions. *Stronger by Degrees* includes the following indicators: 1) college readiness; 2) student success; 3) research, economic, and community development; and 4) efficiency and innovation.

The UofL institutional planning and assessment system [4] is aligned with the university's mission [5] and state-wide goals and initiatives set by CPE. In June 2016, CPE adopted a new strategic plan, *Stronger by Degrees: A Plan to Create a More Educated and Prosperous Kentucky 2016-2021* [6]. This new plan will be incorporated into the university's future strategic planning.

The 1997 Kentucky General Assembly mandated through House Bill 1 [7] that UofL be a premier research university by 2020. The university implemented this mandate through the adoption of a comprehensive strategic plan, "The Challenge for Excellence," which served as the blueprint for university planning from 1998 to 2008.

In July 2007, following a comprehensive university-wide review of the Challenge for Excellence, a strategic planning committee offered recommendations [8] toward implementation of the current strategic plan, the *2020 Plan: Making it Happen* [9], which was approved by the Board of Trustees in 2008 [10]. The review process used benchmarking of other institutions to set priority goals for the university. The 2020 Plan continues to provide a structure for the university to progress toward national prominence as a premier, metropolitan research university by the year 2020.

In 2012 several years of annual state budget cuts and a changing political and socio-economic climate for higher education led UofL leadership to conclude that the university needed to assess the actions necessary to ensure that the university continue its trajectory toward its 2020 goals. A comprehensive university-wide planning process was introduced by the President as directed by the Board of Trustees [11a] to enhance and power UofL's 2020 Strategic Plan. In late 2012, the university communicated its vision statement for the plan [11b] and carried out a comprehensive analysis of university strengths, weaknesses, opportunities, and threats. Presentations of the university findings and preliminary academic priorities were widely communicated to the university, including its Council of Academic Officers [11c]. Comprehensive web-based feedback was also obtained from all university constituents and the public.

The campus-wide 21st Century Initiatives assessment and planning process was led by the President's Leadership Team and facilitated by an external consultant (Exelcor). A 21st Century University Steering Committee consisting of key faculty, administrators, and Board of Trustees was formed, through which four key committees communicated their findings and recommendations [11d] [11e] [11f] [11g]. Approximately one hundred university faculty, staff, and students served on various committees and sub-committees. The Board of Trustees was updated regularly on the 21<sup>st</sup> Century planning process [11h] [11i] [11j]. The committee recommendations were reviewed and incorporated into the *21st Century Initiative: Powering the 2020 Plan* [11k].

In September 2015 the Board approved the 21<sup>st</sup> Century Initiative and urged aggressive implementation by the university. In September 2015, President James Ramsey announced the 21<sup>st</sup> Century Plan in his State of the University Address [11l].

The goals of the 21<sup>st</sup> Century Initiative are overlaid onto the 2020 Plan and provide further focus for accomplishing the 2020 Plan. They highlight the major categories and key strategies that will drive the university into the future.

### **Strategic Planning and Assessment**

The university's strategic planning system informs the development of an annual operating budget and includes input from various internal and external stakeholders and institutional constituencies [12].

Evaluation of the university's progress toward attaining the 2020 goals is completed each year using the University Scorecard, which outlines the outcomes and targets for the 2020 goals [13]. Evaluation of university performance is informed by strategic agenda planning by the Kentucky Council on Postsecondary Education, as well as external factors that affect university performance.

Annual university goals are proposed based on past performance, resources available, and trajectory necessary to achieve the published 2020 goals by the year 2020. The Office of the President proposes the tactical goals [14] to achieve the university scorecard goals approved each year by the Board of Trustees.

Selected overarching university goals in the University Scorecard (highlighted in red) are reported in the Office of the President Scorecard [15], which, together with an evaluation of the progress on tactical goals, is used by the Board of Trustees to evaluate the performance of the President each year. 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 21<sup>st</sup> Century Initiative [16].

Unit Scorecards are also prepared that identify academic unit goals in alignment with the University scorecard goals [17a] [17b] [17c] [17d] [17e] [17f] [17g] [17h] [17i] [17j] [17k].

The Office of Budget and Financial Planning coordinates with the UofL President and leadership team, in consultation with appropriate university units and their administrators, to develop the annual operating budget to ensure that it ties directly to the university's strategic plan. At the end of each fiscal year, the president informs the Board of Trustees of progress toward the strategic goals and reports periodically on selected key strategic planning indicators that measure, in an objective way, progress toward scorecard goals.

### **Revision of 2020 Plan Strategic Planning Process**

With the implementation of the 21<sup>st</sup> Century Initiative in Fall 2015, the newly appointed interim provost announced a new strategic planning and implementation process [18].

The Strategic Planning and Implementation Group (SPIG) [19] [20] was formed to oversee the institutional strategic planning and assessment process. SPIG meets with each unit dean and the provost's senior staff to review unit strategic planning, academic performance, and budget and evaluates each unit's alignment with the overall university mission, goals, and outcomes. The Vice Provost for Academic Strategy [21] coordinates SPIG and substitutes for the Provost as Chair in group meetings.

A unit Academic Strategy and Planning template was developed as a reporting tool to incorporate critical academic performance elements of the 2020 Plan, together with current budgetary information, to assist units on setting individual academic and research priorities and goals. Units also were provided a budget template to request new funding to help achieve unit goals. In order to improve and expand upon unit review of academic performance and budgetary data in the 2016-2017 academic year, the university is expanding its use of SAS (Statistical Analysis Software) through the adoption of SAS Visual Analytics (a tool to generate statistical data in an easier-to-use format) in order to provide more comprehensive and readily accessible data for units to use in meeting their goals.

Unit deans present their academic Strategy and Planning reports [22], which include their strategic goals and budget requests, in presentations [23] to the Provost and other SPIG members.

SPIG reviews unit academic performance, enrollment trends and plans, teaching loads, program demand, outcomes, proposed unit budgets, return on investment, unit resources, whether the request was specific to a unit or a university-wide need/initiative, willingness of the unit to share in the investment, and justification of the need, etc.

SPIG prioritizes the unit funding requests consistent with the 21<sup>st</sup> Century Initiative and university operating budgeting principles [24] and makes recommendation to the Provost, the Executive Vice President for Health Affairs, and the Executive Vice President for Research and Innovation. Following their approval and input, the funding priorities are presented in categories to the Chief Academic Officers (CAO) [25]. A key input into SPIG funding priority recommendations is university strategies to meet institutional goals and state-wide goals assigned to UofL in the CPE Strategic Agenda.

The Provost incorporates the outcomes of this planning process into the funding recommendations to the Office of the President. The president's leadership team considers these funding requests in completing the budget proposal presented for final approval to the Board of Trustees [26]. Once the categorical academic and research priorities are approved and the annual budget is finalized, unit deans are contacted to meet with the Provost regarding their unit-specific funding requests.

### **Indicators of the Evaluation Components of the Institutional Effectiveness System**

The 2020 Plan University Scorecard [27] provides the criteria used to judge the attainment of the university's 2020 Strategic Plan goals. See the University of Louisville Assessment System table [28] for a detailed view of the indicators and assessment tools used in the university's assessment process. The Office of the President Scorecard is used to evaluate progress toward the University Scorecard goals. A subset of the university scorecards goals is included in the Office of the President Scorecard.

The 2020 indicators assessed on the Office of the President Scorecard are:

- **Educational Excellence**

- 1.1 Increase number of baccalaureate degrees awarded annually
  - 1.1a Increase the number and level of degrees and credentials awarded in STEM+H fields during the academic year
  - 1.2 Increase the baccalaureate graduation rate
    - 1.2a Increase the overall first to second year retention rate and reduce the retention rate gaps for select subpopulations
  - 1.3 Increase doctoral degrees awarded annually (research/scholarship)

- **Research, Scholarship and Creative Activity**

- 2.1a Sponsored research activities: Increase total grant and contract expenditures (NSF)
- 2.1b Sponsored research award revenue received for clinical trials
- 2.2 Academic/research priority areas
  - 2.2a Cancer - measure progress toward achieving standards for NCI designation
  - 2.2b Restorative Medicine
  - 2.2c Advanced Manufacturing and Sustainability

- **Community Engagement**

- 3.1 Increase collaborative partnerships with the community
  - 3.1a Measure the impact of faculty, staff, and student involvement in collaborative partnerships
    - 3.1(a1) Identify new partnerships to define and demonstrate engaged scholarship/research
    - 3.1(a2) Identify new partnerships that provide evidence of community impact based on established rubric
  - 3.1b Administrative and academic units submit revised engagement plans based on the standards established within the assessment rubric
  - 3.1c Increase the number of partnerships connected to the Signature Partnership Initiative by demonstrating opportunities for instances of engagement of students, faculty, and staff

- **Diversity, Opportunity, and Social Justice**

4.3 Achieve the median percent or above of UofL benchmarks for full-time faculty using the most current available fall IPEDS data

4.3a Tenured faculty - African American\*, Hispanic\*, and Asian (\*corresponds to CPE EEO Diversity Goals)

4.3b Tenure track faculty - African American\*, Hispanic\*, and Asian (\*corresponds to CPE EEO Diversity Goals)

4.4 Increase the university's global representation

4.4a Increase the number of students studying abroad

- **Creative and Responsible Stewardship**

5.1(a1) Increase percentage of funds given to endowment (excludes athletics)

5.1b Annual philanthropy (development dollars) received

5.1c Percentage of alumni giving to annual fund

5.2 Increase intellectual property/technology transfer

The indicators of the 21<sup>st</sup> Century Initiative, which are overlaid onto the 2020 Plan and assessed within the Office of the President Scorecard are:

- Academic and Research Priorities (Empower undergraduate learning, environment for student success, excellence in graduate and professional education, invest in competitive multidisciplinary areas of strength, invest in emerging research and creative areas).
- Culture of Excellence (equity, fairness and recognition, professional development and training, communication)
- Financial Health (revenue enhancement). The financial health indicator of the 21<sup>st</sup> Century Initiative calls for university administration to review and improve the effectiveness of its business operations and reduce costs where possible to ensure financial stability.

In 2008, when the 2020 Plan was implemented, the university set baseline targets for each goal for the first year and higher targets for each subsequent year. The university assesses its progress annually toward the 2020 year goals. The University Scorecard shows the targets for each goal to be attained by the year 2020, as well as the measurements for each year. This process encourages incremental progress over time to ensure the university reaches the original 2020 targets.

The university has made progress toward its 2020 Plan/21<sup>st</sup> Century Initiative goals, as can be seen in the University Scorecard [29a]. As well, many university actions for improvement have emerged through the university's strategic planning and assessment efforts. A few examples are provided [29b].

### **Supporting Assessment Activities**

In support of strategic planning and assessment at the university level, a number of assessments take place in administrative and academic units, programs, and service areas of the university. As well, several assessments that inform the university's success in meeting its mission are requirements at the state level. These additional avenues for assessment align with and indirectly support the university's institutional assessment process.



The UofL Institutional Assessment Framework [30] demonstrates the alignment of assessment processes and tools that contribute to the university's strategic planning goals.

### **Assessment of Academic Programs and Student Success**

Related to the 2020 Plan goal of Academic Success, UofL's educational programs engage in several assessment requirements such as Student Learning Outcomes Reports (SLOs) [31a], Academic Program Review [31b], General Education Assessment of Student Learning [31c], and individual program accreditation reviews for programs holding accreditation from professional accrediting agencies [31d]. See Comprehensive Standard 3.3.1.1 for information on assessment of academic programs. See Comprehensive Standard 3.5.1 for information about assessment of general education.

Student Learning Outcomes Reports. The university's mission and strategic planning processes are supported by annual outcomes assessment reporting for academic programs in the form of Student Learning Outcomes (SLO) reports. These reports document that UofL is engaged in evaluative processes that result in continuing improvement in institutional quality and demonstrate the institution is effectively accomplishing its mission. In their SLO reports programs identify student learning outcomes and measures and targets for the outcomes. Each fall, programs review data surrounding their student learning outcomes to determine if their set targets were met and then use this assessment to plan for future improvement in student learning.

Academic Program Approval. All proposed new academic programs are reviewed and approved by university faculty, the university provost, the UofL Board of Trustees, and the Kentucky Council on Postsecondary Education (CPE). The intention of this approval process is to promote program quality and to assure that program expansion supports state-wide initiatives, the university's mission, and strategic objectives, and the academic mission of the sponsoring unit. Faculty explain how the curriculum is structured to meet program objectives and establish student learning outcomes.

Academic Program Review. The purpose of academic program review is to provide fully transparent accountability. UofL's program review process is tied to the state-wide review process coordinated by CPE. The review examines the program's mission, program quality and student success, program demand and unnecessary duplication, and cost and funding goals. Student success is defined as the achievement of learning outcomes, job placement, graduate school admissions, employer satisfaction with graduates, and alumni satisfaction. UofL also requires that the program develop a plan for improvement based upon the review. Each academic program undergoes a full internal program review every ten years, with a progress report at year five that follows up on the program's plan for improvement.

General Education Assessment. UofL's General Education program uses a course-embedded assessment approach for measuring the extent to which students have attained the college-level general education competencies. All general education competencies are assessed within a three-year cycle. The results of the General Education Assessments are included in the General Education Curriculum Committee (GECC) reports from each assessment iteration. The results of the General Education Assessment are systematically reported back to the GECC and the GECC Assessment Subcommittee. Assessment results and feedback from participants in the assessment program have driven changes to the assessment process, the curriculum within general education courses, and, ultimately, the general education program as a whole.

Program Accreditation. One of UofL's assessment goals is to seek and obtain accreditation from external bodies whenever it is available. Discipline-based accreditation provides an opportunity for academic departments to demonstrate that they are committed to maintaining their programs' quality and are performing at the level required by the professions they serve. These accrediting agencies have established standards for student learning outcomes that are incorporated into assessment activities at the program and course levels.

Education Advisory Board (EAB). The University of Louisville joined the Education Advisory Board's Student Success Collaborative (SSC) in late September 2015 [32a] [32b]. The Student Success Collaborative (SSC) combines technology, research, process improvement, and predictive analytics to help institutions positively influence outcomes with at-risk and off-path students. By accessing and analyzing underutilized academic data, the SSC will help identify patterns of student success (and failure), which will allow advisors, faculty, and retention specialists to have earlier, proactive, and more data-driven advising conversations with at-risk, but academically viable students. SSC members have access to an innovative web-based retention platform and a collection of services—peer benchmarking, webinars and national student success summits—designed to facilitate cross-membership learning and maximize the value of participation. The SSC will support the focus on retention and student success among advisors, academic departments, and schools/colleges; identify and prioritize students needing extra assistance in critical foundational coursework; leverage “big data” by analyzing past student performance to identify where students tend to get stuck or slowed down on their way to graduation and to find the pathways and support services that most enable a student to be successful; foster a proactive, intervention-based approach to advising; and evaluate and compare alternative major decisions based on predicted academic performance.

Survey Assessments. The university conducts several surveys that provide institutional data on student engagement and success.

- External Survey Assessments. UofL collects feedback from students using a number of nationally recognized survey instruments [33a], such as the Beginning College Survey of Student Engagement (BCSSE) (administered to incoming first-year students) and the National Survey of Student Engagement (NSSE) (administered to first-year students and seniors every three years). The university has expanded the focus of these nationally recognized surveys to include faculty and graduate teaching assistants to provide these groups the opportunity to share their perceptions of student engagement. The Faculty Survey of Student Engagement (FSSE) and the Faculty Survey of Student Engagement - Graduate Teaching Assistant (FSSE-G) are administered every three years. Since 2009, UofL has administered the Collegiate Assessment of Academic Proficiency (CAAP) [33b] to assess students' critical thinking and writing competencies at both the freshman and senior level. All of the engagement surveys are analyzed and reports are disseminated throughout the university community.

The use of external survey assessment has allowed for the development of a comprehensive assessment strategy that captures student engagement and academic progress at each stage of the student's career. This relationship can be seen in the *Integrated Process of Student Survey Administration* flow chart [33c]. Findings from this newly organized survey structure will be used in the future to aid in early warning for student progress toward their graduation goals, as the

*Integrated Process of Student Surveys and Targeted Intervention* flow chart demonstrates [33d].

- UofL Student Perception Survey (SPS). In the past, a key component of UofL's assessment process was the Quality Measurement System (QMS survey). Annually since 1997, unit-specific QMS student opinion surveys were administered to certain student populations (determined by each unit) and to other populations such as faculty, alumni, and/or employers upon request. Over time, the university developed surveys that more fully captured essential data for specific university areas and populations (e.g., IT Satisfaction Survey, Library Usage Survey, Dining Services Survey, Campus Climate and Diversity Survey, Graduating Senior Survey, Recent Graduate Survey).

In spring 2016, the university worked with units to replace the QMS with the Student Perception Survey (SPS) [33e], which will be administered to sophomores and juniors to provide valuable information on students not covered by the BCSSE and NSSE. The SPS focuses more specifically on academic programs, allowing units to receive valuable feedback about the progress and opinions of the students within their majors. Separate versions of the survey were created for declared majors, exploratory/undecided students, and graduate and professional students. This alignment allows UofL to obtain data on students at every academic interval.

### **Assessment of Academic and Student Support Services**

While many UofL academic/student support units have conducted informal assessments in the past, a more formal institutional assessment has been implemented for administrative support offices to evaluate the effectiveness of their services and operation [34]. See Comprehensive Standard 3.3.1.2 for more information.

### **Assessment of Administrative Offices, Services, and Academic Units**

The university is involved in several assessment activities in alignment with the 2020 Plan goal of Responsible Stewardship.

External Consultant Reports. In recent years, the university has used external reviewers to provide assessments and information on best practices to improve university operations. The following external consultant reports have provided institutional-level insight into cost and operational efficiencies, auditing practices and financial management, and business operations and technology.

- **Administrative Efficiencies Team**. Commissioned in 2012, this team was supported by two members from the higher education consulting firm Excelcor and charged with developing recommendations to address current budget challenges and new economies of scales; improving administrative efficiencies and service levels; reducing or eliminating redundancies; increasing revenues from existing sources; and creating new revenue streams. The team presented eleven recommendations to senior leadership [35a].
- **Strothman Report**. Strothman + Co was engaged in 2014 to review the university's business practices and internal control [35b]. The Strothman project resulted in sixteen recommendations [35c], which are in process of being implemented [35d]. In response to the Strothman findings, the university and individual units have

strengthened policies over accounts receivable and cash handling; conducted training in fraud awareness, established a fiscal misconduct policy and a compliance hotline. The university also hired a Chief Financial Officer/Chief Operating Officer in January 2015, who has reorganized the operating and management of the university and implemented additional internal control.

- PricewaterhouseCoopers (PwC). PricewaterhouseCoopers (PwC) was contracted in 2014 to focus on business transformation and PeopleSoft assessment. PeopleSoft is the university's information management system used for the administration of student records/registration, financial accounting, and human resources. The PwC report provided recommendations to transform the finance and business, supply chain, and Human Resources business operations via process standardization and automation [35e] [35f].

Administrative Offices Outcomes Reports. Annual institutional assessment has been implemented for administrative support offices to evaluate the effectiveness of their services and operation [36]. See Comprehensive Standard 3.3.1.2 for more information.

Assessment of University Centers and Institutes. All proposals for UofL Board of Trustees-approved centers or institutes are reviewed and approved by the Planning and Budget Committee with input from the Academic Programs Committee of the Faculty Senate [37]. Final approval is provided by the Board of Trustees. The university assesses the progress of its centers and institutes in a review by a Provost- and Faculty Senate-appointed committee on a three-year initial review and five year continuation review schedule.

Five-year Reviews of Academic Leadership and Faculty. University administrators are reviewed by the Executive Vice President and University Provost at the end of each five years of service [38a] [38b]. Academic Deans receive annual performance reviews from the Executive Vice President and University Provost [38c] [38d]. Every five years, the administrative superior of the dean, in conjunction with a review committee, conducts a comprehensive review of the performance and overall effectiveness of the unit administration and of the unit. The review committee solicits opinions of faculty, students, staff, and administrators and examines objective data regarding the progress of the unit. The criteria, procedures, and a substantive summary of the findings from the review are shared with the faculty.

### **Assessment of Research**

The UofL mission of research and scholarship is recognized through the university designation as one of 115 U.S. institutions classified by the Carnegie Foundation for the Advancement of Teaching as a research university with very high research activity (RU/VH) [39]. The university has many assessment processes to demonstrate progress in research and innovation, as can be seen in Comprehensive Standard 3.3.1.4.

### **Assessment of Community/Public Service**

A past strategic goal for UofL has been to obtain Carnegie designation. UofL is among 157 U.S. colleges and universities reclassified as a Community Engagement university by the Carnegie Foundation for the Advancement of Teaching. The self-assessment for the Carnegie classification involves data collection and documentation of important aspects of institutional mission, identity, and a commitment related to service and requires substantial effort invested by participating institutions [40]. See Comprehensive Standard 3.3.1.5 for information on UofL's assessment of community engagement.

## Assessment of CPE Initiatives

CPE has charged Kentucky's public institutions with maintaining a diverse student body to ensure that citizens have the opportunity to receive a rich and fulfilling educational experience with exposure to the different perspectives and cultures of those around them. In alignment with this charge, CPE is in the process of implementing new regular reporting and measurement of statewide goals related to diversity tied to the state's strategic agenda and performance-based funding [41a]. While the university has been involved in planning for and assessing diversity for several years and has provided diversity reports to CPE in the past, this new CPE charge will establish new reporting goals for diversity at UofL in the coming years, in alignment with the university's Scorecard strategic goal for Diversity, Opportunity, and Social Justice.

At the state level, progress toward established performance goals for "Research, Economic and Community Development" is monitored by CPE [41b]. The performance goals are externally funded research and development and stem +H (science, technology, engineering, math, and health) goals. The CPE performance scorecard for 2013 shows that UofL has met the STEM +H goal and is making progress on the externally funded research and development goal [41c].

**Benchmarking.** The Office of Institutional Research and Planning (IRP) conducts a number of benchmarking studies that are used to inform university decision making in support of the institutional strategic planning process and other university initiatives. Recent examples of the use of benchmarking has included determining market equity of faculty and staff salaries and support for diversity initiatives, as well as the university's use of Academic Analytics for faculty scholarly productivity. See the Examples of the Use of Benchmarking table [42].

## SUMMARY

The *2020 Plan* and UofL Scorecards clearly communicate university priorities to all members of the university community and provide the goals, indicators, and measures for UofL's strategic planning and assessment system. The UofL Institutional Assessment System shows the alignment of the university's goals with the university's mission and Kentucky Council on Postsecondary Education goals, as well as the indicators, targets, and assessment instruments used by the university for strategic planning and assessment. The University Scorecard and Office of the President Scorecard provide evidence that the university is fulfilling its mission. In addition, additional assessments at various levels of the university provide input into the university's planning and assessment process.

[1] Institutional Support for Strategic Planning and Assessment  
2\_5\_fn01.pdf

[2] Stronger by Degrees: A Strategic Agenda for Kentucky Postsecondary and Adult Education 2011-2015  
2\_5\_fn02pdf

[3] UofL CPE Scorecard  
2\_5\_fn03.pdf

[4] UofL Institutional Assessment System  
2\_5\_fn04.pdf

[5] UofL Mission  
2\_5\_fn05.pdf  
<http://louisville.edu/about/>

[6] *Stronger by Degrees: A Plan to Create a More Educated and Prosperous Kentucky 2016-2021*  
2\_5\_fn06.pdf

[7] Kentucky House Bill 1  
2\_5\_fn07.pdf

[8] UofL Strategic Planning 2020 July 12, 2007, Final Recommendations of the Strategic Planning Steering Committee  
2\_5\_fn08.pdf  
[http://louisville.edu/provost/planning/strategic\\_2020\\_plan-2007.pdf](http://louisville.edu/provost/planning/strategic_2020_plan-2007.pdf)

[9] *2020 Plan: Making It Happen*  
2\_5\_fn09.pdf  
<http://louisville.edu/president/vision2020.pdf>

[10] Board of Trustees Minutes, Approval of 2020 Plan 6-12-08  
2\_5\_fn10.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2008/bot080612.pdf/view>

[11] *21st Century Initiative: Powering the 2020 Plan*

[11a] President's Letter Introducing the 21<sup>st</sup> Century Initiative  
2\_5\_fn11a.pdf

[11b] Provost Vision Statement for the 21<sup>st</sup> Century Initiative  
2\_5\_fn11b.pdf

[11c] Environmental SWOT and Academic Priority Review Presentation to Council of Academic Officers as Component of 21<sup>st</sup> Century Initiative Planning Process  
2\_5\_fn11c.pdf

[11d] 21<sup>st</sup> Century Initiative Charge and Committees 2-8-13  
2\_5\_fn11d.pdf

[11e] 21<sup>st</sup> Century Initiative Appointment Letter  
2\_5\_fn11e.pdf

[11f] 21<sup>st</sup> Century Initiative University Update Email  
2\_5\_fn11f.pdf

[11g] 21<sup>st</sup> Century Full Committee Report  
2\_5\_fn11g.pdf

[11h] Board of Trustees Minutes, Update on 21<sup>st</sup> Century Initiative 7-10-14  
2\_5\_fn11i.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2014/july-10-2014>

[11i] 21<sup>st</sup> Century Presentation to the Board of Trustees, 2-5-15  
2\_5\_fn11i.pdf

[11j] Board of Trustees Minutes, Update on 21<sup>st</sup> Century Initiative 9-3-15  
2\_5\_fn11j.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2015/september-3-2015>

[11k] *21st Century Initiative: Powering the 2020 Plan*  
2\_5\_fn11k.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>

[11l] State of the University Address 9-3-15  
2\_5\_fn11l.pdf  
<http://louisville.edu/president/news-items/state-of-the-university-september-16-2015>

[12] Provost's Strategic Planning Website  
2\_5\_fn12.pdf  
<http://louisville.edu/provost/planning/>

[13] University Scorecard  
2\_5\_fn13.pdf  
<http://louisville.edu/provost/planning/scorecards>

[14] Example—Office of the President Tactical Goals  
2\_5\_fn14.pdf

[15] Office of the President Scorecard  
2\_5\_fn15.pdf

[16] Sample—Administrator Self-assessment/Progress Report  
2\_5\_fn16.pdf

[17] Unit Scorecards  
<http://louisville.edu/provost/planning/scorecards>

[17a] Arts and Sciences Scorecard  
2\_5\_fn17a.pdf

[17b] College of Education and Human Development Scorecard  
2\_5\_fn17b.pdf

[17c] College of Business Scorecard  
2\_5\_fn17c.pdf

[17d] College of Dentistry Scorecard  
2\_5\_fn17d.pdf

[17e] Kent School of Social Work Scorecard  
2\_5\_fn17e.pdf

[17f] Brandeis School of Law Scorecard  
2\_5\_fn17f.pdf

- [17g] School of Medicine Scorecard  
2\_5\_fn17g.pdf
- [17h] School of Music Scorecard  
2\_5\_fn17h.pdf
- [17i] School of Nursing Scorecard  
2\_5\_fn17i.pdf
- [17j] College of Public Health Scorecard  
2\_5\_fn17j.pdf
- [17k] Speed School of Engineering Scorecard  
2\_5\_fn17k.pdf
- [18] Strategic Planning and Implementation Process  
2\_5\_fn18.pdf
- [19] Strategic Planning and Implementation Group (SPIG) Membership and Description  
2\_5\_fn19.pdf  
<http://louisville.edu/provost/planning/members>
- [20] Strategic Planning and Implementation Process Timeline  
2\_5\_fn20.pdf  
<http://louisville.edu/provost/planning/Timeline.pdf>
- [21] Vice Provost for Academic Strategy  
2\_5\_fn21.pdf
- [22] Example—Completed Arts and Sciences FY 2017 Academic Strategy Planning Data  
Template  
2\_5\_fn22.pdf
- [23] Arts and Sciences Summary of Request for Funding  
2\_5\_fn23.pdf
- [24] University Operating Budget Principles  
2\_5\_fn24.pdf  
<http://louisville.edu/provost/planning/budgeting-principles>
- [25] SPIG Priority Funding Recommendations 2017  
2\_5\_fn25.pdf
- [26] Board of Trustees Minutes, Approval of Budget 6-4-15  
2\_5\_fn26.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2015/june-4-2015>
- [27] University Scorecard  
2\_5\_fn27.pdf
- [28] UofL Institutional Assessment System  
2\_5\_fn28.pdf



[29] Targets and Progress toward Strategic Goals

[29a] University Scorecard—Targets and Progress  
2\_5\_fn29a.pdf

[29b] Sample of University Actions for Improvement as a Result of Strategic Planning  
and Assessment  
2\_5\_fn29b.pdf

[30] UofL Institutional Assessment Framework  
2\_5\_fn30.pdf

<http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/institutional-assessment-framework>

[31] Assessment of Academic Programs

[31a] Outcomes Reporting for Student Learning Outcomes  
2\_5\_fn31a.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>

[31b] Academic Program Review  
2\_5\_fn31b.pdf  
<http://louisville.edu/oapa/academic-program-review-process>

[31c] General Education Assessment of Student Learning  
2\_5\_fn31c.pdf  
<http://louisville.edu/provost/ger/>

[31d] Program Accreditation  
2\_5\_fn31d.pdf  
<http://louisville.edu/accreditation>

[32] Education Advisory Board (EAB)

[32a] Education Advisory Board (EAB) PowerPoint  
2\_5\_fn32a.pdf

[32b] Education Advisory Board (EAB) Student Success Collaborative Timeline  
2\_5\_fn32b.pdf

[33] Survey Assessments

[33a] UofL National Surveys Webpage  
2\_5\_fn33a.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/national-surveys>

[33b] Collegiate Assessment of Academic Proficiency (CAAP)  
2\_5\_fn33b.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/institutional-assessments>

[33c] *Integrated Process of Student Survey Administration* Flow Chart  
2\_5\_fn33c.pdf

[33d] *Integrated Process of Student Surveys and Targeted Intervention* Flow Chart  
2\_5\_fn33d.pdf

[33e] Student Perception Survey (SPS) Example  
2\_5\_fn33e.pdf

[34] Outcomes Reporting for Academic and Student Support Services  
2\_5\_fn34.pdf

<http://louisville.edu/oapa/institutional-effectiveness-1/outcomes-report-for-academic-support-services>

[35] External Consultant Reports

[35a] Administrative Efficiencies Team Recommendations  
2\_5\_fn34a.pdf

[35b] Strothman Consultant Report  
2\_5\_fn35b.pdf

[35c] Strothman Report Recommendations  
2\_5\_fn35c.pdf

[35d] Strothman Report Implementation of Recommendations  
2\_5\_fn35d.pdf

[35e] PricewaterhouseCoopers (PwC) Report  
2\_5\_fn35e.pdf

[35f] HSC Shared Services  
2\_5\_fn35f.pdf

[36] Outcomes Reporting for Administrative Units  
2\_5\_fn36.pdf

<http://louisville.edu/oapa/institutional-effectiveness-1/outcomes-for-administrative-academic-student-support-services>

[37] Assessment of Centers and Institutes  
2\_5\_fn37.pdf

<http://louisville.edu/oapa/accreditation-academic-programs-1/centers-and-institutes>

[38] Evaluation of Administrators

[38a] *Redbook* 2.2.4, Review of Service—Vice Presidents  
2\_5\_fn38a.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.2.4>

[38b] Example of Vice President's Evaluation  
2\_5\_fn38b.pdf

[38c] *Redbook* 3.2.3, Review of Service—Deans  
2\_5\_fn38c.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.2.3>

[38d] Example of Dean's Evaluation  
2\_5\_fn38d.pdf

[39] Carnegie Foundation—Research University with Very High Research Activity (RH/VH Designation  
2\_5\_fn39.pdf  
<http://louisville.edu/oapa/accreditation-academic-programs-1/carnegie-foundation-classification>

[40] Carnegie Classification for Community Engagement  
2\_5\_fn40.pdf  
<http://louisville.edu/communityengagement/community-engagement/carnegie>

[41] Assessment of CPE Initiatives

[41a] CPE Diversity Rubric  
2\_5\_fn41a.pdf

[41b] CPE Scorecard  
2\_5\_fn41b.pdf

[41c] CPE Performance Scorecard 2013  
2\_5\_fn41c.pdf

[42] Examples of Use of Benchmarking  
2\_5\_fn42.pdf

## 2.6

### Continuous Operation

The institution is in operation and has students enrolled in degree programs.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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 [1].

The university confers undergraduate, graduate, and first professional degrees through the programs offered by its twelve colleges and schools:

- College of Arts and Sciences (1907)
- Brandeis School of Law (1846)
- College of Business (1968)
- School of Dentistry (1918)c
- College of Education and Human Development (1968)
- School of Interdisciplinary and Graduate Studies (SIGS) (SIGS 2008; original graduate school 1915)
- Kent School of Social Work (1936)
- School of Medicine (1837)
- School of Music (1932)
- School of Nursing (1979)
- School of Public Health and Information Sciences (2002)
- J. B. Speed School of Engineering (1925)

In the fall 2015 term, the university had a faculty and staff of 6,998 and enrolled 22,367 students. It has more than 141,000 living alumni [2].

The enrollment data in Table 1 provide the fall 2013, fall 2014, and fall 2015 demographic information on the university's student body.

**Table 1. Enrollment Data**

	Fall 2013	Fall 2014	Fall 2015
Total Headcount	22,529	22,599	22,367
Full-Time Equivalent	18,719	18,779	18,601
First Time in College	2,855	2,887	2,708
Full-Time	17,198	17,317	17,125
Part-Time	5,331	5,282	5,242
Undergraduate	16,151	16,162	15,985
Graduate	5,620	5,670	5,595
Professional	1,505	1,464	1,429
Male	10,989	11,071	11,083
Female	11,540	11,528	11,284
African American	2,309	2,274	2,268
All Other Minorities (includes Nonresident Aliens)	3,404	3,553	3,672
White and Unknown	16,816	16,772	16,427
In-State	17,082	17,045	16,945
Jefferson County	9,819	9,733	9,722
All Other Kentucky Counties	7,263	7,312	7,223
Out-of-State	5,447	5,554	5,422
Nonresident Aliens	1,102	1,024	1,069

These students were enrolled in the 207 award/degree programs (certificate, associate, baccalaureate, master's, doctoral, and professional) offered by the university [3]. Enrollment numbers by degree program are provided [4].

During the 2014-15 academic year the university conferred 4,938 degrees (see Table 2) [5].

**Table 2. Degrees/Awards Conferred: Academic Year 2014-15**

Certificate (including post-Master's)	55
Associate	25
Baccalaureate	2,832
Post-Baccalaureate	107
Master's/Specialist	1,352
Doctorate	172
Professional	395
Total Conferred	4,938

## SUMMARY

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. The university confers undergraduate, graduate, and first professional degrees through the programs offered by its twelve colleges and schools. In the fall 2015 term, the university had a faculty and staff of 6,997 and enrolled 22,367 students. These students were enrolled in the 207 award/degree programs (certificate, associate, baccalaureate, master's, doctoral, and professional) offered by the university.

[1] UofL History

2\_6\_fn01.pdf

<http://louisville.edu/about/history>

[2] Just the Facts 2015-16, page 1

2\_6\_fn02.pdf

[3] Inventory of Degree Programs

2\_6\_fn03.pdf

[4] Fall 2015 Enrollment Numbers by Program

2\_6\_fn04.pdf

[5] Just the Facts 2015-16, page 10

2\_6\_fn05.pdf

## 2.7.1

### Program Length

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.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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 [1]. The university offers all its programs on the basis of semester credit hours.

Kentucky Revised Statute (KRS) 164.2951 [2] sets a minimum of 120 semester credit hours for all baccalaureate degrees. All UofL baccalaureate programs meet the required minimum of 120 semester credit hours [3]. The associate degree in paralegal studies requires a minimum of 63 semester credit hours [4]. Master's degree programs require a minimum of 30 semester credit hours of work beyond the baccalaureate degree [5]. The Specialist degree requires 30 hours beyond a master's degree [6]. Doctoral degrees vary in their semester credit hour requirement; but it is customary to consider the equivalent of three years of full-time graduate study as the minimum for doctoral degrees [7]. Off-site and online programs are held to the same standards regarding program length as face-to-face programs.

The professional degree program in law requires students to complete 90 semester credit hours for the Juris Doctor degree [8]. The professional degree program in dentistry requires a minimum of 197.5 semester credit hours for the DMD degree [9]. The professional degree program in medicine requires 183 credit hours for the MD degree [10].

### Other Programs with Variation in Program Length

The university also offers fourteen accelerated programs [11]. An accelerated program refers to the use of accelerated courses, credit for prior learning, and/or other methods to allow students to complete the program in less than the usual amount of time. Accelerated degrees are awarded to UofL students who wish to pursue a master's degree while completing their baccalaureate degree. The combined Bachelor of Science/Master of Science in Biology is an example of an accelerated degree. Accelerated degree programs also include any five-year degree program that results in the granting of both a bachelor's and a master's degree (for example, the B.S./Master of Engineering [MEng] degrees in the Speed School of Engineering). Other academic offerings such as the Law School's 3+3 degrees and credit for prior learning degree completion programs also fall into the accelerated degree category [12].

## Program Approval and Review

The specific number of semester credit hours required in each individual program is proposed and justified in the new academic program approval process, which follows Kentucky Council on Postsecondary Education (CPE) policies and procedures [13] and uses a CPE New Academic Program Proposal template [14]. The process for establishing new programs requires review and approval by university faculty and administrators at multiple levels, with final review and approval granted by CPE. Programs also report on their required credit hours in the Ten-Year Academic Program Review process [15], where they are asked to provide copies of the previous and current curriculum and discuss any changes made over the review period.

The university seeks program accreditation through external bodies in each discipline wherever it is available [16], and the number of semester credit hours in such programs follows the norms established by the program's accrediting body.

### SUMMARY

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 for establishing appropriate program length and ensure that UofL programs meet the minimum credit hour requirements of this standard.

[1] Inventory of Degree Programs  
2\_7\_1\_fn01.pdf

[2] KRS 164.2951, Development and Implementation of Credit Hour Degree Programs  
2\_7\_1\_fn02.pdf

[3] *Undergraduate Catalog*, Degree Requirements, pages 296-859  
2\_7\_1\_fn03.pdf  
<http://louisville.edu/undergradatecatalog/>

[4] Paralegal Associate Degree Program Requirements, *Undergraduate Catalog*, p. 788  
2\_7\_1\_fn04.pdf  
<http://louisville.edu/politicalscience/paralegal/degree-program.html>

[5] *Graduate Catalog*, Master's Degree Requirements  
2\_7\_1\_fn05.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>

[6] Specialist in Education Administration Program Requirements  
2\_7\_1\_06.pdf  
<http://louisville.edu/education/degrees/eds-ea>

[7] *Graduate Catalog*, Doctoral Degree Requirements  
2\_7\_1\_fn07.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>



- [8] Brandeis School of Law, Juris Doctor Program  
2\_7\_1\_fn08.pdf  
<http://louisville.edu/law/academics/degree-programs/jd-program>
- [9] School of Dentistry, DMD Program  
2\_7\_1\_fn09.pdf  
<http://louisville.edu/dentistry/academicaffairs/DMDCurriculumsummary201617.pdf>
- [10] School of Medicine, Programs and Courses: The Medical Education Program  
2\_7\_1\_fn10.pdf  
<https://netapps.louisville.edu/MECourseCatalog/?id=91>
- [11] Accelerated/Dual/Joint/Collaborative Programs  
2\_7\_1\_fn11.pdf
- [12] Multiple Degree Program Definitions  
2\_7\_1\_fn12.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/MultipleDegreeDefinitionsfinal9.2.2015.pdf>
- [13] CPE New Academic Program: Policies and Procedures  
2\_7\_1\_fn13.pdf
- [14] New Program Proposal Template for Undergraduate Programs  
2\_7\_1\_fn14.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>
- [15] CPE Academic Program Review Template  
2\_7\_1\_fn15.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [16] UofL, Institutional and Program Accreditations"  
2\_7\_1\_fn16.pdf  
<http://louisville.edu/accreditation>

## 2.7.2

### Program Content

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.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville offers programs containing coherent courses of study that are compatible with its mission and based upon fields of study appropriate to higher education.

### Appropriateness to Higher Education

All UofL degree and certificate programs [1] fall within the United States Department of Education Classification of Instructional Programs (CIP) Taxonomy [2] and are thus similar to programs offered at other institutions of higher learning and are appropriate to higher education. All UofL programs can be classified into one of the twenty-four primary CIP categories shown in Table 1.

**Table 1. CIP Codes**

CIP Code	
4	ARCHITECTURE AND RELATED SERVICES.
5	AREA, ETHNIC, CULTURAL, GENDER, AND GROUP STUDIES.
9	COMMUNICATION, JOURNALISM, AND RELATED PROGRAMS.
11	COMPUTER AND INFORMATION SCIENCES AND SUPPORT SERVICES.
13	EDUCATION.
14	ENGINEERING.
15	ENGINEERING TECHNOLOGIES AND ENGINEERING-RELATED FIELDS.
16	FOREIGN LANGUAGES, LITERATURES, AND LINGUISTICS.
22	LEGAL PROFESSIONS AND STUDIES.
23	ENGLISH LANGUAGE AND LITERATURE/LETTERS.
24	LIBERAL ARTS AND SCIENCES, GENERAL STUDIES AND HUMANITIES.
26	BIOLOGICAL AND BIOMEDICAL SCIENCES.
30	MULTI/INTERDISCIPLINARY STUDIES.
31	PARKS, RECREATION, LEISURE, AND FITNESS STUDIES.
38	PHILOSOPHY AND RELIGIOUS STUDIES.
40	PHYSICAL SCIENCES.
42	PSYCHOLOGY.
43	HOMELAND SECURITY, LAW ENFORCEMENT, FIREFIGHTING AND RELATED PROTECTIVE SERVICES.
44	PUBLIC ADMINISTRATION AND SOCIAL SERVICE PROFESSIONS.
45	SOCIAL SCIENCES.

50	VISUAL AND PERFORMING ARTS.
51	HEALTH PROFESSIONS AND RELATED PROGRAMS.
52	BUSINESS, MANAGEMENT, MARKETING, AND RELATED SUPPORT SERVICES.
54	HISTORY.

### Coherent Course of Study

Academic authority for degrees rests with the appropriate academic unit. Section 3.3.2 of *The Redbook* [3], the university's governing document, states that faculty have "general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions shall be consistent with enumerated policies of the Board of Trustees. For interdisciplinary degree programs and tracks, academic authority will be shared among the faculties of the participating units as specified in the Bylaws of the School of Interdisciplinary and Graduate Studies."

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. Each program's curriculum is 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.

Academic units grant responsibility to a curriculum committee or elected body of the faculty for the consideration and approval of new programs or courses and for modifications to existing courses, curriculum, or degree programs. In some cases, curricular proposals are forwarded to a curriculum committee from a full departmental faculty committee. In order to maintain high-level academic programs, these bodies are charged with oversight of the coherence, integrity, rigor, relevancy, need, and effectiveness of the curriculum. Final unit approval occurs either at a full faculty meeting or by the approval of an elected Faculty Assembly body within the unit [4].

Once approved by the unit faculty, all new courses, course revisions, or deletions and major changes to course requirements must be submitted to the provost office on a Course Inventory File Form (CIF) [5]. This form is approved at the program, department, unit, and provost level [6]. The UofL Curriculum Coordination and Authorization Protocol provides guidance for curricular changes in one program that could impact another program [7].

New program curriculum receives 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). This review process ensures that the content of programs is appropriate for the specific field of study and to higher education (see the Program Approval and Review section below). New online programs undergo the same rigorous approval process as campus-based programs.

Programs that have track, concentrations, or specializations include a common core of courses in the major designed to prepare students in the discipline of the field. In accordance with CPE, the core courses within a program containing tracks, concentrations,

or specializations must equal at least half of the required core credit hours. The program approval process [8] includes verification that this requirement has been met.

Many degree programs also participate in periodic, independent, external accreditation processes. These programs' respective accrediting bodies have rigorous standards on academic excellence and established curriculum standards that must be met to receive accreditation. Forty-two UofL programs hold external accreditation [9], including all three UofL professional degree programs (Law, Dentistry, and Medicine). Also, many programs have state or national licensure examinations that students must complete for successful entrance into the profession. These additional measures ensure continued attention to maintaining program and curricular standards appropriate to the degrees awarded.

Program requirements, including course prerequisites and descriptions, are provided in the *Undergraduate Catalog* [10] and *Graduate Catalog* [11]. Programs use course numbering [12] and prerequisite coursework to ensure that students progress from lower-level requirements to the upper-level course work requiring more advanced scholarship and assignments. A review of undergraduate "flightplans," which specify the requirements for each degree program, indicates that programs include a distribution of courses at the 100, 200, 300, 400, and, in some cases, 500 levels. As an example, the requirements for the BS in Mechanical Engineering demonstrate a course sequencing that requires students to move progressively through more rigorous and complex courses [13]. Similarly, the BSBA with a major in Finance includes a progression of 100 to 200 to 300 to 400 level courses [14].

Master's degrees have more than half their coursework at the 600 level, indicating more advanced coursework than 500-level courses.

To ensure continued coherence of curriculum, programs engage in regular review and comprehensive analysis of their curricula [15]. The Speed School of Engineering conducted curricular reviews of all of its programs in 2014 [16] [17] [18]. The Brandeis School of Law makes curriculum review a part of its strategic planning process [19]. The College of Education and Human Development uses curriculum crosswalks [20] to demonstrate that the curriculum covers all content students need in the discipline and prepares program review documents showing program coherence, which are submitted for approval by the Kentucky Education Professional Standards Board [21].

The university's current Quality Enhancement Plan, Ideas to Action (i2a), is a critical thinking initiative focused on undergraduate education. The goal of i2a is to build undergraduate students' critical thinking skills by laying a foundation in critical thinking in the general education coursework, continuing to build emphasis on critical thinking in the major coursework, and having students apply what they've learned in a culminating undergraduate experience. Ideas to Action calls for course curricula to provide increasing opportunities for students to practice and advance toward higher-level reasoning, including the ability to solve complex problems, to reach conclusions by a systematic comparison of facts, and to synthesize discrete information into a complex whole [22].

### **Compatibility of Programs with the University's Mission**

UofL's mission statement defines the purpose of the institution:

The University of Louisville pursues excellence and inclusiveness in its work to educate and serve its community through:

1. teaching diverse undergraduate, graduate, and professional students in order to develop engaged citizens, leaders, and scholars,
2. practicing and applying research, scholarship and creative activity, and
3. providing engaged service and outreach that improve the quality of life for local and global communities.

The University is committed to achieving preeminence as a nationally recognized metropolitan research university.

UofL's mission is consistent with the role of the university as defined by the state and the Council on Postsecondary Education (CPE).

UofL is authorized by Kentucky Revised Statute 164.815 and the CPE to provide associate and baccalaureate degree programs; master's degree programs; specialists degrees above the master's degree level; doctoral degree programs; joint doctoral programs in cooperation with other public institutions of higher education; certificates; and professional degree programs. The university offers one associate degree program, twenty-five certificate programs, sixty-six baccalaureate degree programs, seventy-five master's degree programs, one specialist program, thirty-six doctoral degree programs, and three first-professional degree programs [23].

As evidenced by its mission statement, the university plays a critical leadership role by promoting diversity, local and global community engagement, and the scholarship, research, and creative activity characteristic of a premier metropolitan research university. The mission guides the university in the establishment and review of all degree programs, and programs must show alignment with the university's mission before approval.

### **Student Learning Outcomes**

All degree programs have identified major student learning outcomes for students based upon current research and professional standards in their respective disciplines. These outcomes are assessed in annual Student Learning Outcomes Reports (SLOs) [24], which provide an opportunity to review data surrounding the identified learning outcomes and plan for program improvement. In these reports, programs are looking for evidence that students are developing the skills and content related to their discipline and that they are engaged in research, professional practice, and training experiences as appropriate to their fields of study. During the SLO process, the program also reviews its mission, goals, and outcomes in relation to the mission of the university, unit, program, and discipline.

Undergraduate academic programs are required to provide program goals which address competencies that 1) relate to the content knowledge of the major; 2) build upon the General Education curriculum; 3) synthesize the knowledge of the major through a culminating undergraduate experience (CUE); and 4) demonstrate critical thinking as defined by the Quality Enhancement Plan: Ideas to Action (i2a) [25].

Graduate and professional programs are to identify program goals that show competencies relating to content knowledge of the discipline (including literature of the discipline), student engagement in research, and professional practice and training experiences [26].

## **Program Approval and Review**

Consistency with the university mission and the coherence of programs are established from the moment a program is approved. The new program approval process follows the guidelines of the Kentucky Council on Postsecondary Education (CPE) [27] [28] and starts with a Letter of Intent to the provost, which assures that the proposed program aligns with the mission and Strategic Plan of the university. The Letter of Intent template calls for a description of the program's objectives, skills, and knowledge that students will acquire and the relationship of the program to the general field [29]. If the Letter of Intent is approved, the faculty then develop a full proposal that explains how the curriculum achieves the program-level student learning outcomes and the relationship between the overall curriculum and major curricular components and program objectives [30a] [30b] [30c]. Each new program proposal undergoes review at numerous levels internally (including participating departments, units, the Faculty Senate, and provost office) and externally by the CPE. As an example of the undergraduate program approval and review, the BA in Sustainability is included [31a] [31b] [31c]. Additionally the MS of Dentistry is included as an example of the graduate program approval [32a] [32b] [32c]. In both examples the relationship of the program to the university mission, the learning outcomes, and the coherent course of study are established.

All approved programs undergo an Academic Program Review every ten years, which again evaluates the alignment of the program with the university's mission and statewide goals. This review also looks at the attainment of student learning outcomes and success; curriculum changes; and student, alumni, and employer feedback on the program [33]. The review provides a process for the program to evaluate its effectiveness in meeting its student learning outcomes, program goals, and the goals of the university. In addition, programs complete a five year progress report in which program faculty provide an update on their efforts in addressing the program's plan for improvement from the previous program review [34].

## **Professional Programs**

The Brandeis School of Law offers a Juris Doctor program, whose curriculum has been approved for accreditation by the American Bar Association under ABA Standard 301, which requires that "a law school . . . maintain an educational program that prepares its students for admission to the bar and effective and responsible participation in the legal profession" [35]. The Law School requires that students study an ABA prescribed first-year curriculum designed to provide grounding in basic principles and doctrines of the legal system and to prepare them for upper-division courses in more complex areas. After the first year, students must take at least 24 hours from a list of core courses that cohere to the topics covered on the Kentucky Bar Exam. They must also take certain required courses because of their importance to the competent (Constitutional Law) and ethical (Professional Responsibility) practice of law [36]. This curriculum is compatible with the university's mission to develop engaged citizens, leaders, and scholars while improving the quality of life for local and global communities.

The School of Dentistry is accredited by the Commission on Dental Accreditation (CODA) [37] and conforms to accepted standards and practices as established by CODA. The D.M.D. program focuses on educating students to demonstrate the academic, cultural, social, and personal abilities necessary for competent oral health care providers who will serve the community and help fulfill the School's urban and statewide missions. The first two years of the D.M.D. curriculum focus on the studies necessary to prepare each student for the clinical practice of dentistry and for the National Boards, Part I, including courses in the

basic sciences, pre-clinical techniques, and behavioral sciences. First and second year students also gain clinical experience in various dental disciplines through direct patient contact. The third and fourth year curricula include advanced basic science, clinical and practice management courses, and extensive clinical patient treatment using a comprehensive care system. Students complete rotations in pediatric dentistry and oral surgery. An extramural rotation is required. During this experience students are placed in practices throughout Kentucky and nationally through the Public Health Service's/Co-Step Program and the military.

The UofL Medical Doctor (MD) degree is accredited by the Liaison Committee on Medical Education (LCME) [38]. In 2014 the School of Medicine reviewed and revised their curriculum to include a new first-year completely integrated curriculum that fully complies with the LCME requirements. The second year curriculum is integrated around team-based learning sessions. The School of Medicine's educational program committee is responsible for the overall design, management, and evaluation of a coherent and coordinated curriculum that achieves the educational objectives of the medical school. The Committee ensures that each academic segment of the curriculum maintains common standards for content, such that each medical student will acquire appropriate competence in general medical care regardless of subsequent career specialty.

## **SUMMARY**

The University of Louisville 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 curriculum receives 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). All UofL degree programs fall within the United States Department of Education Classification of Instructional Programs (CIP) Taxonomy and are thus similar to programs offered at other institutions of higher learning and are appropriate to higher education.

[1] Inventory of Degree Programs  
2\_7\_2\_fn01.pdf  
<http://louisville.edu/oapa/committee-reaffirmation-folders/currentinventoryofdegreeprogramsJanuary2015.pdf>

[2] United States Department of Education Classification of Instructional Programs (CIP) Taxonomy  
2\_7\_2\_fn02.pdf  
<https://nces.ed.gov/ipeds/cipcode/browse.aspx?y=55>

[3] The Redbook, Section 3.3.2, Jurisdiction and Purposes  
2\_7\_2\_fn03.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html>

[4] Unit Curriculum Processes  
2\_7\_2\_fn04.pdf

[5] Course Inventory File  
2\_7\_2fn05.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/c.i.f-form>

[6] Curriculum Flowchart  
2\_7\_2fn06.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/cif-approval-process-flowchart>

[7] Protocol for Program Coordination  
2\_7\_2fn07.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/OAPAProtocolforCurriculumCoordinationrevised5.12.15.pdf>

[8] Academic Program Development Process  
2\_7\_2\_fn08.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[9] UofL Program Accreditations  
2\_7\_2\_fn09.pdf  
<http://louisville.edu/accreditation>

[10] *Undergraduate Catalog*, Program Requirements, Pages 296-859  
2\_7\_2\_fn10.pdf  
[http://louisville.edu/undergradatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=294](http://louisville.edu/undergradatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=294)

[11] *Graduate Catalog*, Program Requirements  
2\_7\_2\_fn11.pdf  
<http://louisville.edu/graduatecatalog/degree-programs/graduate-degree-programs>

[12] Course Numbering System from Undergraduate Catalog, page 169  
2\_7\_2\_fn12.pdf  
[http://louisville.edu/undergradatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=169](http://louisville.edu/undergradatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=169)

[13] BS Mechanical Engineering Flightplan  
2\_7\_2\_fn13.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Mechanical%20Engineering%20\(BMC\)%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Mechanical%20Engineering%20(BMC)%20-%202015.pdf)

[14] BSBA with major in Finance Flightplan  
2\_7\_2\_fn14.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Finance%20\(BSB\)%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Finance%20(BSB)%20-%202015.pdf)

[15] Dentistry Curriculum Process  
2\_7\_2\_fn15.pdf



- [16] Review of Speed Graduate IE Curriculum  
2\_7\_2\_fn16.pdf
- [17] Proposed Changes to IE Curriculum  
2\_7\_2\_fn17.pdf
- [18] First Year Curriculum Dean's Memo to Chairs  
2\_7\_2\_fn18.pdf
- [19] Law School Strategic Planning—Curriculum  
2\_7\_2\_fn19.pdf
- [20] CEHD Curriculum Crosswalk  
2\_7\_2\_fn20.pdf
- [21] CEHD Program Review Document—Elementary P-5  
2\_7\_2\_fn21.pdf
- [22] Ideas to Action  
2\_7\_2\_fn22.pdf  
<http://louisville.edu/ideastoaction/programs/institute>
- [23] Inventory of Degree Programs  
2\_7\_2\_fn23.pdf  
<http://louisville.edu/oapa/committee-reaffirmation-folders/currentinventoryofdegreeprogramsJanuary2015.pdf>
- [24] Student Learning Outcomes Reports  
2\_7\_2\_fn24.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>
- [25] SLO Annual Report Template—Undergraduate Programs  
2\_7\_2\_fn25.pdf
- [26] SLO Annual Report Template—Graduate Programs  
2\_7\_2\_fn26.pdf
- [27] CPE New Academic Programs; Policies and Procedures  
2\_7\_2\_fn27.pdf
- [28] UofL Academic Program Development Process  
2\_7\_2\_fn28.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>
- [29] Letter of Intent Guidelines  
2\_7\_2\_fn29.pdf  
<http://louisville.edu/oapa/program-approval/loi-new-programs>
- [30] New Academic Program Approval Templates  
2\_7\_2\_fn30.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

- [30a] Undergraduate Programs  
2\_7\_2\_fn30a.pdf
- [30b] Master's Programs  
2\_7\_2\_fn30b.pdf
- [30c] Doctoral Programs  
2\_7\_2\_fn30c.pdf
- [31] Sample Undergraduate Program Proposal Process--BA in Sustainability
- [31a] Letter of Intent  
2\_7\_2\_fn31a.pdf
- [31b] Dean's letter to Provost supporting the proposed letter  
2\_7\_2\_fn31b.pdf
- [31c] Pre-Proposal  
2\_7\_2\_fn31c.pdf
- [32] Sample Graduate Program Proposal Process Dentistry MS
- [32a] Dentistry MSD Program Revision Proposal  
2\_7\_2\_fn32a.pdf
- [32b] Dentistry MSD Notification Letter to CPE  
2\_7\_2\_fn32b.pdf
- [32c] Dentistry MSD Second Notification Letter to CPE  
2\_7\_2\_fn32c.pdf
- [33] Academic Program Review Template—Ten Year  
2\_7\_2\_fn33.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [34] Academic Program Review Template—Five Year  
2\_7\_2\_fn34.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [35] American Bar Association Legal Education Standards  
2\_7\_2\_fn35.pdf  
[http://www.americanbar.org/content/dam/aba/publications/misc/legal\\_education/Standards/2014\\_2015\\_aba\\_standards\\_chapter3.authcheckdam.pdf](http://www.americanbar.org/content/dam/aba/publications/misc/legal_education/Standards/2014_2015_aba_standards_chapter3.authcheckdam.pdf)
- [36] UofL Juris Doctor Curriculum  
2\_7\_2\_fn36.pdf  
<http://louisville.edu/law/academics/degree-programs/jd-program>
- [37] Commission on Dental Accreditation  
2\_7\_2\_fn37.pdf  
<http://www.ada.org/en/home-ada/coda/accreditation>

[38] Liaison Committee on Medical Education  
2\_7\_2\_fn38.pdf  
<http://www.lcme.org/>

### 2.7.3

#### General Education

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville 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. Students are provided information about general education requirements through a variety of sources.

UofL's general education program fosters active learning by asking students to think critically, to communicate effectively, and to understand and appreciate cultural diversity [1]. Students are to establish foundations in the following content areas: 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 [2].

Each content and/or competency area has approved courses that address the general education program outcomes. Every course approved for general education must address each outcome in every content and/or competency area for which it is approved. Sample syllabi from selected general education courses are provided [3a] [3b] [3c] [3d] [3e].

Unit faculty develop and propose courses that meet general education requirements using proposal templates [4a] [4b] [4c] [4d] [4e] [4f] [4g] [4h] developed by the university-wide General Education Curriculum Committee (GECC) [5]. The GECC reviews these proposals and accompanying documentation (e.g., sample syllabi) and determines whether course objectives for proposed courses are consistent with the general education program's student learning outcomes and the overall goals of the program [6]. The committee is charged with ensuring that all general education courses provide a breadth of knowledge and skills that students will be able to draw on regardless of the majors they pursue. Approved courses are then added to the list of acceptable general education courses [7], which is maintained online and tracked in the university's student information system so that proper credit can be assigned by course and year.

Courses that meet general education requirements are clearly marked in the online schedule of courses, and students can search the course schedule for courses that meet specific general education categories [8]. Students follow a “flight plan” aligned with their degree program, which establishes the specific semesters in which general education courses should be taken if the student is to remain on track for graduation in four years or in the time frame of their choice [9]. (See the sample flight plan for a student who wishes to complete a BS in chemical engineering degree in four years [10].)

Each undergraduate student, regardless of major or enrollment unit, must demonstrate achievement in the college-level competencies and content-area outcomes through acceptable performance in a minimum of 34 credit hours of lower-division course work in the following areas:

- Oral Communication (3 hours)
- Written Communication (6 hours)
- Humanities (3 hours)
- Arts (3 hours)
- Mathematics (3 hours)
- Natural Sciences (7 hours in two disciplines, one with a laboratory component)
- Social/Behavioral Sciences (9 hours, including 3 hours in history)

See Comprehensive Standard 3.5.1 for the general education competencies and content area outcomes.

Before completing 60 hours, the student must have completed 21 hours of General Education courses, including Oral Communication, Mathematics, and the second three hours of Written Communication. Before graduation, each student must also complete 6 hours of work in courses that develop competency in cultural diversity.

Courses that are designated as meeting the general education requirement in humanities are “pure” humanities courses—that is, courses in English composition, oral communication, or introductory foreign language cannot satisfy the humanities requirement. The GECC ensures that approved humanities courses meet this standard. All such courses must address the following learning outcomes:

Students will demonstrate that they are able to: communicate an understanding of vocabulary, concepts, materials, techniques, and methods of intellectual inquiry within the humanities; describe and evaluate texts using primary and secondary materials; and analyze and synthesize texts, recognizing the diversity of cultures and historical contexts. [11]

The university's current Quality Enhancement Plan, Ideas to Action (i2a), is a critical thinking initiative involving departments and individual instructors in enhancing the critical thinking components of general education coursework and coursework in the major. The goal of i2a is to sharpen the university's existing focus on building undergraduate students' critical thinking skills by laying a foundation in critical thinking in the general education coursework, building upon that in the major coursework, and having students apply what they've learned in a culminating undergraduate experience. Ideas to Action calls for course curricula to provide increasing opportunities for students to practice and advance toward higher-level reasoning, including the ability to solve complex problems, to reach conclusions by a systematic comparison of facts, and to synthesize discrete information into a complex whole [12].

## **General Education Exemptions**

The university allows students with certain diagnosed and documented disabilities to apply for an exemption from the mathematics general education requirement. When such an exemption is granted, the student must take an approved alternative course as a substitute [13].

Students who feel that they have completed a "cultural experience" (e.g., study abroad, transfer credit, or life experience) that is equivalent to fulfilling the cultural diversity (CD) requirement through UofL course work can submit a CD petition [14]. Assessment criteria for such appeals are established in accordance with the General Education Curriculum Committee's cultural diversity assessment criteria [15].

## **Transfer Policy**

Transfer students may present course work from other institutions that satisfies general education requirements. All such transfer work is evaluated and credited under guidelines and equivalency practices overseen by the faculty and administered by the Office of Transfer and Adult Services. The Kentucky Council on Postsecondary Education's (CPE) general education block transfer policy permits the university to offer general education credit for courses that transfer students have taken under the requirements of sister institutions [16]. Under the provisions of this policy, undergraduate degrees can include general education courses provided through the Kentucky Community and Technical College System (KCTCS). Equivalencies for the most commonly presented transfer courses are published online [17]. Courses at the 100- and 200-level that do not align with the university's approved general education list are reviewed by the transfer office, which then assigns or denies credit. Courses at the 300-level or above are submitted to the appropriate academic unit or department for evaluation before transfer credit is awarded [18].

## **SUMMARY**

The University of Louisville has a well-defined general education program that is in compliance with all the aspects delineated in the 2.7.3 comprehensive standard. All undergraduate students, whether on-campus or in distance education, must complete 34 credit hours of general education instruction 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.

[1] UofL General Education Requirements  
2\_7\_3\_fn01.pdf  
<http://louisville.edu/provost/ger>

[2] University-Wide General Education: Competencies, Content Areas, and Learning Outcomes  
2\_7\_3\_fn02.pdf  
<http://louisville.edu/provost/ger/ger-preface>

[3] Sample Syllabi from General Education Courses, Showing Attention to Student Learning Outcomes.

[3a] Sample Syllabus for Math 105  
2\_7\_3fn03a.pdf

[3b] Sample Syllabus for Elementary Astronomy 107  
2\_7\_3fn03b.pdf

[3c] Sample Syllabus for Physics 111  
2\_7\_3fn03c.pdf

[3d] Sample Syllabus for History 101  
2\_7\_3fn03d.pdf

[3e] Sample Syllabus for English 101  
2\_7\_3fn03e.pdf

[4] General Education Course Proposal Templates

[4a] Arts & Humanities General Education Course Proposal Template  
2\_7\_3\_fn04a.pdf

[4b] Mathematics General Education Course Proposal Template  
2\_7\_3\_fn04b.pdf

[4c] Natural Sciences General Education Course Proposal Template  
2\_7\_3\_fn04c.pdf

[4d] Oral Communications General Education Course Proposal Template  
2\_7\_3\_fn04d.pdf

[4e] Social and Behavioral General Education Course Proposal Template  
2\_7\_3\_fn04e.pdf

[4f] Written Communication General Education Course Proposal Template  
2\_7\_3\_fn04f.pdf

[4g] Cultural Diversity General Education Course Proposal Template  
2\_7\_3\_fn04g.pdf

[4h] Sample Proposal General Education Course Proposal Template  
2\_7\_3\_fn04h.pdf

[5] General Education Curriculum Committee  
2\_7\_3\_fn05.pdf  
<http://louisville.edu/provost/ger/gecc>

[6] University-Wide General Education: Competencies, Content Areas, and Learning Outcomes  
2\_7\_3\_fn06.pdf  
<http://louisville.edu/provost/ger/ger-preface>

- [7] General Education Program Approved Course List, 2015  
2\_7\_3\_fn07.pdf  
<http://louisville.edu/provost/ger/courses/GER-2015.pdf>
- [8] Online Schedule of Classes  
2\_7\_3\_fn08.pdf  
<http://htmlaccess.louisville.edu/classSchedule/setupSearchClassSchedule.cfm>
- [9] Flight Plans  
2\_7\_3\_fn09.pdf  
<http://louisville.edu/flightplan/>
- [10] Sample Flight Plan, BS in Chemical Engineering  
2\_7\_3\_fn10.pdf  
<https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Chemical%20Engineering%20%28BCH%29%20-%202015.pdf>
- [11] University-Wide General Education: Competencies, Content Areas, and Learning Outcomes 2\_7\_3\_fn11.pdf  
<http://louisville.edu/provost/ger/ger-preface>
- [12] Ideas to Action Final Report  
2\_7\_3\_fn12.pdf  
<http://louisville.edu/ideastoaction/-/files/final-report.pdf>
- [13] Mathematics Requirement Disability Exemption, Undergraduate Catalog, page 294-95  
2\_7\_3\_fn13.pdf  
[http://louisville.edu/undergraduatedcatalog/versions/15\\_16\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=294](http://louisville.edu/undergraduatedcatalog/versions/15_16_catalog.pdf#pagemode=bookmarks&toolbar=true&page=294)
- [14] Cultural Diversity Appeals  
2\_7\_3\_fn14.pdf  
<http://louisville.edu/admissions/apply/transfer/services/course-credit/cultural-diversity-cd1-cd2-appeals>
- [15] Cultural Diversity Appeals—Assessment Criteria  
2\_7\_3\_fn15.pdf
- [16] Council on Postsecondary Education, General Education Transfer Policy and Implementation Guidelines  
2\_7\_3\_fn16.pdf
- [17] Transfer Equivalencies  
2\_7\_3\_fn17.pdf  
[http://tes.collegesource.com/view/tes\\_view01.asp?rid=%7BDFBEB9E1-E048-49CA-B901-D8BA6666EB39%7D&aid=%7B39380D65-2CA9-4BD4-8A40-421D48832187%7D](http://tes.collegesource.com/view/tes_view01.asp?rid=%7BDFBEB9E1-E048-49CA-B901-D8BA6666EB39%7D&aid=%7B39380D65-2CA9-4BD4-8A40-421D48832187%7D)
- [18] Transfer Credit Policy  
2\_7\_3\_fn18.pdf  
<http://louisville.edu/admissions/apply/transfer/services/course-credit>



## 2.7.4

### Coursework for Degrees

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.")* **(Note: If an institution does not offer all course work for at least one degree at each degree level, it must request approval and provide documentation for an alternative approach that may include arrangements with other institutions. In such cases, the institution must submit information requested in Commission policy, "Core Requirement 2.7.4: Documenting an Alternative Approach." This information should be submitted as part of the Compliance Certification).**

### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

### Narrative

The University of Louisville (UofL) controls all aspects of its educational programs. UofL offers 207 degree/credentials leading to certificate, associate, bachelor, master, specialist, doctoral, and professional degrees [1]. New programs and major changes to current programs must be approved according to the procedures outlined in the university's Curriculum Coordination and Authorization Protocol [2], which involves faculty and administrator approval at multiple levels [3]. This process ensures that the university maintains control of its educational programs.

In addition, the university works with other accredited institutions or external entities through contracts or consortia to provide students options for completing degree programs. These agreements extend the reach of the university's academic programs off-site, including international locations [4]. All academic consortia agreements are reported to SACSCOC as required by the substantive change policy.

### Coursework by Degree Level

UofL's annual course offerings are sufficient to completely offer academic programs at all authorized degree levels. For this report, course offerings in the following programs representative of UofL's offerings at each degree level were analyzed: Paralegal Studies (AA) (the only UofL program at the associate level), Communication (B.A., B.S.) (one of the largest undergraduate majors), Chemical Engineering (M.S.) (an externally accredited program), English (Ph.D.) (one of the largest doctoral programs), and Dentistry (D.M.D.) (one of the university's three professional programs). Each program's curriculum was compared with the 2014-15 academic schedule and a review of all programmatic requirements, including specific required courses and required electives within the course of study, was completed [5]. For each program, students had access to all of the required or elective courses needed to complete the degree at UofL.

## Consortial Agreements and Partnerships

UofL participates in a number of domestic and international consortial partnerships. These agreements provide for the agreed-upon sharing or provision of credit hours. This report only includes UofL academic programs that have coursework sharing agreements with external institutions or entities.

### Degree Programs

- The European Business School (EBS) in Oestrich-Winkel, Germany, partners with UofL in an exchange program that allows participating students to spend up to three semesters at the other participating institution. Students can earn a dual bachelor of science in Business Administration from UofL and EBS. Participating students complete regular courses offered by each school's faculty. Courses of study are developed by the respective program directors, so UofL faculty approve all EBS course work to be undertaken by UofL students studying in Germany [6].
- The Executive Master of Business Administration is a partnership between the UofL College of Business and University of Kentucky's Carol Martin Gatton College of Business. Each institution provides approximately 50 percent of the faculty, offers approximately 50 percent of the courses on its respective campus, and students completing the program receive diplomas bearing the names of both institutions. This shared responsibility approach is also reflected in the program's oversight. The MOU guarantees UK and UofL faculty the right to review and amend the curriculum in accordance with their individual faculty governance policies and procedures, assuring that UofL's faculty has a significant role in the program's administration [7].
- The Western Kentucky University (WKU) Engineering program is a joint electrical engineering degree program offered on the WKU campus in Bowling Green, Kentucky. Under the agreement established by the Kentucky Council on Postsecondary Education (CPE), UofL offers 16-24 hours of the engineering coursework needed to complete the bachelor of science in electrical engineering [8].
- The Louisville Seminary has two dual degree programs with UofL. The Master of Divinity offered by the seminary can be obtained in combination with either the juris doctor offered by the university's Brandeis School of Law or the master's of science in social work offered by the Kent School of Social Work. The student receives a separate degree in each discipline upon completion of the coursework for both programs [9a] [9b].
- The Joint Ph.D. program is administered in partnership by the UK College of Social Work and UofL Kent School of Social Work under the academic purview of the respective Graduate Schools. Initially, the Kent School of Social Work was to take primary responsibility for the management of resources for faculty, staff, operations, teaching materials, travel, and professional development. However, the joint degree has changed over time so that each school can more independently address operational issues. The joint aspect of the program is currently focused on the dissertation stage of the program and ensuring representation by the faculty of both schools. The diploma indicates the conferring of the degree by UofL and UK schools [10].

## Academic Partnerships

UofL also participates in collaborative partnerships with the following: Kentuckiana Metroversity (“Metroversity”); Metropolitan College; and the Ultra Program (University of Louisville Transfer Program) with Jefferson Community and Technical College:

- Kentuckiana Metroversity Inc. is a cooperative effort started in 1969 with seven local institutions that allows students in good standing who have earned at least 12 credit hours to cross-register between participating institutions. Transient students taking courses at UofL are subject to UofL’s course policies. Item #11 of the agreement specifically enjoins that participation in this agreement will not “change, add to, or diminish any policy of the constituent members” without “formal action of and by the governing body of the member” [11].
- Metropolitan College is a program that allows United Parcel Service (UPS) employees to earn degrees through course work at Jefferson Community and Technical College (JCTC) and UofL. Metropolitan College institutions coordinate their own course schedules with the Metropolitan College board, but retain full rights to their curricular content [12].

## Group Consortia

The university is a member of two non-profit consortia that provide study abroad programs. UofL is a member of the board of directors for each consortium and makes a financial contribution to support the cooperative efforts:

- KIIS: Kentucky Institute for International Studies [13]. Each KIIS study abroad program is led by a program director from one of the KIIS consortium member schools.
- CCSA: Cooperative Center for Study Abroad [14]. Classes are taught by faculty from consortium member schools.

UofL participates in several student exchanges and allows students to participate in other opportunities with approval. A list of pre-approved program providers is maintained by the university and the Office of Study Abroad and International Travel, located in the International Center [15].

## Contract Delivery

ILaw Ventures: The Brandeis School of Law contracted with iLaw Ventures to offer online courses. The online iLaw courses are: Administrative Law, Business Law, Criminal Procedure, Adjudication, Evidence, Family Law, Professional Responsibility, Securities Regulation, and Wills and Trusts. The law school is accredited by the American Bar Association (ABA) and these classes do not exceed the number of online courses allowed by the ABA. Brandeis appoints the online instructors as visiting or adjunct faculty for the duration of the classes. The agreement states that professors must comply with all applicable UofL policies, including the grading policy [16].

## SUMMARY

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.

[1] Inventory of Degree Programs

2\_7\_4\_fn01.pdf

<http://louisville.edu/oapa/committee-reaffirmation-folders/currentinventoryofdegreeprogramsJanuary2015.pdf>

[2] Curriculum Coordination and Authorization Protocol

2\_7\_4\_fn02.pdf

<http://louisville.edu/oapa/curriculum-and-course-development-1/OAPAProtocolforCurriculumCoordinationrevised5.12.15.pdf>

[3] Curriculum Flowchart

2\_7\_2fn03.pdf

<http://louisville.edu/oapa/curriculum-and-course-development-1/cif-approval-process-flowchart>

[4] Consortial Agreement Report: 2015-2016

2\_7\_4\_fn04.pdf

[5] Review of Programmatic Requirements by Degree Level

2\_7\_4\_fn05.pdf

[6] European Business School Memorandum of Understanding (MOU)

2\_7\_4\_fn06.pdf

[7] University of Kentucky/UofL Memorandum of Understanding (MOU)

2\_7\_4\_fn07.pdf

[8] Western Kentucky University Engineering Agreement

2\_7\_4\_fn08.pdf

[9] Louisville Seminary

[9a] Louisville Seminary/ Brandeis School of Law Dual Degree

2\_7\_4\_fn09a.pdf

[9b] Louisville Seminary/ Kent School of Social Work Dual Degree

2\_7\_4\_fn09b.pdf

[10] UK/UL Joint PhD in Social Work

2\_7\_4\_fn10.pdf

[11] Kentuckiana Metroversity Memorandum of Understanding (MOU)

2\_7\_4\_fn11.pdf

[12] Metropolitan College Memorandum of Understanding (MOU)  
2\_7\_4\_fn12.pdf

[13] KIIS: Kentucky Institute for International Studies  
2\_7\_4\_fn13.pdf

[14] CCSA: Cooperative Center for Study Abroad  
2\_7\_4\_fn14.pdf

[15] Office of Study Abroad and International Travel  
2\_7\_4\_fn15.pdf  
<http://louisville.edu/studyabroad>

[16] ILAW Ventures Contract for Online Courses  
2\_7\_4\_fn16.pdf

## 2.8

### Faculty

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

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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. Evidence of compliance is based on (1) faculty-to-student ratios; (2) faculty instructional activity as measured by student credit hour production at the undergraduate, graduate and professional levels, and (3) faculty productivity and scholarship. Full-time faculty provide the overwhelming majority of instruction in undergraduate, graduate, and professional programs, and the number of full-time faculty at the program level is sufficient to ensure quality academic instruction while also fulfilling the university's research and service missions.

### Faculty Appointments

*The Redbook* [1] is the university's governance document and is the institution's official statement of the organizational structure, rules of governance and procedures, and university-wide policies. It provides guidelines for the organization of the faculty, faculty appointments, conditions of employment and jurisdiction.

*The Redbook* 4.1.1 [2] categorizes full-time faculty appointments in three categories and states:

1. Nontenurable Full-Time Appointments
  - o Temporary Appointments - Temporary appointments to the various academic ranks may be made for specifically limited time periods less than one year or for special purposes. In no case shall a temporary appointment or a renewal thereof result in the acquisition of tenure.
  - o Term Appointments – Term faculty may be appointed for a contract period not to exceed 3 years. Such appointments shall not be tenurable. No term contract, continuation, or renewal shall result in the acquisition of tenure or imply renewal for subsequent terms.
2. Probationary Appointments - Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in *The Redbook* section 4.1.2, provided, however, that no probationary appointment to the University shall extend beyond the period when tenure would normally be granted.

3. Tenure Appointments -Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or termination. Recommendations concerning the award or denial of tenure shall originate in the faculty of the academic unit in which tenure is to be granted.

*The Redbook* 3.3.1 [3] states that all persons with full-time faculty appointments who are appointed for at least one year and a part of whose work for the current year is in a particular academic unit shall be members of its faculty except in the case of those units which define faculty membership differently in their by-laws. The Board of Trustees shall be responsible for the appointment of all full-time faculty members. It may make these appointments on the recommendation of the President of the University or it may delegate appointing authority to the President. A majority of full-time faculty in any academic unit shall be probationary or tenured.

### **Part-time Faculty Appointments**

*The Redbook* in Section 4.1.2 [4] states that part-time faculty shall be appointed by contract to teach specified courses or to engage in specified instruction, research or service less than full time for a designated period. No such appointment, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent periods. *The Redbook* states in Section 3.3.2 [5] that "except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit."

### **Graduate Faculty**

The School of Interdisciplinary and Graduate Studies (SIGS) sets the minimum guidelines for graduate education, which include guidelines for faculty participation. Each academic unit develops guidelines that meet the minimum guidelines of SIGS [6]. Graduate faculty serve as Ph.D. mentors, chair doctoral dissertation committees, and/or chair master's thesis committees. These faculty have contributed to the increase in doctoral research degree production, which has gone from 140 degrees in 2012-13 to 172 degrees in 2014-15.

### **Faculty Governance**

As specified by *The Redbook* [7], faculty work plans allocate effort into teaching, research, service, and other institution obligations, usually on a percentage of effort basis. To manage faculty work effort and ensure consistency with the university mission, each faculty member collaborates with his or her department chair/head to develop an annual work plan. These plans may be revised when circumstances warrant, such as increased teaching needs in a department, supervising or mentoring graduate students, student research, service on dissertation committees, the funding of a grant proposal, or increased service obligations.

Annual merit reviews are based on the annual work plan, with most weight given to areas with greatest allocation of work effort. Minimum guidelines for such reviews are provided by *The Redbook*, although specific criteria in teaching, research/creative effort, and service are developed and approved by faculty within each unit or department. As academic head of the unit, each dean is responsible for ensuring that the aggregated work effort achieves the mission of the unit and is consistent with the mission of the entire institution. In

addition to annual merit reviews, promotion and tenure reviews are also based on the extent to which the annual work plan is fulfilled.

Faculty serve on department, unit, and university-level committees, including the academic program review, undergraduate council, and the graduate council committees, to review and approve all curriculum and program changes, review student learning outcomes, new degree program proposals and make recommendations to the executive vice president and university provost. All of these activities ensure the quality and integrity of the academic programs.

Every academic program is overseen by a faculty program coordinator/director, who is responsible for identifying, developing, and proposing program curricular changes as needed and for implementing changes once they have been approved. Program coordinators provide oversight in completing annual Student Learning Outcomes reports in which they assess student learning and the quality of the program and develop plans for improvement. Program coordinators are responsible for coordinating on-campus or online program activities, as well as any off-site offerings. For programs with international agreements or partnerships, the coordinator may have an additional onsite or offsite partner or liaison.

### Faculty Support of Academic Programs

In fall 2015, the university employed 1,795 full-time faculty which is an 8.8% *increase* from 2011. Eleven academic units--Arts and Sciences, Business, Dentistry, Education, Engineering, Law, Medicine, Music, Nursing, Public Health, and Social Work--have programs with discipline-specific accreditations that can require maintaining specific student-to-faculty ratios to ensure compliance with the respective accrediting organization. The qualifications and sufficiency of the full-time faculty at UofL ensure the ability to meet the accrediting standards of multiple external agencies [8].

Two analyses support that UofL employs a sufficient number of full-time faculty to support its instructional mission. Table 1 details the student and faculty headcounts from fall 2011 to fall 2015. The number of full-time faculty has increased 8.6 percent over the five-year time period, while reliance on part-time faculty has decreased 7.9% and total student enrollment has remained relatively unchanged.

**Table 1. Student and Faculty Headcounts: Fall semesters 2011, 2012, 2013, 2014, 2015**

Headcount	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	% Change
Student	22,249	22,293	22,529	22,599	22,367	0.53%
Full-time Faculty	1,649	1,731	1,772	1,738	1,795	8.85%
Part-time Faculty	660	585	605	643	608	-7.88%
Full-time Equivalent (FTE) Faculty	1,847	1,906.5	1,790.0	1,930.9	1,995.7	8.05%

Source: UofL's official student enrollment and faculty/staff census files

In each annual operating budget, the university has allocated funding for strategic initiatives related to faculty, focusing on faculty promotions, faculty salary increases, and new faculty positions to support research activities [9]. In 2013, the university implemented a Voluntary



Separation Incentive Program (VSIP) [10] for eligible faculty (and staff) to allow for early retirement for long-term employees that generated more than \$7 million in savings. The savings were used to support faculty salary increases, promotions, and the hiring of new faculty to support the goals of the university's 21<sup>st</sup> Century Initiative, which is aligned with the university's mission and strategic plan. The initial impact of VSIP temporarily reduced the number of full-time faculty in 2013 but has resulted in an overall increase in the number of full-time faculty as of fall 2015.

UofL's student-faculty ratios are comparable to the five SACS-accredited institutions that are part the university's assigned benchmarks by the Kentucky Council on Postsecondary Education (CPE). UofL has a total of seventeen assigned benchmarks. These institutions share UofL's institutional academic profile of offering research and professional degrees in addition to holding the Carnegie Foundation for the Advancement of Teaching's basic classification of RU/VH: Research universities (very high research activity) [11].

**Table 2:** UofL's student to faculty FTE ratios compared with SACS-accredited institutional benchmarks

Institution Name (ordered alphabetically)	SACS institutions	UofL Benchmark	2015-16 Student to Faculty FTE Ratio
University of Alabama at Birmingham	✓	✓	18 to 1
University of North Carolina at Chapel Hill	✓	✓	14 to 1
University of South Carolina - Columbia	✓	✓	18 to 1
University of South Florida - Main Campus	✓	✓	24 to 1
Virginia Commonwealth University	✓	✓	16 to 1
<b>University of Louisville (UofL)<sup>5</sup></b>	<b>✓</b>		<b>16 to 1</b>

Source: Common Data Set (CDS) 2015-16 is based on fall 2015 data.

Further assurance of the adequacy of faculty resources is provided by the requirement of the Kentucky Council on Postsecondary Education (CPE) and the UofL Board of Trustees that adequate faculty resources be demonstrated before approval of any new degree program [12]. Projections of estimated student and faculty headcounts for any new proposed programs are required. These projections are reviewed by unit faculty, the Faculty Senate, CPE staff and university administrators for consistency with standard academic practice. Other public higher education institutions in Kentucky may also review and comment on proposals for new degree programs in an effort to promote collaboration and reduce program duplication as required by state law.

## Faculty Instructional Activity

The university employed 1,795 full-time faculty in fall 2015, and the overall percentage of courses taught by full-time faculty with a terminal degree was 89.5 percent. Appendix 1 - the Full-time Faculty Profile for fall 2015 [13] documents the distribution of full-time faculty by program, their qualifications and percent of courses taught by full-time faculty with a terminal degree.

Table 3 highlights the distribution of student credit hours taught by full-time by course level for five years. The fall semester is UofL's official reporting semester and was used in the analysis. At least two-thirds of the total student credit hours generated at all academic career levels are produced by full-time faculty.

**Table 3. Full-time Faculty: Percent of Student Credit Hour (SCH) Production by Class Level<sup>1</sup> for Fall of 2011 to Fall 2015**

Semester	Full-time Faculty SCH Production by Level <sup>1</sup>		
	Undergraduate <sup>2</sup>	Graduate	Professional <sup>3</sup>
Fall 2011	68%	80%	93%
Fall 2012	66%	80%	92%
Fall 2013	65%	78%	91%
Fall 2014	64%	74%	91%
Fall 2015	68%	76%	91%
<b>Five-year Average</b>	<b>66%</b>	<b>78%</b>	<b>92%</b>

Source: UofL's official university course census files

<sup>1</sup>Determined by the academic career level of the class as indicated within PeopleSoft.

<sup>2</sup>Total includes general education student credit hours.

<sup>3</sup>Defined as classes offered in the School of Medicine, Brandeis School of Law, and School of Dentistry.

The university has three primary instructional sites: 1) Belknap Campus, the main instructional site; 2) the Health Sciences Campus, located in downtown Louisville in the city's main medical complex, houses the Schools of Dentistry, Medicine, Nursing, and Public Health and Information Sciences; 3) the Shelby Campus location in eastern Louisville Metro/Jefferson County is undergoing transformation into a technology and biosciences site. UofL also offers courses in various off-campus locations in Jefferson County, including several local high schools (dual credit), but also at Fort Knox, Kentucky, providing educational programs to members of the U.S. Armed Forces; Owensboro, Kentucky, at the Owensboro Medical Center (Nursing); and in Madisonville, Kentucky, at the Trover Campus of the School of Medicine. Students also earn UofL credit in various locations across the United States via online education and in Germany (business) and Panama (arts and sciences, and engineering) [14]. As described in Comprehensive Standards 3.4.7 and 3.4.11 there is full-time faculty oversight of all off-campus offerings. These faculty develop the admission rules, approve any curriculum changes, design course objectives and assessments in alignment with established program goals.

UofL offers fourteen undergraduate and graduate online programs and three online graduate certificates [15]. Some programs are offered completely online while others are a blend of face-to-face and online classes. Full-time faculty over the five-year period taught more than

50 percent of the online courses and over 70 percent of face to face instruction. See Table 4.

**Table 4. Full-time Faculty Instruction by Class Delivery Method for Fall Semesters of 2011-2015**

Semester	Online Classes		Face-to-Face Classes	
	Full-time Faculty	Percent of Total	Full-time Faculty	Percent of Total
Fall 2011	123	59.4%	3,187	72.1%
Fall 2012	129	55.8%	3,243	70.2%
Fall 2013	148	53.8%	3,367	70.3%
Fall 2014	141	42.3%	3,359	69.5%
Fall 2015	168	45.4%	3,435	70.4%
<b>Five-year Average</b>	<b>142</b>	<b>51.4%</b>	<b>3,318</b>	<b>70.5%</b>

Online course offerings are integrated with traditional on-campus offerings and receive the same full-time faculty oversight. In addition, the Delphi Center for Teaching and Learning is charged with providing support for faculty and students involved in online learning and monitors online learning offerings. The Delphi Center offers a wide variety of services to faculty, including one-on-one consultations; professional development training; and instructional design support to establish both a qualified cadre of faculty teaching online courses and quality online pedagogy. This support helps to ensure a sufficient level of faculty expertise in offering online courses and programs [16].

Regardless of location, full-time faculty provide the majority of instruction as measured in credit hours. In fall 2015, full-time faculty instruction represented 73.0 percent of the total credit hour production. Table 5 provides a brief overview of the distribution of credit hours by location or mode (online). Appendix 2 provides detail at the program level and lists off-site locations and dual credit instruction in local schools [17].

**Table 5. Fall 2015 Full-time Faculty – Student Credit Hour (SCH) Distribution**

Location or Mode	Undergraduate	Graduate	Professional	Total	Percent of Total
Belknap	70,083	16,165	4,464	90,712	65.3%
Health Sciences	5,896	81	21,853	27,830	20.0%
Shelby	0	367	0	367	0.3%
Distance Education/Online	4,937	2,334	0	7,271	5.2%
All other instruction	4,111	8,045	648	12,804	9.2%
<b>Total</b>	<b>85,027</b>	<b>26,992</b>	<b>26,965</b>	<b>138,984</b>	<b>100.0%</b>
<b>Full-time Faculty Percent of Total SCH</b>	<b>68.0%</b>	<b>76.0%</b>	<b>91.0%</b>	<b>73.0%</b>	

## Faculty Support of Strategic Initiatives

The institution closely tracks its progress in achieving the goals of the 2020 plan. In addition to individual faculty reviews, the university scorecard and academic unit-level scorecards track the performance of each unit with specific measures. As one of two Carnegie Level RU/VH (very high research activity) universities in Kentucky, UofL maintains a strong commitment to the support of faculty research activities. The university tracks specific economic development and entrepreneurial metrics on an annual basis as evidence of success in achieving the goals of the research mission. Table 6 documents progress for selected research measures from academic years 2011-2012 to 2015-2016. As noted above, the university has hired new research focused faculty in this time period and, coupled with support for existing faculty, has seen significant increases for these metrics in the last decade [18].

**Table 6. Research Scorecard Indicators: 2011-2012 to 2015-2016**

University Scorecard Indicators	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016	Percent Change
Startup companies (cumulative) <sup>1</sup>	36	49	59	77	85	136.1%
Patents (cumulative) Applications filed <sup>1</sup>	1,203	1,346	1,499	1,629	1,730	43.8%
Formal patents issued <sup>1</sup>	188	226	260	299	335	78.2%
License option agreements (cumulative) <sup>1</sup>	104	142	188	208	185	77.9%
Research expenditures <sup>2</sup>	\$197.4M	\$196.8M	\$186.8M	\$183.4M	179.5M	-9.1%
Endowed chairs and professorships <sup>3</sup>	145	150	153	156	159	9.7%
Faculty Publications <sup>4</sup>	1,495	2,042	1,955	2,186	2,239	49.8%

Source of Data:

<sup>1</sup>Office of Technology Transfer (EVPRI)

<sup>2</sup>Office of the Controller

<sup>3</sup>Office of Donor Relations (University Advancement)

<sup>4</sup>Office of the Executive Vice President for Research and Innovation

An additional metric on the university-wide scorecard calls for an increase in the number of faculty peer-reviewed publications (articles in high impact journals, university presses, academic publishing houses, or other outlets for peer-reviewed scholarship). Scholarly publications included in this measure are to be from peer-reviewed publications within a researcher's academic discipline and are approved by the submitting academic unit dean and/or chair. Data are submitted and aggregate totals of peer-reviewed publications are maintained by the Office of the Executive Vice President of Research & Innovation. From 2011 through 2015 faculty publications increased by 49.8 percent from 1,495 to 2,239.

UofL contributes to the community and society through teaching, research, and service. In 2008, the Office of Community Engagement (OCE) was established to facilitate the use of university resources to support existing partnerships and to engage new partners to contribute to the educational, social, and economic progress of the community, region, and state. It is also responsible for developing a process to evaluate the effectiveness of existing and new university/community partnerships.

Faculty liaisons representing all thirteen academic units work with OCE to support the university's Signature Partnership Initiative (SPI). SPI is focused on creating, enhancing, and launching programs designed to eliminate or reduce disparities that West Louisville residents experience in education, health, economic development, and social services. Faculty, students, and staff from across the university have been involved in SPI. Since 2009 there have been over 100,000 instances of UofL student engagement and over 20,000 instances of faculty/staff engagement with community partners locally, nationally, and internationally. In the 2015-16 academic year there were 1,503 documented community engagement activities with hundreds of partner organizations, 111 of which directly benefited West Louisville through SPI.

The University of Louisville was recognized for its commitment to community engagement by the Carnegie Foundation for the Advancement of Teaching. UofL was one of 240 U.S. institutions named a 2015 Carnegie Community Engagement university [19]. The elective designation recognizes institutions that are improving teaching and learning, producing community-based research, and revitalizing their civic and academic missions. This award was a renewal of the community engagement designation received in 2008.

## SUMMARY

The 2.8 report demonstrates that the number of full-time faculty members adequately supports the university's mission. These 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.

[1] *The Redbook*

2\_8\_fn01.pdf

<http://louisville.edu/provost/redbook/contents.html>

[2] *The Redbook*, Section 4.1.1, Full-time faculty appointments

2\_8\_fn02.pdf

<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a1s1>

[3] *The Redbook*, Section 3.3.1, Membership and Appointment

2\_8\_fn03.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.1>

[4] *The Redbook*, Section 4.1.2, Part-time Faculty Appointments

2\_8\_fn04.pdf

<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a1s2>

[5] *The Redbook*, Section 3.3.2, Jurisdiction and Purposes

2\_8\_fn05.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[6] SIGS Guidelines for Graduate Faculty

2\_8\_fn06.pdf

- [7] *The Redbook*, Section 4.3.1.A, Annual Work Plans  
2\_8\_fn07.pdf  
<http://louisville.edu/provost/redbook/chap4.html#4a3s1>
- [8] External Accreditation by Program  
2\_8\_fn08.pdf  
<http://louisville.edu/accreditation>
- [9] Investment in Strategic Initiatives  
2\_8\_fn09.pdf
- [10] Voluntary Separation Incentive Program  
2\_8\_fn10.pdf  
<http://louisville.edu/hr/itemsofinterest/vsip-announcement>
- [11] Carnegie Foundation for the Advancement of Teaching Classification  
2\_8\_fn11.pdf  
<http://louisville.edu/oapa/accreditation-academic-programs-1/carnegie-foundation-classification>
- [12] Kentucky Council on Postsecondary Education  
2\_8\_fn12.pdf
- [13] Appendix 1 – Full-time Faculty Profile for Fall 2015  
2\_8\_fn13.pdf
- [14] Appendix 2 – UofL’s Instructional Location Definitions  
2\_8\_fn14.pdf
- [15] UofL’s Online Programs  
2\_8\_fn15.pdf  
<http://louisville.edu/online/programs>
- [16] Delphi Center for Teaching and Learning  
2\_8\_fn16.pdf  
<http://louisville.edu/delphi>
- [17] Appendix 3 - Fall 2015 Student Credit Hours by Location, Unit/Programs and Faculty Status  
2\_8\_fn17.pdf
- [18] Research Innovation Metrics  
2\_8\_fn18.pdf
- [19] 2015 Carnegie Community Engagement Designation  
2\_8\_fn19.pdf  
<http://louisville.edu/communityengagement/community-engagement/carnegie>

## 2.9

### Learning Resources and Services

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 mission of University Libraries is to "Transform relationships, collections, and spaces to become a nationally recognized model of user-focused, research library services" [1].

The libraries also house a number of unique special and archival collections. The University Libraries system includes the Margaret M. Bridwell Art Library, the William F. Ekstrom Library, the Dwight Anderson Music Library, Kornhauser Health Sciences Library, and the University Archives and Records Center/Archives and Special Collections. The Louis D. Brandeis School of Law Library is administratively aligned with the law school but works collaboratively with the library system for collection development and access.

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. University Libraries usage statistics for 2014-15 are provided below:

- UofL collections provide access to over 90,700 e-journal titles and over 2,000,000 volumes.
- Access to approximately 327 licensed networked electronic resources/databases.
- 62,115 electronic books accessible on and off campus.
- UofL buildings and facilities received 2,202,804 visits.
- UofL Libraries website received 2,774,420 page views.
- 661,728 searches were conducted in UofL Libraries licensed databases.
- 1,130,837 full-text articles were downloaded from licensed databases.
- 93,875 total print collections initial circulations (excluding renewal and reserves).

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. UofL ranked 93 in 2013-2014 among academic library ARL members (currently 115 academic libraries in number). This annual ranking by ARL is derived from an inventory that gathers member institution data on collections, staffing, expenditures, library services, and library and university characteristics. The ranking is formally referred to as the Investment Index and is an indicator of an institution's commitment to supporting its research library.

Coordination of the services, programs, and collections for UofL libraries is the responsibility of the Dean of University Libraries. The dean works with two associate deans and the directors of the libraries, comprising the Senior Administrative Team [2], to implement the University Libraries' mission. To advance responsiveness, the University Libraries has a Faculty Advisory Board [3] and a Student Advisory Board [4] comprised of faculty and students from most disciplines. These groups advise the Dean and senior library leadership on issues related to services, programs, and collections [5] [6].

As part of the University Libraries' Strategic Plan (2012-2020), the libraries recruited a user experience and assessment librarian in 2013 whose primary responsibility is to engage in user assessment activities. This faculty member has undertaken a number of assessment initiatives. During 2013-14, the assessment librarian conducted an evaluation of the Ekstrom Library. The nearly sixty page report [7] used a variety of assessment methods to understand user preferences and behaviors for services and spaces. This information was used to plan a major renovation of Ekstrom's first floor (east) and revision of Ekstrom's service model. A similar assessment and planning process informed a renovation of the Kornhauser Health Sciences Library in 2014 [8].

### **Belknap Library System**

UofL's main campus is Belknap. It 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 UofL Belknap libraries are the Dwight Anderson Music Library, the University Archives and Records Center/Archives and Special Collections, the Brandeis Law Library, the Margaret M. Bridwell Art Library, and the William F. Ekstrom Library.

The **Dwight Anderson Memorial Music Library** [9] supports the School of Music. The circulating collection contains more than 150,000 items, including more than 50,000 music scores, 35,000 books, and 20,000 sound recordings and videos. Special collections include the Jean Thomas Collection, the Isidore Philipp Archive, an early American sheet music collection, and the Ricasoli Collection of music manuscripts. The library also serves as a repository for materials related to the Grawemeyer Award for Music Composition. When classes are in regular session, the Dwight Anderson Memorial Music Library is open Monday through Thursday: 8:00 am-9:00 pm, Friday: 8:00 am-5:00 pm, Saturday: 12:00 pm-5:00 pm, and Sunday: 2:00 pm-9:00 pm.

**Archives and Special Collections** (ASC) [10] is made up of four subunits: Digital Initiatives, the Photographic Archives, Rare Books, and the University Archives and Records Center. Together, they house more than two million fine art and documentary history photographs, literary and historic manuscripts, university records, oral histories, maps, and rare books for use within the Archives and Special Collections Research Room on the lower level of Ekstrom Library. Their collections document life in the greater Louisville area, from business, cultural and political history to the lives of Louisvillians from various walks of life. In addition, collections such as the Standard Oil of New Jersey photograph collection and William Marshall Bullitt collection of rare mathematics and astronomy document life and culture on a more global scale. The University Libraries Digital Collections [11] provide online access to primary source materials including photographs, maps, illuminated manuscripts, and oral histories. Archives and Special Collections is open Monday through Friday, 8:00 a.m. to 5:00 p.m.

The **Louis D. Brandeis School of Law Library** [12] is administratively aligned with the law school in response to the American Bar Association (ABA) recommendations. However,



there is ongoing collaboration between the Law Library and the other libraries. The library contains approximately 425,000 volumes and microform volume equivalents, emphasizing primary and secondary resources in United States law. Special collections include the papers and correspondence of U.S. Supreme Court Justices John Marshall Harlan and Louis D. Brandeis. The library is a hardcopy depository for U.S. Supreme Court records and briefs. When classes are in regular session, the Law Library is open Monday through Thursday: 8:00 am – 11:00 pm, Friday: 8:00 am – 6:00 pm, Saturday: 9:00 am – 6:00 pm, and Sunday: 1:00 pm – 11:00 pm.

**Margaret M. Bridwell Art Library** [13] provides instruction and research services in the fine arts, architectural history, photography, ceramics, printmaking, fibers, graphic design, interior architecture, glassmaking, curatorial studies, and art education. The 90,000 item collection includes books, videos, and DVDs. The Art Library subscribes to 300+ current specialized periodicals. Special collections include artist's books, manuscript collections, and local and regional ephemeral collections. The Art Library provides access to major art, design, and architectural indices online, which provide electronic access to citations and/or full-text articles. Photocopying and image scanning equipment are available. When classes are in regular session, the Art Library is open Monday through Thursday: 8:00 am – 9:00 pm, Friday: 8:00 am – 5:00 pm, Saturday: Noon – 5:00 pm, and Sunday: 1:00 pm – 9:00 pm.

The **William F. Ekstrom Library** [14] is the largest library on the Belknap campus and supports the majority of campus programs (including online and distance education programs), which includes collection support for the colleges/schools of Arts and Sciences, Business, Education, Social Work, and Engineering. The library's collections include extensive print, online, and media resources. Course reserves and interlibrary lending are services available to all faculty and students. Ekstrom also provides spaces for group and individual study, graduate research carrels, and instruction. Ekstrom makes a range of equipment available for users to support academic work such as computers, copiers, printers, and scanners. The Research Assistance department provides in-depth research support. Ekstrom partners with the REACH Computer Lab, the Digital Media Suite (for creation and editing of images, sound, and video), and the University Writing Center to provide a range of student academic support services. When classes are in regular session, all of Ekstrom Library is open Monday through Thursday: 7:30 am – Midnight, Friday: 7:30 am – 6:00 pm, Saturday: 9:00 am – 5:00 pm, and Sunday: Noon – Midnight. The west wing of Ekstrom remains open 24 hours during the semester to anyone with a valid UofL identification card.

## **Health Sciences Campus**

**Kornhauser Health Sciences Library** [15] provides hundreds of eBooks, online clinical information tools, and thousands of online journals and is the largest health sciences library in the state. Kornhauser supports the Schools of Dentistry, Medicine, Nursing, and Public Health and Information Sciences. As the oldest medical library west of the Alleghenies, Kornhauser holds countless rare books, artifacts, and archives that preserve the medical history of the region. The newly renovated library features group study rooms with glass writing walls and flat screen monitors that connect to student devices. Kornhauser also has new study spaces featuring natural light, large work surfaces, and expanded comfortable seating. The faculty and staff of Kornhauser Health Sciences Library also provide library services under contract to the University Hospital Library [16] and 27 other hospitals in the KentuckyOne Health Care network. Kornhauser is open 24/7 at all times.

## **Institutional Repository: ThinkIR**

ThinkIR [17] is a digital archive of scholarly and artistic work launched in 2015 by the University Libraries in partnership with the School of Interdisciplinary and Graduate Studies, the Honors Program, and the J.B. Speed School of Engineering. ThinkIR is a bepress Digital Commons repository that will serve as the open-access repository for the research of the university. Current resources (over 2,300 items) include graduate student dissertations and theses and undergraduate honor theses. In the next phase, ThinkIR will offer faculty publications.

## **University Libraries' Collections**

The University Libraries collections have been developed over time to support the programs of the university and are routinely reviewed to ensure relevance to the institution's curricular and research aims. The collections also compare favorably with those of other similar academic research institutions [18].

Collection relevance is also supported through well-defined collection development policies at the University Libraries level, for the individual libraries, and for selected collections within libraries such as government documents [19a] [19b] [19c] [19d] [19e] [19f] [19g] [19h] [19i]. Faculty, staff, and students of the university are engaged in the development of the collections by submitting requests through an online form [20], by working with the Collection Development Department (Ekstrom), and by working with library personnel in the specific libraries. Ekstrom Library has a highly developed liaison program through which librarians are assigned to academic units and are actively seeking faculty recommendations for the collections [21]. Faculty and students also provide feedback about the collections to library leadership in the Faculty Advisory Board and Library Student Advisory Board meetings.

Faculty, staff, and students also influence the selection and purchase of materials through a Demand Driven Acquisitions (DDA) program implemented in 2014 and through interlibrary loan (ILL) requests. The DDA program was developed with vendor assistance and loads into the library's discovery service the bibliographic information for materials that fall within the scope of the university's programs. Users may initiate the purchase of materials when they access the item online and request to view it. During the 2014-15 academic year, users initiated purchases for 1,993 items through DDA records. Similarly, when users request ILL materials that fall within the scope of the collections, those requests may be converted into purchase orders for acquisition of the items.

As new academic programs (including online and off-site) of the university are developed, the Office of the Provost requires a review from the Dean of Libraries evaluating whether additional library resources will be required to support the proposed program. Appropriate subject librarians review the proposed curricular change and assess current collection strengths and gaps using tools such as the Worldcat Collection Evaluation program. Librarians can evaluate UofL library holdings with institutions offering similar programs and make appropriate recommendations [22]. Once a program is approved, the library continues to monitor the holdings available in each discipline and to work with faculty in the discipline to ensure that the holdings remain at a level necessary to support each program.

The University Library System engages in periodic evaluations, as described in the collection development policies (referenced above), of library materials based on user feedback on library materials, usage data, and curricular changes that result in deaccessioning materials [23]. The collection development policies provide guidelines for the deselection of materials

that recognize programmatic changes, changes in formats and access, and condition of materials. During the 2014-15 fiscal year, UofL deaccessioned 9,906 titles (books and serials) for a total of 97,492 volumes.

### **Resource Sharing**

In addition to the extensive collections owned or directly provided to UofL researchers, Interlibrary Loan (ILL) [24] is a service available to the students, staff, and faculty of the university (including those both on-site and off-site). ILL services, through formal agreements with other libraries and networks, obtain study and research materials needed by members of the UofL community that are not owned by the libraries. ILL services expand the UofL capacity to meet researchers' needs.

The University Libraries participates in resource sharing nationally through the Online Computer Library Center (OCLC) bibliographic network, and requests are generally processed within 24-48 hours from the receipt of the request. The libraries also utilize agreements with local libraries for resource sharing, such as Kentuckiana Metroversity (institutions of higher education in the Louisville, Kentucky area) [25], and through the Federation of Kentucky Academic Libraries (FoKAL) [26]. University Libraries also agree to share resources with participating libraries through the Association of Southeastern Research Libraries (ASERL) [27]. Kornhauser Health Sciences Library is a participant in the Kentucky Medical Library Association and the National Network of Libraries of Medicine, Greater Midwest Region, both of which facilitate resource sharing among medical libraries [28].

### **Cooperative Collection Development and Collection Access**

UofL's libraries also cooperate and coordinate selected collection decisions through formal and informal relationships within the Commonwealth of Kentucky, primarily providing expanded access to electronic collections. The University Libraries is a member of the Kentucky Virtual Library (KYVL), a cooperative network of multi-type institutions supported by the Council on Postsecondary Education [29]. Through KYVL the libraries are able to provide an extensive list of research level content [30].

The University Libraries are also a member of the State Assisted Academic Library Council of Kentucky (SAALCK), which exists to promote academic library support in Kentucky [31]. Through this group, UofL Libraries coordinate and support cooperative collection development activities [32]. Informally, collection development personnel from Ekstrom Library and the Kornhauser Health Sciences Library share and coordinate collection decisions with the University of Kentucky to preserve regional access to research-level content.

### **Access to Learning/Information Resources**

Ekstrom Library's east side and access to all physical collections are available during academic semesters from 7:30 a.m. to 12:00 midnight. Ekstrom's west side is open 24/7 during academic semesters, and the public spaces there are primarily a study venue for users. The Kornhauser Health Sciences Library also maintains 24/7 availability to faculty and students during the semester. The other university libraries are open to users during times that are appropriate for those user communities [33].

The University Libraries' website is a primary source of information about and provides access to the libraries' collections and services [34]. The University Libraries have devoted

significant resources to facilitating discovery and use of its collections. During academic year 2014-2015 the University Libraries migrated from their legacy Voyager system to the cloud-based Worldshare Management Services developed by the Online Computer Library Center (OCLC). With the migration of the management system, to enhance access to all collections the libraries also upgraded their catalog interface to Worldshare Discovery, which is an integrated discovery tool for owned and subscribed content. Worldshare Discovery provides a single search against an aggregated index covering books, e-books, journals, academic databases, dissertations, and special collections. Results are displayed with the ability to refine and expand based on user needs.

For users working remotely from campus and for students not enrolled in on-campus courses, remote access to content is available with valid university ID authentication. The University Libraries supports all students in distance education programs through two units within Ekstrom Library. The Research Assistance and Instruction (RAI) Department [35] supports students studying remotely by providing research appointments from a distance (conducted by phone or online). Students also may submit questions via phone, online chat, or e-mail. RAI will respond to questions received during off hours (through e-mail). Staff in the Access and User Services (AUS) Department [36] are available to assist distance students in obtaining books, journal articles, or book chapters in a timely fashion. If faculty have requested online reserves for a course, AUS staff assist students in accessing those resources. Specific web pages provide detailed instructions for electronic access to resources. Students in online and distance courses may request that materials be scanned or physically mailed to them following instructions available online [37]. Items are not mailed to international locations. Students that are enrolled in international programs have full electronic access to online collections via the Internet, access to research support through email and chat, and may request that print materials be scanned and delivered via electronic document delivery.

UofL Libraries ensures that its collections and services are available to all members of the UofL community. Students with disabilities benefit from assistive technologies such as screen readers and screen magnification, reading software, scanning equipment, and Braille embossers [38]. Assistive technologies are available through the Disability Resource Center in Ekstrom Library. Additionally, Ekstrom staff will work with these users to help them access library materials, retrieve books and periodicals, make photocopies, and download or scan materials [39].

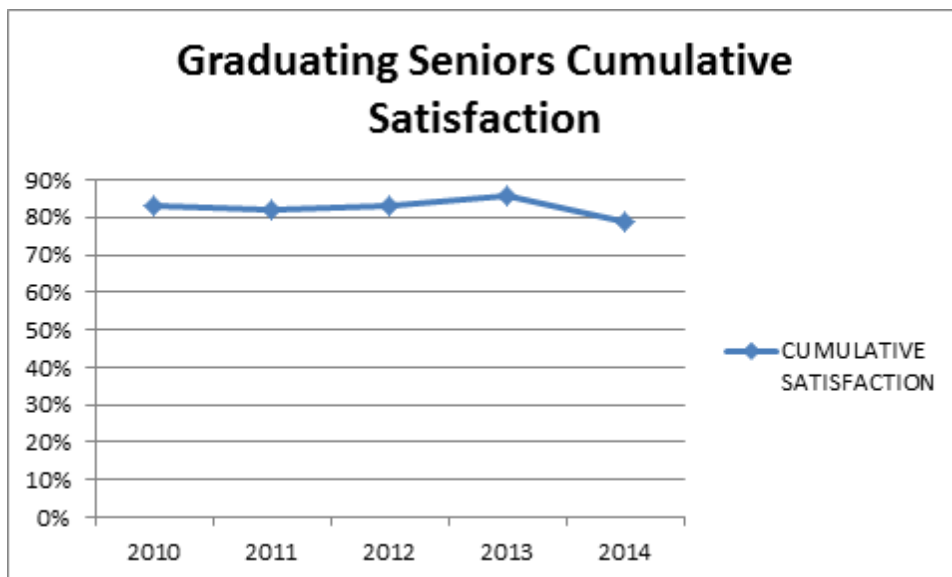
### **UofL Libraries' Services Support**

All UofL libraries offer a range of library-related services that adequately support the students, faculty, and programs of the university. Each library in the system provides services that are also appropriate to the schools/disciplines they are supporting.

The University Libraries routinely evaluate users' perception of the libraries' service delivery through scheduled benchmark assessments and other periodic evaluations. The Faculty Advisory Board and the Library Student Advisory Board are other key means through which the library is receiving user feedback and adjusting services to meet user expectations. Users may directly submit comments and suggestions about library services through paper forms in the libraries and through an online comment form [40].

Surveys of users indicate a high level of overall satisfaction with the Universities' collections and services. Ratings of graduating seniors show consistently high overall satisfaction with library resources and services: 80 percent or more of seniors experienced satisfaction with library services. See Table 1

**Table 1. Graduating Seniors Cumulative Satisfaction**



The University Libraries' website provides information about library services for all users [41]. The services listed online are oriented to providing information about and access to collections, to providing services related to research instruction, and to providing research support. Most libraries in the system provide all three categories of service.

Traditional services in all libraries include one-on-one reference and research assistance, help with location of resources, course reserves, borrowing materials, equipment access, and study facilities. Ekstrom Library also houses a large auditorium and other instructional/meeting spaces that may be reserved by university departments and groups for academic-related functions [42] [43].

Additionally, many library services are available virtually. Through various points on the University Libraries' website, users may text, chat, and email library staff with service and support issues and questions. Users may also telephone all the libraries with questions.

**Reference/Research Services:** Reference and research support services are offered in person and through online methods (email, chat, text) from all University Libraries. Each library has its own means for delivering research support services. Ekstrom Library recently relaunched its traditional reference department as Research Assistance and Instruction. While offering walk-in service, it no longer maintains an open service desk but instead has moved to an office/consultation model of service. Students and faculty may request research appointments online and in person with subject specialists. Ekstrom users may search the Research Department's webpage for a specific subject expert and schedule a research appointment. Ekstrom liaisons will also meet with faculty in their offices. Kornhauser provides similar appointment services for faculty and students and provides additional support for grant preparation, human studies, or clinical research.

The Libraries have provided over 470 online guides (LibGuides) [44] that provide online support and guidance for the major disciplines and programs, along with basic research technique support. Ekstrom Research and Instruction librarians also maintain an active liaison outreach program for major programs and disciplines on the Belknap campus.

**Course Reserves:** Course reserve materials include any article, book, book chapter, or media that is made available for students as part of a class or online learning. Course reserves are available in all libraries. Online reserves are also available as requested by faculty and for online courses.

**Interlibrary Loan:** As was mentioned in the previous section of this report, interlibrary loans are available to all university faculty, staff, and students at all of the University Libraries.

**Document Delivery:** Document delivery is a service provided by Kornhauser Health Sciences Library and Ekstrom Library. This service is used to request that library-owned articles or book chapters less than 50 pages in length, and within copyright fair use, be scanned for electronic delivery to users. Kornhauser Health Sciences Library provides document delivery services to all faculty, staff, and students on the Health Sciences Campus. Currently, the Music and Law libraries do not offer document delivery service.

Ekstrom Library provides document delivery services to UofL faculty, staff, and graduate students on Belknap Campus. Ekstrom and Art Library articles and book chapter holdings are available for document delivery. Ekstrom Library also offers book delivery to faculty members associated with an academic department. The book delivery service delivers books held by Ekstrom library as well as the interlibrary loan requests of the professor.

**Technology:** Wireless connectivity and easy access to electrical power are now standard in all University Libraries. Partially as the result of user feedback in the 2012 University Libraries Biennial Benchmark Survey, a large number of electrical outlets were added in Ekstrom Library in 2013. Additional electrical outlets have recently been added in the Music Library, Kornhauser Library, and through the recent renovation of Ekstrom's main floor.

Ekstrom Library maintains over 100 desktop computers for users and offers over 50 laptops and MacBooks for user lending. Other university libraries offer adequate computer access for their user populations. All of the libraries also offer appropriate equipment, peripherals, power cords, etc., for users to borrow that are appropriate for the user communities [45].

The University Libraries' Office of Libraries Technology works closely with the university's Information Technology unit to ensure an uninterrupted and secure network environment for library research.

### **Academic Support Services and Other Units Partnering with University Libraries**

Although not under the direction of the University Libraries, several major academic support services are co-located in Ekstrom Library for greater access and service to students. This co-location and programmatic collaboration yields beneficial results for students especially in need of academic assistance.

**The University Writing Center:** The University Writing Center provides one-on-one consultations, writing resources, in-class workshops, and a comfortable place to write [46]. Writing Center consultants work with any piece of writing, whether for a specific course or for professional or personal development. Writing Center staff and faculty are also engaged in research on Writing Center theory and practice and are committed to being part of ongoing scholarly conversations about the teaching of writing. For many years the Writing Center was located on Ekstrom's third floor, but as a result of Ekstrom's 2014 assessment

study, the Writing Center was moved to the first floor for easier student access and programming connections with Ekstrom's research librarians.

**REACH:** Resources for Academic Achievement (REACH) provides academic services and specific support programs through a peer tutoring model to enable students to better prepare and adapt to college life and to enhance their academic skills and performance in college courses [47]. They encourage and support students in developing successful college careers. Their service point is also located on the first floor of Ekstrom Library.

**Digital Media Suite:** The Digital Media Suite (DMS) is a state-of-the-art Apple computer media lab on the first floor of Ekstrom Library [48]. The lab is equipped with the latest video, image, and audio editing software. Beginner, intermediate, and advanced UofL faculty and students may use the equipment to work on presentations and multimedia assignments. Using a peer tutoring model, tutors provide technical assistance and are also trained to analyze and evaluate the progress of a project. The DMS is a collaborative effort by the University Libraries, the Delphi Center for Teaching and Learning, and REACH.

## SUMMARY

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. The University Libraries collections have been developed over time to support the programs of the university and are routinely reviewed to ensure relevance to the institution's curricular and research aims.

[1] University Libraries Strategic Plan, 2012-2020  
2\_9\_fn01.pdf  
[http://louisville.edu/library/about/docs/Strategic\\_Plan\\_2012\\_2020.pdf](http://louisville.edu/library/about/docs/Strategic_Plan_2012_2020.pdf)

[2] University Libraries Organizational Chart  
2\_9\_fn02.pdf  
<https://louisville.edu/library/hr/org/>

[3] Library Faculty Advisory Board Roster 2015-16  
2\_9\_fn03.pdf

[4] Library Student Advisory Board Roster 2015-16  
2\_9\_fn04.pdf

[5] Library Faculty Advisory Board Invitation and Agenda, October 26, 2015  
2\_9\_fn05.pdf

[6] Library Student Advisory Board Meeting Notes, February 4, 2016  
2\_9\_fn06.pdf

- [7] IE Assessment Report  
2\_9\_fn07.pdf  
[http://louisville.edu/library/ekstrom/reno/docs/1E\\_Assessment\\_Report.pdf](http://louisville.edu/library/ekstrom/reno/docs/1E_Assessment_Report.pdf)
- [8] Kornhauser Focus Group Final Report  
2\_9\_fn08.pdf
- [9] Dwight Anderson Memorial Music Library Opening Webpage  
2\_9\_fn09.pdf  
<http://library.louisville.edu/music/home>
- [10] Archives and Special Collections Opening Webpage  
2\_9\_fn10.pdf  
<http://louisville.edu/library/archives/>
- [11] University Libraries Digital Collections  
2\_9\_fn11.pdf  
<http://digital.library.louisville.edu>
- [12] Louis D. Brandeis School of Law Library Opening Webpage  
2\_9\_fn12.pdf  
<http://louisville.edu/law/library>
- [13] Margaret M. Bridwell Art Library Opening Webpage  
2\_9\_fn13.pdf  
<http://library.louisville.edu/art/home>
- [14] William F. Ekstrom Library Opening Webpage  
2\_9\_fn14.pdf  
<http://louisville.edu/library/ekstrom/>
- [15] Kornhauser Health Sciences Library Opening Webpage  
2\_9\_fn15.pdf  
<http://louisville.edu/library/kornhauser/>
- [16] University Hospital Library Opening Webpage  
2\_9\_fn16.pdf  
<http://louisville.edu/library/hospital/>
- [17] ThinkIR Opening Webpage  
2\_9\_fn17.pdf  
<http://ir.library.louisville.edu/>
- [18] ARL Library Data Tables 2013-14  
2\_9\_fn18.pdf
- [19] University Libraries' Collection Development Policies
- [19a] University Libraries Collection Development Policy  
2\_9\_fn19a.pdf  
<http://louisville.edu/library/collection-development/general.html>



- [19b] Louis D. Brandeis School of Law Library Development Plan  
2\_9\_fn19b.pdf
- [19c] Ekstrom Library Collection Development Policy  
2\_9\_fn19c.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eks.pdf>
- [19d] Ekstrom Library Government Documents Collection Development Policy  
2\_9\_fn19d.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eksgov.pdf>
- [19e] Ekstrom Library Mildred Miles Franks Reference Collection Development Policy  
2\_9\_fn19e.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eksref.pdf>
- [19f] Dwight Anderson Memorial Music Library Collection Development Policy  
2\_9\_fn19f.pdf  
<http://louisville.edu/library/music/collection-development/office-of-collection-development/documents/music.pdf>
- [19g] Margaret M. Bridwell Art Library Collection Development Policy  
2\_9\_fn19g.pdf  
<http://louisville.edu/library/collection-development/art.html>
- [19h] Archives and Special Collections Collection Development Policy  
2\_9\_fn19h.pdf  
<http://louisville.edu/library/archives/collection>
- [19i] Kornhauser Health Sciences Library Collection Development Policy  
2\_9\_fn19i.pdf  
<http://louisville.edu/library/collection-development/documents/kornhauser.pdf>
- [20] University Libraries Order Recommendation Form  
2\_9\_fn20.pdf  
<http://library.louisville.edu/friendly.php?s=forms/order-recommendation>
- [21] Ekstrom Library Research Assistance & Instruction with Liaison Assignments  
2\_9\_fn21.pdf
- [22] Example of Libraries Review of Holdings to Support Proposed New Academic Program  
2\_9\_fn22.pdf
- [23] Email Example of Collection Review and Proposal to Replace Print Holdings with Electronic Back Files December 10, 2015  
2\_9\_fn23.pdf
- [24] Interlibrary Loan and Document Delivery  
2\_9\_fn24.pdf  
<http://louisville.edu/library/ill>

- [25] Kentuckiana Metroversity Library Council List and Policy for Reciprocal Library Privileges  
2\_9\_fn25.pdf  
<http://metroversity.org/libraries/>
- [26] Federation of Kentucky Academic Libraries Charter Membership List and Memorandum of Agreement  
2\_9\_fn26.pdf  
<http://fokal.pbworks.com/w/page/5304446/Membership>
- [27] ASERL Reciprocal Borrowing Program and Agreement  
2\_9\_fn27.pdf  
<http://www.aserl.org/programs/ill/reciprocal-agreement/>
- [28] National Network of Libraries of Medicine, Greater Midwest Region  
2\_9\_fn28.pdf
- [29] Kentucky Virtual Library Membership List  
2\_9\_fn29.pdf
- [30] Kentucky Virtual Library Database List  
2\_9\_fn30.pdf
- [31] State Assisted Academic Library Council of Kentucky Inc. (SAALCK)  
2\_9\_fn31.pdf
- [32] Collaborative Collection Development among SAALCK Libraries  
2\_9\_fn32.pdf
- [33] Table of Hours for Individual University Libraries  
2\_9\_fn33.pdf  
<http://library.louisville.edu/hours/>
- [34] University Libraries Home Page  
2\_9\_fn34.pdf  
<http://louisville.edu/library/>
- [35] Ekstrom Library Research Assistance and Instruction (RAI) Webpage  
2\_9\_fn35.pdf  
<http://louisville.edu/library/ekstrom/research/>
- [36] Ekstrom Library Access and User Services (AUS) Webpage  
2\_9\_fn36.pdf  
<http://louisville.edu/library/ekstrom/aus/>
- [37] Library Services for Distance Education and Online Courses  
2\_9\_fn37.pdf  
<http://louisville.edu/library/ekstrom/research/distance/services>
- [38] University Libraries List of Adaptive Equipment  
2\_9\_fn38.pdf  
<http://louisville.edu/library/services/special-services/special-services.html/adapt>

[39] University Libraries Special Services (for patrons with disabilities)  
2\_9\_fn39.pdf  
<http://louisville.edu/library/services/special-services>

[40] University Libraries Online Comment Form  
2\_9\_fn40.pdf  
<http://louisville.edu/library/forms/comment>

[41] University Libraries Online List of Services  
2\_9\_fn41.pdf  
<http://louisville.edu/library/services/>

[42] University Libraries Room Reservations Home Page  
2\_9\_fn42.pdf  
<http://library.louisville.edu/rooms>

[43] Ekstrom Library Table of Reservable Spaces  
2\_9\_fn43.pdf

[44] University Libraries Research Guides  
2\_9\_fn44.pdf  
<http://louisville.libguides.com/>

[45] Ekstrom Library List of Available Equipment for Loan  
2\_9\_fn45.pdf  
<http://louisville.edu/library/ekstrom/aus/equipment/>

[46] University Writing Center Webpage  
2\_9\_fn46.pdf  
<http://louisville.edu/writingcenter/>

[47] REACH: Resources for Academic Achievement Webpage  
2\_9\_fn47.pdf  
<http://reach.louisville.edu/>

[48] The Digital Media Suite (DMS) Webpage  
2\_9\_fn48.pdf  
<http://louisville.edu/digitalmediasuite>

## 2.10

### Student Support Services

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 [1]. The university's fall 2015 enrollment [2] includes 22,367 undergraduate through professional-level students. The university's total enrollment includes 71 percent undergraduate, 25 percent graduate, and 6 percent professional students.

#### Student Support Services

UofL is a metropolitan research institution [3] and as such offers a wide array of student opportunities and services that provide out-of-classroom experiences to enhance learning and that directly support the university's goal of preparing students to be engaged citizens, leaders, and scholars. 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.

Student services support first year, upperclassmen, transfer, athletes, adult learners, online learners, military, international, professional, commuter, campus residents, scholarship, and other special student populations. Where possible or relevant, all student support services are also available to online and off-site students.

Programs, services, and activities that enhance the formal classroom experience include academic support services, academic advising, graduate student programs, online learning, domestic and international service learning, student leadership and mentoring, and international partnership programs.

Information on the academic student support services at UofL can be found in Comprehensive Standard 3.4.9.

UofL's student support programs, services, and activities align with quality student affairs administration as recommended by *The Handbook of Student Affairs Administration* [4] and professional student services associations such as the Student Affairs Administrators in Higher Education (NASPA) and American College Personnel Association (ACPA).

Students enrolled in distance education courses and programs have access to a centralized resource hub provided through the UofL Online Learning Website [5]. This centralized hub affords a wealth of information for distance education students, including an Online Learning FAQ page that provides direct information and links to a comprehensive list of pertinent information, questions, and resources utilized by distance education students [6].

Students in offsite distance programs have access to the same student services as onsite students and are especially encouraged to utilize the Distance Education Student Services Resources hub offered by the Division of Student Affairs [7]. Programs such as the School of Medicine Trover Campus located in Madisonville, Kentucky and the School of Nursing Program located in Owensboro, Kentucky provide student services comparable to those offered to Medical School and School of Nursing students on the home campus.

Students in fully online programs are provided comparable and specific student services such as library, advising, registration, counseling, disability support services, virtual tutoring, virtual career services, online writing center assistance, and more through phone, email, and other methods of communication to ensure that online student needs are supported.

The Division of Student Affairs launched an initiative in 2015 to connect to all students, including distance education students, in multiple formats to allow students to access some services from its departments any time and from anywhere. In order to eliminate the barriers of distance the division made a commitment that all departments in the division would work toward creating programs and services that could be accessed online. The Division of Student Affairs launched a website that is prominently featured on the division home page that serves as a centralized hub for the various programs and services each department identified as an opportunity to link online [8]. For example, the Career Development Center created the opportunity to complete interactive on-line Mock Interviews with students to practice interview skills [9]. Intramurals and Recreation Sports created a series of at-home workout videos that all students can access to improve their personal fitness [10]. This initiative is an ongoing project in the division of Student Affairs and continues to grow as more departments add programs and services to the Distance Education Student Services Hub.

### **Processes Used to Determine Student Needs**

The Office of Planning and Accountability surveys UofL students using the Cooperative Institutional Research Program (CIRP) Freshmen Survey and the National Survey of Student Engagement (NSSE) to gather data from students. In response to the *Higher Education Opportunity Act of 2008* (H.R. 4137), the university provides students and other interested parties with a significant amount of institutional information on a variety of topics designed to better inform the general public and students enrolled at the institution. A variety of offices on campus and information related to student needs or interests are listed at the consumer information site [11].

One of the themes of UofL's Strategic Plan (the 2020 Plan) is Diversity and Social Justice, and diversity is a part of the university's mission as a metropolitan research university. All public colleges and universities are required to have diversity plans that are submitted to and monitored by the Kentucky Council on Postsecondary Education (CPE). By state statute, each institution is required to demonstrate progress in achieving their diversity goals. There is also internal accountability in that academic deans and vice presidents are to have diversity plans with goals that tie into the university's diversity plan, and units are held accountable for achieving their diversity goals in annual performance evaluations.

An Advising Assessment Plan and Scorecard systematically gathers and reports information annually regarding student advising needs and accountability of unit advising staff. One of the data collection techniques used in this assessment plan is a student survey.

UofL campus student services offices utilize a variety of methods to collect student input regarding needs, interests, and satisfaction. The Cultural Center uses a student survey, focus groups, and the learning outcomes recommended by the National Association of Student Affairs Professionals in Higher Education (NASPA). The University Advising Practice Office collects student satisfaction regarding their advising experiences via an electronic feedback survey. The Office of Student Clubs and Organizations utilizes an online program called OrgSync to collect information, share information, and create new clubs and recognized student organizations. Most of the student services offices on campus also use an e-mail service account to which students can submit general or specific questions, concerns, interests, needs. Each of these offices has a staff person assigned to respond to the service account inquiries.

Students have the opportunity to assess and provide feedback regarding the academic and student support services provided during their educational experience at UofL. The student assessment data is used for institutional improvement and effectiveness.

Student data and feedback are used by each of the student services offices to respond to student needs and interests. The student services offices use the feedback to determine staffing needs, program updates, new initiatives, gaps in current offerings, and changes that need to be made to meet the needs of current students.

The following examples demonstrate changes made in response to feedback from students:

- **Academic Support:** Academic advising student satisfaction surveys provide the academic units with valuable information regarding appointment availability, knowledge of advising staff, access to technology tools, and advising learning outcomes. As a result, academic units have reorganized advising staff, added technology resources, created online student records, and hired additional staff. Additional training and professional development opportunities for advising staff have been created and implemented.
- **Counseling, Health, and Wellness:** Counseling Center data reflected an increased demand for student services (increased appointment requests, increase in number of appointments, and clinicians' client load). Based on this information, Student Affairs converted one 1.0 FTE position to two 0.8 FTE positions (upon the retirement of a clinician). The increase in staff resulted in increased availability for clients to receive therapy services.
- **Diversity and Inclusion:**
  - The Cultural Center, in efforts to perform all duties and support emerging populations, has created positions and hired two new program coordinators to support the Latino student growth and Multicultural groups like the Muslim Student Association, Indian Student Group, and Diop Society. The additional staff have been important to support advising, mentoring, programming, and resources.
  - The Cultural Center has implemented a Retention Plan aimed at increasing matriculation and graduation for students of color. This plan was implemented in the fall of 2014. The focus is on academic coaching, check-ins, and graduation needs for students.
  - The Women's Center has hired a new program coordinator to address student programming, fundraising initiatives, and the ability to market conferences and women issues.

- The Cultural Center has implemented Cultural Competency Workshops and a Career Development Series to address needs for employment around diversity and for staff, students, and faculty to address their cultural competency in an ever changing leadership model of globalization.
- Unconscious Bias training was offered in 2015 for all of campus through the Unit Diversity Committee under the Vice President of Diversity.

## **ACADEMIC SUPPORT COORDINATION**

### **Office of the Vice Provost for Undergraduate Affairs**

The Undergraduate Affairs office [12] works with the Undergraduate Council [13], the deans and the academic unit faculties, academic advisors, and academic support programs to promote undergraduate student success, engagement, persistence, and satisfaction at UofL. The Undergraduate Affairs office oversees the following university-wide student support services:

#### University Advising Practice (UAP)

The office of Undergraduate Advising Practice (UAP) [14] works collaboratively with the undergraduate academic units in promoting consistency and best practice in academic advising. The UAP office provides leadership to university-wide advising committees, coordinates advising initiatives, and collaborates with Undergraduate Affairs and Student Affairs staff to promote student persistence and retention.

#### Resources for Academic Achievement (REACH)

REACH [15], a centralized academic support unit, provides tutoring services and retention programs primarily for students enrolled in 100-, 200-, and many 300-level university courses. REACH has six physical locations: the Welcome Center, Learning Resource Center, Math Resource Center, on-site Virtual Math Center, Ekstrom Library's Computer Resource Center, and Miller IT Building's iTech Zone. REACH offers Supplemental Instruction and Learning Assistance specifically linked to about 25 difficult courses and offers small group, scheduled tutoring sessions for over 100 courses each academic year, including online courses. REACH provides online or on-site sessions for general education online courses and accommodated scheduled tutoring for disabled undergraduate students. Other services provided by REACH include: Student success seminars, graduate exam preparation seminars, academic coaching for scholarship students and for students admitted by exception, student engagement events, an online early warning alert system, and virtual tutoring for distance education courses.

#### Resources for Academic Achievement (REACH) Ambassadors

The REACH Ambassadors [16] is a peer-mentoring program designed to enhance the college experience for first-year and transfer students. This internationally certified program is open to first-year undergraduate students and provides mentoring for the entire academic year surrounding academics, the campus, staffing drop-in office hours, etc. Mentees attend leadership events, service events, and social events that help them negotiate their transition and make connections to the UofL community.

### **McConnell Center**

The McConnell Center [17] is a student-enrichment scholarship program. McConnell Scholars must be residents of Kentucky and demonstrate strong academic and leadership ability. Students get to meet national leaders and take part in evening and weekend colloquia on interesting books and topics. Students also take part in at least three trips

during their four years at UofL, including trips to Washington, D.C., and the People's Republic of China. The Center also helps McConnell Scholars fund travel and educational opportunities and provides civics education for high school and middle school teachers in the Commonwealth, community service events, and public lectures.

### **Division of Student Affairs**

TRIO Student Support Services [18] (a combination of three grants funded by the U.S. Department of Education and UofL) helps low-income, first-generation college students and students with disabilities achieve a bachelor's degree by offering academic and personal support. TRIO students receive individual and group advising to foster positive study habits and academic success and can take advantage of a comfortable learning environment, financial counseling, leadership opportunities, cultural excursions, and exciting academic workshops. Online learners may also use the services of TRIO, and its staff can be reached by email, Skype, and phone.

### **Office of the Vice Provost for Graduate Affairs**

The School of Interdisciplinary and Graduate Studies (SIGS) [19] serves the admissions needs of all masters and doctoral programs. The professional schools of dentistry, law, and medicine manage their own admissions, orientation, and student advocacy. SIGS organizes and provides student services for graduate student admission, professional development, and graduate student councils and committees [20]. SIGS provides an Orientation for new graduate students and teaching assistants [21] [22], offers a Graduate Teaching Assistant Academy [23] designed to instill excellence in college teaching, supports graduate faculty advising [24] [25], provides scholarships and fellowships [26], organizes and supports the Graduate Student Council [27], provides PLAN activities (graduate student professional development) [28] [29], assigns ambassadors [30], works to recruit and retain diverse graduate students [31], and provides GRE workshops and admission support [32].

### **Academic Units' Advising and Student Support Services**

Each of the eleven degree granting units provide academic advising for their students [33]. Undergraduate students with declared majors are advised by professional advisors within their college or school and/or by faculty advisors in the department of their major. This model provides the students contact with a professional advisor to ensure that all degree requirements are met and with a faculty advisor to provide advice and support relative to career and graduate school opportunities. Exploratory students (undergraduates with undeclared majors) are advised by professional advisors within the College of Arts and Sciences. Each academic unit uses targeted best practices to advise student majors within the unit. Graduate students are assigned a faculty advisor to provide mentoring and program guidance.

### **Services for Online Learners**

The Delphi Center for Teaching and Learning houses the Online Learning team [34], which serves as a central point of contact for prospective and current online students. Using the campus-supported Course Management System, Blackboard, students are able to login to their courses and interact with other students, their instructor, and the course material. Online students have access to the online library materials, including electronic journals and real-time access to librarians using the "Ask a Librarian" live chat feature or by phone or email.



For users working remotely from campus and for students not enrolled in on-campus courses, remote access to content is available with valid university ID authentication. The University Libraries supports all students in distance education programs through two units within Ekstrom Library. The Research Assistance and Instruction (RAI) Department [35] supports students studying remotely by providing research appointments from a distance (conducted by phone or potentially online). Students also may submit questions via phone, online chat, or e-mail. RAI will respond to questions received during off hours (through e-mail). Staff in the Access and User Services (AUS) Department [36] are available to assist distance students in obtaining books, journal articles, or book chapters in a timely fashion. If faculty have requested online reserves for a course, AUS staff assist students in accessing those resources. Specific webpages provide detailed instructions for electronic access to resources. Students in online and distance courses may request that materials be scanned or physically mailed to them following instructions available online [37]. Items are not mailed to international locations. Students that are enrolled in international programs have full electronic access to online collections via the Internet, access to research support through email and chat, and may request that print materials be scanned and delivered via electronic document delivery.

Online Learning has a team of dedicated enrollment counselors to answer questions about the online programs and courses available, such as admission requirements, tuition, military-specific questions, program content, and technology requirements. These counselors may be reached via a centralized email address ([online@louisville.edu](mailto:online@louisville.edu)) or through a toll-free number [38].

Online learning also connects students with the support units on campus to ensure the online students' needs are addressed timely and appropriately. At the start of each semester, students enrolled in online courses are emailed information about the support services available and provided links to services such as the Virtual Writing Center [39], online course tutoring through REACH [40], and the Online Learners community in Blackboard. Enrollment and course registration can be done online by all distance education students through the use of PeopleSoft (the university's electronic student administration system) and the Blackboard course management system.

Students have quick, online access to the schedule of classes, unofficial transcripts, class schedules, catalogs, semester grades, and account information. For more extensive services, including registration, address/phone number maintenance, and checks for holds on their records, students can log on to ULink, the university's online portal [41].

### **Academic Unit Online Support for Distance Education**

Distance education for the academic unit may include online [42] or off-site programming [43]. Online and off-site students may contact their respective advising office via email and phone. Online students who live locally are also welcome to schedule in-person advising appointments.

The Academic Affairs Coordinator in Kent School holds Skype advising appointments on an as-needed basis for online students. In addition, he holds a real-time Blackboard Collaborate advising session once per semester. The College of Education and Human Development offers telephone advising appointments utilizing features such as screen share and Blackboard information for online courses and distance education students.

Many off-site programs also provide student support in collaboration with the enrolling institutions or partner. The colleges of Arts and Sciences, Business, and the Speed School

of Engineering offer international programs where UofL faculty provide primary oversight, teach courses at the off-site locations, and work with the local program directors to facilitate access to the appropriate student support services.

### **Student Services for Online Programs**

- RN-BSN in Nursing [44a]
- BS in Organizational Leadership and Learning [44b]
- BS in Criminal Justice [44c]
- BA/BS in Communication [44d]
- MS in Criminal Justice [44e]
- MS in Social Work [44f]
- MS in Human Resource and Organization Development [44g]
- MEng in Engineering Management [44h]
- MS in Civil Engineering [44i]
- MS in Computer Science [44j]
- MA in Higher Education Administration [44k]
- MEd in Special Education [44l]

### **Student Services for Off-site Programs**

- Akademie Wurth Business School—College of Business [45a]
- European Business School—College of Business [45b]
- Fort Knox Extended Campus—College of Education and Human Development [45c]
- General Electric—Speed School of Engineering [45d]
- Louisville Seminary—Kent School of Social Work [45e]; School of Law [45f]
- Owensboro Medical Health System—School of Nursing [45g]
- Quality Leadership University, Panama—Speed School of Engineering [45h]; Arts and Sciences [45i]
- Simmons College--A&S [45j]
- Trover Campus—School of Medicine [45k]
- University of Kentucky—Kent School of Social Work [45l]
- University of Kentucky—College of Business [45m]
- Western Kentucky University—Speed School of Engineering [45n]

### **Information Technology**

The Office of Information Technology (IT) [46] provides a variety of resources for students, including wireless access, e-mail, computing facilities, access to training, technology support, and discounted software. IT provides wireless coverage in 100 percent of the classrooms and instructional spaces as well as most public and green spaces on the Belknap and HSC campuses through 2,300 wireless access points [47]. SIT provides discounted or free software through the iTech Xpress technology store for students. All students are provided with a Microsoft Office 365 account that includes email, SharePoint, and Lync instant messaging, as well as free access to the full Microsoft Office suite of products [48] [49]. IT also provides free instruction for a variety of software applications.

### **Writing Center**

The University Writing Center [50] complements and supplements classroom instruction by providing a place for students to write, collaborate with other writers, and use writing resources. Writing consultants focus on individual needs, whether students struggle with

English as a second language or want to improve their writing skills or enhance their writing style. The center promotes attitudes and abilities essential to writing well, including confidence, skill, knowledge, creativity, and comfort. Students enrolled in online courses are able to access the center's expertise through the Virtual Writing Center, which offers email and real-time chat consultations. The Writing Center, located in the Ekstrom Library, is overseen by the Department of English in the College of Arts and Sciences.

### **University Honors Program**

The College of Arts and Sciences houses and oversees the University Honors Program [51]. Students who demonstrate potential for high levels of achievement and seek a more engaging and challenging college experience find multiple opportunities for academic and personal development in the Honors Program. The Honors Program provides students with the best of both worlds in terms of college experience: the intimacy of a small college combined with smaller classes, greater academic rigor, and more personalized support. The Honors Program affords students the opportunity to challenge themselves through research, study abroad, and experiential learning. Whether working side-by-side with faculty on cutting edge research projects, exploring international destinations, or serving the local community, Honors students have the chance to participate in unparalleled learning opportunities.

### **Metropolitan College**

Metropolitan College [52] (MC) is a partnership of Jefferson Community and Technical College, the UofL, and United Parcel Service (UPS). Metropolitan College is a nationally recognized higher education and corporate partnership that assists students in coordinating their education, work, and personal lives. A team of eight Student Development Counselors provide one-on-one guidance to promote learning and development of MC participants by providing relevant programmatic and institution-specific information, one-on-one career development guidance, help connecting with the various offices on campus, and answers to questions regarding academic and career goals.

### **Academic Center for Student Athletes**

The Olga S. Peers Academic Center for Student-Athletes [53] provides academic support, counseling, and guidance to the student-athletes of UofL's intercollegiate athletic programs. The Athletics Department offers its students special study facilities, advising, and tutorial staff. The center serves all NCAA varsity student-athletes in eighteen sports in addition to over one-hundred students in Spirit groups and fifty student managers and trainers.

## **ADMISSIONS AND ENROLLMENT SUPPORT**

### **Admissions**

#### Scholarships and Special Admission Programs

A wide range of scholarships, grants, loans and work-study opportunities are available to help students pay for education. More than seventy-five percent of undergraduates receive some form of financial aid tailored to their particular needs [54]. Scholarship programs for high achieving students include the Brown Fellows Program, McConnell Scholars, and Porter Scholars [55]. Students with guaranteed admission to graduate programs such as the Harlan Scholars and Guaranteed Admission to Medical Schools (GEMS) are provided scholarships. Several major-based scholarships and scholarships for special populations are also available, such as transfer and adult students [56]. In addition to university and federal

scholarship programs, academic units such as the College of Education and Human Development and the School of Nursing provide scholarships to both on-campus and distance education students. The applications are available online.

In 2007, UofL initiated a special program called the Cardinal Covenant [57] in response to college costs and the challenge students from low-income families face in funding their education. UofL's Cardinal Covenant is the first program of its kind in the state of Kentucky. This program makes college attainable for the 22.6 percent of Kentucky families living at or below 150 percent of the federal poverty level as published by the U.S. Census Bureau. The Cardinal Covenant program makes a promise to incoming freshmen who meet the criteria that the university will award enough gift assistance through federal, state, private, and institutional sources to cover their direct costs (tuition, room, board, and books). Students are able to graduate debt free as long as they graduate within four years and remain Pell Grant eligible each year.

#### New Student Orientation

The New Student Orientation program [58] presents information through general and academic sessions, campus tours, advising, and student-mentor counseling. Students are able to connect with their academic units by meeting representatives from the unit to discuss class options, career plans, and more.

Online orientation [59] is designed to provide new students not living in Louisville with an option to get critical information about academic expectations, academic advising, campus culture, and university resources in an online learning capacity. This online orientation is available to students enrolled in online and off-site programs.

#### Student Orientation Staff (SOS) program

The Student Orientation Staff (SOS) [60] are undergraduate student leaders focused on assisting new students with their successful transition to UofL. SOSers volunteer ten months of the year at undergraduate admissions recruiting events, meet with and welcome prospective students and families, provide mini campus tours, and facilitate small groups of new freshmen during orientation sessions.

#### CAPS Leader Program

The CAPS Leader Summer Peer Mentor Program [61] keeps new students connected to UofL between Summer Orientation and Welcome Week. New students registered for an academic orientation course in the fall term are paired with an upper-class peer mentor, who communicates with the student through email and online during the summer. CAPS Leader peer mentors are current UofL students who provide their personal perspective and advice to incoming students on everything from what to expect from professors to the best places to hang out on campus. They also answer any last-minute questions and address any concerns that may crop up before school starts. The program begins just after Summer Orientation ends in early July.

### **Enrollment Support**

#### Financial Aid Office

The university's Financial Aid Office [62] provides walk-in counseling services to undergraduate and graduate students needing assistance with financial aid. Financial Aid counselors assist students in applying for financial aid and answer questions about grants, loans and scholarships, work study jobs, state aid, tuition waivers, federal satisfactory academic progress regulations, consumer information, and financial wellness.

Financial Aid assistance is available in person, online, and by phone. Online and distance education students are also eligible to receive financial aid. UofL students in off-site programs are eligible to apply for federal financial aid if they are U.S. citizens. The Online Learning team refers all online students to the Office of Financial Aid for financial aid information [63].

#### Registrar's Office

The mission of the Registrar's Office [64] is to provide an accurate and timely academic history of those individuals who have pursued their education at UofL while also maintaining the privacy and security of this information. The Registrar's Office supports the enrollment and continuing course registration for online and off-site students through the use of PeopleSoft (the university's electronic student administration system) and the Blackboard course management system. Students have quick, online access to the schedule of classes, unofficial transcripts, class schedules, catalogs, semester grades, and account information. For more extensive services, including registration, address/phone number maintenance, and checks for holds on their records, students can log on to ULink, the university's online portal [65].

First Year Initiatives (FYI). The First Year Initiatives program [66] provides enriching curricular and co-curricular opportunities that help students develop fundamental skills, knowledge, and personal connections essential from their first year through graduation. FYI staff coordinates many programs and initiatives, including Welcome Week [67], a welcome celebration that helps students transition from summer orientation to a first-year student; Book-in-Common [68], a common reading program to support first-year students' transition to the university; STOMP [69], an on-line program providing information to first year students to assist their transition to the university; and the CAPS Leader Summer Mentor program [70] that pairs incoming freshmen with a returning student between summer orientation and the first day of classes to assist them in their transition to the university.

#### Transfer and Adult Student Services

The Office of Transfer and Adult Services [71] centralizes services for transfer and adult students with the application process and transition to the university. A transfer admissions counselor is available to meet with students to assist them in the transfer process. Transfer credit evaluations and an appeal process are handled in this office. The office is the home of Ultra Center [72] for students transferring from Jefferson Community and Technical College.

#### Military and Veterans Student Services

The Office of Military and Veterans Student Services (OMVSS) [73] helps to smooth the transition from military life to student life by devoting individualized support to veteran students and their families through a broad range of services, coordinating with Veterans Affairs, university departments, and other community organizations. OMVSS staff assist with identifying federal and state education benefit options, advocating military transfer credit, aiding withdrawals/re-admits due to deployments or call to Active Duty status, and connecting veteran students with campus resources, veteran service providers, and other agencies encouraging academic success. Veteran and military students enrolled in online programs also have access to the support provided by the OMVSS. UofL also offers resident tuition rates to eligible Post 9/11 GI Bill education beneficiaries.

## **CAMPUS LIFE**

### **Office of the Vice President for Student Affairs**

The Division of Student Affairs [74] promotes a positive learning experience and makes available opportunities for students to achieve their full academic and personal potential. Programs within Student Affairs provide students opportunities to experience personal growth in learning environments and to participate in numerous out-of-classroom activities.

Housing and Residence Life. The Housing and Residence Life department [75] serves a diverse community by providing high-quality collaborative programs and services that enhance the academic mission and promote personal growth and development in a secure, well-maintained residential community.

On-campus housing offers four freshmen-only residence facilities, as well as targeted programming for first-year students in all on-campus residential facilities. Other on-campus living-learning environments include an Honors Hall, First-Year Engineering Hall, Applied Health Floor, Leadership Concepts Floor, and Graduate/Family housing. Resident advisors are live-in student staff that assist with the administration of the residence halls.

The Housing and Residence Life program [76] uses a comprehensive programming model to assist first-year students with their transition to college. Each week has a different theme and the staff develop or identify programs and activities around these themes, including Campus Resources, Community Living/Living on Your Own, Academics, Responsible Behavior, Financial Planning, Civic Engagement, Community Service, Social Change Model, 2nd Year Transition, and Community Service. Themes like academics, responsible behavior, and community service are repeated throughout the year.

Total facilities include 11 residential communities on campus (primarily for freshmen) and four affiliated properties bordering campus, geared to non-first-year students, those with families, and graduate students.

#### International Service Learning Program

The International Service Learning Program [77] provides experiential education in which students engage in activities that address human and community needs together with structured opportunities intentionally designed to promote student learning and development. This interdisciplinary program contributes to campus internationalization by infusing the classroom with various cultures to prepare students to be more receptive to global and comparative perspectives.

#### Off Campus Student Services

Supported by the Office of Student Involvement, Off Campus Student Services [78] advocates for all students who do not reside on campus and works to inform students about what is happening on campus and how to get the most out of living in Louisville. *OrgSync* is a service provided to help commuter students to find study groups. Each spring the Off Campus Living Fair is held to provide education and resources for finding appropriate housing outside of campus.

#### Student Advocate

The Student Advocate [79] helps students who need help with bureaucratic issues and don't know where to find it. Services extend to all students at UofL, from first-semester freshmen to graduate doctoral students or professional degree students at both Belknap Campus and

the Health Sciences Center. Distance education students can contact the student advocate by phone or email.

#### Recognized Student Organizations (RSO) Leadership Program

UofL hosts over 300 student organizations covering a wide variety of student interests. The Student Activities Department oversees all Recognized Student Organizations (RSO) [80] on campus and assists with the formation of new groups, leadership training, new member intake, and the planning of numerous campus events. The staff is available to consult with individuals and organizations to help them succeed and get involved.

#### Cardinal Leadership Certificate (CLC)

The Cardinal Leadership Certificate (CLC) [81] is an educational seminar course to further develop current and incoming student leaders and help them learn to work more effectively with their fellow students and the university. The program is designed for both students who want to get involved in leadership and those who are already leaders but desire to enhance their leadership skills.

#### Career Development Center

The Career Development Center [82] assists students and alumni in developing, evaluating, and/or implementing career, education, and employment decisions. The center is housed in space sufficient to offer all programs and services and utilizes technology necessary to leverage student, alumni, faculty/staff and employer maximum access to resources, programs, and services. Online students can work with a career coach in the Career Development Center via phone or email during business hours, and they can access the career tools on the center's website around the clock.

#### Office of Civic Engagement, Leadership and Service

The Office of Civic Engagement, Leadership and Service [83] helps to create a culture of service and social justice on campus and in the community for students, faculty, and staff. Participation in service activities are available to the campus community through alternate service breaks, MLK Day activities, a group called Student Outreach Uniting Louisville (S.O.U.L.) (which engages in monthly activities aimed to build and foster meaningful relationships between UofL and social service and philanthropic agencies), and a list of community organizational profiles offering volunteer opportunities to interested students, staff, and faculty.

Community service is also promoted through the Recognized Student Organizations and Greek community. There is also the Engage Lead Serve Board, comprised of directors of the most active student programs on campus, including but not limited to the following: UL Dance Marathon, Student United Way, CARDS for Kids, Youth Development and Children's Program committee, Relay for Life, Young at Heart, Green Initiatives, and Global Initiatives. This office also provides myriad leadership opportunities by offering unpaid positions such as graduate interns for orientation and welcome weekend, Habitat for Humanity House Build, Alternative Spring Breaks, and Living-Learning Communities, to name a few.

The First-Year Guides program [84] is an upper-class peer mentoring program that assists first-year students with transition to college during the first eight weeks of school. First-Year Guides serve as role model, resource, and university ambassador within the Housing and Residence Life support network. First-Year Guides maintain a high level of communication and interaction with students in the residence halls and at campus activities.

### Freshmen LEAD

The Freshmen LEAD [85] program brings a leadership development and mentoring experience for first-year students at UofL. First-year students are introduced to leadership skills that expand their social networks, broaden their horizons, and bring them into contact with a dynamic group of friends. Participants lay the foundation for their leadership journey in the first year of the program and put their leadership into action during the second year of their experience as a REACH ambassador.

The office also supports the AmeriCorps Bonner Leaders [86], a service-learning leadership program that places students in teams in local non-profit organizations addressing social justice, poverty, and educational, environmental, and cultural/arts issues present in the Louisville community. The Office of Civic Engagement, Leadership, and Service coordinates several opportunities for students to volunteer in the community, including the America Reads Challenge (where volunteers go annually into the public school system to mentor, tutor, and provide support) [87].

### Student Government Association

The Student Government Association (SGA) [88] is the student governing body of the university. SGA is overseen by the Office of Student Affairs and is advised by the Dean of Students. SGA works to be a voice for fellow students on campus and in the Commonwealth of Kentucky. SGA aims to provide an effective organization for the administration of student affairs that promotes and protects student rights and responsibilities and to create a stronger bond among students and student organizations, as well as serve as an official channel for student opinions to be expressed. Committed to cooperation among students, administration, faculty, and staff, SGA promotes diversity and fairness on campus.

### Student Activities

The Student Activities department [89] provides activities and services for the university community that reflect the needs of its changing demographics. The department promotes the free exchange of ideas through its activities and services in order to eliminate prejudice, bigotry, and discrimination. Loyalty to the university is promoted through a variety of scheduled and collaborative events on campus, such as Homecoming week. Events such as Latin Night, Indian Night, African Night, Pink (LGBT), and the International Fashion Show are examples of these efforts to educate students while they socialize.

### **Bookstore**

The official UofL Bookstore [90] serves students, faculty, and staff. With two locations, one on the Belknap Campus and the other on the Health Sciences Campus, it is a convenient place to get new and used textbooks, rental textbooks, digital textbooks, school supplies, reference materials, and collegiate memorabilia. The bookstore also serves many students through the web by offering both in-store pick up and shipping options.

### **Cardinal Card Office**

The Cardinal Card Office [91] manages and distributes the university's identification card. This card provides access to many campus resources, including libraries, student events, free public transportation, and secured facilities. All student meal plans funds and a voluntary declining balance account (Cardinal Cash) are also managed by this office. Distance education and online students may obtain a non-photo identification card, which is mailed to them upon request.



## **Dining Services**

Dining Services [92] provides access to both nationally known and vendor-branded restaurants, with menu choices that are healthy and that support local farmers. With more than twenty dining options on campus, students can choose from an all-you-care-to-eat dining hall, restaurants, coffee shops, convenience stores, and catering options. The meal plan program allows flexible and economical use of the campus dining facilities via the campus ID card.

## **Parking**

The Parking and Transportation Office [93] is responsible for permit management and enforcement, pay parking, including events, transportation (shuttle) services, and motorist assistance for Belknap campus and Health Sciences Center campus [94]. Programs for alternative transportation are available, such as car share program, ridesharing, and fare-free ridership with our City's public transit provider, Transit Authority of River City (TARC).

## **COUNSELING, HEALTH, AND WELLNESS**

### **Counseling Center**

The Counseling Center's [95] staff and programs assist in the personal and academic development of UofL students. Students receive information that will help them understand their reactions and conflicts, change negative thinking patterns and problematic behaviors, increase their confidence in interpersonal situations, and reduce the symptoms of stress, anxiety, and depression that hamper their academic efforts. Participating students acquire stronger academic development skills and learn how to better communicate or strengthen their existing relationships. The Counseling Center offers short-term counseling sessions to students on an individual and group basis and programs both inside and outside of the classroom. The center's website has three online tools for students (E-Check-alcohol, E-Toke drugs, and ULifeLine [suicide prevention]) designed to assist students whether campus-based or online.

### **Office of Health Promotion**

The Office of Health Promotion [96] offers accurate and non-judgmental health programming, advocacy, and peer mentorship. The office works to build a campus community that values health by increasing access to healthy options and encouraging critical thinking about health decisions.

### **Public Safety**

The university has its own Department of Public Safety (DPS) [97]. DPS maintains a staff of uniformed officers, communication officers, and security patrol officers and operates a university police escort program for students, faculty and staff [98]. In order to maintain a more personal interaction with the university community, the department also has police officers, security officers, and cadets assigned to bike and foot patrol.

The department works closely with other local law enforcement agencies, particularly the Louisville Metro Police, in areas of emergency response and crowd control. The university, as required for state and federal reporting, provides online an annual campus safety report. This information is provided in accordance with the provisions of the *Kentucky Michael Minger Act of 2000* and the *Jeanne Clery Disclosure of Campus Security Policy and*

*Campus Crime Statistics Act of 1998* [99]. Also as required for state and federal reporting the university maintains a campus crime log [100].

### **Prevention, Education and Advocacy on Campus and in the Community (PEACC)**

PEACC [101] works to end power-based personal violence, decrease victimization, and build capacity for positive relationships and social interactions. PEACC advocates for anyone affected by sexual assault, dating violence, stalking, or sexual harassment; empowers students to develop ethical non-violence skills to negotiate relationships and sexual intimacy positively; and educates on the impact of power-based personal violence.

### **Alcohol Edu and Haven**

The President, Provost, and Campus Health Services provide funding to support AlcoholEdu and Haven programs [102]. These web-based alcohol and sexual assault population level prevention programs are required of all incoming students.

### **Student Care Team**

The Student Care Team (SCT) [103] provides a regular opportunity for communication between departments, ensuring that all UofL resources are available to students in crisis. The SCT responds, assists, reviews, and follows through in crisis situations that affect the well-being of students and the campus learning environment.

## **DIVERSITY AND INCLUSION**

### **Office of the Vice Provost for Diversity and International Affairs**

The Vice Provost for Diversity and International Affairs [104] provides leadership and works collaboratively with administrators, faculty, staff, and students to advance diversity on campus. Under the Vice Provost's administrative purview are the Cultural Center, Women's Center, International Center, Muhammad Ali Institute, and the Office of LGBT Services.

### **Bias Incident Response Team**

The Bias Incident Response Team (BIRT) [105] is a group of faculty and staff who are committed to creating a positive response for students, faculty, and staff to instances of hate and bias. This team supports and assists those targeted by hate or bias and educates and informs the campus community about these issues.

### **Cultural Center**

The Cultural Center [106] works to create an inclusive and accepting campus climate free of bias and hate where students, faculty, staff, and alumni work together to create positive changes in the community. The Cultural Center offers co-curricular and extra-curricular programs aimed at exploring beliefs and values related to culture and individual and group experiences within a culturally diverse society, such as the Early Arrival Program [107], Retention Plan and Initiative, Built 2 Graduate Service, and the Diversity Leadership Institute. The center provides a space for multicultural student organizations such as the Association of Black Students, Cardenas Celebrating Culturas (C3), Porter Scholars, and the Black Diamond Choir.

The center links students to academic services to support academic success, develops and facilitates cultural education training for the campus, welcomes prospective and new students to UofL, partners with community organizations for cultural celebrations and education, and partners with other units on campus to increase involvement of students in leadership, service learning, and study abroad activities.

### **International Center**

The International Center [108] promotes the engagement of foreign students on campus and facilitates education abroad for domestic students. International students and scholars are assisted in their acclimation to campus through intentional programs, administrative support services, and advising in both individual and group situations.

### **Muhammad Ali Institute for Peace and Justice**

The Muhammad Ali Institute for Peace and Justice [109] advances the work, study, and practice of peacebuilding, social justice, and violence prevention through the development of innovative educational programs, training, service, and research. The Ali Institute has a special concern for young people living with violence in urban areas and seeks to equip the young and those working with them to be agents of peace and justice in their communities.

### **Lesbian, Gay, Bisexual, and Transgender Services**

The Office for Lesbian, Gay, Bisexual, and Transgender Services (LGBT) [110] provides support and advocacy for the campus LGBT community, as well as education to the wider UofL community for addressing heterosexism and homophobia and for creating a safe campus climate for LGBT students, staff, faculty, and their allies. The Safe Zone project publicly identifies allies for gay, lesbian, and bisexual people on campus by placing a "Safe" symbol, usually incorporating a pink triangle or rainbow, on office doors or within living spaces. The program provides educational interventions to advocates, especially heterosexual allies, to provide skills and resources to guide their own development or to help others become better advocates for the gay, lesbian, bisexual, and transgender student population.

### **Women's Center**

The Women's Center [111] provides resources and works as a catalyst for women faculty, staff, and students at the university. The center's award-winning student group Women 4 Women offers mentoring with faculty and community members and incorporates critical thinking strategies into programs for both female and male students on campus, such as financial literacy classes, Finance 4 U, Human Trafficking Awareness Programs, Self Defense Workshops, Cultural Nights, Volunteer Activities, and leadership training.

### **Disability Resource Center (DRC)**

The Disability Resource Center [112] coordinates educational services and accommodation to disabled students to ensure equal opportunity in the learning process and provides various accommodations that facilitate classroom success for both in-class and distance education students. The DRC's mission is to ensure that individuals with disabilities have equal access to the university's educational, social, and cultural opportunities [113] [114] [115].

## **SPORTS AND RECREATION**

### **Intramurals and Recreation Sports**

The Department of Intramural and Recreational Sports [116] provides resources for participants who wish to pursue a healthy lifestyle. Students, faculty, and staff may participate in scheduled class and group exercise times, self-directed individual weight and fitness training options, leagues, tournaments, or special events.

Intramurals and recreation sports and the campus recreation experience were greatly enhanced with the opening of the Student Recreation Center in October of 2014 [117]. The center features amenities never before available on our campus, such as a turf field, gaming center, and an indoor multi-purpose activity court. In addition, the center provides the opportunity of continued growth and expansion in areas such as fitness and wellness, sport club programming, intramural sports, and informal recreation through expanded and improved facilities.

### **SUMMARY**

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.

[1] University's Mission Statement  
2\_10\_fn01.pdf  
<http://louisville.edu/about/>

[2] Fall 2015 Enrollment Profile  
2\_10\_fn02.pdf  
<http://louisville.edu/about/profile>

[3] Metropolitan, Research Mission in KRS 164.003  
2\_10\_fn03.pdf

[4] *Handbook of Student Affairs Administration*  
2\_10\_fn04.pdf

[5] Online Learning Website  
2\_10\_fn05.pdf  
<http://louisville.edu/online/Student-Resources>

[6] Online Learning FAQs  
2\_10\_fn06.pdf  
<http://louisville.edu/online/Student-Resources/faqs/#general5>

- [7] Distance Ed Student Services  
2\_10\_fn07.pdf  
<http://louisville.edu/studentaffairs/students/distancedeed>
- [8] Student Affairs Resources for Distance Education Students  
2\_10\_fn08.pdf  
<http://louisville.edu/studentaffairs/students/distancedeed>
- [9] Career Development Center  
2\_10\_fn09.pdf
- [10] Intramurals and Recreational Sports At-Home Workout Videos  
2\_10\_fn10.pdf  
[https://www.youtube.com/playlist?list=PLskzYUqTuWXBmkKVyyXAz\\_oubnUsiyJsT](https://www.youtube.com/playlist?list=PLskzYUqTuWXBmkKVyyXAz_oubnUsiyJsT)
- [11] Consumer Information Site  
2\_10\_fn11.pdf  
<http://louisville.edu/oapa/consumer-information>
- [12] Undergraduate Affairs  
2\_10\_fn12.pdf
- [13] Undergraduate Council  
2\_10\_fn13.pdf  
[http://louisville.edu/provost/what-we-do/UGC\\_Charge.pdf](http://louisville.edu/provost/what-we-do/UGC_Charge.pdf)
- [14] Undergraduate Advising Practice  
2\_10\_fn14.pdf  
<http://louisville.edu/advising/>
- [15] Resources for Academic Achievement (REACH)  
2\_10\_fn15.pdf  
<http://reach.louisville.edu/>
- [16] Resources for Academic Achievement (REACH) Ambassadors  
2\_10\_fn16.pdf
- [17] McConnell Center  
2\_10\_fn17.pdf  
<http://louisville.edu/mcconnellcenter/>
- [18] TRIO Student Support Services  
2\_10\_fn18.pdf  
<http://louisville.edu/trio>
- [19] School of Interdisciplinary and Graduate Studies (SIGS)  
2\_10\_fn19.pdf  
<http://louisville.edu/graduate/>
- [20] SIGS Graduate Student Services  
2\_10\_fn20.pdf

[21] SIGS 2015 Orientation Agenda  
2\_10\_fn21.pdf

[22] Graduate Student Orientation Registration  
2\_10\_fn22.pdf  
<http://louisville.edu/graduate/forms/graduate-student-orientation-registration>

[23] Graduate Teaching Assistant Academy  
2\_10\_fn23.pdf  
<http://louisville.edu/graduate/plan/gta-academy>

[24] SIGS Graduate Advising—Directors of Graduate Studies  
2\_10\_fn24.pdf  
<https://louisville.edu/graduate/faculty-staff/directors-of-graduate-studies>

[25] SIGS Graduate Advising—Rules to Advise By  
2\_10\_fn25.pdf  
<http://louisville.edu/graduate/faculty-staff/graduate-advisors>

[26] Scholarships and Fellowships  
2\_10\_fn26.pdf  
<http://louisville.edu/graduate/current-students/funding-opportunities>

[27] SIGS Graduate Council  
2\_10\_fn27.pdf  
<https://louisville.edu/graduate/gsc>

[28] SIGS PLAN  
2\_10\_fn28.pdf  
<http://louisville.edu/graduate/plan/>

[29] Mentor Center  
2\_10\_fn29.pdf  
<http://louisville.edu/graduate/mentorcenter>

[30] SIGS Ambassadors  
2\_10\_fn30.pdf

[31] SIGS GEM Consortium  
2\_10\_fn31.pdf  
<http://louisville.edu/graduate/current-students/funding-opportunities/gem-fellowship>

[32] SIGS GRE Workshops  
2\_10\_fn32.pdf  
<http://louisville.edu/graduate/news/free-gre-test-information-workshops-for-2016-2017>

[33] Academic Unit's Advising and Student Services  
2\_10\_fn33.pdf

[34] Delphi Center for Teaching and Learning Services for Online Learners  
2\_10\_fn34.pdf  
<http://louisville.edu/delphi>

[35] Research Assistance and Instruction (RAI) Department  
2\_10\_fn35.pdf  
<http://louisville.edu/library/ekstrom/research/>

[36] Access and User Services (AUS) Department  
2\_10\_fn36.pdf  
<http://louisville.edu/library/ekstrom/aus/>

[37] Distance Learning Library Services  
2\_10\_fn37.pdf  
<http://louisville.edu/library/ekstrom/research/distance/>

[38] Office of Online Learning Contact Information  
2\_10\_fn38.pdf  
<http://louisville.edu/online/About-Us/Contact-Us>

[39] Virtual Writing Center and Online Learning Academic Support  
2\_10\_fn39.pdf  
<http://louisville.edu/writingcenter/for-students-1/text-of-virtual-writing-center-introduction>

[40] REACH Online Tutoring  
2\_10\_fn40.pdf  
[http://reach.louisville.edu/tutoring/general/request\\_Online.html](http://reach.louisville.edu/tutoring/general/request_Online.html)

[41] ULink Online Portal  
2\_10\_fn41.pdf  
[https://ulink.louisville.edu/psp/pa91p/EMPLOYEE/EMPL/h/?tab=PAPP\\_GUEST](https://ulink.louisville.edu/psp/pa91p/EMPLOYEE/EMPL/h/?tab=PAPP_GUEST)

[42] Online Learning Programs  
2\_10\_fn42.pdf  
<http://louisville.edu/online/programs>

[43] UofL Off-site Program [Locations]  
2\_10\_fn43.pdf

[44] Student Services for Online Programs

[44a] RN-BSN in Nursing  
2\_10\_fn44a.pdf

[44b] BS in Organizational Leadership and Learning  
2\_10\_fn44b.pdf

[44c] BS in Criminal Justice  
2\_10\_fn44c.pdf

[44d] BA/BS in Communication  
2\_10\_fn44d.pdf

[44e] MS in Criminal Justice  
2\_10\_fn44e.pdf

[44f] MS in Social Work  
2\_10\_fn44f.pdf

[44g] MS in Human Resource and Organization Development  
2\_10\_fn44g.pdf

[44h] MEng in Engineering Management  
2\_10\_fn44h.pdf

[44i] MS in Civil Engineering  
2\_10\_fn44i.pdf

[44j] MS in Computer Science  
2\_10\_fn44j.pdf

[44k] MA in Higher Education Administration  
2\_10\_fn44k.pdf

[44l] MEd in Special Education  
2\_10\_fn44l.pdf

[45] Student Services for Off-site Programs

[45a] Akademie Wurth Business School—College of Business  
2\_10\_fn45a.pdf

[45b] European Business School—College of Business  
2\_10\_fn45b.pdf

[45c] Fort Knox Extended Campus—College of Education and Human Development  
2\_10\_fn45c.pdf

[45d] General Electric—Speed School of Engineering  
2\_10\_fn45d.pdf

[45e] Louisville Seminary—Kent School of Social Work  
2\_10\_fn45e.pdf

[45f] Louisville Seminary—School of Law  
2\_10\_fn45f.pdf

[45g] Owensboro Medical Health System—School of Nursing  
2\_10\_fn45g.pdf

[45h] Quality Leadership University, Panama—Speed School of Engineering  
2\_10\_fn45h.pdf

[45i] Quality Leadership University, Panama—Arts and Sciences  
2\_10\_fn45i.pdf

[45j] Simmons College—A&S  
2\_10\_fn45j.pdf



- [45k] Trover Campus—School of Medicine  
2\_10\_fn45k.pdf
- [45l] University of Kentucky—Kent School of Social Work  
2\_10\_fn45l.pdf
- [45m] University of Kentucky—College of Business  
2\_10\_fn45m.pdf
- [45n] Western Kentucky University—Speed School of Engineering  
2\_10\_fn45n.pdf
- [46] Office of Information Technology  
2\_10\_fn46.pdf  
<http://louisville.edu/it>
- [47] IT Wireless Network  
2\_10\_fn47.pdf  
<http://louisville.edu/it/departments/communications/wireless/wireless-networking-uofl/>
- [48] IT Express  
2\_10\_fn48.pdf  
<http://louisville.edu/it/departments/itech-xpress-and-printing-copier-management>
- [49] Technology for Students  
2\_10\_fn49.pdf  
<http://louisville.edu/it/students-parents>
- [50] Writing Center  
2\_10\_fn50.pdf  
<http://louisville.edu/writingcenter/>
- [51] University Honors Program  
2\_10\_fn51.pdf  
<https://louisville.edu/honors/university-honors-program>
- [52] Metropolitan College  
2\_10\_fn52.pdf  
<http://metro-college.com/>
- [53] Olga S. Peers Academic Center for Student Athletes  
2\_10\_fn53.pdf  
[http://www.gocards.com/news/2005/7/21/Olga\\_S\\_Peers\\_Academic\\_Center\\_for\\_Student\\_Athletes\\_Staff\\_Directory.aspx](http://www.gocards.com/news/2005/7/21/Olga_S_Peers_Academic_Center_for_Student_Athletes_Staff_Directory.aspx)
- [54] Student Financial Aid Office Funding Options  
2\_10\_fn54.pdf  
<http://louisville.edu/financialaid/scholarships>
- [55] Student Financial Aid Office Scholarships  
2\_10\_fn55.pdf

[56] Financial Aid for Transfer and Adult Students  
2\_10\_fn56.pdf  
<http://louisville.edu/financialaid/scholarships/scholarships-managed-by-the-student-financial-aid-office>

[57] Cardinal Covenant  
2\_10\_fn57.pdf

[58] New Student Orientation  
2\_10\_fn58.pdf  
<https://louisville.edu/newcards>

[59] Online Transfer Orientation  
2\_10\_fn59.pdf  
<https://louisville.edu/online/current/orientation>

[60] Student Orientation Staff (SOSers)  
2\_10\_fn60.pdf  
<http://louisville.edu/newcards/meet-the-staff/become-an-soser-1>

[61] CAPS Leader Summer Peer Mentor Program  
2\_10\_fn61.pdf

[62] Student Financial Aid Office  
2\_10\_fn62.pdf  
<http://louisville.edu/financialaid>

[63] Office of Online Learning  
2\_10\_fn63.pdf  
<http://louisville.edu/online/tuition>

[64] Registrar's Office  
2\_10\_fn64.pdf  
<http://louisville.edu/registrar>

[65] ULink Online Portal  
2\_10\_fn65.pdf  
<https://ulink.louisville.edu/>

[66] First Year Initiatives  
2\_10\_fn66.pdf  
<http://louisville.edu/firstyear>

[67] Welcome Week  
2\_10\_fn67.pdf  
<http://louisville.edu/firstyear/events/welcome-week>

[68] Book-in-Common  
2\_10\_fn68.pdf

[69] STOMP Modules  
2\_10\_fn69.pdf

[70] CAPS Leader Summer Peer Mentor Program  
2\_10\_fn70.pdf

[71] Office of Transfer and Adult Services  
2\_10\_fn71.pdf  
<http://louisville.edu/admissions/apply/transfer>

[72] ULTRA  
2\_10\_fn72.pdf  
<http://louisville.edu/admissions/apply/transfer/ultra/>

[73] Military and Veterans Student Services  
2\_10\_fn73.pdf  
<http://louisville.edu/admissions/apply/transfer/veterans/>

[74] Student Affairs  
2\_10\_fn74.pdf  
<http://louisville.edu/studentaffairs>

[75] Housing and Residence Life  
2\_10\_fn75.pdf  
<https://louisville.edu/housing>

[76] Housing and Residence Life Programming  
2\_10\_fn76.pdf  
<https://louisville.edu/housing/options/communities>

[77] International Service Learning Program  
2\_10\_fn77.pdf  
<http://louisville.edu/islp>

[78] Off Campus Student Services  
2\_10\_fn78.pdf  
<http://louisville.edu/studentactivities/student-orgs/off-campus-services>

[79] Student Advocate  
2\_10\_fn79.pdf  
<http://louisville.edu/dos/help/studentadvocate>

[80] Recognized Student Organizations  
2\_10\_fn80.pdf  
<http://louisville.edu/studentactivities/student-orgs/student-organizations>

[81] Cardinal Leadership Certificate  
2\_10\_fn81.pdf

[82] Career Development Center  
2\_10\_fn82.pdf  
<https://louisville.edu/career/>

[83] Office of Civic Engagement, Leadership, and Service  
2\_10\_fn83.pdf  
<http://louisville.edu/ideastoaction/programs/communities/collaborativelearning/2010/cels>

[84] First Year Guides  
2\_10\_fn84.pdf

[85] Freshmen LEAD  
2\_10\_fn85.pdf  
<http://louisville.edu/studentactivities/leadership-opportunities/freshman-lead>

[86] AmeriCorps Bonner Leaders  
2\_10\_fn86.pdf

[87] Office of Civic Engagement, Leadership, and Service Volunteer Activities  
2\_10\_fn87.pdf  
<http://louisville.edu/studentactivities/leadership-opportunities>

[88] Student Government Association  
2\_10\_fn88.pdf  
<http://www.uoflsga.org/>

[89] Student Activities  
2\_10\_fn89.pdf

[90] Bookstore  
2\_10\_fn90.pdf  
<http://louisville.edu/contractadmin/bookstore/>

[91] Cardinal Card  
2\_10\_fn91.pdf  
<http://louisville.edu/cardinalcard/>

[92] Dining Services  
2\_10\_fn92.pdf  
<http://louisville.campusdish.com/>

[93] University Parking  
2\_10\_fn93.pdf  
<http://louisville.edu/parking/>

[94] University Parking Services  
2\_10\_fn94.pdf  
<http://louisville.edu/parking/parking-information>

[95] Counseling Center  
2\_10\_fn95.pdf  
<http://louisville.edu/counseling/>

[96] Office of Health Promotion  
2\_10\_fn96.pdf  
<http://louisville.edu/healthpromotion>

[97] Public Safety  
2\_10\_fn97.pdf

[98] Public Safety Services  
2\_10\_fn98.pdf  
<http://louisville.edu/police/services/services/>

[99] Annual Campus Safety Report  
2\_10\_fn99.pdf  
<http://louisville.edu/police/clery-crime-reports>

[100] Public Safety Crime Log  
2\_10\_fn100.pdf  
<http://louisville.edu/police/crime-log>

[101] Prevention, Education and Advocacy on Campus and in the Community (PEACC)  
2\_10\_fn101.pdf  
<http://louisville.edu/peacc>

[102] AlcoholEdu and Haven  
2\_10\_fn102.pdf  
<http://louisville.edu/campushealth/alcholedu-haven>

[103] Student Care Team  
2\_10\_fn103.pdf  
<http://louisville.edu/dos/facultystaff/student-care-team>

[104] Vice Provost for Diversity and International Affairs  
2\_10\_fn104.pdf  
<http://louisville.edu/diversity/>

[105] Bias Incident Response Team  
2\_10\_fn105.pdf  
<http://louisville.edu/dos/help/biasincidentreport>

[106] Cultural Center  
2\_10\_fn106.pdf  
<http://louisville.edu/culturalcenter>

[107] Cultural Center Early Arrival Program  
2\_10\_fn107.pdf  
<http://louisville.edu/culturalcenter/retention/early-arrival-program>

[108] International Center  
2\_10\_fn108.pdf  
<http://louisville.edu/internationalcenter/>

[109] Muhammad Ali Institute for Peace and Justice  
2\_10\_fn109.pdf  
<http://louisville.edu/aliinstitute>

[110] Lesbian, Gay, Bisexual, and Transgender Services  
2\_10\_fn110.pdf  
<http://louisville.edu/lgbt>

[111] Women's Center  
2\_10\_fn111.pdf  
<http://louisville.edu/womenscenter/>

[112] Disability Resource Center  
2\_10\_fn112.pdf  
<http://louisville.edu/disability>

[113] Disability Resource Center Accommodations for Specific Disabilities  
2\_10\_fn113.pdf  
<https://louisville.edu/disability/students/accommodations-for-specific-disabilities>

[114] Disability Resource Center Exam Accommodations  
2\_10\_fn114.pdf  
<https://louisville.edu/disability/students/exam-accommodation-guidelines>

[115] Disability Resource Center Note Taker Services  
2\_10\_fn115.pdf  
<https://louisville.edu/disability/students/note-taker-service-policies>

[116] Department of Intramurals and Recreational Sports  
2\_10\_fn116.pdf  
<http://louisville.edu/intramurals/>

[117] Department of Intramurals and Recreational Sports Facilities  
2\_10\_fn117.pdf  
<http://louisville.edu/intramurals/facilities>

### 2.11.1

#### Financial Resources

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."

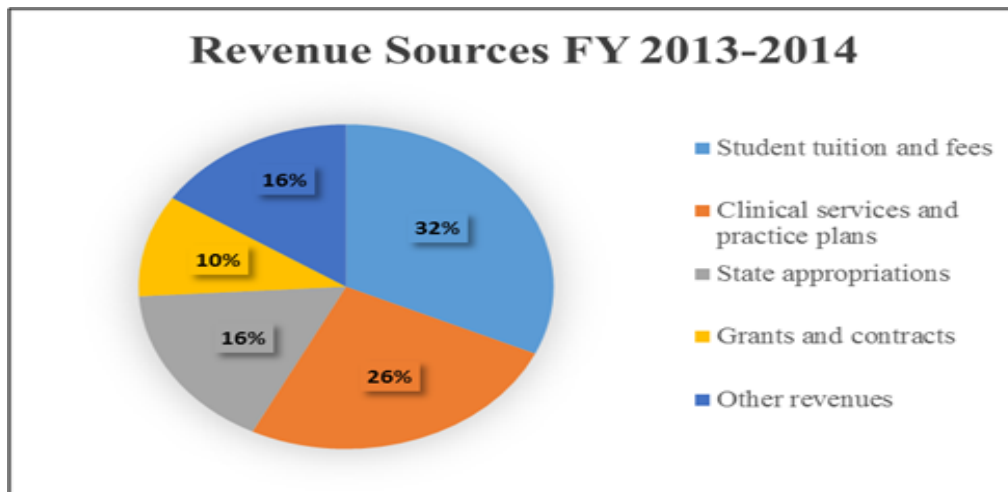
#### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

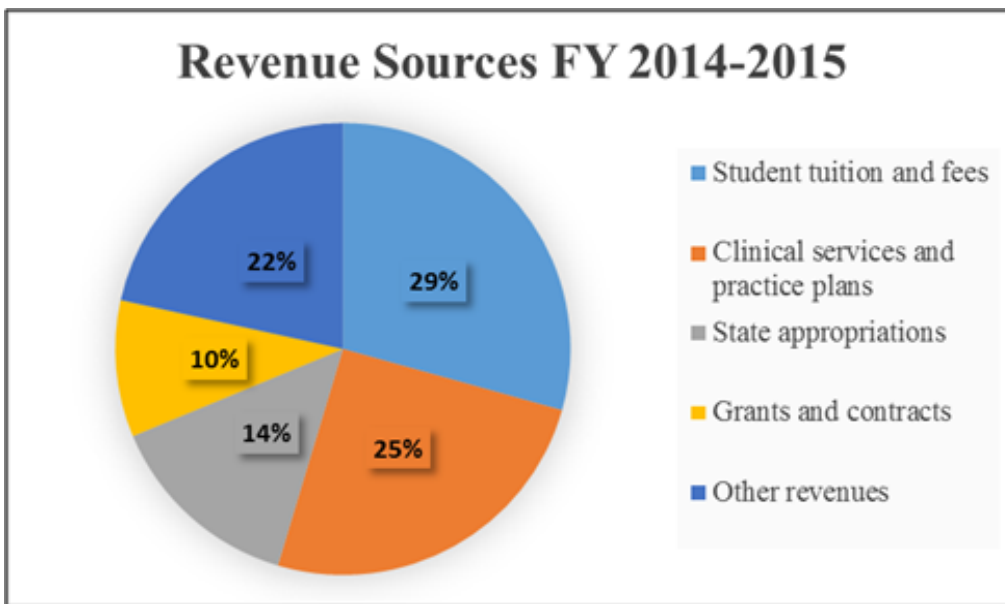
#### Narrative

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. The university's financial resources each fiscal year (FY) include general fund revenues from tuition and fees, state appropriations; and substantial revenues from clinical services, affiliation agreements, grants and contracts, and gifts and endowments. Graphs 1, 2, and 3 show the allocation of revenue sources for FY 2013-2014, FY 2014-2015, and FY 2015-2016 annual financial reports.

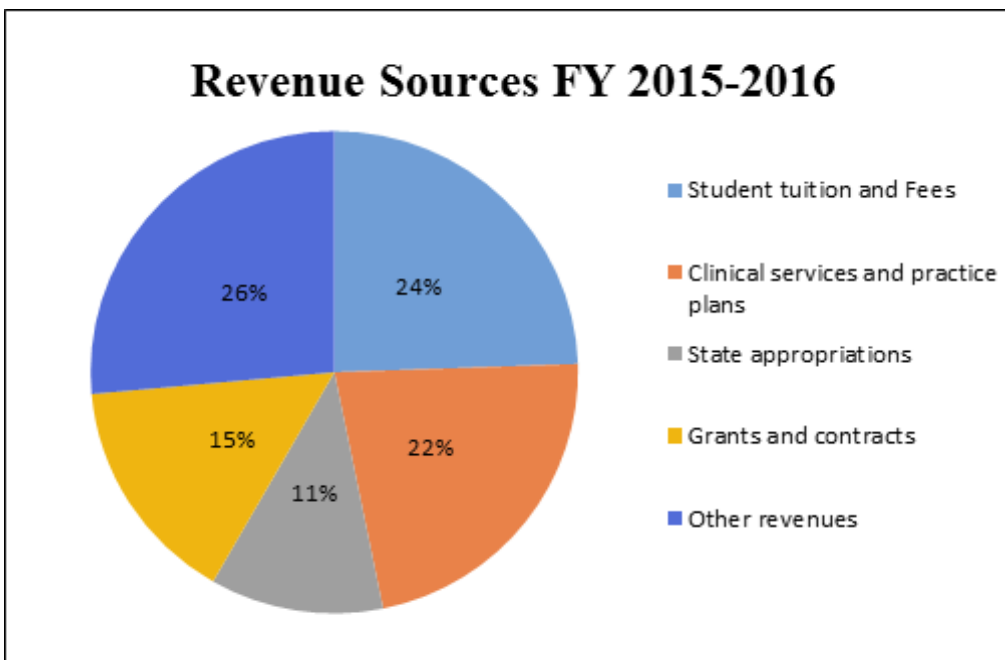
**Graph 1. Revenue Sources FY 2013-2014**



Graph 2. Revenue Sources FY 2014-2015



Graph 3. Revenue Sources FY 2015-2016



### University Budgeting

A comprehensive operating budget is prepared annually for the university. The university employs both "best practice" budgeting procedures and generally accepted financial



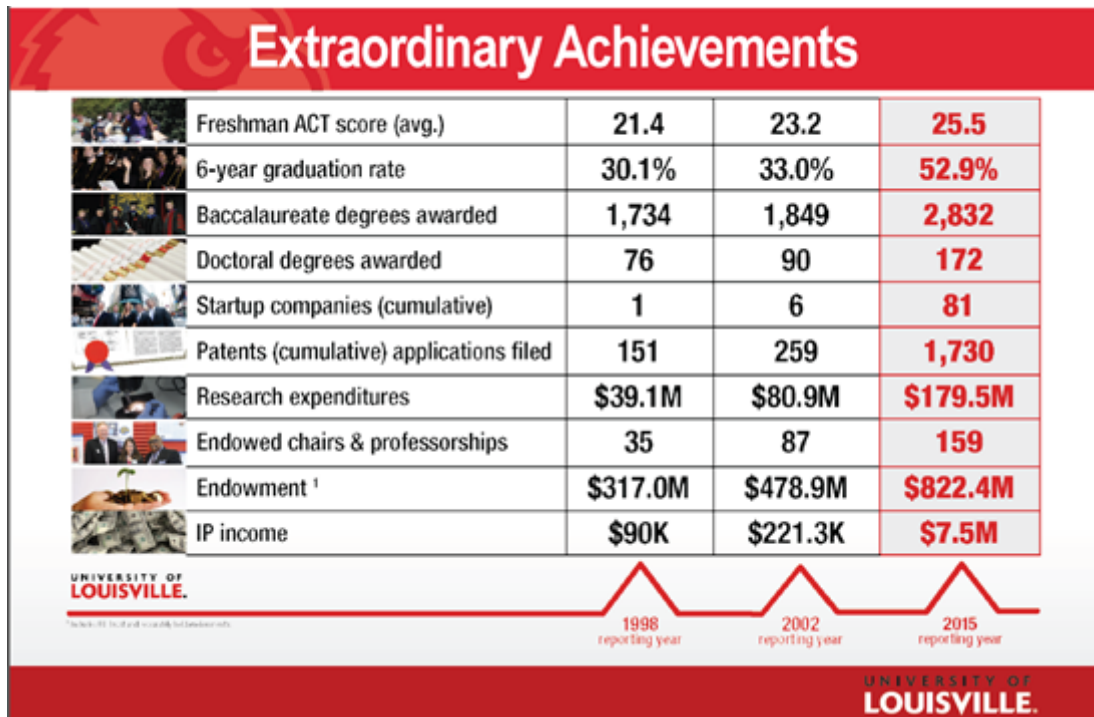
concepts for higher education. Moreover, the university is required by state statute to have a balanced budget each fiscal year.

The Office of Budget and Financial Planning (BFP) coordinates with the UofL President and the leadership team, in consultation with appropriate university units and their administrators, to develop the annual operating budget [1a] [1b] [1c] [1d] (see Table 1). BFP works to ensure that budget proposals link directly to the university's strategic plan, the *2020 Plan: Making It Happen*, approved by the Board of Trustees in 2008, and that they reflect the budget goals of the 21<sup>st</sup> Century Initiative. At the end of each fiscal year, the president informs the Board of Trustees of progress toward the strategic goals and reports periodically on selected key strategic planning indicators that measure, in an objective way, progress toward scorecard goals. Table 2 illustrates the university's progress in reaching selected scorecard goals.

**Table 1. Annual Operating Budget 2011-2012 to 2015-2016 (in thousands)**

Source	FY 2011-2012 Budget	FY 2012-2013 Budget	FY 2013-2014 Budget	FY 2014-2015 Budget	FY 2015-2016 Budget
General Funds	\$471,046	\$482,712	\$496,487	\$497,915	\$511,237
UofL Corporations	740,000	740,000	740,000	720,000	717,367
<b>Total Operating Budget</b>	<b>\$1,211,046</b>	<b>\$1,222,712</b>	<b>\$1,236,487</b>	<b>\$1,217,915</b>	<b>\$1,228,604</b>

**Table 2. University Scorecard Metrics**



The typical annual operating budget will contain several new strategic initiatives intended to aid in achieving those goals outlined in the strategic plan. As a result, the university

continues to make steady progress toward its strategic planning goals. The budgeting process includes work that is done simultaneously at both the macro and micro levels.

The university's leadership team (president, executive vice president and university provost, executive vice president for research and innovation, executive vice president for health affairs, and senior vice president for finance and administration) meet to assess the budget situation, economic conditions and constraints, different budget scenarios, significant budget issues, and to identify strategic priorities for a given budget year. The leadership team employs a set of budget values and principles that helps guide the budget process. It is the objective of this group to closely align the university's strategic initiatives with these values and principles (see Table 3).

**Table 3. Budget Values and Principles that Guide UofL's Budget Process**

<p>Budget Principles</p> <p>A set of budget principles was developed to guide the budget decision-making process. These principles focus on ensuring a transparent process, prioritizing competing initiatives, and positioning the university for success. The following list shows the budget principles developed under an overarching, unifying principle:</p> <p><b><i>The University of Louisville is first and foremost an academic institution committed to excellence. The education of its students in undergraduate, graduate and professional programs is founded on a teacher-scholar model with a strong experiential component. The success and well-being of current and future students of the University of Louisville is of singular importance in all budgetary decisions.</i></b></p>
1. The University of the 21 <sup>st</sup> Century Initiative: Powering the 2020 Plan will serve as the roadmap for prioritizing budget decisions.
2. Budget reductions must be strategic, not across-the-board.
3. Revenue enhancement, increased cost efficiencies, and internal reallocations must all be aggressively employed.
4. Enrollment growth will be prioritized as a strategy for revenue generation.
5. Tuition and fee increases must be minimized to the extent possible.
6. Financial aid to students is a high priority.
7. An "All Funds" approach will be applied.
8. For academic units, program demand will be a key consideration.
9. Core academic activities must be prioritized over administrative and support functions.
10. Budget Reserve Funds must be maintained for mid-year flexibility and year-end capital expenditures.
11. The existing budget development and decision making process will be utilized. Within this process, communication and dialogue will be open, honest, candid and frequent.

Budget planning for the university and its affiliates is a comprehensive process. Planning for the university's operating budget begins in fall and lasts until June, when the university's Board of Trustees takes action to approve the budget. A budget calendar is prepared for each fiscal year and is published and communicated widely. The preliminary work ends when the university's leadership team decides on an overall budget strategy and disseminates it to the various university constituencies, including faculty, staff, students, and the Board of Trustees. To ensure opportunity for continual feedback the vice president for finance and director of budget and financial planning regularly meet with the constituencies throughout the entire budget process.

Before important budget decisions are made, budget hearings are held with each vice president and dean. At these hearings the vice presidents and deans have the opportunity to provide information on their portion of the budget, as well as to discuss their ideas for possible revenue enhancements, cost savings ideas, and strategic initiatives. Other constituency groups such as the faculty, staff, and student senates and the president's budget and planning advisory group are also consulted. Participation in the budget process and two-way communication are fostered at all levels of the university. It is deemed very important to involve the broad group of campus constituents to ensure that the budget reflects campus-wide needs. The draft budget is typically not finalized until after the conclusion of the state's legislative session so that the effect of the state budget is incorporated fully into the university's budget.

Throughout the process, the Office of Budget and Financial Planning oversees university-wide budget training, develops and maintains the automated Budget Preparation System (BPS), and publishes instructional manuals and materials. It also develops and publishes the university's line-item operating budget and assists in the development of the budgets for the university's affiliated and related corporations [2].

After the draft budget is developed it is taken to the Board of Trustees for its review at a special budget workshop, typically held in May. At this meeting the proposed budget is discussed in detail, and the board is provided information on how the budget was developed and the specific annual goals the board has set for the president.

After the budget process is complete the leadership team and budget director review it for possible process improvement. Concerns encountered during the process are reviewed and changes are made to the process, if warranted. Budget analysts and unit business managers also participate in this post-analysis of the budget process. The board typically takes final action on the operating budget at its June board meeting [3].

The university has been very successful at managing its financial resources through the process described above. Budget decisions are continuously tracked against strategic priorities before, during, and after the formal budget process. The campus-wide involvement of so many people with direct link to the strategic plan directly affects success. This has been demonstrated in the university's ability to move forward with its strategic goals even through the recent years of mandated state budget cuts.

### **A Balanced Budget Approach**

UofL is required by state law to have a balanced budget each fiscal year; the total projected revenues must equal the total projected expenditures. Moreover, the university is not authorized to issue short-term debt or otherwise borrow to finance ongoing operations. The budget is divided into two fund groups: General Funds and UofL Corporations (see Table 4).

**Table 4. Fiscal Year 2015-2016 Operating Budget (in thousands)**

Source	FY 2015-2016 Budget
General Funds	\$511,237
UofL Corporations	717,367
<b>Total Operating Budget</b>	<b>\$1,228,604</b>

## General Funds

The general fund budget encompasses most general purpose activities of the university, including all instructional and operational support expenditures. The primary general fund revenue sources are tuition and fees, state appropriations, and other state funds. Most of the UofL Corporations revenues are generated by clinical operations through the Research Foundation, and gifts and endowments from the University of Louisville Foundation. Table 5 reflects general fund revenues by their sources, and Table 6 reflects the total budget by fund source.

**Table 5. General Fund Budget: Revenue by Source (in thousands)**

<b>General Fund Revenue By Source</b>	<b>FY 2016 Budget</b>	<b>Percent of Total</b>
Tuition and Fees	\$300,382	58.8%
State Appropriation and Other State Funds	141,236	27.6%
Transfers from UofL Corporations	28,152	5.5%
Hospital-Related Revenue	13,860	2.7%
Other Non-Educational Revenue	11,113	2.2%
University Housing	6,844	1.3%
Auxiliary Enterprises	6,384	1.2%
Organized Activities Related to Instruction	1,227	0.2%
Service Centers	1,070	0.2%
Sales and Services of Educational Activities	968	0.2%
<b>Total General Fund Revenue</b>	<b>\$511,237</b>	<b>100.0%</b>

**Table 6. Total Budget: General Funds and Corporation 2015-2016 (in thousands)**

<b>General Funds and Corporations</b>	<b>Amount</b>	<b>Percent to Total</b>
UofL Research Foundation	\$462,151	37.6%
Tuition and Fees	300,381	24.5%
UofL Foundation	154,686	12.6%
UofL Athletic Association	92,530	7.5%
Other General Funds	77,620	6.3%
Net State Appropriation	141,236	11.5%
<b>Total</b>	<b>1,228,604</b>	<b>100.0%</b>

## Tuition and Fees

Student tuition and fees continue to be critical sources of revenue for the university. The Council on Postsecondary Education (CPE) is the state coordinating agency for the eight public universities in the Commonwealth of Kentucky. One of CPE's responsibilities is to set guidelines for and then approve resident undergraduate tuition rates at all eight universities. CPE has established a tuition increase limit of no more than 5 percent for the 2016-2017 school year.

In order to strategically set these rates, the president and provost have established a committee composed of administrators, faculty, staff, and students. The committee's charge is to perform the necessary analyses, seek campus-wide input, and formulate a tuition recommendation for the leadership team each year. UofL's ultimate goal is to keep tuition affordable and at the same time provide new funds that will cover fixed costs and nurture the university's programs of strategic focus. To date UofL has not suffered a significant reduction in applications or enrollment as a result of its tuition increases.

**Steady Enrollment Trends.**

UofL's full-time equivalent (FTE) enrollment has remained relatively steady over the last five years, with a modest increase in the number of undergraduate students over that same time frame. See Table 7.

**Table 7. UofL Full-time Equivalent Enrollment Academic Year (AY) 2011-2015**

AY 2011-2012	18,454
AY 2012-2013	18,487
AY 2013-2014	18,719
AY 2014-2015	18,779
AY 2015-2016	18,601

Source: Just the Facts

UofL has focused on the quality of students by toughening academic standards and entrance criteria. This plan has not affected enrollment but has instead yielded a steady enrollment profile on which to build the operating budget each year. The university leadership carefully monitors enrollment patterns to ensure that academic decisions do not have unplanned consequences for the university's financial health.

**State Appropriations**

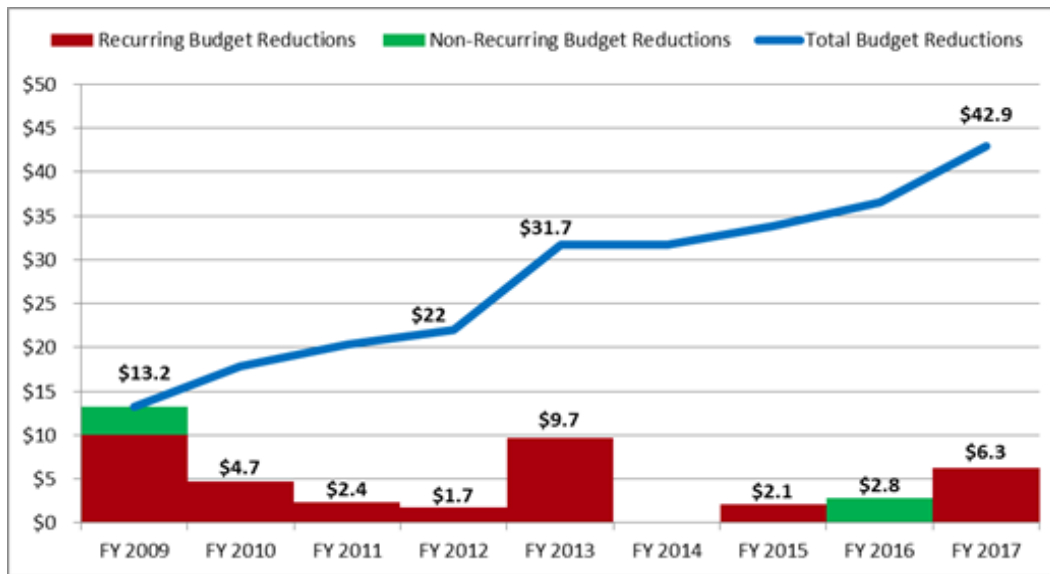
State appropriations have decreased in recent years. The university receives an annual base appropriation and other pass-through funds from the Council on Postsecondary Education (CPE). The base appropriation includes funds for general university operations, funds to meet state-funded debt service requirements, and funds to fulfill contractual obligations that are related to indigent care furnished by the UofL Medical Center (UMC).

UofL controls neither the timing nor amount of state appropriation—that is the sole responsibility of the Kentucky General Assembly. State appropriations have become an increasingly smaller percentage of the university's total operating budget during the past ten years. The annual appropriation from the Commonwealth is reasonably steady but can fluctuate with legislative add-ons and mandated budget cuts. Recognizing the limits of available state resources, UofL has relied increasingly on other sources of funds to grow its budget. Tuition, philanthropy, and sponsored grants and contracts are a few examples of discretionary funds for program enrichment, enhancement, or other strategic priorities. With its current financing strategy working, the university fully intends to continue to develop these resources in the future.

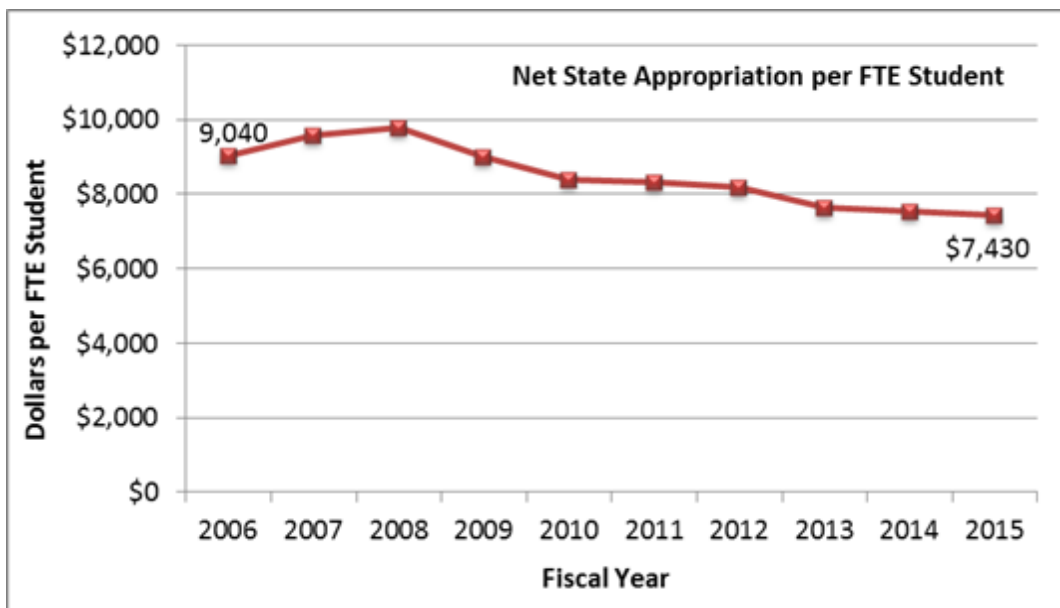
Graphs 4 and 5 illustrate the financial impact of declining state appropriations on the University of Louisville. In particular, the tables show that frequent and recurring reductions in state appropriations have cost UofL millions of dollars. As a result, students now bear a

larger share of the cost of higher education. Changes in the net state appropriation per FTE student can be seen in Graph 5.

**Graph 4. State Mandated Budget Reductions to UofL by Fiscal Years**



**Graph 5. Net State Appropriation per FTE Student**



**UofL Corporations**

UofL has relationships with several separate related corporations that support or augment the university's educational missions. These organizational entities are classified as either affiliated, affiliated but not controlled, or non-affiliated corporations of the university. An affiliated corporation (defined by KRS 164A.550) is a corporate entity that could not exist or effectively operate without substantial assistance from UofL. Non-affiliated are those entities

that do not meet the statutory definition of an affiliated corporation but their funds contribute to the university's annual operating budget. Table 8 lists funding sources for each UofL Corporation, and the table is followed by a discussion of each entity.

**Table 8. UofL Corporations Revenue by Source (in thousands)**

<b>UofL Corporations Revenue by Source</b>		
	<b>FY 2016 Budget</b>	<b>Percent of Total</b>
<b>University of Louisville Research Foundation, Inc. (Affiliated)</b>		
Clinical Operations	274,534	38.3%
Sponsored Agreements - Direct	164,617	22.9%
Sponsored Agreements - F&A	23,000	3.2%
<b>Total ULRF</b>	<b>462,151</b>	<b>64.4%</b>
<b>University of Louisville Foundation, Inc. (Affiliated, not controlled)</b>		
Fundraising, Foundation Business Operations, and Other Unrestricted Funds	28,322	3.9%
Restricted Endowment Funds	84,268	11.7%
Gift Funds	42,096	6.0%
<b>Total ULF</b>	<b>154,686</b>	<b>21.6%</b>
<b>University of Louisville Athletic Association, Inc. (Affiliated)</b>		
Football Program	33,090	4.6%
Papa John's Cardinal Stadium	450	0.1%
Basketball	26,820	3.7%
Annual Seat Donations	17,225	2.4%
NCAA/Conference Distribution	1,000	0.1%
Marketing	7,870	1.1%
Earnings from UL Foundation	500	0.1%
Gender Equity Commitment	1,320	0.2%
Other	4,255	0.6%
<b>Total ULAA</b>	<b>92,530</b>	<b>12.9%</b>
<b>Quality and Charity Care Trust (Non-affiliated)</b>		
Louisville Metropolitan Government	4,500	0.6%
<b>University of Louisville Medical School Fund, Inc. (Non-affiliated)</b>		
	3,500	0.5%
<b>Total UofL Corporations</b>	<b>717,367</b>	<b>100.0%</b>

### **University of Louisville Research Foundation**

The University of Louisville Research Foundation (ULRF) is a non-profit corporation affiliated with the University of Louisville. The Research Foundation was established in 1989 for the purpose of promoting and supporting research projects, investigations, clinical operations, and other activities relating to the educational, scientific, literary, health care, and public service missions of the university.

ULRF has three primary sources of revenues: 1) clinical services; 2) sponsored agreements; and 3) facilities and administrative cost recoveries.

## Clinical Services

Of the \$462.2 million total Research Foundation budget for FY 2015-2016, clinical services revenues total \$274.5 million, or 58 percent. Clinical services revenues come from patient care and laboratories, including primary care, radiology, oncology, neonatal care, and cardiology. Clinical services revenues also include financial support from affiliated hospitals for clinical services, academic programs, and house staff (interns and residents). Table 9 shows the clinical services revenues by unit. Each unit is located on the university's Health Sciences Center.

**Table 9. Clinical Total by Unit (in thousands)**

<b>Clinical Total by Unit</b>	<b>Amount</b>	<b>Percent to Total</b>	<b>Number of Programs</b>
School of Medicine	\$244,852	89.2%	266
School of Dentistry	18,555	6.8%	29
School of Nursing	818	0.3%	2
Executive Vice President for Health Affairs	10,309	3.7%	16
<b>Total</b>	<b>274,534</b>	<b>100.0%</b>	<b>313</b>

## Sponsored Agreements

Revenues from sponsored agreements (which are also referred to as grants and contracts) come from awards by government, for profit, and nonprofit entities to UofL faculty and researchers. For example, the National Institutes of Health recently awarded the university a \$3 million grant to help speed the commercialization of discoveries by UofL researchers. Grants and contracts are the second largest component of the ULRF budget, totaling \$164.6 million in FY 2015-16.

In November 2012, the University Medical Center (comprised of the UofL Hospital, Brown Cancer Center, and the programs on the Health Sciences Center), signed a joint operating agreement with KentuckyOne Health [4]. There is also an academic affiliation agreement that includes the clinical care programs of the university Schools of Medicine, Dentistry, Nursing, and Public Health and Information Sciences. The academic affiliation agreement confirms the role of the university in developing training programs or rotations in the UofL Hospital facilities [5]. These agreements outline the financial support from KentuckyOne Health over the next 20 years. In addition to \$75 million in annual academic support payments, KentuckyOne Health will invest \$135 million in new initiatives through 2018, allowing the Health Sciences Center to grow the clinical and teaching mission of the university.

## Facilities and Administrative Cost Recoveries

All federally funded grants and contracts allow for the recovery of central administrative and infrastructure costs associated with supporting faculty, researchers, and staff funded by the grants and contracts. The university's Facilities and Administrative cost recovery rate, or F&A rate, was 53 percent in FY 2015-16. In FY 2016-17 this rate will increase to 54 percent.

## **University of Louisville Foundation**

The University of Louisville Foundation, Inc. (ULF) is a non-profit, affiliated 501(c)(3) corporation that acts on UofL's behalf. The university does not control the ULF. The ULF has



a separate board of directors headed by the university president. The ULF is the corporate body responsible for receiving all gifts, endowments, and other donations. The foundation is the fiduciary structure for the deposit, investment, and disbursement of all donated funds. These donations are used to support the university's strategic goals, such as increasing the number of doctoral degrees awarded through scholarships and fellowships, providing a balanced high-quality education for students, and contributing to the body of knowledge and the solution of problems through excellence in basic and translational research and community service.

For FY 2016, the total operating budget for the ULF is \$154,686,000. The annual spending rate is determined by the Board of Directors of the ULF. The FY 2016 annual spending rate was 5.5 percent. The rate is calculated based on the three-year moving average of the market values of each endowment. Through a recent initiative to grow the ULF for the future, a portion of endowment funds have been reinvested into the principle, which allows for further growth of the endowment. Table 10 shows the endowment market value for the past five fiscal years as of the date listed.

**Table 10. ULF Endowment Market Value**

June 30, 2011	\$772.9 million
June 30, 2012	\$721.1 million
June 30, 2013	\$763.6 million
June 30, 2014	\$844.5 million
June 30, 2015	\$796.9 million

### **University of Louisville Athletic Association**

The University of Louisville Athletic Association, Inc. (ULAA) is an affiliated, Kentucky not-for-profit corporation organized for the purpose of promoting intercollegiate athletic activities of the university. ULAA is committed to achieving athletic excellence for its student athletes, maintaining NCAA rules and regulations compliance (including Title IX), ensuring full implementation of gender equity plans, and offering a wide variety of sports and recreational outlets for the university community, alumni, and visitors. For FY 2016, the total budget for ULAA is \$92,530,000, which is an increase of 19.8 percent over the 2014-2015 fiscal year.

### **Quality and Charity Care Trust**

The Quality and Charity Care Trust (QCCT) is a non-affiliated not-for-profit corporation created from a trust agreement. Parties to the trust agreement include: the university, Louisville Metro Government, the Commonwealth of Kentucky, and the University Medical Center (UMC). The purpose of the trust is to manage monies received from the two government entities and disburse funds to the UMC for indigent care provided at the UofL Hospital. The QCCT current operating budget is \$4.5 million, a reduction of \$500,000 from 2014-2015 to 2015-2016.

### **University of Louisville Medical School Fund, Inc.**

The UofL Medical School Fund, Inc. (ULMF) is a non-affiliated, Kentucky not-for profit organization organized exclusively to benefit the academic endeavors of the School of Medicine. The fund provides financial support to the School of Medicine by collecting a percentage of professional practice income from full-time clinical and basic sciences faculty

employed by the School of Medicine. The annual budget for the ULMF of \$3.5 million is unchanged from fiscal year 2014-2015 to 2015-2016.

## **Financial Highlights**

### **Audited Financial Statement Overview**

In accordance with state statute KRS 164A.570 [6], the university contracts with a qualified firm of certified public accountants to conduct an annual financial examination of the university in accordance with generally accepted auditing standards [7a] [7b] [7c] [7d]. For the fiscal years 2011-2012 to 2014-2015, the university received unmodified opinions, and, with the exception of FY 2013-2014, no material findings were related to reporting or internal controls [8a] [8b] [8c] [8d].

During the FY 2013-2014 audit, two adjustments were required to restate the prior year's audited financial statements. University staff informed the external auditors that library purchases of electronic subscriptions with a useful life of less than one year were capitalized improperly and accounts receivables related to Medicaid supplemental payments and patient accounts at the Health Science Center had not been recorded. The net impact of the two adjustments was a decrease in prior net position of \$5,300 thousand. The finding in the management letter focused on communication between the central accounting office and other units, as the central office was not aware of the transactions prior to FY 2013-2014. As part of the corrective process, the Associate Vice-President for Finance/Controller's Office now meets regularly with the finance leaders in the Health Science Center to maintain a thorough understanding of the operations and to ensure timely accounting. The Associate Vice-President for Finance/Controller's Office maintains responsibility for the university-wide financial reporting process, which includes monitoring policy changes.

During FY 2011-2012 and FY 2012-2013 the university recognized decreases in net position of \$41,404 thousand and \$68,451 thousand, respectively. FY 2012-2013 showed a decrease in academic support revenue from the medical school faculty's practice plans and support from the University of Louisville Hospital, which contributed to the decrease in net position. During fiscal years 2011-12 and 2012-13 the approximate 60+ faculty practice plans merged into one entity, University of Louisville Physicians, Inc. [9], and the transition impacted the revenues of the university practice plans.

The practice plans are required to transfer a portion of the profit to the University of Louisville Research Foundation, Inc. to support the academic mission and were unable to maintain prior levels of transfers during the transition. The consolidation into the University of Louisville Physicians, Inc. was initiated to allow the clinical practice plans to gain efficiencies from standardized billing, collection, and purchasing offices.

In FY 2012-2013, in order to strategically redeploy resources, the university offered a voluntary separation incentive plan to eligible faculty and staff. This resulted in an additional \$18,001 thousand of expense recognition in the financial statements. This expense contributed to the large decrease in net position recognized during the year. This expense was paid to the retired employees over the next three years and was offset by the savings realized by reorganization of responsibilities and strategic rehiring.

The university showed improvement in FY 2013-2014 and FY 2014-2015. Increased enrollment and tuition rates contributed an additional \$17,130 thousand and \$11,688 thousand in FY 2013-2014 and FY 2014-2015, respectively, of gross tuition

revenue. Clinical services and practice plan income increased \$59,195 thousand over the two-year period due to stabilization of the practice plans and partnerships with KentuckyOne Health. During the same period, the university focused on efficiencies in operations leading to minimal increases in operating expenses. Table 11 illustrates the university's improved financial condition.

**Table 11. University of Louisville Total Funds 2011-2012 – 2014-2015  
(in thousands)**

	<u>FY 2011-2012</u>	<u>FY 2012-2013</u>	<u>FY 2013-2014</u>	<u>FY 2014-2015</u>
Net Position as of June 30,	\$764,108	\$695,657	\$693,807	\$706,580
Student tuition and fees	\$248,378	\$264,726	\$281,856	\$293,544
Tuition discount	65,476	69,099	72,414	83,710
Net student tuition and fees	182,902	195,627	209,442	209,834
Clinical services and practice plans	195,903	193,212	227,858	252,407
Other operating revenues	199,555	188,317	195,113	206,050
Total operating revenues	578,360	577,156	632,413	668,291
Total operating expenses	831,220	857,007	873,683	964,314
Operating loss	(252,860)	(279,851)	(241,270)	(296,023)
State appropriations	156,114	144,066	147,256	140,744
Adjustments applicable to prior years	(9,130)	-	-	-
Voluntary separation plan expense	-	(18,001)	-	-
Other nonoperating revenues	64,472	85,335	92,164	168,052
Total nonoperating revenues	211,456	211,400	239,420	308,796
Change in Net Position	(\$41,404)	(\$68,451)	(\$1,850)	\$12,773

### Statements of Financial Position – Unrestricted

The university's unrestricted financial position follows a similar pattern, with decreases in FY 2011-2012 and FY 2012-2013 and improvements thereafter [10] [11]. Through cost-saving initiatives, such as the voluntary separation incentive plan, the university continues to increase efficiency and improve unrestricted net position. During FY 2014-2015, the university began including the expenditures funded by gifts and endowment spending previously captured by the University of Louisville Foundation Inc. (ULF). The ULF transferred the necessary funding for these expenditures to the university. The positive change in net position of \$7,887 thousand realized in FY 2014-2015 resulted from increased tuition revenue and relatively flat overall expenses, adjusting for additional expenses funded by the ULF [12]. See Table 12 provides the fiscal details of the changes in net position.

**Table 12. University of Louisville Unrestricted Funds 2011-2012 – 2014-2015  
(in thousands)**

	<u>FY 2011-2012</u>	<u>FY 2012-2013</u>	<u>FY 2013-2014</u>	<u>FY 2014-2015</u>
Net Position as of June 30,	\$67,598	\$16,024	\$4,439	\$12,326
Student tuition and fees	\$248,378	\$264,726	\$281,856	\$293,544
Tuition discount	65,476	69,099	72,414	83,710
Net student tuition and fees	182,902	195,627	209,442	209,834
Clinical services and practice plans	183,961	177,880	212,832	232,353
Other operating revenues	85,045	98,036	101,259	110,975
Total operating revenues	451,908	471,543	523,533	553,162
Total operating expenses	625,990	665,868	682,687	732,291
Operating loss	(174,082)	(194,325)	(159,154)	(179,129)
State appropriations	155,077	142,615	145,594	139,228
Adjustments applicable to prior years	237	8,143	-	-
Voluntary separation plan expense	-	(18,001)	-	-
Other nonoperating (expenses)/revenues	(18,132)	9,994	1,975	47,788
Total nonoperating revenues	137,182	142,751	147,569	187,016
Change in net position	(\$36,900)	(\$51,574)	(\$11,585)	\$7,887

### Management and Control

Each organizational unit maintains responsibility for the management of its funds [13]. The university's established policies and procedures provide a framework for good stewardship of resources. For example, the account reconciliation policy [14] requires unit business managers to reconcile all programs on a monthly basis and to monitor the level of spending within each type of program.

In spring 2014, the university's Board of Trustees contracted with consultants to review business practices and internal controls, specifically those surrounding cash handling. University employees were involved in seven instances of fiscal misconduct between 2008 and 2015. These events [15] were primarily the result of unit managers placing too much trust in key employees and failing to verify work product. The university and individual units have strengthened policies over accounts receivable and cash handling; conducted training in fraud awareness, the fiscal misconduct policy, and the compliance hotline; and engaged consultants to review the financial controls and make recommendations for improvement. The consultant's report, issued by Strothman + Company, resulted in seventeen recommendations that the university has implemented or is in the process of implementing [16]. Following these recommendations, the university hired Harlan Sands as the Senior Vice President of Finance and Administration, Chief Financial Officer/Chief Operating Officer (CFO/COO) in January 2015. Under the CFO/COO direction, the operating and management of the university is being reorganized and additional internal controls implemented. Some changes include having the lead business officer for each school or division reporting to the CFO/COO, a policy library that consolidates all financial and operating policies into one searchable site [17], and streamlined procurement procedures.

## **Debt Management**

Debt management is carefully controlled internally at UofL by budget processes and externally through a rigorous authorization process of the Kentucky General Assembly and Kentucky Finance Cabinet.

The university is rated Aa3 stable by Moody's and AA- by Standard and Poor's [18a] [18b]. According to Moody's, obligations rated Aa are judged to be of high quality and are subject to very low credit risk. Standard & Poor's stated in their February 2016 Ratings Direct report: "We assessed UofL's enterprise profile as very strong, characterized by historically stable enrollment, and a good demand profile, as well as its strong research presence. We assessed UofL's financial profile as very strong, with consistent operating surpluses on a cash basis, although less consistent on a full-accrual basis, and a low pro forma maximum annual debt service (MADS) burden, offset by low available resources to debt for the rating category. Combined, we believe these credit factors lead to an indicative stand-alone credit profile of 'aa-' and a 'AA-' stable rating on the university's bonds."

## **Operating Surplus**

UofL has a general fund operating surplus every fiscal year. For purposes of this report, operating surpluses can be defined simply as excess general fund revenue over expenditures in a given fiscal year. These funds fall to the central administration for campus-wide use.

At each fiscal year end, the university's leadership team has the authority per University policy to transfer unit based year-end balances back to the respective units for discretionary use within the academic and support units. While this decentralized carry-over amount fluctuates over time, at the end of FY 15 this surplus totaled approximately \$24 million.

## **Budget Reserves**

As a matter of fiscal policy, UofL maintains several budget reserve funds that help to smooth-out the budget cycle. If not used in a given fiscal year, the funds can be reallocated to other high-priority strategic needs on a one-time, nonrecurring basis.

The university maintains a general budget reserve of approximately \$5 million. A directive of the Board of Trustees established a need for this reserve in 1988, with the aim of eventually making it equal to 2 percent of the university's general fund budget base. The university currently has \$2.5 million budgeted in another general fund as a reserve for adjustments.

## **Other Reports**

The 2.11.1 financial worksheet template required by SACSCOC is included with this report and documents the university's net assets and long-term liabilities for FY 2011-2012 to FY 2014-2015 [19].

## SUMMARY

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.

The 2015-16 audited financial statement and management letter will not be completed until after the university's reaffirmation date in September 2016. The university will submit the 2015-16 fiscal year reports to SACSCOC as soon as they are available.

### [1] Operating Budget

[1a] Operating Budget FY 2015-2016  
2\_11\_1\_fn01a.pdf  
<http://louisville.edu/provost/budget/opuds/1516>

[1b] Operating Budget FY 2014-15  
2\_11\_1\_fn01b.pdf  
<http://louisville.edu/provost/budget/opuds/1415>

[1c] Operating Budget FY 2013-14  
2\_11\_1\_fn01c.pdf  
<http://louisville.edu/provost/budget/opuds/1314>

[1d] Operating Budget FY 2012-13  
2\_11\_1\_fn01d.pdf

### [2] Budget Development System 2\_11\_1\_fn02.pdf

[3] Board of Trustees Approval of FY 2016 Operating Budget  
2\_11\_1\_fn03.pdf  
<http://louisville.edu/president/board-of-trustees/docs/6415MinutesAttachmentsBOT.pdf>

[4] Joint Operating Agreement – University Medical Center & KentuckyOne Health, Inc.  
2\_11\_1\_fn04.pdf

[5] Academic Affiliation Agreement – University Medical Center & KentuckyOne Health, Inc.  
2\_11\_1\_fn05.pdf

[6] KRS 164A.570, Annual Audit  
2\_11\_1\_fn06.pdf

### [7] UofL and Affiliated Corporations Audited Financial Statements

[7a] UofL and Affiliated Corporations Audited Financial Statements, FY 2014-2015  
2\_11\_1\_fn07a.pdf

[7b] UofL and Affiliated Corporations Audited Financial Statements, FY 2013-2014  
2\_11\_1\_fn07b.pdf

[7c] UofL and Affiliated Corporations Audited Financial Statements, FY 2012-2013  
2\_11\_1\_fn07c.pdf

[7d] UofL and Affiliated Corporations Audited Financial Statements, FY 2011-2012  
2\_11\_1\_fn07d.pdf

[8] UofL and Affiliated Corporations Management Letter

[8a] UofL and Affiliated Corporations Management Letter, FY 2014-2015  
2\_11\_1\_fn08a.pdf

[8b] UofL and Affiliated Corporations Management Letter, FY 2013-2014  
2\_11\_1\_fn08b.pdf

[8c] UofL and Affiliated Corporations Management Letter, FY 2012-2013  
2\_11\_1\_fn08c.pdf

[8d] UofL and Affiliated Corporations Management Letter, FY 2011-2012  
2\_11\_1\_fn08d.pdf

[9] Private Practice Plan Consolidation, UofL Board of Trustees Meeting, April 14, 2011  
2\_11\_1\_fn09.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2011/bot110411.pdf/view>

[10] Unrestricted Statements of Net Position, 2011-2015  
2\_11\_1\_fn10.pdf

[11] Unrestricted Statements of Revenue, Expenses, and Changes in Net Position, 2011-2015  
2\_11\_1\_fn11.pdf

[12] Affiliation Agreement with ULF  
2\_11\_1\_fn12.pdf

[13] UofL Organizational Chart  
2\_11\_1\_fn13.pdf  
<http://louisville.edu/administration/orgchart.html>

[14] Account Reconciliation Policy  
2\_11\_1\_fn14.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Account%20Reconciliations.aspx>

[15] Incidents of Fiscal Misconduct  
2\_11\_1\_fn15.pdf

[16] Update on Strothman Recommendations  
2\_11\_1\_fn16.pdf

[17] Financial Policy Library  
2\_11\_1\_fn17.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Forms/finance.aspx?RootFolder=%2fsites%2fpolicies%2flibrary%2fSitePages%2fFinance>

[18] Bond Rating Reports

[18a] Moody's Ratings Report 2016  
2\_11\_1\_fn18a.pdf

[18b] Standard & Poor's Ratings Report 2016  
2\_11\_1\_fn18b.pdf

[19] 2.11.1 Financial Worksheet Template  
2\_11\_1\_fn19.pdf



## 2.11.2

### Physical Resources

The institution has adequate physical resources to support the mission of the institution and the scope of its programs and services.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville's physical resources are adequate to support the university's mission and the scope of its programs and services.

### Mission

The University of Louisville's (UofL) mission is to be a premier, nationally recognized metropolitan research university [1]. The university embraces this charge and has responded through focused strategic planning in the form of the *2020 Plan* [2]. The 2020 Plan provides a structure for continuing to move the university toward national distinction as a premier metropolitan research university as well as the university's goal to serve the needs of the community and the region as a catalyst for economic advancement and improved quality of life for its citizens. The 21<sup>st</sup> Century Initiative [3], 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.

The Senior Vice President for Finance and Administration and Chief Operating Officer (CFO/COO) is responsible for the financial and physical resources operations [4]. The CFO/COO has recently implemented organizational changes that consolidate the departments of Physical Plant; University Planning, Design and Construction; and Environmental Health and Safety under the umbrella of Facilities Management. A new Associate Vice President for Facilities Management has been hired to lead these units going forward. The units reporting to this position control the operation and maintenance of all university physical resources to ensure that the needs of institutional programs, support services, and mission-related activities are met. The units reporting to this position control the operation and maintenance of all university physical resources to ensure that the needs of institutional programs, support services, and mission-related activities are met.

### The Campuses

UofL is a state-supported research university located in Kentucky's largest metropolitan area and consists of three campuses:

- The 409-acre Belknap Campus [5] is located 3 miles from downtown Louisville and houses eight of the university's twelve colleges and schools along with a child care center.
- The 62-acre Health Sciences Center [6] is situated amid Louisville's downtown medical complex and houses the university's health-related schools (Medicine, Nursing, Dentistry, and Public Health and Information Sciences).

- The 235-acre Shelby Campus [7] is located in eastern Jefferson County. The academic core is comprised of 28 acres, which houses the National Crime Prevention Institute; the Delphi Center for Teaching and Learning Unit for Continuing and Professional Education, and the Center for Predictive Medicine, a \$44 million facility that contains one of NIH's thirteen regional BL-3 biosafety labs. The remainder of Shelby Campus is leased to the UofL Foundation to develop the ShelbyHurst Research and Office Park.

Maps of the three campuses can also be viewed in the virtual campus tour <http://louisville.edu/campustour> [8].

### **Physical Resources--Master Plan**

The university maintains a Master Plan for each of its three campuses. The master planning process is broad in nature and includes many individuals from the university, community, and Board of Trustees. The President and the Board of Trustees always review and approve campus master plans and any revisions. Periodic updates (typically every 5-10 years as needed due to changing priorities or climate) are made to the Master Plan in order to address new university initiatives or to align with the university's mission. The master plans were updated for the Belknap [9] and Shelby [10] campuses in 2009 and the Health Sciences Campus (HSC) in 2006 [11]. The HSC master plan is undergoing an update but has not received final approval. .

The 2009 plan for the Belknap Campus included consolidating and expanding athletic and recreational programs on the eastern edge of campus, moving parking to the perimeter of campus, expanding student housing, moving recreational facilities and food service operations to the western edge of campus, and developing a research park south of Belknap. In 2014, the university received state authorization for a new \$80 million academic building with a gross square footage of 179,400 (gsf) on the Belknap Campus.

Table 1 provides a list of the projects based on the 2009 Master Plan:

**Table 1. Projects Based on 2009 Belknap Master Plan**

<u>Projects (over \$600,000)</u>	<u>Fund Source</u>
<b>Research and Academic Facilities:</b>	
Business School Addition – Complete	Private
Belknap Science and Engineering Park Infrastructure	Transportation/Private
Belknap Classroom Building Construction (in process)	State
<b>Student Services and Housing:</b>	
The Ville Grill Construction – Complete	Dining Services
University Tower Apartments renovation	Housing
Student Recreation Center Construction – Complete	Student Fees/Private
Student Activity Center Renovation (in process)	Student Fees/Private
The Pointe Housing Project – Complete	Foundation/Developer
<b>Campus Auxiliary Services, Support and Beautification</b>	
Stevenson Hall Renovation – Partially Complete	University
Eastern Parkway Beautification – Complete	Transportation
Third and Eastern Parkway Gateway – Complete	Transportation/University
Freedom Park Development – Partially Complete	Transportation/Private
North Entrance Improvements – Complete	Transportation/Private
Oval Driveway Improvements – Complete	Transportation
Storm Water Improvement Projects – On Going	Metropolitan Sewer District
Floyd Street Project – In Progress	Transportation/Private
Parking	Private
<b>Athletic and Recreational Facilities:</b>	
Papa John’s Cardinal Stadium Expansion – Complete	Private/ULAA
Baseball Stadium Expansion – Complete	Private/ULAA
Softball Stadium Expansion – Complete	Private/ULAA
Soccer Stadium Construction – Complete	Private/ULAA
Athletic Event Parking	Private/ULAA
Athletics Academic Center Construction (Substantially Complete)	Private/ULAA

The funding sources include private contributions made through the Office of University Advancement, UofL Foundation (ULF), UofL Athletic Association (ULAA), Louisville Metropolitan Sewer District, Kentucky Department of Transportation, State of Kentucky, the university, and UofL student fees.

The Campus Master Plan for the Health Sciences Center has led to the expansion of the dental school, the relocation of the School of Public Health and Information Sciences, the UofL Outpatient Clinic, the new Pediatrics Clinic that is under construction, the Center for Translational Research, the 620 Parking Garage, the improvement of security; the renovation of outdated research, library, and classroom facilities; and the improvement of the quality of the streetscape.

The Shelby Campus plan has guided the construction and addition to the Center for Predictive Medicine, renovations of Founders Union and Burhan’s halls and construction of the three ShelbyHurst office buildings.

## **Capital Planning**

Every two years (in the odd-numbered years) the university develops an agency capital plan [12] that includes funding requests for new construction projects and capital renewal (deferred maintenance) on the existing facilities. The plan, which is a requirement of all state agencies, including public universities, covers six fiscal years and coincides with the state's operating and capital budget development processes. Internally it is a thorough depiction of the university's capital requirements over the next six-year timeframe. The facilities assessment performed by Vanderweil Facility Advisors, Inc. (VFA) included assessments by building, and this information is also used in the capital planning process [13]. Deans and Vice Presidents contribute to the plan, and it is approved by the President and Board of Trustees. The plan is submitted to the Kentucky Council on Postsecondary Education (CPE) and is the basis for CPE's capital recommendation for the upcoming biennium. In turn, the CPE submits its recommendation to the governor for inclusion in his version of the proposed capital budget. Ultimately, the Kentucky General Assembly passes a budget, which may or may not contain UofL projects. Projects that are removed from the final capital projects list in one biennium may be resubmitted in subsequent biennia.

## **Facilities Condition Assessment and Space Adequacy**

In 2006, CPE contracted with VFA to complete a partial facility condition assessment at all of the public higher educational facilities in the state. The VFA study included an assessment of 107 UofL assets covering 79 percent of its buildings and 57 percent of its gross square footage. The study determined that the Facility Condition Index (FCI) was 31 percent as compared to a target national benchmark FCI of 18 percent [14]. This study confirmed that the university of Louisville and other state institutions are behind on funding capital renewal.

The CPE periodically provides an assessment of space needs for all of the state-funded higher education institutions. The most recent report [15] was completed in 2014. The 2014 report compares space available on UofL campuses to what is needed based on benchmark calculations. The report shows that UofL had an overall space shortage of 21 percent (597,290 Assignable Square Footage [ASF]) in 2012, which is expected to grow to 76 percent in 2020 if no additional space is added. The university is beginning construction on a new academic building that will significantly reduce this deficit on the Belknap Campus.

## **Capital Renewal**

The university's operating budget has a permanent line item of \$1 million in recurring funds that are specifically set aside for deferred maintenance or capital renewal projects. The capital renewal list is compiled by Physical Plant and reviewed by senior administration to determine university priorities [16]. Capital renewal and renovation funding are often provided from a distribution of year-end surplus funds. In recent years the university has been able to accommodate a significant amount of capital renewal needs through the use of energy savings performance contracts (ESPC), insurance proceeds from natural disasters, and renovation projects funded by university departments. Since 2010 the university has used these other mechanisms to complete approximately \$122 million in deferred maintenance.

## **Classroom Space**

Constructing a new classroom building on the Belknap Campus has been a number one priority over the past four biennium. The new building will provide office space for some College of Arts and Sciences departments along with high-technology classrooms and student laboratories to facilitate instruction for both undergraduate and graduate students. Construction is expected to begin in spring 2016. In future legislative sessions, the university will make a new instructional building for the Health Sciences Campus its number one capital priority.

Since 2010 classroom renovations have been accomplished in Davidson Hall, Life Sciences, Brigman Hall, Gottschalk Hall, Dougherty Hall, Natural Sciences, Humanities, Crawford Gym, School of Business, and McCandless. The College of Arts & Sciences completed nearly \$1.5 million in improvements to teaching auditoriums during the summer of 2015. The institution has included major renovations of the College of Education, HSC K Wing, J.B. Speed School of Engineering, and the Brandeis Law School in the first two years of the 2016-2022 Six-year Capital Plan [17].

Our highest capital priority in the 2016-18 legislative session is general fund authorization for a new instructional building on our Health Sciences Center. In response to state and national calls for additional health manpower, class sizes in our Schools of Medicine, Dentistry, Nursing, and Public Health and Information Sciences were increased in 2010, which has stressed existing physical resources. The adequacy of classroom space and other space on the HSC was an issue cited in the medical school's 2013-14 accreditation review. The university responded with renovations to the existing HSC Instructional Building and Kornhauser Library. These renovations were approved by the accrediting body (LCME) and the School of Medicine was reaffirmed through the 2020-2021 school year.

UofL plans to construct a new HSC instructional building of 80,000 gsf and to renovate 72,000 gsf of existing areas within the current instructional building and library. The new space will support the expanded class sizes and will include new classrooms and lecture halls, new curricular requirements, expanded clinical skills training facilities, expanded simulation facilities, a new gross anatomy laboratory, and additional space for support services such as food services, bookstore, IT support, etc. The space will integrate new technology and computer-based instructional systems integral to teaching modern healthcare. The renovation will upgrade the aging building infrastructure and renovate the library to provide increased computer usage and expanded space for group study.

## **Research**

The Commonwealth has embarked on a plan to move Kentucky's economy away from its traditional manufacturing and agricultural base to a new knowledge-based economy. This initiative brings UofL to the forefront as a significant economic driver in the development of spin-off, high-technology businesses that are expected to contribute to Kentucky's future. To further grow the research and development enterprise, the university must develop research space and upgrade current research facilities. The CPE space planning model projects a need for 1.3 million [18] of assignable square feet of research space to support planned increases in science and engineering expenditures by 2020. Two new research buildings on the Belknap and HSC campuses are planned to address future expansion.

The UofL Foundation currently has three research parks under development that will promote integration of academic and clinical applications with economic development. The J. D. Nichols Campus for Innovation and Entrepreneurship, in downtown Louisville, will

house multiple facilities in close proximity to the Health Sciences Center and will promote synergy, collaboration, and shared expertise among researchers and companies. Development is underway for a 390-acre Belknap Engineering & Applied Science Park [19], designed to stimulate economic growth in the area around the Belknap Campus. The park will attract researchers and private businesses to work directly and collaboratively with UofL. Initial construction has been completed on ShelbyHurst, a state-of-the-art office and research campus development that will accommodate business, office, technology, and research uses. These projects should accommodate the research space expected to be needed for the next decade.

UofL's current agency capital plan includes requests for renovation and upgrades for several older research facilities on both the Health Sciences and Belknap campuses. While these renovations are likely to increase the overall assignable square feet only minimally, the improvements are important for providing researchers with quality facilities that will allow them to compete for competitive extramural grants. The two buildings targeted for extensive renovations include the Natural Sciences building on the Belknap Campus and the Medical Dental Research building on the Health Sciences Campus.

### **Residential and Dining Services**

The university has made a concerted effort to increase the number of students living on campus as part of its effort to increase graduation rates. Housing for students has increased (including affiliated properties) from 1,958 spaces in 1999 to a projected 6,296 in 2016 [20]. Along with this growth the university has opened several new food service operations [21] and a new 128,000 gsf student recreation center. As well, several private restaurants and other retail establishments have opened on the west side of the Belknap Campus. Renovation of the student activities center and additional dining improvements are currently being planned.

The Health Sciences Campus currently has one dining option. This campus is near several hospitals that have dining facilities and is located in the downtown Louisville where dining needs are accommodated by public eating establishments. However, UofL is exploring additional dining options for the Health Sciences Campus. The Delphi Center for Continuing and Professional Education, located on the university's Shelby Campus, oversees the operation of three facilities that provide conference, classroom, and private event space, as well as catered food services. Shelby Campus is located in a large suburban area with many food and housing options.

### **Off-Campus Locations**

UofL off-campus locations include undergraduate and graduate programs offered 50 percent or more at the following locations:

- Fort Knox Army Base, Fort Knox, KY [22a]
- School of Medicine Trover Campus, Madisonville, KY [22b]
- Quality Leadership University, Panama [22c]
- Owensboro Medical Health Systems, Owensboro, KY [22d]
- General Electric, Louisville, KY [22e]
- European Business School, Ooetrich-Winkel, Germany [22f]
- Akademie Worth Business School, Germany [22g]

In negotiating Memoranda of Agreement UofL program faculty determine the adequacy of the off-campus space at each location. UofL partnerships with schools holding SACSCOC

accreditation were assumed to have the appropriate space as judged by the program faculty (Western Kentucky University, University of Kentucky Gatton College of Business and Economics—joint degree, UK/UL Social Work degree).

### **Space Management**

The university administration monitors space utilization on the three campuses to ensure effective use of space and to comply with CPE's guidelines on space utilization. The university's Executive Vice President and Provost [23] has overall responsibility for space management on the Belknap and Shelby Campuses. This work includes the monitoring of use of classrooms and class labs, resolution of conflicts over space allocation, and reallocation of space freed up by construction of new buildings or the renovation of existing structures. Oversight of research space on the Belknap Campus is delegated to the EVPRI [24], working directly in tandem with the respective academic deans. Once space is allocated to the units on the Belknap Campus (College of Arts and Sciences, College of Business, Speed School of Engineering, College of Education and Human Development, Brandeis School of Law, School of Music, and Kent School of Social Work) the units themselves manage the space in their assigned buildings.

The academic core at Shelby Campus includes the Kent School of Social Work, UofL Professional Development, UofL Lifelong Learning, and Event and Conference Services within the Delphi Center for Teaching and Learning. The Associate Provost and Executive Director monitors the use of rooms/office space, resolves conflicts over space allocation, and reallocates space freed up by construction of new buildings or the renovation of existing structures. The remainder of the Shelby Campus is managed by the UofL Foundation, who outsources the management of the properties.

Oversight of academic space on the Health Sciences Campus is delegated to the Executive Vice President for Health Affairs (EVPHA) [25]. The Office of the Executive Vice President for Health Affairs allocates space to the individual schools at the Health Sciences Campus (Dentistry, Medicine, Nursing, and Public Health and Information Sciences). Classrooms are scheduled centrally under the Office of the EVPHA to maximize the use of this important resource. Research (wet lab) space is allocated using the target (standard) of \$250 of extramural funding for research grants and contracts per square foot of research space. This standard is used to determine if a department can justify a request for additional research space. It is also used to identify space that could be reallocated from an academic unit that does not meet this standard to a department that requires additional research space.

The university submits annual reports [26] [27] and [28] on space utilization as part of CPE's comprehensive database reporting requirements. CPE uses this information to develop recommendations for future capital construction projects. An analysis of the reported data of Kentucky institutions allows the CPE and the university to evaluate whether the institutions have enough space to meet enrollment projections, how UofL facilities compare to other postsecondary institutions in the state, and how the institutions compare to national standards.

### **Assessments and Surveys**

The physical plant department has established processes for assessing the effectiveness of services provided. Every work order that is submitted by email gets an email response with the link to the Physical Plant survey questionnaire for feedback [29]. In addition, Physical Plant randomly selects 10-15 completed work orders a month and solicits the requesting department for their feedback on how Physical Plant is doing, including questions about

efficiency, response time and customer service [30]. The results of the surveys are reported to the Physical Plant business office and are discussed with supervisors and staff at various departmental meetings. Strategies are developed for making fundamental changes to address systemic or recurring problems [31]. Every two years an informal assessment is undertaken of all buildings and exterior campus areas that includes classrooms, laboratories, teaching and research labs, and facility conditions. This information is used in determining priorities for deferred maintenance monies and projects for inclusion in the six-year capital plan.

University Planning, Design, and Construction has also recently developed an assessment process that will be done at the end of all jobs [32]. Examples of future assessment will include recent renovations in Ekstrom Library, Ekstrom Delphi Center, Papa John's Academic Center, and other infrastructure projects.

## **SUMMARY**

The master planning and capital planning processes help the university prioritize resources to assure that physical resource size, quality, and condition can support the university mission. When deficiencies are identified the university must sometime use creative ways to find the resources to bring the facilities up to par, but the university has found ways to do this to date. With declining state resources, finding ways to fund capital renewal must remain a priority.

[1] KRS 164.003  
2\_11\_2\_fn01.pdf

[2] The 2020 Plan. Making it Happen  
2\_11\_2\_fn02.pdf  
<http://louisville.edu/president/vision2020.pdf>

[3] 21<sup>st</sup> Century Initiative  
2\_11\_2\_fn03.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>

[4] Senior Vice President for Finance and Administration Organizational Chart  
2\_11\_2\_fn04.pdf  
<http://louisville.edu/finance/vpfinance/svpfaorgchart>

[5] Belknap Campus Map  
2\_11\_2\_fn05.pdf  
<http://louisville.edu/admissions/visit/campus-map>

[6] HSC Campus Map  
2\_11\_2\_fn06.pdf  
<http://louisville.edu/dehs/emergency/doc/cepdoc/suppdoc/tour-guide-plans/health-science-center-campus-tours/hsc-campus-map-pdf>

[7] Shelby Campus Map  
2\_11\_2\_fn07.pdf  
<http://louisville.edu/community/biosafetylab/sitemap.pdf>



- [8] Campus Tour  
2\_11\_2\_fn08.pdf  
<http://louisville.edu/campustour>
- [9] Belknap Master Plan  
2\_11\_2\_fn09.pdf  
<http://louisville.edu/updc/master-planning/belknap-master-planning/board-of-trustees-presentation>
- [10] Shelby Master Plan  
2\_11\_2\_fn10.pdf
- [11] HSC Master Plan  
2\_11\_2\_fn11.pdf
- [12] 2016-2022 Capital Plan  
2\_11\_2\_fn12.pdf
- [13] VFA Building Assessment Report  
2\_11\_2\_fn13.pdf
- [14] Summary of VFA Report  
2\_11\_2\_fn14.pdf
- [15] Space Study  
2\_11\_2\_fn15.pdf
- [16] FY15 Capital Renewal Projects  
2\_11\_2\_fn16.pdf
- [17] 2016-2022 Capital Plan  
2\_11\_2\_fn17.pdf
- [18] Space Study  
2\_11\_2\_fn18.pdf
- [19] Belknap Research Park Article  
2\_11\_2\_fn19.pdf  
<http://louisville.edu/speed/news/research-park-sneak-peek-unveiled>
- [20] Housing Beds  
2\_11\_2\_fn20.pdf
- [21] Food Service Operations Info  
2\_11\_2\_fn21.pdf  
<http://louisville.campusdish.com/Locations.aspx>
- [22] Off-campus Locations
- [22a] Fort Knox Army Base  
2\_11\_2\_fn22a.pdf

- [22b] School of Medicine Trover Campus  
2\_11\_2\_fn22b.pdf
- [22c] Quality Leadership University – Panama  
2\_11\_2\_fn22c.pdf
- [22d] Owensboro Medical Health Systems  
2\_11\_2\_fn22d.pdf
- [22e] General Electric Louisville  
2\_11\_2\_fn22e.pdf
- [22f] European Business School Ooetrich-Winkel Germany  
2\_11\_2\_fn22f.pdf
- [22g] Akademie Worth Business School Germany  
2\_11\_2\_fn22g.pdf
- [23] Executive Vice President and Provost Webpage  
2\_11\_2\_fn23.pdf  
<http://louisville.edu/provost/>
- [24] Executive Vice President for Research and Innovation Webpage  
2\_11\_2\_fn24.pdf  
<http://louisville.edu/research/about>
- [25] Executive Vice President for Health Affairs Webpage  
2\_11\_2\_fn25.pdf  
<http://louisville.edu/hsc/evpha>
- [26] UofL CPE Building Report  
2\_11\_2\_fn26.pdf
- [27] UofL Room Floor Plan Report  
2\_11\_2\_fn27.pdf
- [28] UofL CPE Land Report  
2\_11\_2\_fn28.pdf
- [29] Physical Plant Questionnaire  
2\_11\_2\_fn29.pdf
- [30] Physical Plant Work Order Survey  
2\_11\_2\_fn30.pdf
- [31] Physical Plant Survey Summary  
2\_11\_2\_fn31.pdf
- [32] UPDC Survey  
2\_11\_2\_fn32.pdf

## 2.12

### Quality Enhancement Plan

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. **(Note:** *This requirement is not addressed by the institution in its Compliance Certification.*)

### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

### Narrative

The University of Louisville's Quality Enhancement Plan will be submitted to SACSCOC at least six weeks in advance of the on-site visit as specified by the Principles of Accreditation.

### 3.1.1

#### Mission

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville's 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 [1] on January 14, 2016 [2]:

The University of Louisville pursues excellence and inclusiveness in its work to educate and serve its community through:

1. teaching diverse undergraduate, graduate, and professional students in order to develop engaged citizens, leaders, and scholars;
2. practicing and applying research, scholarship and creative activity; and
3. providing engaged service and outreach that improve the quality of life for local and global communities.

The University is committed to achieving preeminence as a nationally recognized metropolitan research university.

The new mission statement was developed by a committee composed of representatives from the academic deans, vice presidents, and faculty, staff, and student senates. The Faculty [3a] and Staff [3b] senates, the Student Government Association [3c], and the University Council of Academic Officers [3d] provided commentary and recommendation prior to the revision being sent to the Board of Trustees for approval on January 14, 2016 [4]. The new mission statement was disseminated on January 15, 2016 to faculty and staff via UofL Today News [5] and to students via *The Louisville Cardinal* [6].

UofL's mission statement is available to the public and university community on the About UofL webpage at <http://louisville.edu/about/>. It is also published in the Undergraduate Catalog [7], the Graduate Catalog [8], and professional schools' handbooks or bulletins [9a] [9b] [9c].

The mission statement is consistent with the university's goals as provided by the Commonwealth of Kentucky (outlined in the *Kentucky Postsecondary Educational Improvement Act of 1997* [House Bill 1] [10]). Kentucky Revised Statute (KRS) 164.003, Section 2 outlines goals to be achieved by UofL by the year 2020, including that UofL be a premier, nationally recognized metropolitan research university [11]. UofL's 2020 Strategic Plan [12] and 21st Century Initiative [13] align with the university's mission statement and aids the university in achieving its goals as outlined in the University Scorecard [14]. The

UofL Institutional Assessment System shows the alignment of strategic goals and assessment processes with the university mission [15].

The 2020 Plan is built upon the foundational areas of educational excellence; research, scholarship and creative activity; community engagement; diversity, opportunity, and social justice; and creative and responsible stewardship, all of which fall into the major categories covered by our mission statement. Located in Kentucky's largest city, UofL is the major driver of Kentucky's educational, social, health-care, cultural, and economic development. The university drives economic development by providing an educated workforce and turning research innovations into commercially useful technologies.

As well, the university's 21<sup>st</sup> Century Initiative, which supplements the 2020 Plan, covers academic and research priorities (empowering undergraduate learning; providing an environment for student success, providing excellence in graduate and professional education, investing in competitive multidisciplinary areas of strength; and investing in emerging research and creative areas); establishing a culture of excellence (equity, fairness, and recognition; professional development and training; communication); and financial health (revenue enhancement; administrative enhancement).

Examples of university initiatives and actions guided by the university's mission and strategic planning are provided [16].

The new academic program proposal process works to ensure that program expansion supports the university's mission and strategic objectives [17]. Existing programs undergo academic program review every ten years, in which faculty explain the program's alignment with the university's mission [18].

## **SUMMARY**

The University of Louisville has a clearly defined, comprehensive, and published mission statement that is specific to the institution. It addresses the university's teaching, research, and service missions and is regularly reviewed and updated based on constituent input, and is made available electronically to the university community and the public. UofL's strategic planning goals and processes are guided by the university's mission. Examples of actions and activities for improvement generated by strategic planning are provided.

[1] UofL Mission Statement  
3\_1\_1\_fn01.pdf  
<http://louisville.edu/about>

[2] Board of Trustees, Approval of Revised Mission Statement 1-14-16  
3\_1\_1\_fn02.pdf

[3] Constituent Input into Mission Statement Revision

[3a] Faculty Senate  
2\_4\_fn03a.pdf

[3b] Staff Senate  
2\_4\_fn03b.pdf

[3c] Student Government Association  
2\_4\_fn03c.pdf

- [3d] University Council of Academic Officers  
2\_4\_fn03d.pdf
- [4] Board of Trustees, Approval of Revised Mission Statement 1-14-16  
3\_1\_1\_fn04.pdf
- [5] UofL News Announces UofL Adopts New Mission Statement  
3\_1\_1\_fn05.pdf  
<http://uoflnews.com/post/uofltoday/uofl-adopts-new-mission-statement/>
- [6] *The Louisville Cardinal*, UofL Adopts New Mission Statement  
3\_1\_1\_fn06.pdf  
<http://www.louisvillecardinal.com/2016/01/brief-u-of-l-adopts-new-mission/>
- [7] Mission Statement in Undergraduate Catalog  
3\_1\_1\_fn07.pdf
- [8] Mission Statement in Graduate Catalog  
3\_1\_1\_fn08.pdf
- [9] Mission Statement in Professional Schools' Materials
- [9a] Dental School Handbook, page 10  
3\_1\_1\_fn09a.pdf
- [9b] Law School Handbook  
3\_1\_1\_fn09b.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16-new>
- [9c] Medical School Bulletin  
3\_1\_1\_fn09c.pdf
- [10] House Bill 1, *Kentucky Postsecondary Educational Improvement Act of 1997*  
3\_1\_1\_fn10.pdf
- [11] KRS 164.003, Section 2, UofL Goals for Achievement by 2020  
3\_1\_1\_fn11.pdf
- [12] *2020 Plan: Making It Happen*  
3\_1\_1\_fn12.pdf  
<http://louisville.edu/president/the-2020-plan>
- [13] *21<sup>st</sup> Century Initiative: Powering the 2020 Plan*  
3\_1\_1\_fn13.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>
- [14] University Scorecard  
3\_1\_1\_fn14.pdf
- [15] UofL Institutional Assessment System  
3\_1\_1\_fn15.pdf

[16] Examples of University Initiatives Guided by UofL Mission  
3\_1\_1\_fn16.pdf

[17] New Academic Program Proposal Template  
3\_1\_1\_fn17.pdf

[18] Academic Program Review Template  
3\_1\_1\_fn18.pdf

### 3.2.1

#### Governance and Administration: CEO evaluation/selection

The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

In accordance with Kentucky Revised Statute (KRS) 164.830 [1], the University of Louisville (UofL) Board of Trustees has full authority to appoint the university president and to determine the president's compensation and duties [2]. Upon the recommendation of the Presidential Search Committee, the Board of Trustees appointed Dr. James R. Ramsey as the 17th president of UofL on November 14, 2002 [3].

Dr. James Ramsey has resigned as president of the university. The Board of Trustees accepted Dr. Ramsey's resignation on July 27, 2016 and appointed as Acting President Dr. Neville Pinto, who has served as Interim Provost and Executive Vice President since July of 2015.

The university's 2020 strategic plan [4] serves as the basis for the annual evaluation of executive and senior leadership by linking strategic priorities to annual goals. In late 2012, the university embarked on the 21<sup>st</sup> Century Initiative [5], an effort to reenergize and expand on the 2020 Plan to ensure an effective strategic effort to reach the university's state-mandated goal of becoming a premier, metropolitan research university by the year 2020 [6].

Consistent with Section 2.1.3 of *The Redbook*, the basic governance document of the university, the performance of the university president is reviewed annually by the Board of Trustees [7]. Five overarching strategic priorities from the 2020 strategic plan and the 21<sup>st</sup> Century Initiative serve as the basis for the Office of the President Scorecard (OOP). Annual goals are reviewed with the Board of Trustees at their summer retreat - typically scheduled in July [8]. Progress made toward goals is reviewed semi-annually: mid-year (December/January) [9] and after the closing of the academic and fiscal years (June/July) [10]. Institutional performance data and supporting documentation are collected and maintained by the Office of Institutional Research and Planning (IRP) and reviewed by the Office of Internal Audit.

The overarching goals shaded in gray are derived by the 2020 strategic plan with the blue shaded tactical goals being derived from the 21<sup>st</sup> Century Initiative. Goals are initially assessed as achieved or not achieved and, for select, multi-year goals, the status of progress may be assigned based on the qualitative assessment of the documentation provided. For achieved goals, three levels of performance have been established: 1) "Good" indicates an increase over the previous year; 2) "Better" indicates an increase over the previous year and that the annual university goal was met; and 3) "Best" indicates an increase over the previous year and that the annual university goal was surpassed.

A Compensation Committee of the Board of Trustees makes a recommendation to the full board as to the president's annual salary adjustment, and the board acts upon this



recommendation. As a result of the annual reviews and based on the president's progress on his assigned goals, the Board of Trustees extended the president's initial ten-year term until 2020 [11]. The president's annual evaluations from 2003 to 2015 are available to the public on the president's website and are provided here [12].

## SUMMARY

Kentucky Revised Statute (KRS) 164.830 gives the University of Louisville Board of Trustees the authority to appoint the university president. The university's 2020 strategic plan serves as the basis for the annual evaluation of the president by linking strategic priorities to annual goals. Consistent with Section 2.1.3 of *The Redbook*, the basic governance document of the university, the performance of the university president is reviewed annually by the Board of Trustees.

[1] KRS 164.830 (a) & (b), Powers of the Board  
3\_2\_1\_fn02.pdf

[2] Position Description for UofL President, *Redbook* Article 2.1, Sections 2.1.1 and 2.1.2.  
3\_2\_1\_fn02.pdf

[3] Board of Trustees Meeting Minutes, 11-14-02, Appointment of Dr. James R. Ramsey as UofL President  
3\_2\_1\_fn04.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2002/bot021114>

[4] *The 2020 Plan: Making It Happen*  
3\_2\_1\_fn04.pdf  
<http://louisville.edu/president/the-2020-plan>

[5] *The 21<sup>st</sup> Century Initiative: Powering the 2020 Plan*  
3\_2\_1\_fn05.pdf  
<http://louisville.edu/21stcentury>

[6] University Mission Statement  
3\_2\_1\_fn06.pdf  
<http://louisville.edu/about>

[7] Presidential Review Policy, *Redbook* 2.1.3  
3\_2\_1\_fn07.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html>

[8] 2014 and 2015 Board of Trustees Retreat Minutes with Goal Presentations  
3\_2\_1\_fn08.pdf

[9] 2013-14 and 2014-15 Office of the President Goals--Mid-year Updates  
3\_2\_1\_fn09.pdf

[10] 2013-14 and 2014-15 Office of the President Goals BOT End-of-Year Summaries  
3\_2\_1\_fn10.pdf

[11] Board of Trustees Extension of President's Term Until 2020, Minutes 10-13-11  
3\_2\_1\_fn12.pdf

[12] President's Evaluations 2003-2015

3\_2\_1\_fn13.pdf

<http://louisville.edu/president/president-evaluations-2003-2015/view>

### 3.2.2

#### **Governance and Administration: Governing Board Control**

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

- 3.2.2.1 institution's mission;
- 3.2.2.2 the fiscal stability of the institution;
- 3.2.2.3 institutional policy

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville is in compliance with all of the standards under 3.2.2. See the university's response to the following standards:

- 3.2.2.1 institution's mission;
- 3.2.2.2 the fiscal stability of the institution;
- 3.2.2.3 institutional policy

### 3.2.2.1

#### **Governance and Administration: Governing Board Control: Mission**

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.1 institution's mission.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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:

- KRS 164.350 [1] and 164.830 [2] address the general powers and duties of the Board of Trustees of educational institutions. These statutes establish that the governing role of the University of Louisville is vested with the Board of Trustees and that it is the responsibility of the Board to "periodically evaluate the institution's progress in implementing its missions, goals, and objectives to conform to the strategic agenda."
- KRS 164.003(2)(c) [3] states, "The General Assembly declares on behalf of the people of the Commonwealth the following goals to be achieved by the year 2020: a premier, nationally recognized metropolitan research university at the University of Louisville;"

In alignment with Kentucky statute, *The Redbook* (the university's governing document) outlines the organization and operation of the Board of Trustees and Board of Overseers for the university [4]. Section 1.1.1 states: "In accordance with the statutory authority of the Commonwealth of Kentucky, the Board of Trustees of the University of Louisville shall exercise final jurisdiction over the University."

The Board of Trustees by-laws state that "the Board of Trustees as the governing body of a state agency shall exercise its powers and authorities in a manner consistent with applicable policies set by the Commonwealth of Kentucky" [5]. These powers include oversight of the institutional mission and strategic agenda.

The university's mission statement was recently updated to align with the university's current goals. The revision was developed with input from a committee consisting of deans, faculty, staff, and students, and feedback was provided by various administrative bodies. The revised mission statement [6] was recommended by the President and Interim Executive Vice President and University Provost to the Board of Trustees and was approved by the board on January 14, 2016 [7]. The new mission statement is consistent with Kentucky statute.

## SUMMARY

The UofL Board of Trustees operates in compliance with Comprehensive Standard 3.2.2.1 and reviews the institutional mission as required by state law.

[1] KRS 164.350, General Powers and Duties of Board of Regents

3\_2\_2\_1\_fn01.pdf

[2] KRS 164.830, Powers of Board

3\_2\_2\_1\_fn02.pdf

[3] KRS 164.003(2)(c), Legislative Findings and Goals for Achievement by 2020

3\_2\_2\_1\_fn03.pdf

[4] *The Redbook*, Chapter 1, Organization and Operation of the Board of Trustees and Board of Overseers

3\_2\_2\_1\_fn04.pdf

<http://louisville.edu/provost/redbook/chap1.html>

[5] UofL Board of Trustees By-laws, Section 2.1

3\_2\_2\_1\_fn05.pdf

<http://louisville.edu/president/board-of-trustees/bylaws/view>

[6] UofL Mission Statement

3\_2\_2\_1\_fn06.pdf

<http://louisville.edu/about/#mission>

[7] Board of Trustees, Meeting Minutes, Approval of Revised Mission Statement 1-14-16

3\_2\_2\_1\_fn07.pdf

### 3.2.2.2

#### **Governance and Administration: Governing Board Control: Fiscal Stability**

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.2 fiscal stability of the institution.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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. As outlined in the Kentucky Revised Statutes (KRS) 164.350 [1] and 164.830 [2], the legal authority and operating control of UofL is vested with the Board of Trustees.

Other Commonwealth of Kentucky statutes associated with ensuring fiscal stability include:

- KRS 164.470, which requires that the university administer funds received or donated for a specified use for the intended purpose [3].
- KRS 164A.550 to 164A.630 relate to the financial management of public universities, including purchasing and contracting procedures [4].
- KRS 164A.570 requires the university to hire a qualified firm of certified public accountants to perform an annual examination of the institution [5] [6]. The audit is shared with the Governor, the Secretary of the Finance and Administration cabinet, the Auditor of Public Accounts, the director of the Legislative Research Commission, the president of the Council on Postsecondary Education, and UofL's Board of Trustees.
- KRS 164A.560 states that the responsibility for institutions operating under Kentucky statutes related to financial management of institutions of higher education is vested with the governing board [7].

UofL's governance documents related to financial stability are consistent with state statute. *The Redbook*, Chapter 1, the university's governing document, outlines the organization and operation of the Board of Trustees and Board of Overseers for the university [8]. Section 1.1.1 states: "In accordance with the statutory authority of the Commonwealth of Kentucky, the Board of Trustees of the University of Louisville shall exercise final jurisdiction over the University." This includes authorizing the board to receive and expend money on the university's behalf.

The University of Louisville can demonstrate a consistent history of fiscal stability as required of all public educational institutions in Kentucky. Responsibility for the fiscal stability of the institution is shared by the Board of Trustees and the president. According to *The Redbook*, the president prepares and recommends an annual budget to the Board of Trustees and, with approval from the Board of Trustees, recommends a biennial budget to

the state's Council on Postsecondary Education. As needed, the president recommends budget modifications to the Board of Trustees [9]. The Board of Trustees' role is to review and adopt an annual budget [10a] [10b] [10c] [10d]. The Audit Committee [11] of the Board of Trustees also reviews the annual financial audits of the university [12a] [12b] [12c] [12d].

UofL's financial position is strong. Institutional revenues continue to grow despite recurring reductions in state general fund appropriations. The university's total annual operating budget for FY 2015-16 is \$1.2 billion, which is 0.5 percent higher than in FY 2012-13.

In 2014, Moody's, Inc. favorably rated the university's creditworthiness as "Aa3 stable." This rating indicates, according to Moody's, that the university's credit is "high quality and subject to very low credit risk." The "stable" component is Moody's way of indicating a generally positive perspective about the university's financial future [13].

## **SUMMARY**

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. 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. U of L's governance documents related to financial stability are consistent with state statute. *The Redbook*, the university's governing document, outlines the organization and operation of the Board of Trustees and Board of Overseers for the university. Responsibility for the fiscal stability of the institution is shared by the Board of Trustees and the president. UofL can demonstrate a consistent history of fiscal stability as required of all public educational institutions in Kentucky.

[1] KRS 164.350, General Powers and Duties of Boards of Regents  
3\_2\_2\_2\_fn01.pdf

[2] KRS 164.830, Powers of Board  
3\_2\_2\_2\_fn02.pdf

[3] KRS 164.470, Funds to be Used as Specified  
3\_2\_2\_2\_fn03.pdf

[4] KRS 164A.550 to 164A.630, Financial Management of Institutions of Higher Education  
3\_2\_2\_2\_fn04.pdf

[5] KRS 164A.570, Annual Audit  
3\_2\_2\_2\_fn05.pdf

[6] University of Louisville and Affiliated Corporations, Auditor's Report and Financial Statements, June 30, 2014 and 2013  
3\_2\_2\_2\_fn06.pdf

[7] KRS 164A.560, Election of Institution to perform in Accordance with KRS 164A.555to 164A.630  
3\_2\_2\_2\_fn07.pdf

[8] *The Redbook*, Chapter 1: Organization and Operation of the Board of Trustees and the Board of Overseers  
3\_2\_2\_2\_fn08.pdf  
<http://louisville.edu/provost/redbook/chap1.html>

[9] *The Redbook*, Chapter 2: Organization and Operation of the University Administration  
3\_2\_2\_2\_fn09.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>

[10] Board of Trustees Approval of Annual Budget

[10a] BOT approval of 2012-13 Annual Budget  
3\_2\_2\_2\_fn10a.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2012/may-10-2012/bot-minutes-5-10-2012/view>

[10b] BOT approval of 2013-14 Annual Budget  
3\_2\_2\_2\_fn10b.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2013/june-13-2013>

[10c] BOT approval of 2014-15 Annual Budget  
3\_2\_2\_2\_fn10c.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2014/may-8-2014-full-board-minutes/view>

[10d] BOT approval of 2015-16 Annual Budget  
3\_2\_2\_2\_fn10d.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2015/june-4-2015>

[11] Audit Committee of the Board of Trustees--Charter  
3\_2\_2\_2\_fn11.pdf

[12] Board of Trustees Minutes, Review of Audited Financial Statements

[12a] Board of Trustees Minutes, 9-30-2015, Review of Audited Financial Statements, FY 2014-2015  
3\_2\_2\_2\_fn12a.pdf

[12b] Board of Trustees Minutes, 10-9-2014, Review of Financial Statements, FY 2013-2014  
3\_2\_2\_2\_fn12b.pdf

[12c] Board of Trustees Minutes, 10-3-2013, Review of Financial Statements, FY 2012-2013  
3\_2\_2\_2\_fn12c.pdf

[12d] Board of Trustees Minutes, 10-11-2012, Review of Financial Statements, FY 2011-2012  
3\_2\_2\_2\_fn12d.pdf

[13] Moody's, University of Louisville  
3\_2\_2\_2\_fn13.pdf



### 3.2.2.3

#### **Governance and Administration: Governing Board Control: Institutional Policy**

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

##### 3.2.2.3 institutional policy

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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 Kentucky Revised Statutes (KRS) 164.350 and 164.830, the legal authority and operating control of institutional policy within the University of Louisville's governance structure is vested with the Board of Trustees:

- KRS 164.350 outlines the general powers and duties of boards of regents for state universities and provides that the government of the University of Louisville is vested in its respective board and that each board may, "adopt bylaws, rules, and regulations for the government of its members, officers, agents, and employees, and enforce obedience to such rules" [1].
- KRS 164.830 covers the powers of the board for the University of Louisville and states, "(the board of trustees) shall possess all the authorities, immunities, rights, privileges, and franchises usually attaching to the governing bodies of Kentucky public higher education institutions" [2].

In alignment with KRS 164.350 and 164.830, Section 2.1 of the UofL Board of Trustees bylaws states that, "the government of the University shall be vested in a Board of Trustees" and that "the Board of Trustees as the governing body of a state agency shall exercise its powers and authorities in a manner consistent with applicable policies set by the Commonwealth of Kentucky" [3].

*The Redbook* serves as UofL's basic governance document. Chapter 1, Section 1.1.1 of *The Redbook* outlines the Powers of the Board, delineating that the Board of Trustees has final jurisdiction over the university [4]. Chapter 2, Section 2.1.2, defines the powers and duties of the president, which specifies the following institutional policy functions of the president [5]:

- To make overall policy for all aspects of the academic and other functions of the University, coordinating with whatever individuals, groups, or organizations may be required.
- To recommend major policies and other major actions to the Board of Trustees for its final action and to be the official medium of communication between the Board of Trustees and the various segments of the University and their official bodies.

- To enforce the rules and regulations of the University.

Chapter 2, Article 2.5 of *The Redbook* covers University Policy and Procedures:

- Section 2.5.6 states, "The University Archives and Records Center shall preserve proper and adequate documentation of University policies, decisions, procedures, functions, and essential transactions" [6].
- Section 2.5.7 covers Athletic Policies and that such policies are "under the purview of the Board of Trustees in conformity with the regulations of the athletic organizations with which the University is affiliated" [7].

UofL's online Policy and Procedure Library [8], established and implemented in October 2015, serves as the university's official repository of university administrative policies and associated procedures and provides guidance on the development of university administrative policies, referencing the guidelines for Developing University Administrative Policies [9], which defines governing, administrative, departmental, and academic policies and university procedures. These guidelines state that a Board of Trustees policy addresses governance of the university and requires Board of Trustees approval [10]. The authority to determine when a policy warrants Board of Trustees approval rests with the President in consultation with University Counsel.

An example of a Board approved policy is the university's Intellectual Property Policy, which was developed by the administration in consultation with the Faculty Senate. The policy was approved by the Board of Trustees and was implemented according to its terms by university administrators. Revisions to the policy were approved by the Board of Trustees in 2005 [11].

The online Policy and Procedure Library is maintained by the Institutional Compliance Office [12], which reports to the Associate Vice President for Audit Services and Institutional Compliance.

## **SUMMARY**

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 institutional policy within the UofL governance structure is vested with the Board of Trustees. In alignment with KRS 164.350 and 164.830, Section 2.1 of the UofL Board of Trustees bylaws states that, "the government of the University shall be vested in a Board of Trustees" and that "the Board of Trustees as the governing body of a state agency shall exercise its powers and authorities in a manner consistent with applicable policies set by the Commonwealth of Kentucky." UofL's online Policy and Procedure Library serves as the university's official repository of university administrative policies and associated procedures and provides guidance on the development of university administrative policies.

[1] KRS 164.350, General Powers and Duties of Boards of Regents  
3\_2\_2\_3\_fn01.pdf

[2] KRS 164.830 Powers of Board  
3\_2\_2\_3\_fn02.pdf

- [3] By-laws of UofL Board of Trustees Section 2.1  
3\_2\_2\_3\_fn03.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>
- [4] *The Redbook*, Section 1.1.1, Powers of the Board  
3\_2\_2\_3\_fn04.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.1>
- [5] *The Redbook*, Section 2.1.2, Powers and Duties of the President  
3\_2\_2\_3\_fn05.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>
- [6] *The Redbook*, Section 2.5.6, Archives and Records Policy  
3\_2\_2\_3\_fn06.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.5.6>
- [7] *The Redbook*, Section 2.5.7, Athletic Policies  
3\_2\_2\_3\_fn07.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.5.7>
- [8] UofL Policy and Procedure Library  
3\_2\_2\_3\_fn08.pdf  
<https://louisville.edu/policies>
- [9] UofL Developing University Administrative Policies  
3\_2\_2\_3\_fn09.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Developing%20University%20Administrative%20Policies.aspx>
- [10] UofL Governance Policies  
3\_2\_2\_3\_fn10.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Forms/Governance.aspx?RotFolder=%2fsites%2fpolicies%2flibrary%2fSitePages%2fGovernance>
- [11] BOT Minutes, 7/14/05, Approval of Revision to Intellectual Property Policy  
3\_2\_6\_fn11.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2005/bot050714>
- [12] Institutional Compliance Webpage  
3\_2\_2\_3\_fn12.pdf  
<http://louisville.edu/compliance>

### 3.2.3

#### **Governance and Administration: Board conflict of interest**

The governing board has a policy addressing conflict of interest for its members.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville (UofL) has a policy addressing conflict of interest for members of the university's Board of Trustees [1]. 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. Section 4.1 [2] of the Board of Trustees' Bylaws [3] outlines the guidelines for known conflicts of interest of Board members.

Kentucky Revised Statute (KRS) 45A.340 addresses conflict of interest of public officers and employees with regard to compensation for services rendered in negotiations with the state or an agency for the purpose of an interest in real property; interest in a contract for the performance of any work of which the person may be called upon to act or vote or solicit or be subject to influence in a vote or action; among other restrictions [4]. KRS 164.830 states that no relative of a Board of Trustee member shall be employed by the university [5].

Trustees are responsible for knowing, understanding, and complying with the university's conflict of interest policy as it relates to their role, position or employment, or enrollment at the institution. To ensure each member is educated about conflict of interest policies and procedures, a letter is provided to each new trustee providing information about conflict of interest rules that apply to the members of the Board. In addition, a discussion on conflict of interest is covered during orientation for new trustees and was part of the 2015 orientation agenda [6]. As part of the disclosure process, each member of the Board is required to complete a Conflict of Interest Certification [7] on an annual basis. The University Boards Liaison collects the completed form from each trustee. At the request of the Chair of the Board's Audit Committee, the forms are sent to an outside accounting firm for review [8]. Core Requirement 2.2 reflects the completed Conflict of Interest status of each board member.

The integrity of the institution is protected through adherence with the disclosure process, including review and management of disclosures. When a member learns that a business transaction presents a conflict of interest, that member must make an immediate, full disclosure to the Board of Trustees of his or her interest in the subject. The member shall not participate in any discussion of or decision on the issue. Disclosures are necessary for any business transactions that would result in a conflict of interest. UofL has never had a board member dismissed for conflict of interest.

In addition to the UofL Institutional Conflict of Interest Policy (last revised January 2013; originally effective June 1983) [9], Board of Trustees are also subject to the university-approved Code of Conduct (effective November 2009) [10] and the Addressing Potential Institutional Conflict of Interest Policy and Procedures (last revised November 2015,

originally effective January 2011) [11a] [11b]. The Code of Conduct reflects board and university policies and procedures, including ethical considerations and conflict of interest. The Board of Trustees approved the Institutional Conflict of Interest Policy and Code of Conduct on November 12, 2009 [12].

All of the governance policy documents related to conflict of interest are available in the university's policy library, maintained by the University's Compliance office [13].

## **SUMMARY**

The University of Louisville has a policy addressing conflict of interest for members of the university's Board of Trustees that outlines the guiding principles and procedures used by UofL to identify and manage conflicts of interest. A letter is provided to each new trustee providing information about conflict of interest rules that apply to the members of the Board, and conflict of interest is covered during orientation for new trustees. Each member of the Board is required to complete a Conflict of Interest Certification on an annual basis. Board of Trustees members are also subject to the university-approved Code of Conduct and the Addressing Potential Institutional Conflict of Interest Policy and Procedures

[1] UofL Conflict of Interest Policy

3\_2\_3\_fn01.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Institutional%20Conflict%20of%20Interest%20Policy.aspx>

[2] Board of Trustees' Bylaws, Section 4.1

3\_2\_3\_fn02.pdf

<http://louisville.edu/president/board-of-trustees/bylaws/view>

[3] Board of Trustees' Bylaws

3\_2\_3\_fn03.pdf

<http://louisville.edu/president/board-of-trustees/bylaws/view>

[4] KRS 45A.340, Conflicts of Interest of Public Officers and Employers

3\_2\_3\_fn04.pdf

[5] KRS 164.830, Powers of the Board

3\_2\_3\_fn05.pdf

[6] Agenda, Board of Trustees Orientation Covering Conflict of Interest

3\_2\_3\_fn06.pdf

[7] Board of Trustee Conflict of Interest Certification Form

3\_2\_3\_fn07.pdf

[8] Strothman Letter

3\_2\_3\_fn08.pdf

[9] Institutional Conflict of Interest Policy

3\_2\_3\_fn09.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Institutional%20Conflict%20of%20Interest%20Policy.aspx>

[10] University of Louisville Code of Conduct  
3\_2\_3\_fn10.pdf  
<http://louisville.edu/compliance/ico/code-1>

[11] Addressing Institutional Conflict of Interest Policy and Procedure

[11a] Addressing Institutional Conflict of Interest Policy (COI-1.01)  
3\_2\_3\_fn11a.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Addressing%20Institutional%20Conflicts%20of%20Interest%20Policy.aspx>

[11b] Addressing Institutional Conflict of Interest Procedure (COI-1.01a)  
3\_2\_3\_fn11b.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Addressing%20Institutional%20Conflicts%20of%20Interest%20Procedure.aspx>

[12] Board of Trustees' Approval of UofL Institutional Conflict of Interest Policy and Code of Conduct  
3\_2\_3\_fn12.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2009/bot091112.pdf/view>

[13] University Governing Policies  
3\_2\_3\_fn13.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Forms/Governance.aspx?RootFolder=%2fsites%2fpolicies%2flibrary%2fSitePages%2fGovernance>

### 3.2.4

#### **Governance and Administration: External influence**

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

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville 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:

- KRS 164.821 outlines the makeup of the members of the Board of Trustees appointed by the governor in order to restrict political, racial, and gender bias [1].
- KRS 164.335 specifies that members of the General Assembly cannot serve on university governing boards [2].
- KRS 61.800 states policy of KRS 61.805 to 61.850 regarding open meetings of public agencies [3].
- KRS 61.871 establishes policy of KRS 61.870 to 61.884 regarding open records of public agencies [4].

In adhering with state laws, the members of the Board of Trustees [5] attend a university orientation [6] for board members covering statutory authority. The board also, in providing transparency and further preventing external influences, conducts its meetings in compliance with the Kentucky Open Meetings and Open Records Laws.

In addition, the board, intending to create a place of intellectual exploration free from external pressures, implemented the following Ethics Statement [7]:

In all matters entrusted to the Board of Trustees of the University of Louisville, the Board, individually and collectively, is committed: to uphold the public trust in the University of Louisville; to carry out its responsibilities in accordance with the laws of the Commonwealth; to act with care and make informed decisions; to comply with University policies applicable to the Board of Trustees; to refrain from actions which put a Trustee's personal or professional interests in conflict with that of the University and to abstain from any action or vote where appropriate; and, to avoid the use of Trustee appointment to obtain any private benefit. Further, neither the Chair of the Board nor a majority of the other Board members shall have a contractual, employment, or personal financial interest in the University.

To further expand the board's intent to be free of such influences, Section 4.1 of the board's bylaws outlines the guidelines for board members regarding known conflicts of interest [8]. A board member must make an immediate full disclosure to the board of his or her

interest in a business transaction that results in a conflict of interest and shall not participate in any discussion of or decision regarding the issue.

Furthermore, the board also approved and adopted the university's Code of Conduct [9], effective November 2009, which applies to the institution, its board members, and all other university community members. The code addresses guiding principles and standards of conduct, including transparency, integrity, ethical considerations, objectivity, and impartiality in decision-making.

[1] KRS 164.821, Board of Trustees of University of Louisville – Membership – Terms  
3\_2\_4\_fn01.pdf

[2] KRS 164.335, Members of General Assembly Not to Serve on Governing Boards of State Postsecondary Education Institutions.  
3\_2\_4\_fn02.pdf

[3] KRS 61.800, Legislative Statement of Policy—Open Meetings  
3\_2\_4\_fn03.pdf

[4] KRS 61.871, Policy of KRS 61.870 to KRS 61.884 – Strict Construction of Exceptions of KRS 61.878  
3\_2\_4\_fn04.pdf

[5] University of Louisville Board of Trustees Membership 2016-2017 Term  
3\_2\_4\_fn05.pdf  
<http://louisville.edu/president/board-of-trustees>

[6] Board of Trustees, Bylaws--Orientation  
3\_2\_4\_fn06.pdf

[7] Board of Trustees Orientation Agenda  
3\_2\_4\_fn07.pdf

[8] Board of Trustees, Bylaws, Section 4.1, Conflict of Interest  
3\_2\_4\_fn08.pdf

[9] University of Louisville Code of Conduct  
3\_2\_4\_fn09.pdf



### 3.2.5

#### **Governance and Administration: Board dismissal**

The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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), states:

Board members may be removed by the Governor for cause, which shall include neglect of duty or malfeasance in office, after being afforded a hearing with counsel before the Council on Postsecondary Education and a finding of fact by the council [1].

The institution's Board of Trustees adheres to the Board of Trustees Bylaws [2]. In accordance with KRS. Section 2.1 of the Bylaws states:

The government of the University shall be vested in a Board of Trustees, which shall consist of such number of persons having such voting rights, serving such terms and appointed by such means as provided in the Kentucky Revised Statutes.

[1] KRS 164.821, Removal of Board Members  
3\_2\_5\_fn01.pdf

[2] UofL Board of Trustees Bylaws, Section 2.1  
3\_2\_5\_fn02.pdf  
<http://louisville.edu/president/board-of-trustees/bylaws/view>

### 3.2.6

#### **Governance and Administration: Board/administration distinction**

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.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The authority of the University of Louisville (UofL) governing board is assigned by Kentucky Revised Statute (KRS) 164.830 [1]. 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 [2]. Organizational outlines, bylaws, and all amendments for all units must be approved by the Board of Trustees on the recommendation of the president.

As outlined in *The Redbook*, each unit's faculty has general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures; to its own meetings; and to admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions must be consistent with the policies of the Board of Trustees [3].

The Board of Trustees, through its enactment of *The Redbook*, delegates the administration and implementation of policies to the president and other administrators of the university. UofL's Developing University Administrative Policies outlines the process for the creation, review, and approval of Administrative Policy and designates the President's Leadership Team as the authoritative body to approve said policy [4]. As noted in the policy, proposed administrative policy is initially routed through the Vice President holding responsibility for oversight of the policy scope for review and approval before submission to the President's Leadership Team.

During the review process, the Vice President, in consultation with University Counsel, determines if the policy requires submission to the President's Office for presentation to the Board of Trustees for final approval. One such example is the university's Intellectual Property Policy, which was developed by the administration in consultation with the Faculty Senate [5]. The policy was approved by the Board of Trustees and was implemented according to its terms by university administrators [6].

#### **SUMMARY**

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. As outlined in *The Redbook*, each unit's faculty has general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions must be consistent with the policies of the Board of Trustees.

[1] KRS 164.830, Powers of Board  
3\_2\_6\_fn01.pdf

[2] *The Redbook*, Section 1.1.1, Powers of the Board  
3\_2\_6\_fn02.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.1>

[3] *The Redbook*, Section 3.3.2, Faculty Jurisdiction and Purposes  
3\_2\_6\_fn03.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[4] UofL's, Policy for Developing University Administrative Policies  
3\_2\_6\_fn04.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Developing%20University%20Administrative%20Policies.aspx>

[5] UofL's Intellectual Property Policy  
3\_2\_6\_fn05.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Research/Intellectual%20Property.aspx>

[6] BOT Minutes, Approval of Intellectual Property Policy 4-14-05  
3\_2\_6\_fn06.pdf

### 3.2.7

#### **Governance and Administration: Organizational structure**

The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville has a clearly defined and published organizational structure. The university's organizational chart [1] is revised as needed based on any changes in leadership positions or functions.

UofL's president has adopted a team management model with a functional leadership group composed of the eight senior leaders of the university (listed below) representing the major decision areas of UofL. The goal of this organizational structure is to increase the productivity and linkages among the various academic and administration areas.

- Executive vice president and university provost
- Executive vice president for health affairs
- Executive vice president for research and innovation
- Senior vice president for finance and administration/chief operations officer
- Vice president for athletics
- Vice president for university advancement
- Vice president for community engagement
- Vice president for strategy and general counsel

UofL's organizational structure shows reporting lines from deans and vice presidents to the Office of the President. The following positions have direct reporting lines to the president: executive vice president and university provost [2], the executive vice president for health affairs [3], the executive vice president for research and innovation [4], the senior vice president for finance and administration and chief operating officer [5], the vice president for university advancement [6], the vice president for community engagement [7], the vice president for strategy and general counsel [8], and the vice president for athletics [9].

Those with direct reporting lines to the university provost include all the academic deans and the vice provosts for academic strategy, diversity and international affairs, faculty affairs, undergraduate affairs, graduate affairs, institutional research, effectiveness and analytics; student affairs (Dean of Students).

Position descriptions for these administrative and academic officers are approved by the Board of Trustees and the university president. The job descriptions delineate areas of responsibility, including responsibility for the administration of policies [10] [11] [12] [13]. UofL's organizational chart is published on the school's website under the "About" tab [14]. Organizational charts are also published on each academic and administrative unit's website.

UofL's basic governance document is *The Redbook* [15]. *The Redbook* codifies the organization and operation of the Board of Trustees as well as the organization, operation, and governance of the university administration, academic programs, personnel and student governance, and administration. Other specialized policies that complement *The Redbook* are developed by the responsible administrators whose oversight is part of their job responsibilities. These supplemental policies, such as the provost's faculty handbook [16], the senior vice president for finance and administration and chief operating officer's policies for purchasing [17], human resources [18], budgeting and finance [19], and the executive vice president for research and innovation's policies for research and grants administration [20], must be consistent with the policy provisions of *The Redbook*. The authority to determine when a policy warrants Board of Trustees approval rests with the President in consultation with University Counsel.

The Institutional Compliance Office, who reports to the senior vice president for finance and administration and chief operating officer, oversees a University Policy and Procedure Library [21] of current university-wide administrative policies and associated procedures. The Policy and Procedures Library also links to governing policies, including *The Redbook* and the Board-of-Trustees Bylaws.

The President's Leadership Team is the designated approval authority for the development of a university-wide administrative policy and makes recommendations of policies to the Board of Trustees.

## **SUMMARY**

The University of Louisville 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. UofL's organizational structure shows reporting lines from deans and vice presidents to the Office of the President.

[1] UofL Organizational Chart  
3\_2\_7\_fn01.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[2] Position Description of the Executive Vice President and University Provost  
3\_2\_7\_fn02.pdf  
[http://louisville.edu/provost/who-we-are/EVP-UP\\_JOB\\_DESCRIPTION.pdf](http://louisville.edu/provost/who-we-are/EVP-UP_JOB_DESCRIPTION.pdf)

[3] Position Description of the Executive Vice President for Health Affairs  
3\_2\_7\_fn03.pdf  
[http://louisville.edu/hsc/evpha/evpha\\_job.pdf](http://louisville.edu/hsc/evpha/evpha_job.pdf)

[4] Position Description of the Executive Vice President for Research and Innovation  
3\_2\_7\_fn04.pdf  
<http://louisville.edu/research/about/evpri-responsibilities>

[5] Position Description of the Senior Vice President for Finance and Administration and Chief Operating Officer  
3\_2\_7\_fn05.pdf  
<http://louisville.edu/financeandadministration/documents/srvpfa-job-desc>

[6] Position Description of the Vice President for University Advancement  
3\_2\_7\_fn06.pdf

- [7] Position Description of the Vice President for Community Engagement  
3\_2\_7\_fn07.pdf  
<http://louisville.edu/communityengagement/office-of-the-vice-president-1/about-the-vice-president>
- [8] Position Description of the Vice President for Strategy and General Counsel  
3\_2\_7\_fn08.pdf  
<http://louisville.edu/counsel/aboutus/responsibilites-of-the-vice-president-for-strategy-and-general-counsel>
- [9] Position Description of the Vice President for Athletics  
3\_2\_7\_fn09.pdf  
[http://grfx.cstv.com/photos/schools/lou/genrel/auto\\_pdf/2012-13/misc\\_non\\_event/genrel-12-vpad-descrip.pdf](http://grfx.cstv.com/photos/schools/lou/genrel/auto_pdf/2012-13/misc_non_event/genrel-12-vpad-descrip.pdf)
- [10] *The Redbook*, Section 2.1.2, Powers and Duties of the President  
3\_2\_7\_fn10.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>
- [11] *The Redbook*, Section 2.2.1, The Executive Vice President and University Provost and Types of Functions of Vice Presidents  
3\_2\_7\_fn11.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.2.1>
- [12] *The Redbook*, Section 2.2.3, Duties of Executive Vice President and University Provost and Vice Presidents  
3\_2\_7\_fn12.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.2.3>
- [13] *The Redbook*, Section 3.2.2, Duties and Responsibilities of Deans  
3\_2\_7\_fn13.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.2.2>
- [14] Organizational Chart on University's Opening Webpage  
3\_2\_7\_fn14.pdf  
<http://louisville.edu/about/organization>
- [15] *The Redbook*  
3\_2\_7\_fn15.pdf  
<http://louisville.edu/provost/redbook>
- [16] UofL Faculty Handbook  
3\_2\_7\_fn16.pdf  
<http://louisville.edu/facultyhandbook>
- [17] UofL Purchasing Policies  
3\_2\_7\_fn17.pdf  
<http://louisville.edu/purchasing/policies>
- [18] UofL Human Resources Policies  
3\_2\_7\_fn18.pdf  
<http://louisville.edu/hr/policies>

[19] UofL Budgeting and Financial Planning Policies  
3\_2\_7\_fn19.pdf  
<http://louisville.edu/provost/budget/policies>

[20] UofL Research Policies  
3\_2\_7\_fn20.pdf  
<http://louisville.edu/research/policies/>

[21] University Policy and Procedure Library  
3\_2\_7\_fn21.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/Pages/Welcome.aspx>

### 3.2.8

#### **Governance and Administration: Qualified administrative/academic officers**

The institution has qualified administrative and academic officers with the experience and competence to lead the institution.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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.

See Comprehensive Standard 3.2.1 for the qualifications and expectations for UofL's president.

The primary leadership of the University of Louisville is reflected in the university's organizational chart [1]. The university is led by the President, who has three executive vice presidents. In addition, the senior vice president for finance and administration/chief operating officer is an equivalent position to that of the executive vice presidents.

- **The executive vice president and university provost**, who directs all academic activities of the university.

**Dr. Dale Billingsley** was appointed Acting Provost effective August 2015. He complete graduate study in Renaissance literature at Yale University, where he earned master of arts, master of philosophy, and doctorate degrees. Dr. Billingsley is a 38-year member of the UofL faculty and a professor of English. He has served as the Vice Provost for Undergraduate Affairs since 2007. He is a former Faculty Senate chair and a 21-year member of the provost's senior staff.  
[2a] [2b] [2c] [2d]

- **The executive vice president for health affairs**, who oversees the health sciences campus (containing the schools of dentistry, medicine, nursing, and public health and information sciences), the UofL Hospital and the James Graham Brown Cancer Center, and sixteen centers and institutes.

**Dr. Greg Postel** (M.D.) was appointed Executive Vice President for Health Affairs in December of 2015. He previously served as the Chief Executive Officer of UofL Physicians and has been at UofL for over 20 years, serving as section head of neuroradiology, residency program director, and chairman of the Department of Neurology.  
[3a] [3b] [3c] [3d]

- **The executive vice president for research and innovation**, who is responsible for developing the institutional research policies and procedures and coordinating



and providing oversight of research, scholarship, and creative activity at the university.

**Dr. William M. Pierce Sr.** was appointed Executive Vice President for Research and Innovation effective July 2011, following service as the Interim Executive Vice President for Research from 2009-2011. Dr. Pierce received his Ph.D. in Pharmacology and Toxicology from the University of Louisville. Previously Dr. Pierce served as Special Assistant to the Provost for Strategic Planning, Vice Provost for Graduate Affairs, and the Interim Dean of the School of Interdisciplinary and Graduate Studies at the University of Louisville. He is also a Professor of Pharmacology and Toxicology and Chemistry at the University of Louisville. [4a] [4b] [4c] [4d]

- **The senior vice president for finance and administration/chief operating officer**, who is responsible for the financial management and administrative operations that provide support for the university's academic mission. This includes long-term financial planning, financial reporting and transparency, and organizational transformation.

**Mr. Harlan Sands** (J.D.) was appointed Senior Vice President for Finance and Administration/Chief Operating Officer in January of 2015. Mr. Sands previously served as Vice Provost for Administration and Quality Improvement at the University of Alabama at Birmingham. He also served as Associate Vice President for Research at Florida International University, as well as Executive Director of FIU's Applied Research Center, and various other administrative and academic posts. Sands served four years as an Assistant Public Defender in Florida. [5a] [5b] [5c] [5d].

### **Recruitment and Appointment of Qualified Administrators**

With the exception of interim appointments, all administrators are appointed following open, competitive searches that involve peer administrators, faculty, staff, students, and community members as appropriate. The university hires an outside search firm to identify and solicit applications from qualified candidates.

Transcripts of all Board of Trustees-approved positions are maintained in the Office of Faculty Personnel. Administrators and academic deans are reviewed regularly according to the procedures documented in *The Redbook* to assess their effectiveness in their current roles and their capacity to continue to lead the institution toward accomplishing its mission. Evaluations of academic and administrative officers are discussed in Comprehensive Standard 3.2.10.

UofL's basic governance document, *The Redbook*, provides guidance in the appointment and review of administrators and academic officers at UofL. *The Redbook* chapter 2 establishes the process for the appointment and evaluation of university administrators [6]. Section 2.2 covers the executive vice president and university provost and vice presidents [7]. Information on the appointment and review of other administrators can be found in *The Redbook*, Section 2.3, Other Administrators [8] and Section 3.2, Deans of Academic Units [9].

## UofL Academic Unit Deans

The president has thirteen academic unit heads or deans (see Table 1). All deans are appointed by the Board of Trustees based on the recommendation of the president and serve at the pleasure of the Board. Evidence of the qualifications of these unit heads/deans is provided.

- **Beth A. Boehm**  
Dean, School of Interdisciplinary and Graduate Studies  
[10a] [10b] [10c] [10d]
- **Craig H. Blakely**  
Dean, School of Public Health & Information Sciences  
[11a] [11b] [11c] [11d]
- **Christopher P. Doane**  
Dean, School of Music  
[12a] [12b] [12c] [12d]
- **Susan H. Duncan**  
Interim Dean, Brandeis School of Law  
[13a] [13b] [13c] [13d]
- **Kimberly Kempf-Leonard**  
Dean, College of Arts and Sciences  
[14a] [14b] [14c] [14d]
- **Robert E. Fox**  
Dean, University Libraries  
[15a] [15b] [15c] [15d]
- **Toni M. Ganzel**  
Dean, School of Medicine  
[16a] [16b] [16c] [16d]
- **Ann E. Larson**  
Dean, College of Education and Human Development  
[17a] [17b] [17c] [17d]
- **Marcia J. Hern**  
Dean, School of Nursing  
[18a] [18b] [18c] [18d]
- **Rohan Christie-David**  
Interim Dean, College of Business  
[19a] [19b] [19c] [19d]
- **John S. Usher**  
Interim Dean, Speed School of Engineering  
[20a] [20b] [20c] [20d]

- **T. Gerard Bradley**  
Dean, School of Dentistry  
[21a] [21b] [21c] [21d]
- **Terry L. Singer**  
Dean, Kent School of Social Work  
[22a] [22b] [22c] [22d]

### **Other UofL Administrative Officers**

The president also has four vice presidents and a vice provost for student affairs. Evidence of their qualifications for the positions they hold is provided.

- **Thomas Jurich**  
Vice President for Athletics  
[23a] [23b] [23c] [23d]
- **Daniel Hall**  
Vice President for Community Engagement  
[24a] [24b] [24c] [24d]
- **Leslie Strohm**  
Vice President for Strategy and General Counsel  
[25a] [25b] [25c] [25d]
- **Keith Inman**  
Vice President for University Advancement  
[26a] [26b] [26c] [26d]
- **Michael Mardis**  
Vice Provost for Student Affairs  
[27a] [27b] [27c] [27d]

### **SUMMARY**

The University of Louisville (UofL) has qualified administrative and academic officers with the necessary educational background, experience, competence, and capacity to lead the institution. Evidence is provided to demonstrate the qualification of these appointments to administrative positions at UofL. UofL's basic governance document, *The Redbook*, provides guidance in the appointment and review of administrators and academic officers at UofL.

[1] UofL Organizational Chart  
3\_2\_8\_fn01.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[2] Executive Vice President and University Provost

[2a] Organizational Chart  
3\_2\_8\_fn02a.pdf

[2b] Job Responsibilities  
3\_2\_8\_fn02b.pdf  
<http://louisville.edu/provost/who-we-are/EVP-UP%20JOB%20DESCRIPTION.pdf>

[2c] Bio  
3\_2\_8\_fn02c.pdf

[2d] CV  
3\_2\_8\_fn02d.pdf

[3] Executive Vice President for Health Affairs

[3a] Organizational Chart  
3\_2\_8\_fn03a.pdf

[3b] Job Responsibilities  
3\_2\_8\_fn03b.pdf  
[http://louisville.edu/hsc/evpha/evpha\\_job.pdf](http://louisville.edu/hsc/evpha/evpha_job.pdf)

[3c] Bio  
3\_2\_8\_fn03c.pdf  
<http://louisville.edu/hsc/evpha/postel>

[3d] CV  
3\_2\_8\_fn03d.pdf  
<http://louisville.edu/hsc/evpha/Postel201605.pdf>

[4] Executive Vice President for Research and Innovation

[4a] Organizational Chart  
3\_2\_8\_fn04a.pdf  
<https://louisville.edu/research/about/evpri-organizational-chart/>

[4b] Job Responsibilities  
3\_2\_8\_fn04b.pdf  
<http://louisville.edu/research/about/evpri-responsibilities>

[4c] Bio  
3\_2\_8\_fn04c.pdf

[4d] CV  
3\_2\_8\_fn04d.pdf

[5] Senior Vice President/Chief Operating Officer

[5a] Organizational Chart  
3\_2\_8\_fn05a.pdf  
<http://louisville.edu/financeandadministration/documents/orgchart>

[5b] Job Responsibilities  
3\_2\_8\_fn05b.pdf  
<http://louisville.edu/financeandadministration/documents/srvpfa-job-desc>

[5c] Bio  
3\_2\_8\_fn05c.pdf  
<http://louisville.edu/financeandadministration/about>

[5d] CV  
3\_2\_8\_fn05d.pdf  
<http://louisville.edu/financeandadministration/documents/hsandsvita>

[6] *The Redbook*, Chapter 2—Organization and Operation of the University Administration  
3\_2\_8\_fn06.pdf  
<http://louisville.edu/provost/redbook/chap2.html>

[7] *The Redbook*, Section 2.2—Executive Vice President and University Provost and Vice Presidents  
3\_2\_8\_fn07.pdf  
<http://louisville.edu/provost/redbook/chap2.html#ART2.2>

[8] *The Redbook*, Section 2.3—Other Administrators  
3\_2\_8\_fn08.pdf  
<http://louisville.edu/provost/redbook/chap2.html#ART2.3>

[9] *The Redbook*, Section 3.2—Deans of Academic Units  
3\_2\_8\_fn09.pdf  
<http://louisville.edu/provost/redbook/chap3.html#ART3.2>

[10] Beth A. Boehm, Dean, School of Interdisciplinary and Graduate Studies

[10a] Organizational Chart  
3\_2\_8\_fn10a.pdf  
<http://louisville.edu/graduate/office-of-the-dean/sigs-organizational-chart>

[10b] Job Responsibilities  
3\_2\_8\_fn10b.pdf  
<http://louisville.edu/graduate/office-of-the-dean/job-description>

[10c] Bio  
3\_2\_8\_fn10c.pdf  
<http://louisville.edu/graduate/office-of-the-dean>

[10d] CV  
3\_2\_8\_fn10d.pdf  
<http://louisville.edu/graduate/office-of-the-dean/dean-boehms-c.v>

[11] Craig H. Blakely, Dean, School of Public Health & Information Sciences

[11a] Organizational Chart  
3\_2\_8\_fn11a.pdf  
<https://sharepoint.louisville.edu/sites/sphis/do/pubs/Org%20charts.pdf>

[11b] Job Responsibilities  
3\_2\_8\_fn11b.pdf  
<http://louisville.edu/sphis/documents-and-pdfs/DeanJobDescription.pdf>

[11c] Bio  
3\_2\_8\_fn11c.pdf  
<http://louisville.edu/sphis/directory/craig-h-blakely-phd-mph>

[11d] CV  
3\_2\_8\_fn11d.pdf  
<http://louisville.edu/sphis/documents-and-pdfs/CVBlakely2014.pdf>

[12] Christopher P. Doane, Dean, School of Music

[12a] Organizational Chart  
3\_2\_8\_fn12a.pdf  
<http://louisville.edu/music/about/welcome/documents/orgchart.pdf>

[12b] Job Responsibilities  
3\_2\_8\_fn12b.pdf  
<http://louisville.edu/music/about/welcome/documents/JOB%20DESCRIPTION.Dean.2002.pdf>

[12c] Bio  
3\_2\_8\_fn12c.pdf  
<http://louisville.edu/music/faculty-staff/Faculty/christopher-doane>

[12d] CV  
3\_2\_8\_fn12d.pdf  
<http://louisville.edu/music/about/welcome/documents/Doane%20cv%208.12.pdf>

[13] Susan H. Duncan, Interim Dean, Brandeis School of Law

[13a] Organizational Chart  
3\_2\_8\_fn13a.pdf  
<http://louisville.edu/law/about/deans-office/documents/org-chart>

[13b] Job Responsibilities  
3\_2\_8\_fn13b.pdf  
<http://louisville.edu/law/about/deans-office/job-description>

[13c] Bio  
3\_2\_8\_fn13c.pdf

[13d] CV  
3\_2\_8\_fn13d.pdf

[14] Kimberly Kempf-Leonard, Dean, College of Arts and Sciences

[14a] Organizational Chart  
3\_2\_8\_fn14a.pdf

[14b] Job Responsibilities  
3\_2\_8\_fn14b.pdf

[14c] Bio  
3\_2\_8\_fn14c.pdf  
<http://louisville.edu/artsandsciences/about/about-the-dean>

[14d] CV  
3\_2\_8\_fn14d.pdf  
<http://louisville.edu/artsandsciences/files/vitae/KempfLeonardadministrativevita814.pdf>

[15] Robert E. Fox, Dean, University Libraries

[15a] Organizational Chart  
3\_2\_8\_fn15a.pdf  
<http://louisville.edu/library/hr/org/>

[15b] Job Responsibilities  
3\_2\_8\_fn15b.pdf  
[http://louisville.edu/library/dean/welcome/dean\\_position\\_description.pdf](http://louisville.edu/library/dean/welcome/dean_position_description.pdf)

[15c] Bio  
3\_2\_8\_fn15c.pdf  
<http://owl.library.louisville.edu/2011/Owl0311.pdf>

[15d] CV  
3\_2\_8\_fn15d.pdf  
[http://louisville.edu/library/dean/welcome/Bob\\_Fox\\_Resume\\_2016.pdf](http://louisville.edu/library/dean/welcome/Bob_Fox_Resume_2016.pdf)

[16] Toni M. Ganzel, Dean, School of Medicine

[16a] Organizational Chart  
3\_2\_8\_fn16a.pdf  
<http://louisville.edu/medicine/dean/files/organizational-chart-6-28-2016>

[16b] Job Responsibilities  
3\_2\_8\_fn16b.pdf  
<http://louisville.edu/medicine/dean/responsibilities>

[16c] Bio  
3\_2\_8\_fn16c.pdf  
<http://louisville.edu/medicine/news/dr.-toni-ganzel-named-dean-of-uofl-school-of-medicine>

[16d] CV  
3\_2\_8\_fn16d.pdf  
<http://louisville.edu/medicine/dean/files/ganzel-cv>

[17] Ann E. Larson, Dean, College of Education and Human Development

[17a] Organizational Chart  
3\_2\_8\_fn17a.pdf

[17b] Job Responsibilities  
3\_2\_8\_fn17b.pdf

[17c] Bio  
3\_2\_8\_fn17c.pdf  
<http://louisville.edu/education/about/faculty/larson/>

[17d] CV  
3\_2\_8\_fn17d.pdf

[18] Marcia J. Hern, Dean, School of Nursing

[18a] Organizational Chart  
3\_2\_8\_fn18a.pdf

[18b] Job Responsibilities  
3\_2\_8\_fn18b.pdf

[18c] Bio  
3\_2\_8\_fn18c.pdf  
<http://php.louisville.edu/news/news.php?news=920>

[18d] CV  
3\_2\_8\_fn18d.pdf

[19] Rohan Christie-David, Interim Dean, College of Business

[19a] Organizational Chart  
3\_2\_8\_fn19a.pdf

[19b] Job Responsibilities  
3\_2\_8\_fn19b.pdf  
[http://louisville.edu/provost/faculty-personnel/unit/COB\\_Bylaws.pdf](http://louisville.edu/provost/faculty-personnel/unit/COB_Bylaws.pdf)

[19c] Bio  
3\_2\_8\_fn19c.pdf  
<http://business.louisville.edu/deans-welcome/>

[19d] CV  
3\_2\_8\_fn19d.pdf

[20] John S. Usher, Interim Dean, Speed School of Engineering

[20a] Organizational Chart  
3\_2\_8\_fn20a.pdf  
<http://louisville.edu/speed/assets/pdfs/organizational-chart>

[20b] Job Responsibilities  
3\_2\_8\_fn20b.pdf  
<http://louisville.edu/speed/assets/pdfs/deans-duties>

[20c] Bio  
3\_2\_8\_fn20c.pdf  
<http://louisville.edu/speed/people/faculty/usherJohn>

[20d] CV  
3\_2\_8\_fn20d.pdf  
<http://louisville.edu/speed/downloads/cv-john-s-usher>



[21] T. Gerard Bradley, Dean, School of Dentistry

[21a] Organizational Chart

3\_2\_8\_fn21a.pdf

<http://louisville.edu/dentistry/about/organizational-chart>

[21b] Job Responsibilities

3\_2\_8\_fn21b.pdf

<http://louisville.edu/dentistry/about/dean/the-dean-of-the-school-of-dentistry>

[21c] Bio

3\_2\_8\_fn21c.pdf

<http://louisville.edu/dentistry/about/dean/dean>

[21d] CV

3\_2\_8\_fn21d.pdf

<http://louisville.edu/dentistry/about/dean/TGerardCV.pdf>

[22] Terry L. Singer, Dean, Kent School of Social Work

[22a] Organizational Chart

3\_2\_8\_fn22a.pdf

<http://louisville.edu/kent/about/kent-school-organization-chart-1/view>

[22b] Job Responsibilities

3\_2\_8\_fn22b.pdf

[22c] Bio

3\_2\_8\_fn22c.pdf

[22d] CV

3\_2\_8\_fn22d.pdf

[23] Thomas Jurich, Vice President for Athletics

[23a] Organizational Chart

3\_2\_8\_fn23a.pdf

[http://grfx.cstv.com/photos/schools/lou/genrel/auto\\_pdf/2012-13/misc\\_non\\_event/uofl-12-admin-org-chart.pdf](http://grfx.cstv.com/photos/schools/lou/genrel/auto_pdf/2012-13/misc_non_event/uofl-12-admin-org-chart.pdf)

[23b] Job Responsibilities

3\_2\_8\_fn23b.pdf

[http://grfx.cstv.com/photos/schools/lou/genrel/auto\\_pdf/2012-13/misc\\_non\\_event/genrel-12-vpad-descrip.pdf](http://grfx.cstv.com/photos/schools/lou/genrel/auto_pdf/2012-13/misc_non_event/genrel-12-vpad-descrip.pdf)

[23c] Bio

3\_2\_8\_fn23c.pdf

[23d] CV

3\_2\_8\_fn23d.pdf

[http://grfx.cstv.com/photos/schools/lou/genrel/auto\\_pdf/2012-13/misc\\_non\\_event/genrel-12-jurich-resume.pdf](http://grfx.cstv.com/photos/schools/lou/genrel/auto_pdf/2012-13/misc_non_event/genrel-12-jurich-resume.pdf)

[24] Daniel Hall, Vice President for Community Engagement

[24a] Organizational Chart

3\_2\_8\_fn24a.pdf

<http://louisville.edu/communityengagement/contact-us/OrgchartREV071415.pdf>

[24b] Job Responsibilities

3\_2\_8\_fn24b.pdf

<http://louisville.edu/communityengagement/office-of-the-vice-president-1/about-the-vice-president>

[24c] Bio

3\_2\_8\_fn24c.pdf

[24d] CV

3\_2\_8\_fn24d.pdf

<http://louisville.edu/communityengagement/office-of-the-vice-president-1/HallDanielResumeREV.pdf>

[25] Leslie Strohm, Vice President Strategy and General Counsel

[25a] Organizational Chart

3\_2\_8\_fn25a.pdf

<http://louisville.edu/counsel/aboutus/organizational-chart-1/view>

[25b] Job Responsibilities

3\_2\_8\_fn25b.pdf

<http://louisville.edu/counsel/aboutus/responsibilities-of-the-vice-president-for-strategy-and-general-counsel>

[25c] Bio

3\_2\_8\_fn25c.pdf

<http://louisville.edu/counsel/aboutus/leslie-chambers-strohm>

[25d] CV

3\_2\_8\_fn25d.pdf

[26] A. Keith Inman, Vice President for University Advancement

[26a] Organizational Chart

3\_2\_8\_fn26a.pdf

[26b] Job Responsibilities

3\_2\_8\_fn26b.pdf

[26c] Bio

3\_2\_8\_fn26c.pdf

[26d] CV

3\_2\_8\_fn26d.pdf

[27] Michael Mardis, Vice Provost for Student Affairs

[27a] Organizational Chart

3\_2\_8\_fn27a.pdf

<http://louisville.edu/studentaffairs/vp-office/organizational-charts>

[27b] Job Responsibilities

3\_2\_8\_fn27b.pdf

<http://louisville.edu/studentaffairs/vp-office/meet-the-vice-provost/Vice%20Provost%20Position%20Description%20-%20July%202016.pdf>

[27c] Bio

3\_2\_8\_fn27c.pdf

<http://louisville.edu/studentaffairs/vp-office/dr.-james-michael-mardis>

[27d] CV

3\_2\_8\_fn27d.pdf

<http://louisville.edu/studentaffairs/vp-office/meet-the-vice-provost/Michael%20Mardis%20CV%20July%202016.pdf>

### 3.2.9

## Governance and Administration: Personnel Appointment

The institution publishes policies regarding appointment, employment, and evaluation of all personnel.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville (UofL) defines and publishes policies regarding appointment, employment, and evaluation of faculty and staff. The appropriate information is readily accessible to all on the university website and is summarized below.

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 [1]. Recruitment and employment activities are overseen by the Equal Opportunity/ADA compliance officer and the human resources office [2] [3].

Faculty receive appointment letters that reference *The Redbook*, the basic governance document of the university [4] [5] [6]. Chapters 3 and 4 of *The Redbook* outline the appointment and employment policies pertaining to faculty and provide definitions for different faculty appointments [7] [8]. The appointment and employment policies pertaining to staff are outlined in chapter 5 of *The Redbook* [9]. The Redbook is available on the web.

Policies and procedures pertaining to faculty personnel are available on the Faculty Affairs website and include employment forms for faculty appointments [10], part-time faculty personnel documents [11] [12], unit personnel documents [13], phased retirement policy [14], mediation policy [15], and faculty grievance procedures [16].

Policies and procedures related to evaluation of faculty are published in *The Redbook*, Chapter 4 [17]. The kinds of review for full-time faculty are: annual (4.2.1) [18]; pre-tenure (4.2.2 [G]) [19]; tenure (4.2.2 [H]) [20]; promotion in rank (to associate professor or professor) (4.2.3) [21]; and periodic career review (4.2.4) [22]. Unit personnel policies provide unit-specific policies and procedures regarding the evaluation of faculty. Unit personnel policies are to be in alignment with the minimum guidelines set forth in *The Redbook* [23].

Faculty are evaluated annually [24] according to the criteria approved in the faculty member's annual work plan (*Redbook* 4.3.1) [25]. Policies and procedures regarding evaluation of staff are available on the Human Resources website (Employment: Per 2.14) [26]. Every staff member is evaluated annually using the university's staff performance form [27].

New faculty and staff orientations are held to introduce new employees to policies and procedures relative to their employment [28]. These policies and procedures are also included on the Human Resources website, together with other information that pertains to all employees [29].

The Faculty Senate is the officially recognized governance group for all faculty members at UofL [30]. In its advisory role, the Faculty Senate reviews university policies, budgets, and any documents affecting faculty and makes recommendations to the administration on issues of concern for the welfare of the faculty.

The Staff Senate is the officially recognized governance group for all staff members at UofL [31]. In its advisory role, the Staff Senate reviews university policies, programs, and documents affecting staff and makes recommendations to the administration on issues that concern the welfare of the staff.

Faculty and staff senators represent the various units and administrative offices of the university and work to keep their constituents informed on proposed policy changes. The Faculty Senate and Staff Senate are charged with reviewing proposed changes to *The Redbook* in order to keep faculty and staff informed of changes in policies and procedures. The Board of Trustees has final approval over revisions to *The Redbook* [32].

The Human Resources Advisory Committee (HRAC) advises the Associate Vice President for Human Resources regarding policy, practice, and programs and acts as a sounding board for proposed changes prior to their distribution to individual constituent groups. This committee is made up of representatives from the Faculty Senate and Staff Senate, as well as other constituent groups on campus.

## **SUMMARY**

The University of Louisville (UofL) defines and publishes policies regarding appointment, employment, and evaluation of faculty and staff. The appropriate information is readily accessible to all on the university website. Policies and procedures pertaining to faculty personnel are available on the Faculty Affairs website. Policies and procedures that apply to staff and all employees are available on the Human Resources website. All faculty and staff complete performance evaluations annually. The Faculty Senate and Staff Senate both have input into proposed policies and changes to existing policies.

[1] Major Steps in Filling a Faculty Position  
3\_2\_9\_fn01.pdf

[2] EEO/Affirmative Action  
3\_2\_9\_fn02.pdf

[3] UofL Human Resources  
3\_2\_9\_fn03.pdf  
<http://louisville.edu/hr>

[4] Sample Appointment letter—Tenure Track Faculty  
3\_2\_9\_fn04.pdf

[5] Sample Appointment Letter—Term Faculty  
3\_2\_9\_fn05.pdf

[6] Sample Appointment Letter—Part-time Faculty  
3\_2\_9\_fn06.pdf

[7] *The Redbook*, Chapter Three, Organization and Governance of the Academic Programs  
3\_2\_9\_fn07.pdf  
<http://louisville.edu/provost/redbook/chap3.html>

[8] *The Redbook*, Chapter Four, Faculty Personnel Policies  
3\_2\_9\_fn08.pdf  
<http://louisville.edu/provost/redbook/chap4.html>

[9] *The Redbook*, Chapter Five, Staff Organization and Personnel Policies  
3\_2\_9\_fn09.pdf  
<http://louisville.edu/provost/redbook/chap5.html>

[10] Faculty Affairs Personnel Page  
3\_2\_9\_fn010.pdf  
<http://louisville.edu/provost/faculty-personnel/>

[11] Part-Time Faculty Annual Contract  
3\_2\_9\_fn11.pdf  
<http://louisville.edu/provost/faculty-personnel/PTL%20Annual%20Contract.pdf>

[12] Part Time Faculty Certificate of Qualifications  
3\_2\_9\_fn12.pdf  
<http://louisville.edu/provost/faculty-personnel/certification-of-qualifications-for-part-time-lecturers>

[13] Unit Personnel Policies  
3\_2\_9\_fn13.pdf  
<http://louisville.edu/provost/faculty-personnel/unit>

[14] Phased Retirement Policy for Faculty  
3\_2\_9\_fn14.pdf  
<http://louisville.edu/provost/faculty-personnel/Phased%20Retirement%20Policy.pdf>

[15] Mediation Procedures  
3\_2\_9\_fn15.pdf  
<http://louisville.edu/provost/what-we-do/Mediation040301.pdf>

[16] Faculty Grievance Process  
3\_2\_9\_fn16.pdf  
<http://louisville.edu/provost/what-we-do/grievance/>

[17] *The Redbook*, Chapter 4, Faculty Personnel Policies  
3\_2\_9\_fn17.pdf  
<http://louisville.edu/provost/redbook/chap4.html>

[18] *The Redbook* 4.2.1, Annual Reviews  
3\_2\_9\_fn18.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s1>

[19] *The Redbook* 4.2.2, Pre-Tenure Review  
3\_2\_9\_fn19.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s2>

- [20] *The Redbook* 4.2.2., Tenure  
3\_2\_9\_fn20.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s2>
- [21] *The Redbook* 4.2.3, Promotion in Rank  
3\_2\_9\_fn21.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s3>
- [22] *The Redbook* 4.2.4, Periodic Career Review  
3\_2\_9\_fn22.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s4>
- [23] *The Redbook* 4.2.1, Unit Policies Must Match *Redbook* Policies  
3\_2\_9\_fn23.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s1>
- [24] *The Redbook* 4.2.1, Annual Reviews  
3\_2\_9\_fn24.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s1>
- [25] *The Redbook* 4.3.1, Annual Work Plan  
3\_2\_9\_fn25.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a3s1>
- [26] Staff Performance Appraisals  
3\_2\_9\_fn26.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Human%20Resources/Performance%20Appraisals.aspx>
- [27] Staff Performance Evaluation Form  
3\_2\_9\_fn27.pdf  
[www.louisville.edu/hr/forms/performanceevaluation](http://www.louisville.edu/hr/forms/performanceevaluation)
- [28] Human Resources-New Employee Orientation  
3\_2\_9\_fn28.pdf  
<http://louisville.edu/hr/employment/newemployee/neo>
- [29] Human Resources Policies  
3\_2\_9\_fn29.pdf  
<http://louisville.edu/hr/policies>
- [30] Faculty Senate  
3\_2\_9\_fn30.pdf  
<http://louisville.edu/facultysenate>
- [31] Staff Senate  
3\_2\_9\_fn31.pdf  
<http://louisville.edu/staffsenate>
- [32] Board of Trustees Approval of *Redbook* Changes  
3\_2\_9\_fn32.pdf

### 3.2.10

#### **Governance and Administration: Administrative staff evaluations**

The institution periodically evaluates the effectiveness of its administrators.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The university President is the chief administrative and educational officer of the University of Louisville (UofL). The President's executive leadership team consists of the Executive Vice President and University Provost, Executive Vice President for Health Affairs, Executive Vice President for Research and Innovation, and, beginning in January 2015, the Senior Vice President for Finance and Administration/Chief Financial Officer/Chief Operating Officer. In addition to the executive leadership team, the Vice President for Strategy and General Counsel, Vice President for University Advancement, Vice President for Community Engagement, and the Athletic Director/Vice President for Athletics report directly to the President as part of his senior leadership team [1].

The university's 2020 strategic plan [2] serves as the basis for the annual evaluation of executive and senior leadership by linking strategic priorities to annual goals. In late 2012, the university embarked on the 21<sup>st</sup> Century Initiative [3], an effort to re-energize and expand on the 2020 Plan, to ensure an effective strategic effort to reach the university's state-mandated goal of becoming a premier, metropolitan research university by the year 2020 [4].

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 [5] that are aligned to support the Office of the President's Scorecard, the 2020 strategic plan, and 21<sup>st</sup> Century Initiative. A three-tiered performance scale is used to evaluate each member's annual performance: 1) Good "indicates an increase over previous year"; 2) Better "indicates an increase over previous year and meets annual university goal"; and 3) Best "indicates an increase over the previous year and exceeds the annual university goal." The Board of Trustees (BOT) reviews the tactical goals of the President's executive leadership team in conjunction with the President's evaluation at the July meeting/retreat [6]. Preliminary goals for the upcoming academic/fiscal year are also discussed at the July meeting/retreat.

Each member of the university's senior leadership establishes annual goals in consultation with the university President, with the primary objective of advancing the university's strategic plan. Senior leadership submit annual self-assessments [7a] [7b] [7c] [7d] [7e] [7f] [7g] of their goals and are asked to describe their noted accomplishments, identified weaknesses, and opportunities for moving forward. A one-on-one meeting with the President is scheduled. As a follow-up to the individual meetings, the President summarizes his assessment in writing and establishes the parameters to set annual goals for the upcoming academic/fiscal year [8]. All goals for the upcoming academic/fiscal year are finalized with the Board of Trustees at the September meeting [9].



A flowchart of the assessment cycle for the President and his Senior Leadership team is provided [10] along with a roster summarizing the evaluations of all senior university administrators [11]. This roster also includes the evaluation details for the academic deans, the university's senior academic leadership.

Academic deans receive annual performance reviews from the Executive Vice President and University Provost based on performance on individual and unit goals aligned with the 2020 strategic plan and the 21<sup>st</sup> Century University Initiative [12a] [12b] [12c] [12d] [12e] [12f] [12g] [12h] [12i] [12j] [12k] [12l] [12m]. *The Redbook* further requires, per Section 3.2.3 [13], a five-year comprehensive review of each dean's performance and the effectiveness of the unit administration. These decanal reviews are conducted by a committee consisting of faculty members selected in equal numbers by either the unit faculty or the Provost along with non-faculty members selected by the Provost from other constituencies within the unit. The confidential findings of the decanal review committees are circulated only to the committee itself, the dean involved, and appropriate university officials. Decanal reviews for four deans are provided [14], along with a current schedule for the decanal review cycle [15].

*The Redbook* also mandates, per Section 2.2.4 [16], that the performance of the Executive Vice President and University Provost and any Vice Presidents to whom academic units report is subject to a five-year review by the President and Board of Trustees by procedures established in consultation with the Faculty, Staff, and Student Senates (in addition to the annual Presidential reviews outlined above). Neither the tenure of the current Interim Executive Vice President and Provost, appointed in May 2015, nor the tenure of the Interim Executive Vice President for Health Affairs, appointed in December 2015, has satisfied this five-year requirement.

## SUMMARY

The President's executive leadership team consists of the Executive Vice President and University Provost, Executive Vice President for Health Affairs, Executive Vice President for Research and Innovation, and the Senior Vice President for Finance and Administration/Chief Financial Officer/Chief Operating Officer. In addition to the executive leadership team, the Vice President for Strategy and General Counsel, Vice President for University Advancement, Vice President for Community Engagement, and the Athletic Director/Vice President for Athletics report directly to the President as part of his senior leadership team. The university's 2020 strategic plan serves as the basis for the annual evaluation of executive and senior leadership by linking strategic priorities to annual goals. Each member of the President's executive leadership team prepares tactical goals that are aligned to support the Office of the President's Scorecard, 2020 Strategic Plan, and 21<sup>st</sup> Century Initiative. Academic deans receive annual performance reviews from the Executive Vice President and University Provost, based on performance on individual and unit goals that are aligned with the 2020 strategic plan and the 21<sup>st</sup> Century Initiative.

[1] Organizational Chart, Office of the President Senior Leadership  
3\_2\_10\_fn01.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[2] *The 2020 Plan: Making It Happen*  
3\_2\_10\_fn02.pdf  
<http://louisville.edu/president/the-2020-plan>

[3] *The 21<sup>st</sup> Century Initiative: Powering the 2020 Plan*  
3\_2\_10\_fn03.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>

[4] University Mission Statement  
3\_2\_10\_fn04.pdf  
<http://louisville.edu/about>

[5] Executive Vice President Strategic Goals 2014-15  
3\_2\_10\_fn05.pdf

[6] Board Agendas for 2014, 2015 OOP Goals Presentations  
3\_2\_10\_fn06.pdf

[7] Senior Leadership 2014 and 2015 Self-evaluations

[7a] Executive Vice President and University Provost Self Evaluation  
3\_2\_10\_fn07a.pdf

[7b] Executive Vice President for Health Affairs  
3\_2\_10\_fn07b.pdf

[7c] Executive Vice President for Research and Innovation  
3\_2\_10\_fn07c.pdf

[7d] Senior Vice President for Finance and Administration/Chief Financial Officer/Chief Operating Officer  
3\_2\_10\_fn07d.pdf

[7e] Vice President for Strategy and General Counsel  
3\_2\_10\_fn07e.pdf

[7f] Vice President for University Advancement  
3\_2\_10\_fn07f.pdf

[7g] Vice President for Community Engagement  
3\_2\_10\_fn07g.pdf

[7h] Athletic Director/Vice President for Athletics  
3\_2\_10\_fn07h.pdf

[8] Appraisal Letters from President Ramsey to Senior Leaders  
3\_2\_10\_fn08.pdf

[9] Board of Trustees Minutes Reflecting 2014 and 2015 Proposed Office of the President Goal Presentations  
3\_2\_10\_fn09.pdf

[10] Administrative Review Cycle, Office of the President  
3\_2\_10\_fn10.pdf

[11] Administrator Evaluation Census (census date July 1, 2016)  
3\_2\_10\_fn11.pdf UofL Administrators Evaluation Census

[12] 2015 Annual Reviews for Academic Deans, Self-evaluations and Appraisal Letters from Provost Willihnganz

[12a] College of Arts and Sciences Dean Evaluation  
3\_2\_10\_fn12a.pdf

[12b] College of Education and Human Development Dean Evaluation  
3\_2\_10\_fn12b.pdf

[12c] College of Business Dean Evaluation  
3\_2\_10\_fn12c.pdf

[12d] School of Dentistry Dean Evaluation  
3\_2\_10\_fn12d.pdf

[12e] College of Engineering Dean Evaluation  
3\_2\_10\_fn12e.pdf

[12f] Kent School Dean Evaluation  
3\_2\_10\_fn12f.pdf

[12g] Brandeis School of Law Dean Evaluation  
3\_2\_10\_fn12g.pdf

[12h] University Libraries Dean Evaluation  
3\_2\_10\_fn12h.pdf

[12i] School of Medicine Dean Evaluation  
3\_2\_10\_fn12i.pdf

[12j] School of Music Dean Evaluation  
3\_2\_10\_fn12j.pdf

[12k] School of Nursing Dean Evaluation  
3\_2\_10\_fn12k.pdf

[12l] School of Interdisciplinary and Graduate Studies Dean Evaluation  
3\_2\_10\_fn12l.pdf

[12m] School of Public Health and Information Sciences Dean Evaluation  
3\_2\_10\_fn12m.pdf

[13] Decanal Review Process, Redbook 3.2.3  
3\_2\_10\_fn13.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.2.3>

[14] Decanal Reviews (Doane, Hern, Sauk, Singer)  
3\_2\_10\_fn14.pdf

[15] Decanal Review Schedule for Current Deans (as of July 1, 2015)  
3\_2\_10\_fn15.pdf

[16] Five-year Review Requirement for Executive Leadership with Reporting Academic Units,  
Redbook 2.2.4  
3\_2\_10\_fn16.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.2.4>

### 3.2.11

#### **Governance and Administration: Control of intercollegiate athletics**

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

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The president of the University of Louisville (UofL) is the institution's chief executive officer, and has ultimate control and authority over all areas of the intercollegiate athletic program. This authority is provided to the president by the UofL Board of Trustees as stated in the Redbook, Section 2.1.2 (m) [1] and the University of Louisville Athletic Association (ULAA) By-laws [2].

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 [3]. The president also reviews all NCAA and ACC legislative positions taken by the university in coordination with the Vice President for Athletics, Faculty Athletics Representative, and Senior Woman Administrator.

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 [4]. The Vice President for Athletics oversees the day-to-day operation of the Department of Athletics and meets regularly with the president to review and discuss all athletic matters [5]. In addition to an annual written report submitted to the ULAA board, the Vice President for Athletics is evaluated every five years by the president and the board of trustees, as required by *The Redbook* [6] [7].

The UofL president is also directly involved in the compliance oversight of the athletic department through regular communication with the Senior Associate Athletic Director for Compliance [8]. The president reviews and signs off annually on the athletic department recruiting policy [9], reviews the annual Academic Progress Rate (APR) reporting [10], and has coordinated NCAA rules education review sessions [11] for the university Board of Trustees during the board's annual summer retreat and workshop.

The University of Louisville Athletic Association (ULAA) is a corporation created to act as the business and financial agency for the athletic program pursuant to a written contract with the UofL Board of Trustees as established in the ULAA by-laws [12]. The university president serves as the chair of the ULAA Board of Directors [13] and as such serves as the principal officer for the corporation and of the fiscal and business activities of the board. He also controls a majority of the twenty-six ULAA board member appointments [14]. The president calls all meetings of the board or of the executive committee and determines the agenda for all board meetings [15].

As the principal officer for ULAA, the president also maintains oversight of the academic standards for student-athletes through the Committee on Academic Performance (CAP), which is made up of faculty who are members of the ULAA [16]. The Committee has the authority to examine and evaluate the academic performance of all candidates for intercollegiate athletic teams, to determine their eligibility for competition in intercollegiate competition in accordance with NCAA bylaws, and to take any other action regarding such candidates as deemed necessary or appropriate in the circumstances. Any resulting determinations or actions are based upon the academic standards and regulations of the university and its academic units.

The president maintains fiscal control of athletics through his position as chairman of the ULAA board. In the chief authority position of the university's athletic association, responsibility for all of the fiscal and business activities of the board are clearly maintained under his supervision and control. This fiscal authority is reflected in section 3.4 of the ULAA bylaws, in which the president as chairman of the ULAA Board of Directors has full authority to appoint all members of the ULAA Finance and Budget committee. The Finance and Budget committee's primary function is to recommend the annual operating budget of the association and all financial policy to the ULAA Board of Directors chaired by the president [17].

The president and vice president for athletics are leading the university's efforts to support the NCAA review of information concerning potential rule violations by the men's basketball program. No allegations have been filed by the NCAA at this time. The initial review of the men's basketball program by the university and the NCAA began in October of 2015. The university will notify the Southern Association of Colleges & Schools of any actions or decisions made by the NCAA as a result of this investigation. At this time there are no accreditation compliance concerns.

## **SUMMARY**

UofL is in compliance with Comprehensive Standard 3.2.11. The president of the university is the institution's chief executive officer and has ultimate control and authority over all areas of the intercollegiate athletic program. In the chief authority position of the university's athletic association responsibility for all of the fiscal and business activities of the board are clearly maintained under the president's supervision and control.

[1] *The Redbook*, Section 2.1.2 (m), Powers and Duties of the President  
3\_2\_11\_fn01.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>

[2] University of Louisville Athletics Association (ULAA) By-Laws, Article V  
3\_2\_11\_fn02.pdf  
<http://louisville.edu/president/athletic-association/organizational-documents/bylaws/>

[3] Atlantic Coast Conference Annual Confirmation  
3\_2\_11\_fn03.pdf

[4] President's Leadership Team  
3\_2\_11\_fn04.pdf  
<http://louisville.edu/administration/orgchart.pdf>

- [5] VP for Athletic Position Description  
3\_2\_11\_fn05.pdf  
<http://louisville.edu/athletics/vpathjobdescription.pdf>
- [6] The Redbook, Section 2.2.4, Review of Service  
3\_2\_11\_fn06.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.2.4>
- [7] VP for Athletics Evaluation Report  
3\_2\_11\_fn07.pdf
- [8] Senior Associate Athletic Director for Compliance  
3\_2\_11\_fn08.pdf
- [9] Athletic Department Recruiting Policy  
3\_2\_11\_fn09.pdf
- [10] Academic Progress Rate (APR) Report  
3\_2\_11\_fn10.pdf
- [11] NCAA Rules Education Review Sessions  
3\_2\_11\_fn11.pdf
- [12] University of Louisville Athletic Association (ULAA) By-Laws  
3\_2\_11\_fn12.pdf  
<http://louisville.edu/president/athletic-association/organizational-documents/bylaws/>
- [13] ULAA Board of Directors  
3\_2\_11.fn13.pdf  
<http://louisville.edu/president/boards/athletic-association>
- [14] ULAA Committees of the Board of Directors: 2015-16  
3\_2\_11.fn14.pdf
- [15] ULAA Meeting Minutes 4.28.16  
3\_2\_11.fn15.pdf  
<http://louisville.edu/president/athletic-association/minutes/2016/ULAATab1Minutes4282016forweb.pdf/view>
- [16] Committee on Academic Performance (CAP), ULAA Meeting 6.9.14  
3\_2\_11\_fn16.pdf
- [17] Finance and Budget Committee Meeting Minutes 6.18.15  
3\_2\_11\_fn17.pdf

### 3.2.12

#### Governance and Administration: Fund-raising activities

The institution demonstrates that its chief executive officer controls the institution's fund-raising activities.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville's (UofL) chief executive officer is the president, who has ultimate control and responsibility of the university's fund-raising activities. The current chief executive officer is acting president Neville Pinto [1].

In 2014, then-President Ramsey announced that the university made fund-raising history by completing an ambitious \$1 billion comprehensive campaign. *Charting Our Course*, the campaign for Kentucky's premier metropolitan research university, put UofL on the map of just fifty-two universities to have undertaken a billion dollar campaign. The university completed the campaign ahead of schedule and exceeded the goal by \$58,800,000. During the campaign, philanthropy grew by 165 percent, and 47,771 donors made their first-ever gift to UofL [2].

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]. As the university's chief fund raiser, the president is ultimately responsible for all fund raising activities and plays an active role in soliciting and recognizing donors [4]. The President's annual evaluation is based partially on his success as a fund raiser [5]. The Board of Trustees annually approves the president's fund raising goals [6].

UofL's president also serves as ex officio director [7] of the University of Louisville Foundation Inc. (ULF) [8]. ULF is an independent charitable organization founded in 1970 to oversee funds donated to UofL [9]. UofL's Office of the Vice President for Advancement [10], which has the authority to implement fund raising programs and is responsible for day-to-day operations, reports directly to the president [11].

The Vice President for Athletics has similar responsibilities with regard to the fund raising activities for the University of Louisville Athletic Association, Inc. (ULAA) and also reports directly to the president [12]. In addition, the president serves as the chair of the ULAA Board of Directors and as such serves as the principal officer for the corporation and for all fiscal and business activities of the board, including fund raising [13] [14].

UofL fund raising policies are aligned with the Council for Advancement and Support of Education (CASE) [15] and the Internal Revenue (IRS) guidelines. UofL administers rigorous oversight and controls to manage all fund raising and gift acceptance processes under the leadership of the Advancement unit. The UofL Gift Acceptance and Accounting Guidelines [16] provide the road map for university staff and donor decision making. The purpose of these guidelines is to establish a common understanding among donors, volunteers, and staff as to how gifts will be valued and reported for the current fiscal year. A 2015 Utilization of Foundation Funds chart indicates how the funds were spent [17].



## SUMMARY

The University of Louisville's (UofL) chief executive officer has ultimate control and responsibility of the university's fund-raising activities.

[1] UofL Chief Executive Officer  
3\_2\_12\_fn01.pdf  
<http://louisville.edu/president/>

[2] *Charting Our Course* Campaign Report  
3\_2\_12\_fn02.pdf

[3] *The Redbook* Section 2.1.2, Powers and Duties of the President  
3\_2\_12\_fn03.pdf  
<http://louisville.edu/provost/redbook/chap2.html>

[4] News Release: Frazier donates \$25 million to UofL  
3\_2\_12\_fn04.pdf

[5] President's FY15 Scorecard  
3\_2\_12\_fn05.pdf

[6] Board of Trustees Minutes 9-3-15, Approval of Annual Fund-Raising Goals  
3\_2\_12\_fn06.pdf  
<http://louisville.edu/president/board-of-trustees/minutes>

[7] UofL Foundation Board of Directors  
3\_2\_12\_fn07.pdf  
<http://www.louisvillefoundation.org/about/board-of-directors-information/board-members/>

[8] University of Louisville Foundation Inc.  
3\_2\_12\_fn08.pdf  
[www.louisvillefoundation.org](http://www.louisvillefoundation.org)

[9] Bylaws of University of Louisville Foundation Inc.  
3\_2\_12\_fn09.pdf

[10] Office of the Vice President for Advancement  
3\_2\_12\_fn10.pdf  
<http://www.fundforuofl.org/s/1157/site2014/indexFund.aspx?sid=1157&gid=1&pgid=3908>

[11] Organizational Chart for Vice President of Advancement  
3\_2\_12\_fn11.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[12] Org Chart for Vice President of Athletics  
3\_2\_12\_fn12.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[13] UofL Athletic Association Board of Directors List  
3\_2\_12\_fn13.pdf  
<http://louisville.edu/president/athletic-association>

[14] Bylaws of University of Louisville Athletic Association, Inc.  
3\_2\_12\_fn14.pdf  
<http://louisville.edu/president/athletic-association/organizational-documents/bylaws/view>

[15] Council for Advancement and Support of Education (CASE)  
3\_2\_12\_fn15.pdf  
[http://www.case.org/About\\_CASE.html](http://www.case.org/About_CASE.html)

[16] *Charting Our Course Post Campaign Gift Acceptance and Accounting Guidelines*  
3\_2\_12\_fn16.pdf

[17] Catalyst Annual Report 2015: Utilization of Foundation Funds  
3\_2\_12\_fn17.pdf  
<http://www.louisvillefoundation.org/wp-content/uploads/2016/05/2014-15-Foundation-Annual-Report-WEB-5.25.pdf>

### 3.2.13

#### Governance and Administration: Institution-related entities

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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. An affiliated corporation as defined by Kentucky Revised Statute (KRS) 164A.550 [1] is a corporate entity that could not exist or effectively operate without substantial assistance from UofL. Non-affiliated are those entities that do not meet the statutory definition of an affiliated corporation but whose funds contribute to the university's annual operating budget.

Table 1 provides the current 2015-2016 operating budget for each corporation related to UofL.

**Table 1. Current Budget by Corporation**

<b>UofL Corporations</b>	<b>FY 2015-2016 Budget</b>
University of Louisville Research Foundation, Inc. (Affiliated)	
<b>Total ULRF</b>	<b>462,151,000</b>
University of Louisville Foundation, Inc. (Affiliated, not controlled)	
<b>Total ULF</b>	<b>154,686,000</b>
University of Louisville Athletic Association, Inc. (Affiliated)	
<b>Total ULAA</b>	<b>92,530,000</b>
Quality and Charity Care Trust (Non-affiliated)	
<b>Total QCCT</b>	<b>4,500,000</b>
University of Louisville Medical School Fund, Inc. (Non-affiliated)	
<b>Total ULMF</b>	<b>3,500,000</b>
<b>Total UofL Corporations</b>	<b>717,367,000</b>

Table 2 illustrates that the UofL corporations are 58.4 percent of the total 2015-2016 operating budget.

**Table 2. Total Operating Budget by Source**

<b>Source</b>	<b>FY 2016 Budget</b>	<b>Percent of Total</b>
General Funds	\$511,237,700	41.6%
UofL Corporations	717,367,000	58.4%
<b>Total Operating Budget</b>	<b>\$1,228,604,700</b>	<b>100.0%</b>

The UofL Corporations are now the primary funding source of the university's operating budget. This position reflects the reduced level of general fund support due to decreasing state appropriations. The professional management of each foundation and other non-affiliated entities is critical to the continued growth of the institution.

### **UofL Research Foundation (ULRF)**

The UofL Research Foundation (ULRF) was established by action of the university's Board of Trustees in 1983 for the purpose of promoting and supporting research projects, investigations, and other activities related to the educational, scientific, literary, artistic, health care, and public service missions of the university.

The ULRF is directed and supervised through common management with the university. The university's President serves as President of the Research Foundation. All university trustees, together with the university's president, chief business officer, chief financial officer, chief academic officer, and chief research officer, comprise the ULRF's Board of Directors [2] [3].

Research, including clinical trials and other sponsored activities of the university, is conducted through the ULRF, and the university's strategic plan guides the ULRF's program. The ULRF's revenues are derived from clinical services, grants and contracts, and facilities and administrative cost recoveries.

The relationship between the university and the ULRF is further spelled out in two Agency Agreements between the parties [4]. The university is authorized to act through its employees, officers, and trustees as agent for the ULRF and to receive and disburse monies on behalf of the ULRF. The University charges the ULRF for the administrative, legal, and accounting services performed on behalf of the ULRF and is reimbursed in accordance with Kentucky law. The ULRF is also authorized to act as agent for the university as necessary to carry out the duties of the ULRF.

The ULRF is primarily an operational entity and not a fund-raising entity. Any fund-raising activities are overseen by the Office of University Advancement ("Advancement"), a unit of the university described in more detail below. Advancement is headed by Keith Inman, who holds the title of vice president for university advancement and is a direct report to the president of the university.

## **UofL Athletic Association (ULAA)**

The Athletic Association (ULAA) was established by action of the University's Board of Trustees in 1984 for the purpose of conducting an intercollegiate athletics program that operates in concert with the general educational mission of the university and that is financially self-sufficient. The ULAA is an affiliated, operational entity, and does not have a fund-raising function. The ULAA collects and owns the receipts from subcontracts and such other monies and goods as may be given or granted to the ULAA and expends and disburses such funds in the interests of the university's intercollegiate athletics program.

The university's president serves as chair of the twenty-seven member Board of Directors of the ULAA. Those 27 members consist of the president, two university trustees, nine university faculty members, two university students, one university staff member, four university administrators, and eight at-large directors appointed by the president from a slate provided by various organizations associated with and supportive of the university [5] [6].

The relationship between the university and the ULAA is further spelled out in an Agency Agreement/Management Agreement between the parties [7]. It acknowledges the university's ultimate authority and control over the athletics program and provides that the Director of Athletics shall be a university employee appointed by the university's Board of Trustees on the advice and consent of the ULAA. It also requires that the ULAA carry general liability insurance listing the university as a named insured and indemnify the University and its trustees, officers, employees, and agents from any liabilities arising out of the operation of the intercollegiate athletic program.

Pursuant to the agency agreement between the ULAA and the UofL Foundation (ULF), the ULF invests Athletic Association funds transferred to the ULF for management by the ULF [8].

## **UofL Foundation (ULF)**

The University of Louisville Foundation (ULF) is an "affiliated" entity that is not controlled by the university. The ULF's Articles of Incorporation mandate that the ULF "conduct and carry on its work, not for profit, but, exclusively, for the charitable and educational purposes" of the University [9]. The ULF's purpose is to make the university a premier metropolitan research university recognized for advancing the intellectual, social, and economic development of the Louisville community and its citizens while placing the university among the top tier of similar universities in the nation. The students, academic staff, schools, colleges, and libraries of the university rely heavily on support generated from the endowments of the ULF.

Founded in 1970, the ULF is directed and supervised by a 15-member Board of Directors whose members each serve three-year terms [10]. A majority of the Board members are not university Trustees or officers or employees of the university. The president of the university serves as president of the ULF and as a member of the Board of Directors. The Board is further organized into a number of standing committees, including a Committee on Finance (the "Finance Committee"). The Finance Committee is at all times comprised of the Ex Officio Director (i.e., the president of the university), the chief financial officer of the university, one trustee director, and four at-large directors.

From the ULF's inception, the ULF has used the personnel and other required resources of the university to conduct the ULF's business. The nature of this relationship is defined in

and governed by an Agency Agreement between the university and the ULF dated September 30, 1996 (the "Agreement") [11]. Pursuant to the Agreement, the ULF transfers funds to the university sufficient for the university to pay for services acquired by the university for the ULF. By way of example, the university handles payroll (including all required withholdings), accounting, auditing, tax preparation, insurance (including property, liability, and workers' compensation insurance) and other similar activities for and on behalf of the ULF. The Agreement allows the university to act as the ULF's agent in connection with those activities and obligates the ULF to reimburse the university for the cost of those activities. Pursuant to the Agreement, the ULF also indemnifies the university against any liability or claim the university may suffer as a result of it acting as the ULF's agent.

Organized as an independent 501(c)(3) not for profit corporation, the ULF serves as the university's principal fund-raising arm [12]. Because of the ULF's limited resources and the desire of the university to direct and oversee fundraising activities, the responsibility for those activities is tasked to the Office of University Advancement ("Advancement") [13]. Advancement is headed by Keith Inman, who holds the title of vice president for university advancement and is a direct report to the president of the university.

The funds raised by Advancement for the ULF and the university are invested and managed by the ULF in support of the university's education, research, and service goals and used for scholarships, endowments, research chairs, grants, and other academic initiatives. "The University of Louisville Endowment Fund Statement of Investment Objectives and Guidelines" (the "Investment Policy") identifies and presents a formal set of investment objectives and performance standards so the Board and the Finance Committee can be assured that the assets of the ULF, including those of the endowment fund (the "Fund"), are managed in accordance with generally accepted standards and in a manner consistent with the financial needs of the university [14]. As described in the Investment Policy, the Board has assigned responsibility for the oversight of the Fund to the Board's Finance Committee. To achieve the mandates set forth in the Investment Policy, the Finance Committee uses additional resources, including investment managers, investment consultants, custodians, and Foundation staff.

The Kentucky State Auditor of Public Accounts notified the ULF on June 25, 2015 that a review would take place. The university and the ULF has responded to the auditor's initial requests for information. In the November 2015 state election, the state auditor changed from Adam Edelen to Mike Harmon. Mr. Harmon announced in January 2016 that the review of the foundation would remain on his list of audit priorities and would focus on best practices for the governance of non-profit foundations and compensation arrangements. To date, the state auditor review is not completed.

### **Quality and Charity Care Trust (QCCT)**

The Quality and Charity Care Trust (QCCT) is a non-affiliated, not-for-profit corporation created from a trust agreement. Parties to the trust agreement include: the university, Louisville Metro Government, the Commonwealth of Kentucky, and the University Medical Center (UMC) [15]. The purpose of the trust is to manage monies received from the two government entities and disburse funds to the UMC for indigent care provided at the University of Louisville Hospital. The QCCT current operating budget is \$4.5 million, a reduction of \$500,000 from 2014-2015 to 2015-2016.

## **University of Louisville Medical School Fund, Inc. (ULMF)**

The UofL Medical School Fund, Inc. (ULMF) is a non-affiliated Kentucky, not-for profit organization organized exclusively to benefit the academic endeavors of the School of Medicine [16] [17]. The fund provides financial support to the School of Medicine by collecting a percentage of professional practice income from full-time clinical and basic sciences faculty employed by the School of Medicine. The annual budget for the ULMF of \$3.5 million is unchanged from fiscal year 2014-2015 to 2015-2016.

### **SUMMARY**

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. The University of Louisville Research Foundation, Inc. (ULRF) and the University of Louisville Athletic Association, Inc. (ULAA) are affiliated. The University of Louisville Foundation (ULF) is affiliated but not controlled. The Quality and Charity Care Trust (QCCT) and the University of Louisville Medical School Fund, Inc. (ULMF) are non-affiliated.

[1] KRS 164A.550, Definitions for KRS 164A.555 to 164A.630  
3\_2\_13\_fn01.pdf

[2] University of Louisville Research Foundation, Inc. Articles of Incorporation  
3\_2\_13\_fn02.pdf

[3] University of Louisville Research Foundation, Inc. By-Laws  
3\_2\_13\_fn03.pdf

[4] Agency Agreement and Agency Agreement II between the University and the Research Foundation  
3\_2\_13\_fn04.pdf

[5] University of Louisville Athletic Association, Inc. Articles of Incorporation  
3\_2\_13\_fn05.pdf

[6] University of Louisville Athletic Association, Inc. Bylaws  
3\_2\_13\_fn06.pdf

[7] Agency Agreement/Management Agreement between the University and the Athletic Association  
3\_2\_13\_fn07.pdf

[8] Agency Agreement between University of Louisville Foundation, Inc. and the Athletic Association  
3\_2\_13\_fn08.pdf

[9] University of Louisville Foundation, Inc. Articles of Incorporation  
3\_2\_13\_fn09.pdf

[10] University of Louisville Foundation, Inc. Board of Director's Bylaws  
3\_2\_13\_fn10.pdf

[11] Agency Agreement between the University and the ULF  
3\_2\_13\_fn11.pdf

[12] Overview of the ULF  
3\_2\_13\_fn12.pdf

[13] University's Office of University Advancement  
3\_2\_13\_fn13.pdf

[14] University Investment Policy  
3\_2\_13\_fn14.pdf

[15] Agency Agreement for QCCT  
3\_2\_13\_fn15.pdf

[16] Articles of Incorporation for ULMF  
3\_2\_13\_fn16.pdf

[17] Articles of Amendment for ULMF  
3\_2\_13\_fn17.pdf



### 3.2.14

#### **Governance and Administration: Intellectual property rights**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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 [1] [2]. 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. ULRF is directed and supervised through common management with the university. The university's president serves as President of the Research Foundation. All university trustees, together with the university's president, chief business officer, chief financial officer, chief academic officer, and chief research officer comprise the Research Foundation's Board of Directors.

Research, including clinical trials and other sponsored activities of the university, is conducted through ULRF, and the university's strategic plan guides ULRF's program. ULRF's revenues are derived from clinical services, grants and contracts, and facilities and administrative cost recoveries.

The Executive Vice President for Research and Innovation (EVPRI) [3] is responsible for developing the institutional research policies and procedures and coordinating and providing oversight of research, scholarship, and creative activity at the university. In addition, the office oversees the identification, marketing, and licensing of intellectual property developed at UofL so as to enhance economic development initiatives. The EVPRI office serves as a university-wide resource for identifying and capitalizing on intramural and extramural resources for research and scholarship for UofL faculty, staff, and students. The EVPRI reports to the university president on innovation metrics every fiscal year [4].

The Office of Technology Transfer (OTT) [5], operating within the EVPRI office, facilitates commercialization of university innovations and works to educate university and community members about intellectual property, technology transfer, and start-up business resources; to assess, protect and license university intellectual property for the benefit of the university, its members, Kentucky, and society; to negotiate and execute material transfer, data sharing, and nondisclosure agreements necessary for university research; and to partner with colleagues in the university sister offices to provide research support.

UofL's Intellectual Property Policy provides guidance to the university with respect to ownership and management of intellectual property [6]. The Intellectual Property Policy is posted on the EVPRI website [7] and the Office of Technology Transfer website [8]. UofL's Research Handbook provides information on the OTT and links to the OTT website [9].

Intellectual property includes, but is not limited to, that which is protectable by statute or legislation, such as patents, copyrights, trademarks, service marks, trade secrets, know-how, mask works, and plant variety protection certificates.

OTT oversees disputes between inventors and appeals by faculty, staff, other employees, or students subject to this policy and recommends resolutions. A meeting is scheduled within thirty days of receipt of a dispute or appeal and recommendation of a resolution is submitted to the EVPRI within sixty days thereafter.

All faculty, staff, and other employees of the university (including those on sabbatical leave and on leave with pay, as well as part-time, gratis, and visiting faculty and staff) are subject to the provisions of the Intellectual Property policy. The ULRF also has legal interest in any intellectual property created or discovered by faculty, staff, or other employees while on leave without pay if they have used university specialized resources, funds, facilities, or materials. Faculty, staff, and other employees engaged in private consulting activities or authorized outside employment are excluded unless such activities include the substantial use of university facilities or specialized resources.

Whenever a university faculty, staff, other employee, or student operating under the scope of the Intellectual Property Policy creates intellectual property or obtains exceptional research results that (in a reasonable opinion) may have commercial value and do not fall within the scope of the exceptions [10] to this policy the creator is to notify the technology director in writing via an official Research Disclosure Form [11].

The technology director or designee provides a written communication to the creator with notification of the date of receipt of the Research Disclosure Form and evaluates the merits of the intellectual property and the equities involved. The technology director or designee advises the creator within 120 days following receipt of the disclosed intellectual property and any requested supportive documentation as to whether or not the university will retain interest or ownership in said property.

### **Compensation/Distribution of Equities**

All royalties and other income arising from intellectual property in which the legal rights are owned by the ULRF are administered by the executive vice president for research on behalf of the ULRF in accordance with the Intellectual Property Policy. ULRF will distribute 50 percent of total net proceeds of licensing income (total income less expenses directly related to obtaining rights and royalties from such property) to the creators of the licensed intellectual property as income. The remainder is to be maintained and administered by the ULRF for payment of expenses in administering this policy; for the advancement of technology development for institutional, academic, and research purposes; or for any other activities necessitating monies for the development and execution of the policy.

In the case of multiple creators, the creators are to list what they believe to be the appropriate percentage contributions of each creator at the time a Research Disclosure Form is submitted. If the creators cannot reach an agreement among themselves, the Intellectual Property Committee will meet to evaluate the claims of all creators and will render a binding decision. The Intellectual Property Committee may rely on testimony from the creators' deans and department heads in so doing but is not required to do so.

If the ULRF receives an equity interest as part of the provisions of a license or option agreement, the creator will have the following two options and will choose between them within ten calendar days of notification that an equity interest is being taken by ULRF:

- ULRF will hold such equity interest in its entirety. When and if the sale of an equity interest generates proceeds, the proceeds will be distributed as royalties and other income under Section 9a of the policy.
- ULRF will determine what portion of the equity interest would belong to the creator and will instruct the licensee to assign such equity interest directly to the creator at the time the equity interest is to be conveyed by the licensee to ULRF.

If the creator elects to have any portion of his or her income derived from intellectual property deposited in a university account for scholarship, the executive vice president for research and innovation will match the amount deposited, in concert with matching from the department and college shares, on a one-to-one basis up to a maximum match of no more than \$150,000 dollars per year. The creator is responsible for coordinating such scholarship donations through the UofL Development Office and is required to provide notice to the OTT within thirty days of such donation in order to request matching. If the creator elects to receive the personal income directly, there is no matching [12].

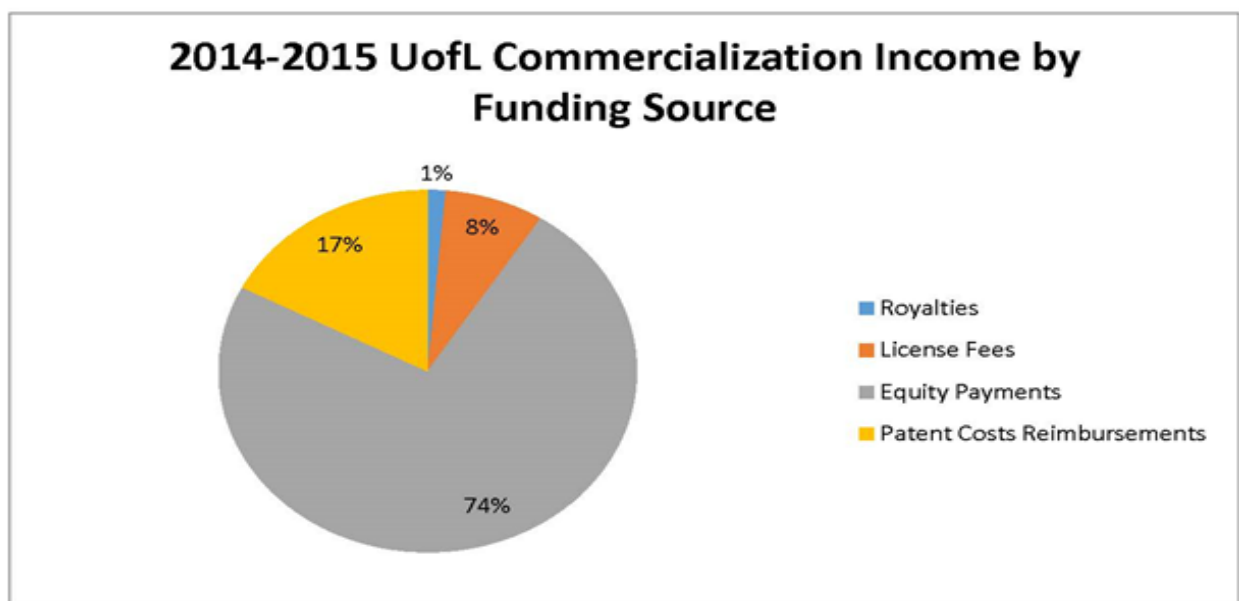
### Copyrights

Patent and copyright policies of the university are those adopted by action of the Board of Trustees [13] [14]. Each person affected by the university's policies on patent and copyright is provided with a copy of these policies at the time of employment or matriculation and is bound by them as they may be subsequently amended as conditions of employment or enrollment at the university.

### Use of Revenue

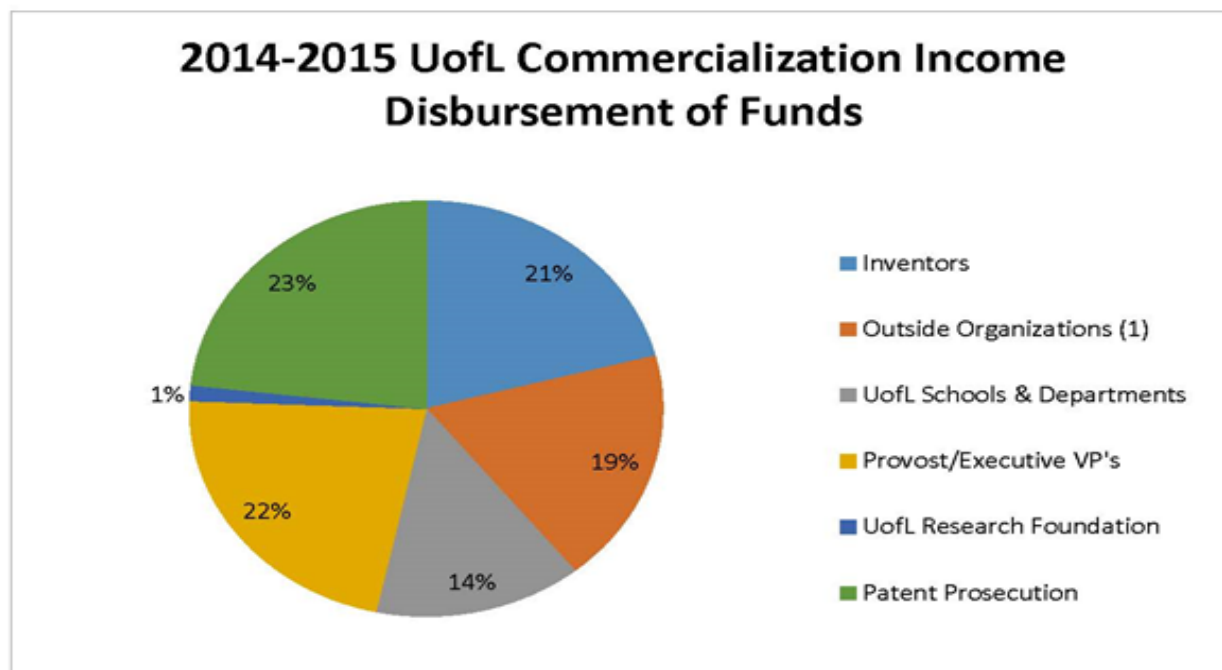
The revenue retained by the university from intellectual property is maintained and administered by the ULRF for payment of expenses in administering the policy; for the advancement of technology transfer for institutional, academic, and research purposes; and for any other activities necessitating monies for the development and execution of this policy. Charts 1 and 2 show intellectual property income and disbursement.

**Chart 1. 2014-15 Commercialization Income**



Commercialization income received by ULRF is disbursed in accordance with the university's Intellectual Property Policy [15]. As per the Policy, inventors receive 50 percent of all royalties and fees received after all patent costs reimbursements are paid. Funding to outside organizations is based upon the terms of the contractual obligations (such as institutional collaboration or funding agreements). UofL departments, schools, and institutes typically each receive 10 percent of the net income and the remaining 20 percent is distributed to EVPRI.

**Chart 2. 2014-15 Commercialization Income Disbursement**



**SUMMARY**

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 Intellectual Property Policy provides guidance to the university with respect to ownership and management of intellectual property. The Intellectual Property Policy is made available to the university community on the university website. An Intellectual Property Committee periodically reviews all activities of the Office of Technology Transfer and issues an annual report to the president. All faculty, staff, and other employees of the university are subject to the provisions of this policy. All royalties and other income arising from intellectual property are administered in accordance with the Intellectual Property Policy.

[1] Bylaws of the UofL Research Foundation  
 3\_2\_14\_fn01.pdf  
<http://louisville.edu/president/research/bylaws-1/view>

[2] UofL Research Foundation Articles of Incorporation  
 3\_2\_14\_fn02.pdf

- [3] EVPRI Responsibilities3\_2\_14\_fn03.pdf  
3\_2\_14\_fn03.pdf  
<http://louisville.edu/research/about/evpri-responsibilities>
- [4] EVPRI Innovation Measures FY 2013-15  
3\_2\_14\_fn04.pdf
- [5] Office of Technology Transfer  
3\_2\_14\_fn05.pdf  
<http://louisville.edu/research/technologytransfer/technologytransfer/about>
- [6] UofL Intellectual Property Policy  
3\_2\_14\_fn06.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Research/Intellectual%20Property.aspx>
- [7] Intellectual Property Policy on Executive Vice President for Research and Innovation Website  
3\_2\_14\_fn07.pdf  
<http://louisville.edu/research/policies/>
- [8] Intellectual Property Policy on Office of Technology Transfer Website  
3\_2\_14\_fn08.pdf  
<http://louisville.edu/research/technologytransfer/policy-procedures>
- [9] UofL Research Handbook, Chapter 1, Section 8  
3\_2\_14\_fn09.pdf  
<https://louisville.edu/research/support/research-handbook/chapter-one-general-information#1.8%20Office%20of%20Technology%20Transfer>
- [10] Exceptions to UofL's Intellectual Property Policy  
3\_2\_14\_fn10.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Research/Intellectual%20Property.aspx>
- [11] Research Disclosure Form  
3\_2\_14\_fn11.pdf
- [12] Royalty Distribution Policy  
3\_2\_14\_fn12.pdf
- [13] *The Redbook*, Section 2.5.3, Intellectual Property Policies  
3\_2\_14\_fn13.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html>
- [14] Guidelines on the Ownership of Data at UofL  
3\_2\_14\_fn14.pdf
- [15] UofL Intellectual Property Policy  
3\_2\_14\_fn15.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Research/Intellectual%20Property.aspx>

### **3.3.1**

#### **Institutional Effectiveness**

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: 3.3.1.1 educational programs, to include student learning outcomes

3.3.1.2 administrative support services

3.3.1.3 academic and student support services

3.3.1.4 research within its mission, if appropriate

3.3.1.5 community/public service within its mission, if appropriate

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville is in compliance with Comprehensive Standard 3.3.1 based upon the responses to:

3.3.1.1

3.3.1.2

3.3.1.3

3.3.1.4

3.3.1.5

### 3.3.1.1

#### **Institutional Effectiveness: Educational Programs**

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:

3.3.1.1 educational programs, to include student learning outcomes.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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.

Assessment of institutional effectiveness is key to the continuing improvement of the University of Louisville [1]. The university's current strategic plan, *2020 Plan: Making it Happen* [2], outlines the goal of educational excellence, and the university's 21<sup>st</sup> Century Initiative [3], which overlays the 2020 Plan, supports the improvement of our academic programs. UofL's academic programs fall within these overarching goals, and their assessment efforts align program goals and measures for student learning with the university's strategic planning.

See Core Requirement 2.5 for information about university-wide planning and assessment processes.

#### **Student Learning Outcomes (SLOs) in Academic Programs**

UofL offers over 200 degrees through its twelve degree-granting academic units [4]. 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. These reports document that UofL is engaged in evaluative processes that (1) result in continuing improvement in institutional quality and (2) demonstrate the institution is effectively accomplishing its mission.

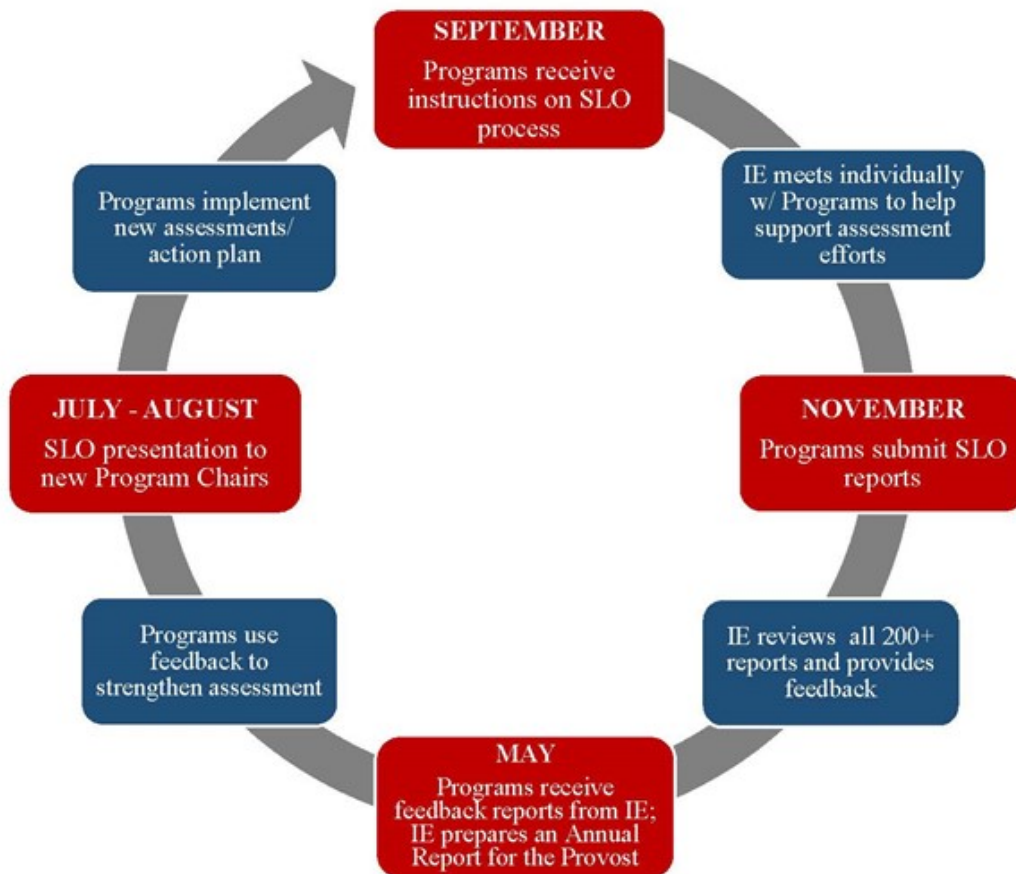
In academic years 2007-2008 and 2008-09, the university conducted a review of its existing SLO process [5], which led to a significant modification in the university process for assessing student learning outcomes at the academic program level and improved the measurement of outcomes. This change resulted in the development of a more robust process in which educational programs identify expected student learning outcomes, assess the achievement of those outcomes, and plan for future improvement. The university provides training to help programs more fully use their SLOs toward continued improvement. Another outcome of the review was the movement of the SLO process from manual processes to a web-based assessment management system, Compliance Assist.™

In their SLO reports programs identify student learning outcomes and measures and targets for the outcomes. Each fall, programs review data surrounding their student learning

outcomes to determine if their set targets were met and then use this assessment to plan for future improvement in student learning.

The SLO process begins in September when templates and instructions for completing SLO reports are sent to department chairs/heads [6] [7] [8] [9] (see Figure 1). The SLO process lags behind by one academic year to enable programs to utilize and report assessment results from the previous academic year. Academic programs submit their completed reports by early November. The provost's office reviews all SLO reports and returns feedback [10] [11] to assist programs with further development and assessment of their learning outcomes. The feedback suggests changes needed to the SLO process and areas for improvement. The expectation is that these revisions be fully incorporated into the SLO reporting process for the next data collection reporting cycle. Training, workshops, and resources on student learning outcome development are provided to faculty and staff to support their efforts and to assist them in continuous improvement of their SLO reports and assessment process.

**Figure 1. Annual Assessment Process**





## Description of the SLO Templates by Level

All SLO reports contain the following six components:

- Program Mission (aligned with the university's mission)
- Program Goals (aligned with the program mission)
- Student Learning Outcomes (aligned with the program's goals)
- Measures and Targets for the Learning Outcomes
- Findings from the previous year's assessment
- Action Plan
  - Copy of previous academic year's action plan
  - Implementation of action plan from previous academic year
  - New action plan for the coming year

The program mission is a broad statement of the purpose of the academic unit/program and is linked to UofL's institutional mission. Program goals address the distinct body of knowledge students will possess upon completing the program of study. Each SLO must clearly align to a program goal and describe specific measurable learning outcomes related to knowledge, skills, or perceptions to be gained or improved upon completing the program of study. Measures must clearly align to an SLO and describe a direct assessment measuring how students' work will be evaluated to determine their level of competency. Targets are to align to the measure and indicate a specific and appropriate threshold for students' collective performance. Findings show the results specified in the measure and indicate whether the intended target/threshold was met (for example, a finding might say that 75 percent of students earned a rating of "adequate" or higher on the designated rubric and that the target was met).

After reviewing the data, programs develop action plans that target areas for improvement identified in the SLO reports to enhance student learning and the students' academic experience. For the 2014-15 reporting cycle, to encourage "closing the loop" programs were asked to provide their previous action plan (from the 2013-14 report), to include an update on improvements made in 2014-15 in response to the plan, and to create for the coming year (2015-16) a new action plan based upon the current year's assessment results. This three-year span of the action plans will be an ongoing component of the SLO process. (Examples of the three-year process of the action plans and closing the loop are demonstrated in the comprehensive SLO reports provided in another section further in this narrative.)

Undergraduate academic programs are required to provide program goals that address competencies that 1) relate to the content knowledge of the major; 2) build upon the General Education curriculum; 3) synthesize the knowledge of the major through a culminating undergraduate experience (CUE); and 4) demonstrate critical thinking as defined by the university's 2007 Quality Enhancement Plan, Ideas to Action (i2a) [12]. (Examples of these competencies are demonstrated in the SLO reporting for undergraduate programs in another section further in this report.)

Graduate and professional programs are to identify program goals that show competencies relating to content knowledge of the discipline (including literature of the discipline), student engagement in research, and professional practice and training experiences [13]. Examples of these competencies are demonstrated in the SLO reporting for graduate and professional programs in the next section.

UofL offers nineteen graduate certificate programs [14]. If the certificate program can be completed as a “stand-alone,” a separate SLO annual report is required. If the certificate program is offered in conjunction with another program, the certificate program can be incorporated into the SLO report for the other degree. The goals and SLOs for the certificate need to align with the existing degree program [15].

UofL offers online and off-site undergraduate and graduate programs [16] [17] [18] [19]. Goals and student learning outcomes for online, off-site, and on-site academic programs are the same regardless of the mode of delivery, and student performances are to be comparable regardless of mode of delivery. Examples of SLO reporting for online and off-site programs are provided in the next section.

### **Examples of 2014-15 SLO Annual Reports and Program Improvement**

As examples of the SLO process, samples were taken of the SLO Annual Reports from the most recent review cycle of 2014-15. As previously noted, the SLO process by design lags behind by one academic year to enable department chairs to utilize and report assessment results from the previous academic year. Academic programs were in 100 percent compliance in their submission of the 2014-15 SLO Reports [20]. In the 2014-15 reporting cycle programs were asked to reflect on their previous action plan (from AY 2013-14 SLO report), to provide an update on improvements made in response to the plan (in AY 2014-15), and to create a new action plan based upon the assessment results (for implementation in AY 2015-16).

Our sampling strategy included samples from the three largest degree-granting units at the university, College of Arts and Sciences (A&S), the College of Education and Human Development (CEHD), and the J. B. Speed School of Engineering (Speed). These three units provide 73 percent of the degrees offered at the university: 43 percent A&S, 15 percent CEHD, and 15 percent Speed. The School of Nursing (SON) is included because it represents one of the four academic units from our health sciences campus. Nursing, BSN is also an example of an undergraduate program that is offered on-campus, online, and off-site (Owensboro). Louis D. Brandeis School of Law (Law School) represents one of the university’s three professional schools. Where available, rubrics used in the program’s assessment are also provided.

The samples of AY 2014-2015 SLO annual reports illustrate how academic programs from each of the units noted above assess their student learning outcomes and include comprehensive action plans at the end of the reports that provide evidence of “closing the loop” by utilizing the assessment results to provide strategies for continuous program improvement to enhance student learning and the students’ academic experience.

The samples from masters and doctoral programs and a professional school (Law School) identify program goals that show competencies relating to content knowledge of the discipline (including literature of the discipline), student engagement in research, and professional practice and training experiences. In addition, examples are provided to demonstrate that program goals and SLOs for online and off-site academic programs were similar in scope and content to the on-campus, traditionally delivered counterparts and that students’ performances were comparable regardless of mode of delivery. Examples of SLO reports for stand-alone certificate programs are also provided.

## College of Arts and Sciences

The College of Arts and Sciences (A&S) is the largest academic unit of the university and is home to 43 percent of all undergraduate and graduate academic programs. A&S supports the general education curriculum and offers academic programs in the liberal arts and sciences through majors offered across three divisions, namely Natural Sciences, Social Sciences, and Humanities. A&S offers 88 degree programs and supports students at all levels, from introductory courses in general education to highly specialized seminars for advanced students.

Charts summarizing the AY 2014-15 SLO reporting process are included as samples for A&S for the following 17 degree programs (20 percent) representing degrees at the baccalaureate, master's, PhD, and certificate levels and delivery modes of on-campus, online, and off-site:

### Humanities

- African American Theatre, Graduate Certificate (GCAAT) (on-campus and certificate) [21]
- English Rhetoric and Composition, PhD (on-campus) [22] and assessment rubric [23]
- French, MA (on-campus) [24] and assessment rubric [25]
- Humanities, BA (on-campus) [26] and assessment rubric [27]
- Spanish, BA (on-campus) [28] and assessment documents [29] [30] [31]
- Spanish, MA (on-campus) [32] and assessment documents [33] [34]

### Natural Sciences

- Atmospheric Sciences, BS (on-campus) [35]
- Biology, BS (on-campus) [36] and assessments [37] [38]
- Chemistry, PhD (on-campus) [39]
- Mathematics, MA (on-campus) [40] and representative master exams [41] [42] [43] [44] [45] [46]
- Physics, MS (on-campus) [47] and assessments [48] [49] [50] [51]

### Social Sciences

- Applied Geography, MS (on-campus) [52]
- Clinical Psychology, PhD (on-campus) [53] and assessment documents [54] [55] [56] [57]
- Communication, BA/BS (on-campus, online, off-site [Panama]) [58] and assessment rubrics [59] [60]
- Criminal Justice, BS (on-campus and online) [61] and assessment rubric [62]
- Police Executive Leadership Development, Graduate Certificate (on-campus and certificate) [63] and assessment rubrics [64] [65] [66]
- Women's and Gender Studies, MA (on-campus) (certificate embedded in report) [67]

## College of Education and Human Development

The College of Education and Human Development (CEHD) offers 31 degree programs or 15 percent of the university's undergraduate and graduate degree programs and prepares students for leadership in a variety of professional settings. Graduates enjoy successful

careers in teaching, educational administration, organizational development, sports management, mental health and school counseling, and student affairs.

Charts summarizing the AY 2014-15 SLO reporting process are included as samples for CEHD for the following 6 degree programs (20 percent) representing degrees at the baccalaureate, master's, PhD, and certificate levels and delivery modes on-campus, online, and off-site:

- Organizational Leadership and Learning (OLL), BA (on-campus, online, off-site [Fort Knox]) [68]
- Sports Administration, BS (on-campus) [69]
- Higher Education, MA (on-campus and online) [70] and evaluations [71] [72]
- Secondary Education, MAT (on-campus) [73]
- Counseling and Personnel Services, PhD (on-campus) [74]
- Autism and Applied Behavior Analysis, Certificate (on-campus, online, and certificate) [75] and assessment rubric [76]

### **J.B. Speed School of Engineering**

The J. B. Speed School of Engineering (Speed) offers a total of 31 program degrees or 15 percent of the university's undergraduate and graduate programs. Bachelor of Science (B.S.) Master of Engineering (M.Eng), Master of Science (M.S.) and Doctor of Philosophy (Ph.D.) programs are offered in all engineering disciplines except bioengineering.

Charts summarizing the AY 2014-15 SLO reporting process are included as samples for Speed for the following 6 degree programs (20 percent) representing degrees at the baccalaureate, master's, PhD, and certificate levels and delivery modes on-campus, online, and off-site:

- Bioengineering, BS (on-campus) [77] and co-op evaluation form [78]
- Mechanical Engineering, BS (On-campus) [79]
- Civil and Environmental Engineering, MS (on-campus, online and certificate) [80]
- Electrical Engineering, MS (on-campus and off-site[General Electric–Louisville]) [81]
- Chemical Engineering, PhD (on-campus) [82] and dissertation rubric [83]
- Industrial Engineering, PhD (on-campus) [84] and dissertation rubric [85]

### **School of Nursing**

The School of Nursing (SON) offers a total of four degrees and one certificate program through the university's undergraduate and graduate programs. Its focus is to address the complex health care needs of diverse and dynamic populations through nursing education, research, scholarship, and service. The SON offers students the opportunity to earn a BS degree in Nursing in a traditional format at both the UofL campus and off-site at Owensboro. Registered nurses with an associate degree can earn a BSN completely online.

A chart summarizing the AY 2014-15 SLO reporting process is included as a sample for SON for the following degree programs:

- Nursing, BSN (on-campus, online, and off-site [Owensboro]) [86]

## **Louis D. Brandeis School of Law**

Brandeis Law School offers a Juris Doctor program both as a full time program (3 years) and a part-time program (4-5 years). The school emphasizes the development of theory, skills, and values. This focus is reflected in their extensive skills program, a downtown Law Clinic, and Entrepreneur Clinic, externship opportunities, expansive moot court and professional skills competitions, and the Samuel L. Greenbaum Public Service Program.

A chart summarizing the AY 2014-15 SLO reporting process is included as a sample for Brandeis Law School for the following degree program:

- Law JD (on-campus) [87]

The 2014-15 SLO reports demonstrate that across academic units, student learning outcomes are assessed and the results from the assessments are utilized for program improvement. The samples further illustrate the assessment process and program improvement regardless of type of degree offered or mode of delivery. Department chairs work with their faculty throughout the academic year to implement strategies from their action plans for continuous program improvement to enhance student learning and the students' academic experience.

### **Quality Enhancement Plan - Ideas to Action (i2a)**

The university's 2007 Quality Enhancement Plan (QEP) was Ideas to Action (i2a), a multi-year critical thinking initiative designed to help students build core critical thinking skills beginning in general education coursework, sharpening those skills in their major coursework, and ending with the application of critical thinking in a culminating undergraduate experience (CUE). The CUE guides students to integrate higher-order thinking skills in the practical application of disciplinary knowledge. The 2007 QEP had the following two outcomes: 1) students will be able to think critically and 2) students will develop the ability to address community issues within the discipline or the world more generally.

As was outlined in the original QEP proposal, the university has taken steps to assess the implementation of Ideas to Action (i2a). The 2014-16 i2a Assessment Overview [88] documented and assessed the level of integration of i2a in undergraduate programs. The university collected information on programs' incorporation of critical thinking components in the curriculum. The i2a oversight team compiled i2a Integration Maps at a Glance for each program that showed specific courses where critical thinking skills are explicitly and intentionally emphasized within the major coursework [89] [90] [91]. The goal of this assessment process was to facilitate the university's ability to gauge, address, and speak to the integration efforts of i2a within our undergraduate programs.

In addition, as part of this process, each semester programs were asked to submit course artifacts that showed evidence of critical thinking components in major coursework. These artifacts include, among other items, course syllabi, course assignments, grading rubrics [92] [93], and other types of evidence that help students articulate and reflect on critical thinking.

For the 2015-16 academic year, an indirect course measure, the Critical Thinking Inventories (CTIs) [94] [95] [96], was implemented. The i2a leadership team developed the Critical Thinking Inventories (CTIs) to help assess the learning environment for the teaching of critical thinking at the course level. The CTIs are short, Likert-item instruments

designed to capture both faculty and student perceptions. Two separate instruments make up the CTIs, the Teaching Critical Thinking Inventory (TCTI) for faculty and the Learning Critical Thinking Inventory (LCTI) for students.

The TCTI captures the faculty member's perception of his or her teaching of critical thinking skills in a specific course [97] [98]. The LCTI captures the students' perception of the use of critical thinking in the same course [99]. These validated instruments provide faculty with a quick way to assess the critical thinking characteristics of their course from both the faculty and student perspective. Faculty can use the results from these instruments to modify their instruction based on areas of perceptual alignment and gaps.

The 2014-16 i2a Assessment Plan complements the i2a assessment built into Student Learning Outcomes (SLO) Reports. As part of the university-wide SLO process, every undergraduate program identified a critical thinking goal and related student learning outcome. Programs use at least one direct measure to evaluate their students' competencies in the use of critical thinking [100]. In addition in their SLO reports, programs developed a learning outcome related to the expectations of practical application of critical thinking in their CUE course. The related student learning outcome (SLO) describes a specific direct measure of the application of critical thinking to practical, real world problems [101].

### **Dual Credit**

The SLO process reflects the assessment of the learning of students enrolled in the major. Students taking dual credit courses are not officially admitted to a major. Dual credit course objectives are the same as on-campus courses and are aligned with the general education competencies.

### **SUMMARY**

University of Louisville is committed to institutional effectiveness and continuous improvement. This commitment is demonstrated by the university's assessment processes and reviews of the educational programs with specific focus on student learning outcomes and the university's effectiveness in helping students achieve them.

[1] Institutional Assessment Framework  
3\_3\_1\_1\_fn01.pdf

[2] UofL 2020 Plan: Making It Happen  
3\_3\_1\_1\_fn02.pdf  
<http://louisville.edu/president/vision2020.pdf>

[3] 21<sup>st</sup> Century Initiative  
3\_3\_1\_1\_fn03.pdf  
<https://louisville.edu/21stcentury/21stCenturyInitiative.pdf>

[4] Inventory of Degree Programs  
3\_3\_1\_1\_fn04.pdf

[5] Revisions to the SLO Process – AY 2008-2009  
3\_3\_1\_1\_fn05.pdf

- [6] 2014-15 SLO Annual Report-Undergraduate Instructions  
3\_3\_1\_1\_fn06.pdf
- [7] 2014-15 SLO Annual Report-Undergraduate Template  
3\_3\_1\_1\_fn07.pdf
- [8] 2014-15 SLO Annual Report-Graduate/Professional Instructions  
3\_3\_1\_1\_fn08.pdf
- [9] 2014-15 SLO Annual Report-Graduate/Professional Template  
3\_3\_1\_1\_fn09.pdf
- [10] 2014-15 SLO Feedback Report- Undergraduate  
3\_3\_1\_1\_fn10.pdf
- [11] 2014-15 SLO Feedback Report- Graduate/Professional  
3\_3\_1\_1\_fn11.pdf
- [12] Program Goals Defined for Undergraduate Programs  
3\_3\_1\_1\_fn12.pdf
- [13] Program Goals Defined for Graduate/Professional Programs  
3\_3\_1\_1\_fn13.pdf
- [14] List of Graduate Certificate Programs  
3\_3\_1\_1\_fn14.pdf  
<http://louisville.edu/graduatecatalog/degree-programs/graduate-certificate-programs>
- [15] SLO Instructions for Reporting Graduate Certificate Programs  
3\_3\_1\_1\_fn15.pdf
- [16] Online Bachelor's Degree Programs  
3\_3\_1\_1\_fn16.pdf  
<http://louisville.edu/online/programs/bachelors>
- [17] Online Master's Degree Programs  
3\_3\_1\_1\_fn17.pdf  
<http://louisville.edu/online/programs/masters>
- [18] Consorial Agreement Off-site Programs  
3\_3\_1\_1\_fn18.pdf
- [19] SLO Instructions for Reporting Online and Off-site Programs  
3\_3\_1\_1\_fn19.pdf
- [20] Annual SLO Reports Received –AY 2012-13; 2013-14; 2014-15  
3\_3\_1\_1\_fn20.pdf
- [21] SLO Chart African American Theatre, Graduate Certificate  
3\_3\_1\_1\_fn21.pdf
- [22] SLO Chart English Rhetoric and Composition, PhD  
3\_3\_1\_1\_fn22.pdf

[23] SLO Chart English Rhetoric and Composition, PhD – Assessment Rubric  
3\_3\_1\_1\_fn23.pdf

[24] SLO Chart French, MA  
3\_3\_1\_1\_fn24.pdf

[25] French, MA Assessment Rubric  
3\_3\_1\_1\_fn25.pdf

[26] SLO Chart Humanities, BA  
3\_3\_1\_1\_fn26.pdf

[27] Humanities, BA Assessment Rubric  
3\_3\_1\_1\_fn27.pdf

[28] SLO Chart Spanish, BA  
3\_3\_1\_1\_fn28.pdf

[29] Spanish, BA Assessment ACTFL Proficiency Guidelines  
3\_3\_1\_1\_fn29.pdf

[30] Spanish, BA Assessment CUE Proyecto Final  
3\_3\_1\_1\_fn30.pdf

[31] Spanish, BA Assessment Rubric Critical Thinking  
3\_3\_1\_1\_fn31.pdf

[32] SLO Chart Spanish, MA  
3\_3\_1\_1\_fn32.pdf

[33] Spanish, MA Assessment ACTFL Proficiency Guidelines  
3\_3\_1\_1\_fn33.pdf

[34] Spanish, MA Assessment Rubric Research  
3\_3\_1\_1\_fn34.pdf

[35] SLO Chart Atmospheric Sciences, BS  
3\_3\_1\_1\_fn35.pdf

[36] SLO Chart Biology, BABS  
3\_3\_1\_1\_fn36.pdf

[37] Biology, BABS Internship Evaluation  
3\_3\_1\_1\_fn37.pdf

[38] Biology, BABS Internship Portfolio  
3\_3\_1\_1\_fn38.pdf

[39] SLO Chart Chemistry, PhD  
3\_3\_1\_1\_fn39.pdf



- [40] SLO Chart Mathematics, MA  
3\_3\_1\_1\_fn40.pdf
- [41] Mathematics, MA Assessment Masters Exam in Mathematics 551  
3\_3\_1\_1\_fn41.pdf
- [42] Mathematics, MA Assessment Masters Exam in Graph Theory  
3\_3\_1\_1\_fn42.pdf
- [43] Mathematics, MA Assessment Masters Exam in Probability and Statistics  
3\_3\_1\_1\_fn43.pdf
- [44] Mathematics, MA Assessment Masters Exam in Algebra  
3\_3\_1\_1\_fn44.pdf
- [45] Mathematics, MA Assessment Masters Exam in Analysis  
3\_3\_1\_1\_fn45.pdf
- [46] Mathematics, MA Assessment Masters Exam in Modeling  
3\_3\_1\_1\_fn46.pdf
- [47] SLO Chart Physics, MS  
3\_3\_1\_1\_fn47.pdf
- [48] Physics, MS Rubric1 Content Knowledge  
3\_3\_1\_1\_fn48.pdf
- [49] Physics, MS Sample Exam Content Knowledge  
3\_3\_1\_1\_fn49.pdf
- [50] Physics, MS Rubric2 Research  
3\_3\_1\_1\_fn50.pdf
- [51] Physics, MS Rubric3 Professional Experience  
3\_3\_1\_1\_fn51.pdf
- [52] SLO Chart Applied Geography, MS  
3\_3\_1\_1\_fn52.pdf
- [53] SLO Chart Clinical Psychology, PhD  
3\_3\_1\_1\_fn53.pdf
- [54] Clinical Psychology, PhD Clinical Evaluation  
3\_3\_1\_1\_fn54.pdf
- [55] Clinical Psychology, PhD Competency Case Conceptualization  
3\_3\_1\_1\_fn55.pdf
- [56] Clinical Psychology, PhD Research Portfolio Review  
3\_3\_1\_1\_fn56.pdf
- [57] Clinical Psychology, PhD Preliminary Exam Review  
3\_3\_1\_1\_fn57.pdf

[58] SLO Chart Communication, BA/BS  
3\_3\_1\_1\_fn58.pdf

[59] Communication, BA/BS Communication Rubric  
3\_3\_1\_1\_fn59.pdf

[60] Communication, BA/BS Critical Thinking Rubric  
3\_3\_1\_1\_fn60.pdf

[61] SLO Chart Criminal Justice, BS  
3\_3\_1\_1\_fn61.pdf

[62] Criminal Justice, BS Assessment Rubric  
3\_3\_1\_1\_fn62.pdf

[63] SLO Chart Police Executive Leadership Development, Certificate  
3\_3\_1\_1\_fn63.pdf

[64] Police Executive Leadership Development, Certificate Critical Essay Rubric CJ 578  
3\_3\_1\_1\_fn64.pdf

[65] Police Executive Leadership Development, Certificate Effective and Efficiency Paper  
Rubric CJ 576  
3\_3\_1\_1\_fn65.pdf

[66] Police Executive Leadership Development, Certificate Group Presentation Rubric CJ 612  
3\_3\_1\_1\_fn66.pdf

[67] SLO Chart Women's and Gender Studies, MA (Certificate Embedded)  
3\_3\_1\_1\_fn67.pdf

[68] SLO Chart Organizational Leadership and Learning, BS  
3\_3\_1\_1\_fn68.pdf

[69] SLO Chart Sports Administration, BS  
3\_3\_1\_1\_fn69.pdf

[70] SLO Chart Higher Education Administration, MA  
3\_3\_1\_1\_fn70.pdf

[71] Higher Education Administration, MA Supervisor Internship Evaluation  
3\_3\_1\_1\_fn71.pdf

[72] Higher Education Administration, MA Student Evaluation of Program  
3\_3\_1\_1\_fn72.pdf

[73] SLO Chart Secondary Education, MAT  
3\_3\_1\_1\_fn73.pdf

[74] SLO Chart Counseling and Personnel Services, PhD  
3\_3\_1\_1\_fn74.pdf

[75] SLO Chart Autism and Applied Behavior Analysis, Certificate  
3\_3\_1\_1\_fn75.pdf

[76] Autism and Applied Behavior Analysis, Certificate Assessment Rubric  
3\_3\_1\_1\_fn76.pdf

[77] SLO Chart Bioengineering, BS  
3\_3\_1\_1\_fn77.pdf

[78] Bioengineering, BS Co-op Evaluation Form  
3\_3\_1\_1\_fn78.pdf

[79] SLO Chart Mechanical Engineering, BS  
3\_3\_1\_1\_fn79.pdf

[80] SLO Chart Civil and Environmental Engineering, MS  
3\_3\_1\_1\_fn80.pdf

[81] SLO Chart Electrical Engineering, MS  
3\_3\_1\_1\_fn81.pdf

[82] SLO Chart Chemical Engineering, PhD  
3\_3\_1\_1\_fn82.pdf

[83] Chemical Engineering, PhD Dissertation Rubric  
3\_3\_1\_1\_fn83.pdf

[84] SLO Chart Industrial Engineering, PhD  
3\_3\_1\_1\_fn84.pdf

[85] Industrial Engineering, PhD Dissertation Rubric  
3\_3\_1\_1\_fn85.pdf

[86] SLO Chart Nursing, BSN  
3\_3\_1\_1\_fn86.pdf

[87] SLO Chart Law JD  
3\_3\_1\_1\_fn87.pdf

[88] 2014-16 i2a Assessment Plan  
3\_3\_1\_1\_fn88.pdf

[89] i2a Integration Map College of Arts & Sciences Philosophy  
3-3\_1\_1\_fn89.pdf

[90] i2a Integration Map College of Business  
3-3\_1\_1\_fn90.pdf

[91] i2a Integration Map School of Nursing  
3-3\_1\_1\_fn91.pdf

[92] i2a Assessment Plan Communication 304-01 Syllabus  
3\_3\_1\_1\_fn92.pdf

[93] i2a Assessment Plan Communication 304-01 Assignment  
3\_3\_1\_1\_fn93.pdf

[94] i2a Critical Thinking Inventory Faculty TCTI  
3\_3\_1\_1\_fn94.pdf

[95] i2a Critical Thinking Inventory Student LCTI  
3\_3\_1\_1\_fn95.pdf

[96] i2a Critical Thinking Inventories (TCTI and LCTI) FAQ  
3\_3\_1\_1\_fn96.pdf

[97] i2a Critical Thinking Inventories (TCTI)\_BSTA 201-02  
3\_3\_1\_1\_fn97.pdf

[98] i2a Critical Thinking Inventories (TCTI)\_PHUN 400-01  
3\_3\_1\_1\_fn98.pdf

[99] i2a Critical Thinking Inventories Comparison Report (TCTI & LCTI) BSTA 201-02  
3\_3\_1\_1\_fn99.pdf

[100] Chart i2a (Critical Thinking) and the 2014-15 SLO Report  
3\_3\_1\_1\_fn100.pdf

[101] Chart Culminating Undergraduate Experience (CUE) and the 2014-15 SLO Report  
3\_3\_1\_1\_fn101.pdf

### 3.3.1.2

#### **Institutional Effectiveness: Administrative Support Services**

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:

3.3.1.2 administrative support service.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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.

#### **Institutional Assessment of Administrative Services**

UofL has numerous administrative areas that ensure efficient and effective fulfillment of its mission in the areas of teaching, research, and service [1]. The university's *2020 Plan: Making it Happen* [2] details a strategic effort to reach its state-mandated goal of becoming a premier, metropolitan research university by the year 2020. 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.

See Core Requirement 2.5 for information on the university's strategic planning.

In 2012, the university's *2020 Plan* was overlaid with another strategic commitment, the 21<sup>st</sup> Century Initiative [3], which provides additional guidance in addressing the goals of the 2020 Plan in light of the changing higher education environment, economic challenges, and efficient use of university resources in a time of increasing calls for accountability. The university community acknowledged that the 2020 Plan needed to be re-energized and expanded if it was to continue to meet the needs of the university in the 21<sup>st</sup> century. The 21<sup>st</sup> Century Initiative consists of three strategic priorities: academic and research, culture of excellence, and financial health. The administrative enhancements supporting the financial health priorities of the 21<sup>st</sup> Century Initiative call for university administration to review and improve the effectiveness of its business operations and to reduce costs where possible to ensure financial stability [4]. See Table 1 for 21<sup>st</sup> Century Initiative outcomes related to financial stability and progress toward the goals. The 21<sup>st</sup> Century Initiative strategic planning led UofL to explore the creation of a business architecture that would better fit the needs of the university and fuel its continued growth.

**Table 1. 21<sup>st</sup> Century Initiative Administrative Enhancement Goals**

Enhancement Goals	Status
<p><b>GOAL 1:</b> Enhance administration to promote stewardship and accountability</p> <ul style="list-style-type: none"> <li>• Employ chief financial officer/chief operating officer; chief strategy officer and counsel</li> </ul>	Completed
<ul style="list-style-type: none"> <li>• Implement shared business services</li> </ul>	HSC plan in progress; Belknap plan finalized 2015-16
<p><b>GOAL 2:</b> Implement expenditure efficiency and cost avoidance initiatives</p> <ul style="list-style-type: none"> <li>• Implement recommendations from Strothman report on accountability</li> </ul>	On track for June 2016 implementation
<ul style="list-style-type: none"> <li>• Reorganize business practices</li> </ul>	VPFA reorganization announced June 2015
<ul style="list-style-type: none"> <li>• Enhance enterprise risk management</li> </ul>	Plan March 2016
<ul style="list-style-type: none"> <li>• Provide continuous auditing</li> </ul>	Process review in progress
<p><b>GOAL 3:</b> Target effective resource management</p> <ul style="list-style-type: none"> <li>• Modify financial models to enhance alignment with academic goals</li> </ul>	Evaluation 2015-16; implementation starting FY 2017

### University-Level Assessment of Administrative Services

In the past, UofL’s assessment history for administrative units has been decentralized in nature and has included the use of large-scale external reviewers to provide assessment of best practices to improve university operations. In recent years, UofL has partnered with three outside consulting firms to provide institutional-level insight into cost and operational efficiencies, auditing practices and financial management, and business operation and technology. Through the use of these consultants, the university began to see the need for more centralization of assessment efforts related to administrative functions. Below are highlights from those reports and improvements made as a result of their findings.

#### Excelcor

In 2012, the University’s President and Executive Vice President and University Provost commissioned an Administrative Efficiencies Team. The team was supported by two members from the higher education consulting firm Excelcor. The team was charged with developing recommendations that addressed current budget challenges as well as recommendations to gain new economies of scales, improve administrative efficiencies and service levels, reduce or eliminate redundancies, increase revenues from existing sources, and create new revenue streams. Excelcor presented a report to senior leadership with their findings and eleven recommendations [5]. The Administrative Efficiencies Team helped drive

several outcomes that appeared in the 21<sup>st</sup> Century Initiative and contributed to the formation of the 21<sup>st</sup> Century Initiative committee structure.

### **Strothman**

In 2013 UofL advertised for the services of an independent CPA firm to conduct a special examination of the university's auditing practices and financial management, including its professional practice plans [6]. Strothman and Company was awarded the contract and reviewed all the reports issued by the university's Audit Services Department from 2007 through 2013. They conducted nearly 100 interviews with a wide variety of university personnel and visited every college and many individual departments. The consulting report contained recommendations to improve the internal control structure and financial oversight at the university. The university management's responses to the report were also included. The full report was presented to and approved by the Board of Trustees [7]. Progress on the implementation of the Strothman recommendations is ongoing [8].

### **PricewaterhouseCoopers (Business Operations and Technology)**

In 2014, the university contracted with PricewaterhouseCoopers (PwC) to review and make recommendations for the university's business transformation. In addition, PwC provided an analysis of the function and use of PeopleSoft (the university's information management system) in the transaction of university business operations. The PwC report findings augmented the Strothman Report recommendation to develop a shared services model. The consultant's report, completed in October 2014, provided recommendations for the development of a business transformation model and an assessment of the university's PeopleSoft system. The PwC report recommended the university work to transform the finance and business, supply chain, and the human resources business operations via process standardization and automation; to implement a clean version of PeopleSoft to increase automation (cash management, electronic invoicing, and dashboards/analytics reporting); to implement new modules and functionality for strategic sourcing and services procurement; and to implement core human resources and payroll functions [9].

### **Impact of Consultants' Recommendations**

The consultants' reports provided insight and guidance for the university to take steps toward improving the administrative and financial oversight of the university. Table 1 shows some of the outcomes. Based on the recommendations of the external consultants and the various internal working committees, the university has improved the administrative and financial oversight of the university. The following are examples of improvement in these areas:

#### **1. Office Organizational Review and Restructure**

##### **Senior Vice President for Finance and Administration.**

The Strothman consultant report recommended the improvement of the internal control structure and financial oversight at the university. In February 2014, the Board of Trustees approved the creation of a single leadership position for financial affairs and business affairs and a new position description for a Senior Vice President for Finance and Administration (SVPFA) [10]. The SVPFA also functions as a chief operating officer and chief financial officer.

The Office of the Senior Vice President for Finance and Administration, Chief Operations Officer (SVPFA/COO) [11] was created in January 2015 and is made up of Audit and Compliance, Finance, Business Affairs, Information Technology, and Human Resources. Audit and Compliance includes audit services, institutional compliance, and information security. Finance includes the controller's office, budget and planning, payroll, and financial and human capital management systems. Business Affairs includes the physical plant, planning design and construction, environmental health and safety, public safety and campus auxiliary services. Information Technology (IT) includes academic and research computing, communications, digital media production, IT infrastructure, and technology support services. Human Resources provides personnel support services for the entire university.

### **School of Medicine Office of the Dean**

As part of the ongoing effort to position the Medical School for long-term growth and sustained excellence, Excelcor Consultants were engaged to review the Dean's Office organizational structure to identify opportunities for closer alignment with their strategic priorities and for streamlining. The review consisted of examining other medical school's organizational structures and in-depth interviews of various stakeholders within and outside the Dean's Office. The old organizational [12] and new organizational structure [13] are provided to show the dramatic changes. The new structure is framed along the four pillars of its mission to improve the health of patients and communities, namely education, research, clinical care, and community engagement/diversity. This new structure has brought better clarity to its offices and capitalized on natural synergies. It also has allowed for enhanced accountability along missions.

### **Office of the Executive Vice President for Research and Innovation**

Excelcor Consultants also conducted an organizational assessment of the research and innovation activities at the university. One of the clear recommendations from Excelcor Consultants was to create a senior level position responsible for coordinating, organizing, and aligning all research administration and support services. The university identified and hired a single Executive Vice President for Research and Innovation, who directs all elements of research administration, research translation, and commercialization. In addition other senior-level positions were identified with experience in both the academic and the commercialization worlds to assist with the integration of the functions of the academic research efforts, research administration, and function of a state institution in these efforts and innovation/commercialization efforts [14].

## **2. Unit Business Managers**

One of the Strothman Report recommendations was to improve financial oversight by strengthening the function of the Unit Business Managers (UBMs). University-wide improvements in business systems required informed, skilled support at all levels. The Professional Development unit of the university's Delphi Center played a major role in this area. Due to the successful University Business Training program offered through the Delphi Center, proven training systems were in place university-wide. These were leveraged extensively to support the changes needed to improve financial oversight. Delphi Center recommended the following actions to implement a three-tier program under the University Business Training (UBT) umbrella:



- UBT for University Business Managers (in place) [15]
- UBT for Department Chairs and Leaders (piloted and awaiting implementation) [16] [17]
- UBT for Other Audiences (as needs are determined by the new CFO/COO)

### 3. Shared Services

The university's Administrative Efficiencies Team (in conjunction with Excelcor), and the 21<sup>st</sup> Century Initiative's Financial Health Committee both submitted reports [18] [19] emphasizing the need to create a new shared services operating model for delivering administrative support. These reports included recommendations to restructure existing roles, responsibilities, processes, systems, and organizational reporting lines and budgets to create a new operational model that gains economies of scale, improves the quality of administrative services, reduces administrative operating costs, and reduces process errors. The model also provides ways to consolidate administrative roles into a shared services environment aligned to university units and structures. In addition, the shared services model allows for the development of deep skills and competencies in all administrative disciplines and promotes standards, accountabilities, and performance measures.

In the spring of 2014 the university launched two pilot initiatives designed to support the shared services model and its guiding principles. The Speed School of Engineering successfully designed a shared services model consistent with the guidelines highlighted and with their local demands and needs. The pilot has been extraordinarily successful and will serve as a model for other schools and units. Likewise, the Human Resources unit merged its business operations with the Information Technology unit.

Based on the recommendations from the Strothman report and PriceWaterhouse Cooper, UofL's Health Sciences Center (HSC) has identified administrative practices that lend themselves to a shared service model and that allow for robust institutional controls of important HR and financial functions [20] [21]. The scope of the initiative revolves around transactional processes that would benefit from simplification and standardization. These efforts center on Finance, Purchasing, Human Resources, and Information Technology functions. A standard operating procedures (SOP) manual was developed that guides the new and existing workflows of human resources, purchasing, and finance functions at HSC. An example from the SOP manual (Hiring and Staff Recruitment) is provided [22].

The following are the key benefits from the shared services model:

- Enables units to allocate resources on core competencies and mission critical processes for the Department/Schools.
- Simplifies and standardizes processes to foster a climate for improvement in operational effectiveness.
- Allows for flexibility and scalability of operations according to business needs without carrying fixed costs.
- Improves efficiencies by developing subject matter expertise and standardizing processes.
- Enhances time management, allowing staff to concentrate their time in a job field such as HR, Finance, or Research Administration.
- Increases job satisfaction by developing staff with more advanced skills in a few areas and better defined roles and tasks.
- Expands cross coverage by providing enhanced coverage of staff and services across departments.

- Permits succession planning. Over the next 5 years, the HSC alone will have over 400 retirement eligible administrative employees. Now is the time to start the transfer of institutional knowledge before it is gone.
- Promotes consistency in application of policies, ensuring compliance with university, Commonwealth and federal regulations and laws.
- Empowers transparency of operations and information and allows responsiveness to requests from departments by utilizing online systems to streamline processes.
- Provides opportunity for managing to standards instead of exceptions. This is the only way to instill continual improvement into the culture of the HSC.

### **Unit-Level Assessment of Administrative Services**

UofL has eight major administrative units [23] that report to the President and provide oversight to numerous administrative services that ensure efficient and effective fulfillment of its mission in the areas of teaching, research, and service. Below are the organizational charts for each of these units.

- Office of Executive Vice President and Provost [24]
- Office of Executive Vice President for Health Affairs [25]
- Office of Executive Vice President for Research and Innovation [26]
- Office of Senior Vice President for Finance and Administration [27]
- Office of Vice President for University Advancement [28]
- Office of Vice President for Strategy and General Counsel [29]
- Office of Vice President for Athletics [30]
- Office of Vice President for Community Engagement [31]

As was previously discussed, assessment of administrative areas has largely been decentralized and has focused mainly on the use of external consultants to help guide improvements in these areas. More recently, the university acknowledged there was a need for a more systematic and centralized assessment process for administrative offices. As an initial phase to improve the assessment process, the provost office developed an Administrative Assessment Inventory [32]. The inventory was designed to measure the level of assessment being conducted by these eight administrative units and their specific departments. In spring 2015, the survey was administered and thirty-eight members of the surveyed administrative offices responded.

The Administrative Assessment Inventory collected information on the types and frequency of assessments and how results were being used for program improvement. Results indicated that assessment efforts varied throughout the institution in terms of frequency, specificity, and utilization of findings for continuous improvement [33].

From the results of the inventory, it was apparent that there was a need for a more centralized assessment process for administrative services. A more systematic collection and reporting of assessment efforts for administrative units similar to the university's long-standing, centralized Student Learning Outcomes Reports (SLO) assessment process (for academic programs) was implemented in 2014. The provost office created an Outcomes Assessment Report (OAR) template that mirrored the academic SLO reports [34] to gather more information about administrative assessment.

Each of the eight administrative units received the AY 2014-15 Outcomes Assessment Report template along with instructions [35] for completing the form. Administrative units were asked to report on their mission, goals, outcomes, assessment methods, performance

targets, findings, and action plans for improvement. These reports were submitted in fall 2015 for review.

### **AY 2014-15 Outcomes Assessment Reports**

The Outcomes Assessment Reports (OARs) from the eight administrative units reporting to the President demonstrate administrative unit support of the university's mission and involvement in evaluative processes that result in continuing improvement.

- Office of the Executive Vice President and Provost [36]
- Office of Executive Vice President for Health Affairs [37]
- Office of the Executive Vice President for Research and Innovation [38]
- Office of Senior Vice President for Finance and Administration [39]
- Office of Vice President for University Advancement [40]
- Office of Vice President for Strategy and General Counsel [41]
- Office of Vice President for Athletics [42]
- Office of Vice President for Community Engagement [43]

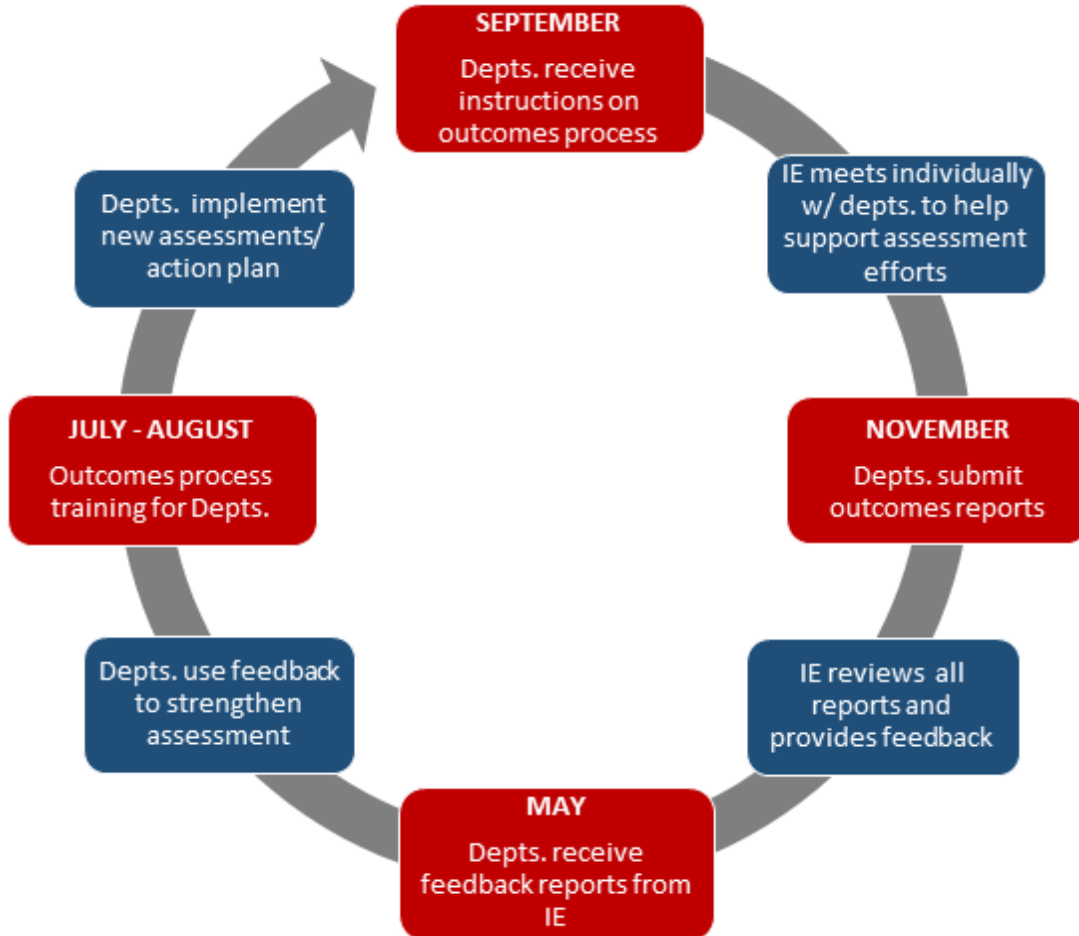
As this was the first year of a more centralized process, it is considered a “pilot” phase, which will result in better understanding by the units of the types of assessments and reporting that will be required as the university moves forward.

Feedback [44] was returned to each unit administrator with suggestions to enhance the quality of the report in the next reporting cycle, including recommendations to refine the assessment process and to close the loop for improvements relating to their administrative operations. Feedback reports provided to each unit give specific recommendations for improvements to assessment, and individualized assistance (meetings, workshops, etc.) is provided as needed.

The feedback report for the Office of Community Engagement is provided as an example [45]

The submission of the Outcomes Assessment Report by administrative units will be an ongoing and annual process. In addition, a third phase will be incorporated into the improvement of the assessment process. Starting in fall 2016, each of the units' direct reports will be required to submit the AY 2015-16 Outcomes Assessment Report for its department or office. The timeline for the outcomes assessment cycle is displayed below in Figure 1.

**Figure 1. Outcomes Assessment Cycle**



### **Institutional Effectiveness Assessment Collaborative (IEAC)**

In a continuing effort to centralize assessment efforts at the university, a new Institutional Effectiveness Assessment Collaborative (IEAC) will be implemented in fall 2016 with the overarching goals to:

- Serve as a collaborative working group made up of key faculty and staff who work with assessment from all critical areas of campus;
- Seek valuable advice and input from IEAC members on the creation of assessments, reports, dissemination plans, recommendations for use of results, and new initiatives;
- Share, as a committee, the assessment and improvement efforts taking place across the university to keep all units informed of progress and potential avenues for collaboration across units;
- Work as a unified committee to improve programs and services across all academic, administrative, and academic/student support units;
- Peer review annual outcomes assessment reports to better facilitate understanding and improvement;

- Make consistent and ongoing efforts toward institutional effectiveness that will serve to meet reporting needs to national, regional, and discipline-specific accrediting bodies.

## SUMMARY

Administrative offices at the University of Louisville (UofL) have a history of assessment efforts geared toward continuous program improvement. In the past, efforts have been decentralized and supported by the use of external consultants. The university has converted assessment efforts to a more centralized, university-wide process that will assist the university toward its 2020 Strategic Plan goals and the related 21<sup>st</sup> Century Initiative goals for administrative effectiveness. The new process mirrors the university's academic unit Student Learning Outcomes reporting. Eight administrative offices completed outcomes reports in the pilot stage, and the process will extend in future to include individual administrative departments reporting to the eight original offices. The annual submission of the Outcomes Assessment Reports to a centralized office serves to create a unified system of accountability through which UofL can continue to monitor progress and demonstrate continuous improvement.

[1] Organization Chart-Senior Leadership  
 3\_3\_1\_2\_fn01.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[2] 2020 Plan: Making it Happen  
 3\_3\_1\_2\_fn02.pdf  
<http://louisville.edu/president/vision2020.pdf>

[3] UofL 21<sup>st</sup> Century Initiative: Powering the 2020 Plan  
 3\_3\_1\_2\_fn03.pdf  
<http://louisville.edu/21stcentury/21stCenturyInitiative.pdf>

[4] 21<sup>st</sup> Century Initiative, p. 18  
 3\_3\_1\_2\_fn04.pdf  
<http://louisville.edu/21stcentury/21stCenturyInitiative.pdf>

[5] Excelcor Report  
 3\_3\_1\_2\_fn05.pdf

[6] RFP for Financial and Audit Services Review September 2013  
 3\_3\_1\_2\_fn06.pdf

[7] Strothman Consulting Financial Report-July 2014  
 3\_3\_1\_2\_fn07.pdf

[8] Progress on Recommendation from Strothman Report-January 2015  
 3\_3\_1\_2\_fn08.pdf

[9] PriceWaterhouseCooper Assessment  
 3\_3\_1\_2fn09.pdf

[10] Senior Vice President for Finance and Administration (SVPFA)  
 3\_3\_1\_2\_fn10.pdf

- [11] Office of Finance and Administration—Realignment and Reconfiguration  
3\_3\_1\_2\_fn11.pdf
- [12] School of Medicine - Old Organizational Chart  
3\_3\_3\_2\_fn12.pdf
- [13] School of Medicine - New Organizational Chart  
3\_3\_1\_2\_fn13.pdf
- [14] Executive Vice President for Research and Innovation – Organizational Chart  
3\_3\_1\_2\_fn14.pdf
- [15] University Business Managers (UBM) Training  
3\_3\_1\_2fn15.pdf
- [16] Best Business Practices Training for Department Leaders  
3\_3\_1\_2fn16.pdf
- [17] Best Business Practices Training for Department Leaders - Curriculum  
3\_3\_1\_2 fn17.pdf
- [18] Administrative Efficiencies Team Findings and Recommendations June 2012  
3\_3\_1\_2\_fn18.pdf
- [19] Shared Services Report-Financial Health Committee – 21<sup>st</sup> Century Initiative  
3\_3\_1\_2\_fn19.pdf  
<http://louisville.edu/21stcentury/committees/reports/nov-2014/shared-services-team-update/view>
- [20] 2015 Health Sciences Center Shared Services Status Report – June 2015  
3\_3\_1\_2\_fn20.pdf
- [21] 2016 Health Sciences Center Shared Services Status Report – June 2016  
3\_3\_1\_2\_fn21.pdf
- [22] HSC SOP – Hiring and Staff Recruitment  
3\_3\_1\_2\_fn22.pdf
- [23] Organization Chart-Senior Leadership  
3\_3\_1\_2\_fn23.pdf  
<http://louisville.edu/administration/orgchart.pdf>
- [24] Executive Vice President and University Provost Organizational Chart  
3\_3\_1\_2\_fn24.pdf  
<http://louisville.edu/provost/>
- [25] Executive Vice President for Health Affairs Organizational Chart  
3\_3\_1\_2\_fn25.pdf  
<http://louisville.edu/hsc/evpha/>
- [26] Executive Vice President for Research and Innovation Organizational Chart  
3\_3\_1\_2\_fn26.pdf

[27] Office of Senior Vice President for Finance and Administration Organizational Chart  
3\_3\_1\_2\_fn27.pdf  
<http://louisville.edu/financeandadministration/documents/orgchart>

[28] Vice President for University Advancement Organizational Chart  
3\_3\_1\_2\_fn28.pdf

[29] Vice President for Strategy and University Counsel Organizational Chart  
3\_3\_1\_2\_fn29.pdf  
<http://louisville.edu/counsel/aboutus/organizational-chart-1/view>

[30] Vice President for Athletics Organizational Chart  
3\_3\_1\_2\_fn30.pdf

[31] Vice President for Community Engagement Organizational Chart  
3\_3\_1\_2\_fn31.pdf  
<http://louisville.edu/communityengagement/contact-us/OrgchartREV020516.pdf>

[32] 2015 Administrative Assessment Inventory  
3\_3\_1\_2\_fn32.pdf

[33] Administrative Assessment Inventory Survey Results Report 2015  
3\_3\_1\_2\_fn33.pdf

[34] 2014-15 Outcomes Assessment Report (OAR) Template Administrative  
3\_3\_1\_2\_fn34.pdf

[35] 2014-15 Outcomes Assessment Report (OAR) Instructions Administrative  
3\_3\_1\_2\_fn 35.pdf

[36] 2014-15 Outcomes Assessment Report -Executive Vice President and University  
Provost  
3\_3\_1\_2\_fn36.pdf

[37] 2014-15 Outcomes Assessment Report - Executive Vice President for Health Affairs  
3\_3\_1\_2\_fn37.pdf

[38] 2014-15 Outcomes Assessment Report - Executive Vice President for Research and  
Innovation  
3\_3\_1\_2\_fn38.pdf

[39] 2014-15 Outcomes Assessment Report- Senior Vice President for Finance and  
Administration  
3\_3\_1\_2\_fn39.pdf

[40] 2014-15 Outcomes assessment Report - Office of Vice President for University  
Advancement  
3\_3\_1\_2\_fn40.pdf

[41] 2014-15 Outcomes Assessment Report -Vice President for Strategy and General  
Counsel  
3\_3\_1\_2\_fn41.pdf

[42] 2014-15 Outcomes Assessment Report -Vice President for Athletics  
3\_3\_1\_2\_fn42.pdf

[43] 2014-15 Outcomes Assessment Report Vice President for Community Engagement  
3\_3\_1\_2\_fn43.pdf

[44] Feedback Rubric\_2014-15 OAR  
3\_3\_1\_2\_fn44.pdf

[45] Feedback Rubric\_2014-15 OAR Office of Community Engagement  
3\_3\_1\_2\_fn45.pdf



### 3.3.1.3

#### **Institutional Effectiveness: Academic and Student Support Services**

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:

3.3.1.3 academic and student support services.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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.

#### **Institutional Assessment of Academic and Student Support Services**

The university is committed to achieving preeminence as a nationally recognized metropolitan research university. Within the organizational structure of UofL [1], the university has numerous units providing academic and student support services that ensure efficient and effective fulfillment of its mission. The 2020 Plan [2], the Student 2020 Plan [3], and the 21<sup>st</sup> Century Initiative [4] reflect strategic planning that establishes outcomes for the university, including outcomes for academic and student support services.

The University Scorecard is the assessment tool for the university's 2020 Plan. The Scorecard goal of Educational Excellence is measured by several metrics, including increasing number of baccalaureate degrees awarded annually, increasing the six-year graduation rate of baccalaureate students, increasing doctorate degrees awarded annually, enhancing national recognition, and enhancing student engagement. The university determined that in order to increase baccalaureate and doctoral degrees awarded and the six-year graduation rate support services for students needed to be improved.

The office of Undergraduate Advising Practice (UAP) [5] is charged by the provost to work collaboratively with the undergraduate academic units in promoting consistent and best practice in academic advising. This includes oversight of the implementation of the Flight Plan (a proactive university-wide initiative to track and assist students to graduate in 4 to 6 years). UofL has steadily increased its 6-year graduation rate of its entering Graduation Rate Survey (GRS) cohort from 33.0 percent since 2002 to 52.9 percent in 2015 [6]. "The PLAN" Graduate Student Professional Development [7] is a framework for understanding and addressing the professional development needs of graduate students. Managed by the School of Interdisciplinary Graduate Studies (SIGS), PLAN helps students take charge of their own learning and development by offering opportunities and resources related to professional development, life skills, academic development, and networking skills.

In 2008, in an effort to assess and plan for student retention, the provost established a university-wide Persistence to Graduation (PtoG) committee to research ways to improve retention and graduation rates. In 2011 a report to the provost from the PtoG committee recommended the development of a Strategic Enrollment Plan based on core Strategic

Enrollment Management (SEM) principles [8]. The university contracted with AACRAO Consulting, a service extension of AACRAO (American Association of Collegiate Registrars and Admission Officers). AACRAO Consulting has become a leading resource for Strategic Enrollment Management. Throughout the 2012-13 academic year, the AACRAO consultant met with key stake holders across the university. In May 2013, the consultant delivered a final report, SEM Planning for Student Success [9] and presented his recommendations to the university community.

Progress is being made to implement many of the consultant's recommendations. As a direct result of the AACRAO report, the university has worked to restructure the administrative positions responsible for undergraduate education and enrollment management. As such, a new position has been created to serve as the Vice Provost for Strategic Enrollment Management and Student Success [10].

The university created a partnership with the Education Advisory Board (EAB) and the Student Success Collaborative (SSC) in an effort to address emerging data trends that indicated that our 6-year graduation rate and retention rates were plateauing. Specifically, the SSC will:

- Support the focus on retention and student success among advisors, academic departments, and schools/colleges.
- Identify and prioritize students needing extra assistance in critical foundational coursework.
- Leverage "big data" by analyzing past student performance to identify where students tend to get stuck or slowed down on their way to graduation, and find the pathways and support services that most enable a student to be successful.
- Foster a change in how advising is performed to a proactive intervention-based approach predicated on current behavioral outcome measures (academic performance) and future course requirements (success rate within upcoming courses by student's ability and academic program cohort peers).
- Evaluate and compare alternative major decisions based on predicted academic performance.

The EAB and SSC initiative is linked to the 2020 strategic plan and addresses the goal to "increase the number of baccalaureate degrees awarded." Additionally, the analytic platform will support the metropolitan component of the university by serving as the basis to develop advising, tutoring, and career counseling tactical strategies to address the academic and academic support needs of UofL's traditionally underserved populations.

Other AACRO recommendations have been modified and incorporated into other strategic initiatives such as the university's 21<sup>st</sup> Century Initiative (which works to refine UofL institutional priorities and performance metrics in light of funding challenges). An academic goal of the 21<sup>st</sup> Century Initiative is to "empower undergraduate learning." One 21<sup>st</sup> Century Initiative project to address this goal is to improve learning and study space [11]. When UofL's new Belknap Academic Classroom Building (BACB) opens in fall 2018 [12], it will contain a Student Success Center, active learning classrooms, introductory science labs, and common meeting spaces, all of which will enhance student services. The Ekstrom Library [13] completed its renovations to the first floor in fall 2015, allowing for better use of space, services, navigation, and technology. The second phase of renovations is to provide a new Teaching Innovative Learning Lab (TILL), enhanced study spaces, and more comfortable seating. Completion of phase two is expected fall 2016.

Another 21<sup>st</sup> Century Initiative project is to offer living learning communities and themed communities [14] in the new and renovated housing in fall 2016. These high impact housing arrangements gather students of like interests or majors together in an environment where UofL can serve and help students to get the most out of their college experience.

The 21<sup>st</sup> Century Initiative also supports creating an environment for student success [15]. Best practices in advising are essential to support the university's student success initiatives. An advising assessment plan [16] and scorecard [17] were piloted in 2016 and will be an annual and ongoing process. Results from these assessments will be used for improvements in advising practices. A safe campus environment also is needed to contribute to student success. The university is committed to providing as safe a campus as possible. UofL has implemented several initiatives [18] including L Trail, a well-lit patrolled route through the Belknap campus, and RAVE Guardian, a phone app providing an extra level of protection when walking across campus at night.

### **Unit-Level Assessment of Academic/Student Support**

Five university units report directly to the Executive Vice President and University Provost and provide academic and student support services and oversight for related operations [19]:

- Vice Provost for Diversity & International Affairs
- Vice Provost for Undergraduate Affairs
- Associate Provost for the Delphi Center for Teaching and Learning
- Vice Provost for Graduate Affairs
- Vice Provost for Student Affairs

In addition, the Dean of University Libraries also reports directly to the provost. The library programs serve the information resources needs of all students, staff, and faculty. Their service includes support for online education and any instruction taking place off-campus. The University Libraries do not have an academic program or a specific instructional assignment. So, the library's assessment process is independent of the annual student learning outcomes data collection from the academic units. Since the libraries approach to assessment focuses on academic support it is included among the other units that report to the provost.

While many UofL academic/student support offices have conducted informal assessments in the past, the university is working to improve this process. With the acknowledgement that there was a need for a more systematic and centralized assessment process, in spring 2015, the provost office developed and administered an inventory [20] designed to measure the level of assessment being conducted by the academic and student support units.

The Academic/Student Support Services Inventory was completed by 43 members of these offices and collected information on the types and frequency of their assessments and how results were being used for program improvement. Results indicated that assessment efforts varied throughout the institution in terms of frequency, specificity, and utilization of findings for continuous improvement [21]. From the results of the inventory, it was apparent that there was a need for a more centralized assessment process for student services. A more systematic collection and reporting of assessment efforts for student services units similar to the university's long-standing, centralized Student Learning Outcomes Reports assessment process (for academic programs) was implemented in 2014. The provost office created an Outcomes Assessment Report (OAR) template [22] that

mirrored the academic Student Learning Outcomes (SLO) reports to gather more information about student services assessment.

Each of the six academic/student support units received the AY 2014-15 Outcomes Assessment Report template as well as helpful steps for assessment planning and reporting [23]. Academic/student support units were asked to report on their mission, goals, outcomes, assessment methods, performance targets, findings, and action plans for improvement. Administrative offices submitted their reports to the Provost's office for review in fall 2015.

### **AY 2014-15 Outcomes Assessment Reports**

Outcomes Assessment Reports (OARs) from the six academic/student support units reporting to the provost are provided below. These reports provide evidence of academic/student support units supporting the university's mission and demonstrate that they are involved in evaluative processes that result in continuing improvement in institutional quality.

Vice Provost for Diversity & International Affairs [24]  
Vice Provost for Undergraduate Affairs [25]  
Associate Provost for the Delphi Center for Teaching and Learning [26]  
Vice Provost for Graduate Affairs [27]  
Vice Provost for Student Affairs [28]  
University Libraries [29] [30]

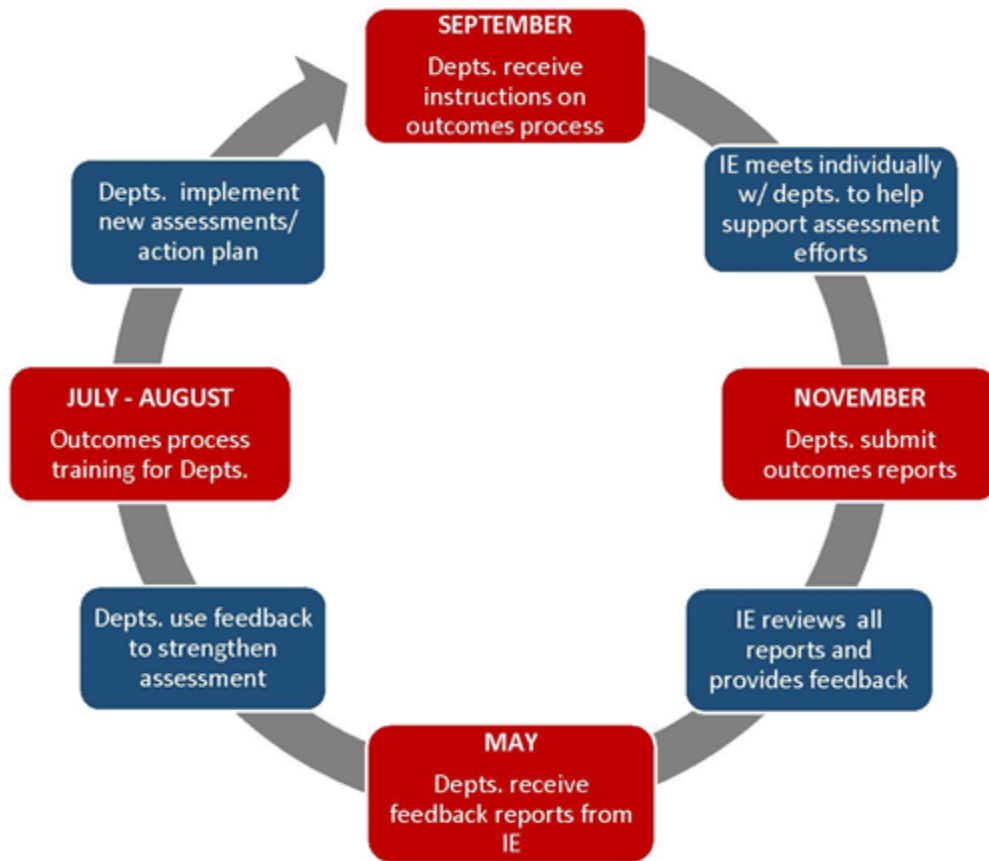
As this was the first year of this more centralized process, it is considered a "pilot" phase, which will result in better understanding by the units of the types of assessments and reporting that will be required as the university moves forward.

The Provost's office provided feedback on each report [31], with suggestions to enhance the quality of the report for the next reporting cycle, including recommendations to refine the assessment process and to close the loop for improvements relating to their administrative operations. Feedback reports give specific recommendations for improvements to the office's assessment process, and individualized assistance (meetings, workshops, etc.) is provided as needed. The feedback report for the Vice Provost for Student Affairs is provided as an example [32].

The submission of the Outcomes Assessment Report by academic/student support units will be an ongoing and annual process. In addition, a third phase will be incorporated into the assessment process. Starting in fall 2016, offices that report directly to each of the five main student support units will also be required to submit an AY 2015-16 Outcomes Assessment Report.

Outcomes reporting lags behind by one year to enable offices to utilize and report assessment results from the previous year. The timeline for the outcomes assessment cycle is displayed in Chart 1.

**CHART 1. Outcomes Assessment Cycle**



### **Institutional Effectiveness Assessment Collaborative (IEAC)**

In a continuing effort to centralize assessment efforts at the university, a new Institutional Effectiveness Assessment Collaborative (IEAC) will be implemented in fall 2016 with the overarching goals to:

- Serve as a collaborative working group made up of key faculty and staff who work with assessment from all critical areas of campus.
- Seek valuable advice and input from IEAC members on the creation of assessments, reports, dissemination plans, recommendations for use of results, and new initiatives.
- Share, as a committee, the assessment and improvement efforts taking place across the university to keep all units informed of progress and potential avenues for collaboration across units.
- Work as a unified committee to improve programs and services across all academic, administrative, and academic/student support units.
- Peer review annual outcomes assessment reports to better facilitate understanding and improvement.
- Make consistent and ongoing efforts toward institutional effectiveness that will serve to meet reporting needs to national, regional, and discipline-specific accrediting bodies.

## SUMMARY

Academic/student support offices at UofL have a history of assessment efforts geared toward continuous program improvement. For much of this time, efforts were decentralized and supported by the use of external consultants to provide an objective review of processes and procedures. More recently, the university has realized that converting assessment efforts to a more centralized, university-wide process will assist us as we continue to make progress toward our 21<sup>st</sup> Century Initiative goals related to student success. The university implemented a new, centralized process that mirrors the academic unit Student Learning Outcomes reporting process. The process will extend to include the individual academic/student support departments for the next reporting cycle. The annual submission of the Outcomes Assessment Reports to a centralized office serves to create a unified system of accountability through which UofL can continue to monitor progress toward institutional goals and demonstrate continuous improvement.

[1] Provost Organizational Chart

3\_3\_1\_3\_fn01.pdf

<http://louisville.edu/provost/who-we-are/Provost-Orgchart.pdf>

[2] The 2020 Plan. Making it Happen

3\_3\_1\_3\_fn02.pdf

<http://louisville.edu/president/vision2020.pdf>

[3] The Student 2020 Plan (The Plan)

3\_3\_1\_3\_fn03.pdf

[http://louisville.edu/provost/planning/SGA\\_STUDENT\\_2020\\_PLAN.pdf](http://louisville.edu/provost/planning/SGA_STUDENT_2020_PLAN.pdf)

[4] The 21<sup>st</sup> Century Initiative

3\_3\_1\_3fn04.pdf

<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>

[5] Undergraduate Advising Practice

3\_3\_1\_3\_fn05.pdf

<http://louisville.edu/advising/>

[6] GRS Trajectory Chart

3\_3\_1\_3\_fn06.pdf

[7] SIGS PLAN

3\_3\_1\_3\_fn07.pdf

<http://louisville.edu/graduate/plan/>

[8] Persistence to Graduation (PtoG) Report to Provost

3\_3\_1\_3\_fn08.pdf

[9] AACRAO Report - SEM Planning for Student Success

3\_3\_1\_3\_fn09.pdf

[10] VP for SEM and Student Success

3\_3\_1\_3\_fn10.pdf

<https://www.higheredjobs.com/institution/details.cfm?JobCode=176251504&Title=Vice%20Provost%20for%20Strategic%20Enrollment%20Management%20and%20Student%20Success&aID=7137>

[11] 21<sup>st</sup> Century Initiative – Empower Undergraduate Learning  
3\_3\_1\_3\_fn11.pdf

[12] 21<sup>st</sup> Century Initiative – BACB  
3\_3\_1\_3\_fn12.pdf

[13] 21<sup>st</sup> Century Initiative – Ekstrom Library  
3\_3\_1\_3\_fn13.pdf

[14] Living Learning Communities and Themed Communities  
3\_3\_1\_3\_fn14.pdf  
<http://louisville.edu/housing/options/llc>

[15] 21<sup>st</sup> Century Initiative – Environment for Student Success  
3\_3\_1\_3\_fn15.pdf

[16] Advising Assessment Plan  
3\_3\_1\_3\_fn16.pdf

[17] Advising Scorecard  
3\_3\_1\_3\_fn17.pdf

[18] CardSafe  
3\_3\_1\_3\_fn18.pdf  
<http://louisville.edu/cardsafety/>

[19] Provost Organizational Chart  
3\_3\_1\_3\_fn19.pdf  
<http://louisville.edu/provost/who-we-are/Provost-Orgchart.pdf>

[20] Academic Student Support Services Inventory  
3\_3\_1\_3\_fn20.pdf

[21] Academic Student Support Services Inventory Report 2015  
3\_3\_1\_3\_fn21.pdf

[22] 14-15 OAR Template Administrative Academic Student Support  
3\_3\_1\_3\_fn22.pdf

[23] Steps for Assessment Planning and Reporting  
3\_3\_1\_3\_fn23.pdf

[24] 2014-15 Outcomes assessment Report - Vice Provost for Diversity and International Affairs  
3\_3\_1\_3\_fn24.pdf

[25] 2014-15 Outcomes Assessment Report -Vice Provost for Undergraduate Affairs  
3\_3\_1\_3\_fn25.pdf

[26] 2014-15 Outcomes Assessment Report - Associate Provost for the Delphi Center for Teaching and Learning  
3\_3\_1\_3\_fn26.pdf

[27] 2014-15 Outcomes Assessment Report - Vice Provost for Graduate Affairs  
3\_3\_1\_3\_fn27.pdf

[28] 2014-15 Outcomes Assessment Report - Vice Provost for Student Affairs  
3\_3\_1\_3\_fn28.pdf

[29] 2014-15 Outcomes Assessment Report – University Libraries  
3\_3\_1\_3\_fn29.pdf

[30] Assessment of Ekstrom Library - Report  
3\_3\_1\_3\_fn30.pdf

[31] OAR Feedback Rubric  
3\_3\_1\_3\_fn31.pdf

[32] AY 2014-15 SA OAR Feedback  
3\_3\_1\_3\_fn32.pdf



### 3.3.1.4

#### **Institutional Effectiveness: Research**

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:

3.3.1.4 research within its mission, if appropriate.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville (UofL) has identified expected outcomes for research and assesses the extent to which it achieves those outcomes. UofL's mission [1] of excellence in "research, creative, and scholarly activity" is supported by Kentucky Revised Statute 164.003 [2].

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.

The university values research that has the potential to change lives, of both those learning the valuable skills and those benefiting from the discoveries being made. The UofL mission of research and scholarship is recognized through its designation as one of 115 U.S. institutions classified by the Carnegie Foundation for the Advancement of Teaching as a research university with very high research activity (RU/VH) [3]. This classification is given to institutions that award a minimum of 20 research doctoral degrees per year [4]. Academic units fulfill their role in helping to achieve the research mission of the university [5]. The University Libraries support the university's research mission as a member of the Association of Research Libraries (ARL), ranking 93 in 2013-2014 among academic library ARL members.

#### **The Office of the Executive Vice President for Research and Innovation**

University leadership for research and related functions is assigned to the Executive Vice President for Research and Innovation (EVPRI) [6], who is a member of the President's Leadership Team [7]. The mission of the Office of the Executive Vice President for Research and Innovation (EVPRI) is to promote and support research, scholarship, and creative activities; to assist faculty and staff in obtaining intramural and extramural support; to serve as an advocate for the value of research in an educational setting; to enhance the vitality of campus-based research; and to encourage its use to enrich education, enhance technology transfer, and serve the community [8]. The EVPRI is responsible for developing the institutional research policies and procedures and coordinating and providing oversight of research, scholarship, and creative activity at the university.

## **UofL's Definition of Research**

At UofL, research includes various forms of theoretical or applied research and creative and scholarly activity. Most research at UofL is conducted by faculty supporting the institutional mission of teaching, research (creative and scholarly activity), and service. *The Redbook* (the university's governance document) Minimum Personnel Guidelines state that faculty within units will specify standards and criteria in teaching, research or creative activity, and service [9].

Research, creative, and scholarly activity are defined as activities in which faculty take a scholarly approach to education, clinical, and/or research activities. These occur when faculty systematically design, implement, access, or redesign educational, clinical, or research activities. These expectations are defined in terms of regular publication in high-quality peer-reviewed journals, participation in conferences, awards for sponsored research, and entrepreneurial research. Research may also include creative activities that are the result of artistic expression rather than scholarly publication [10].

## **Strategic Planning for Research**

The university's research agenda is driven by UofL's strategic plan, *The 2020 Plan: Making it Happen*, with "research, scholarship and creative activity" highlighted as one of the "five critical areas" of the plan [11].

In 2012, due to changes in higher education resulting from the downturn in the national economy and markedly less available federal research funding, the university embarked on its *21st Century Initiative: Powering the 2020 Plan*, a campus-wide process to position itself to meet its 2020 goals and to better serve students and the community [12]. This effort served as an overlay to the existing 2020 Plan and refined our institutional priorities and performance metrics in light of the changes within the research funding environment. The provost-led project resulted in the university establishing ten major initiatives organized within the three closely connected categories of Academic and Research Priorities, Culture of Excellence, and Financial Health [13].

An overview of the university's strategic plan for research, encompassing the goals of the 2020 Plan and the 21<sup>st</sup> Century Initiative, is provided [14]. The EVPRI office is responsible for the development and implementation of the research-related portions of the 2020 Plan.

See Core Requirement 2.5 for an overview of institution-wide, research-based planning and evaluation processes.

## **Expected Outcomes and Measures**

The university has established an institutional scorecard system of accountability that is aligned with the goals of the 2020 Plan. Research, scholarship, and creative activity are measured at three levels of the Scorecards (university, president, and unit). The scorecards are monitored by central administration to assess the university's progress in reaching the goals.

- **University Scorecard**

The University Scorecard [15] includes the annually reported research metrics and targets, including baseline data from 2008, for research outcomes reported at the institutional level. The University Scorecard also includes progress data and annual goals through 2020.

Accountability for making progress in this area, along with other institutional goals, is shared by the entire campus community.

The Scorecard metrics for research are:

- 2.1. Increase total grants and contracts
  - 2.1a. increase total grant and contract expenditures
  - 2.1b. increase federal research grant and contract expenditures
  - 2.1c. increase total grant and contract awards
  
- 2.2. National Cancer Center (NCI) Cancer Center designation
  - 2.2a. increase number of NCI federal grants
  
- 2.3 increase national faculty recognition/awards
  - 2.3a. increase number of faculty peer-reviewed publications
  - 2.3b. increase number of faculty creative activities in premier venues

The research metrics in red in the University Scorecard are assessed and reported on in the Office of the President Scorecard (explained below).

### **Targets**

The University Scorecard contains targets for each goal to be attained by the year 2020. In 2008, when the 2020 Plan was implemented, the university set baseline targets for the first year and higher targets for each subsequent year. The university assesses its progress annually toward the 2020 year goals. Refer to the University Scorecard to see the targets for each year and progress as reported each year [16].

This process encourages incremental progress over time to ensure the university reaches the original 2020 targets. For example, for the Scorecard outcome of increasing the number of faculty peer-reviewed publications, the goal of 2,310 was set for the year 2020. A baseline of 948 was set in 2008, with higher targets set for each following year. Goals and targets for 2013 and 2014 can be seen in Table 1.

**Table 1. 2013 and 2014 Goals and Progress toward Scorecard Targets**

Outcomes		Baseline 2008	2013 Goals	2013 Progress	2014 Goals	2014 Progress	2020 Goals
2.1	<b><u>Research, Scholarship, and Creative Activity</u></b>						
	Increase total grants and contracts <b>2.1a Increase total grant and contract expenditures</b>	\$148.9M	\$157.6M	\$186.8M	\$161M	\$182.4M	\$310.3M
	2.1b Increase federal research grant and contract expenditures	\$72.7M	\$98.4M	\$78.1M	\$80M	\$65.8M	\$180M
	2.1c Increase total grant and contract awards	\$120.7M	\$148.9M	\$118.9M	\$120M	\$109.1M	\$280M
2.2	<b>National Cancer Center (NCI) Cancer Center designation</b>	Not Achieved	Progress	Progress	Progress	Progress	Achieved
	2.2a Increase the number of NCI federal grants	17	34	30	30	23	40
2.3	<b>Increase national faculty recognition/awards</b>		Progress	Progress	Progress	Progress	Achieved
	2.3a Increase number of faculty peer-reviewed publications (articles in high impact journals, university presses, academic publishing houses, or other outlets for peer-reviewed scholarship)	948	1,642	1,955	1,724	2,186	2,310
	2.3b Increase the number of faculty creative activities in premier venues	34	42	96	44	137	68

- **President's Scorecard**

In alignment with the University Scorecard, the Office of the President's Scorecard reports on the research metrics of the University Scorecard in the areas of research, scholarship, and creative activity. The UofL Board of Trustees uses the information reported in the President's Scorecard to complete an annual evaluation of the president and his efforts to ensure that consistent progress is made toward reaching the university's performance

goals. The President's Scorecard provides the proposed goals for the current academic year and tracks the progress of the metrics each quarter.

As a result of the work of the 21<sup>st</sup> Century Initiative, the President's Scorecard was modified beginning in June 2014 [17] to allow for targeted investments in select multidisciplinary areas of research to address major societal needs. Specifically, Goal 2, Research, Scholarship and Creativity, was modified to ensure alignment with the priorities as established by the 21st Century Initiative. These revised metrics were approved by the Board of Trustees in October 2014 [18] and prioritized multidisciplinary areas of research consistent with the university's existing research areas of prominence. Additional institutional investment was established to support multidisciplinary research and creativity to build a broad and deep base of scholarly excellence [19]. The revised metrics are:

- 2.1a Sponsored research activities: Increase total grant and contract expenditures (NSF)
- 2.1b Sponsored research award revenue received for clinical trials
- 2.2 Academic/research priority areas
  - 2.2a Cancer--measure progress towards achieving standards for NCI designation
  - 2.2b Restorative Medicine
  - 2.2c Advanced Manufacturing and Sustainability

- **Unit Scorecards**

Each academic unit and select administrative units report annually on the metrics of the President's Scorecard through a Unit Scorecard [20], demonstrating that they have contributed to the research outcomes of the university. The EVPRI, in consultation with the academic units, sets individual unit goals for each scorecard.

The EVPRI, with the assistance of the Office of Institutional Research and Planning (IRP), tracks the metrics to ensure that the university is making progress toward the goals addressed in the 2020 Plan. The Provost uses the research metrics reported in the Scorecard as part of his assessment of each Dean's and unit's performance, including discussions surrounding allocations of faculty lines and other resources.

Monitoring the scorecards helps to ensure the university's progress toward its state mandate to be a premier metropolitan research university and to maintain the university's Carnegie classification as a research university with very high activity. The assessment of the Scorecard research metrics helps the university in its goal of establishing new interdisciplinary areas of prominence related to research and enables the university to invest appropriately in research faculty.

In 2015, the university refined the Scorecard assessment process, altering somewhat the way unit assessment toward Scorecard goals is gathered. See Core Requirement 2.5 for more information.

### **Results of Scorecard Assessment**

The results of the data collected in the 2015-16 Scorecard assessment process can be seen in the Office of the President's Goals report [21]. Results of the Scorecard assessment process on the university's budgeting for research initiatives for the coming year can be seen in the Priority Funding Recommendations for FY 2017 [22].

The university has made progress toward all of its goals. For peer-reviewed publications, UofL faculty have exceeded the targets for each year since implementation.

The university has made demonstrable progress toward the research goals established by the university's strategic plan supported by the execution of the *21st Century University Initiative: Powering the 2020 Plan*. Goal #2 of the 2020 strategic plan contains both quantitative and qualitative metrics and sub-goals aimed at assessing the university's research, scholarship and creative activity [23].

Within this overarching goal, three metrics—1. total grant and contract expenditures as reported to the NSF/SRS Survey of R&D expenditures; 2. sponsored research award revenue received for clinical trials; and 3. academic research priorities—link institutional research performance to goals established with the Office of President (OOP) Scorecard [24] and align to policy objective #6 of the statewide 2011-15 strategic agenda for Kentucky Postsecondary and Adult Education, *Stronger by Degrees* [25]. Policy objective #6 proposes to "increase basic, applied, and translational research to create new knowledge and economic growth."

Goals are set annually by the university President and Executive Vice President for Research & Innovation (EVPRI) and are tracked at the academic unit level, and if appropriate, linked to the academic disciplines within the unit. Institutional goals are established after reviewing the annual report, *The Top American Research Universities*, from the Center for Measuring Academic University Performance, which provides data for comparative and competitive context. Progress toward goals is reviewed at the mid-year point of the academic year (also corresponds to the middle of the fiscal year, which runs from July 1-June 30). To that point, the total grant and contract expenditures as reported to the NSF/SRS Survey of R&D expenditures at Universities and Colleges has increased from \$164.1M in FY2008 to \$189.4M for FY2016, as outlined in Table 2:

**Table 2: NSF Expenditures, FY2008-FY2016**

Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015	2016
NSF Expenditures (in millions)	\$164.1	\$167.2	\$189.1	\$197.4	\$196.8	\$186.8	\$183.4	\$179.3	\$189.4

The number of peer-reviewed publications increased by over 136 percent over the same performance period, increasing from 948 in calendar year 2008 to 2,181 in calendar year 2015 (reporting is by complete calendar year, resulting in a one-year lag when compared to academic/fiscal reporting years; 2015 numbers are still draft at this time) (see Table 3) . Results of the quantitative and qualitative data are further detailed in the data documentation that accompanies the Office of the President (OOP) scorecard [26].

**Table 3: Peer-reviewed Publications, CY2008-2015**

Calendar Year	2008	2009	2010	2011	2012	2013	2014	2015	2016
Peer-Reviewed Publications	948	1,190	1,495	1,936	1,955	2,186	2,239	2,181	reported in 2017

Additionally, goal #5, creative and responsible stewardship, contains a metric and sub-goals aimed at assessing the institution's entrepreneurial activities, including intellectual property and technology transfer. Over the last four fiscal years (FY 2013-2016), the university has averaged over 37 new patents awarded annually. The same period has seen total annual income related to innovation increase from just under \$3.03 million in FY13 to over \$7.71 million in FY16, with an annual average over that period of \$6.68 million (see Table 4).

**Table 4: Patents Awarded and Innovation-Related Income**

<b>Fiscal Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>
<b>Patents Awarded</b>	<b>34</b>	<b>39</b>	<b>36</b>	<b>37</b>
<b>Total Innovation-Related Income</b>	<b>\$3,025,380</b>	<b>\$8,425,394</b>	<b>\$7,540,966</b>	<b>\$7,710,238</b>

The scorecard assessment process informs the university's budgeting for research initiatives. Two recently implemented funding opportunities illustrate the university's commitment to its research strategic priorities. They are:

1. **iRFP:** In late 2015, the School of Interdisciplinary and Graduate Studies (SIGS) and the Office of Research and Innovation, announced an internal request for proposal (iRFP) for innovative proposals to drive the institutional academic and research excellence as outlined in the 21st Century University Initiative: Powering the 2020 Plan. This collaborative initiative aimed to improve the quality of the educational experience for both graduate and undergraduate students while providing opportunities for faculty to thrive in their research and creative work.

Proposals needed to better position the university to be nationally prominent in emergent interdisciplinary areas of research and scholarship. Recognizing that knowledge moves forward not only within disciplines but also in the intersections of disciplines or in combinations of disciplines, proposals were sought that recognized the complexity of societal and global problems and proposed solutions that require contributions from multiple fields. The 21st Century University Initiative planning process identified a number of emergent areas of scholarship of interest to current faculty; however, submitted proposals did not need to be limited to only these areas. The iRFP provides detailed instructions and a budget template [27] [28]. Available funding was up to \$250,000/year for three years. Proposals were due on January 15, 2016 with anticipated start date of fall 2016.

2. **SPIG Priority Funding Recommendations for FY2017 Unit Budget Requests:** As part of the 21st Century University Initiative, a Strategic Planning and Implementation Group (SPIG) was formed within the Office of the Provost. SPIG meets with each unit dean and senior staff to review unit strategic planning and its alignment with the overall university mission, goals, and outcomes. Guided by the University's 2020 Strategic Plan and 21st Century University Initiative, SPIG reviews unit academic performance, enrollment plans, outcomes and budget using Academic Strategy and Planning Templates prepared by the Offices of Institutional Research & Planning and the Office of Planning and Budget [29].

Using a systematic, ongoing, integrated, research and data-driven academic strategy, SPIG recommended priorities for new funding to the Provost, Executive

Vice President for Health Affairs, and Executive Vice President for Research & Innovation for presentation to the Council of Academic Officers [30]. A budget for strategic priorities was established based on the SPIG recommendations for the 2016-17 academic year.

### **EVPRI Data Collection for Assessment of Research**

The EVPRI works with units throughout the year to collect information on the university's research metrics. This collected data not only feeds into the University Scorecard annually, but it is also used by units for planning, program-building, and course correction throughout the year.

Following are some of the data collected within the EVPRI.

1. The EVPRI collects data on the following Primary measures, which are chosen as long-term goals and are reported on annually [31].
  - a. Total expenditures for R&D – NSF HERD for national comparison.
  - b. Revenue from clinical trials research – a blended measure of performance in an area of translational research and community engagement.
  - c. Revenue from innovation and commercialization efforts.

As well, Secondary measures are reported on a monthly basis to leadership, deans, and research deans [32] and are incorporated into a dashboard that is available to the UofL research community on the EVPRI's website on a log-in basis. The secondary measures provide temporal context, as well as internal action goals (e.g., rate of submission of research grant proposals, etc.). Tertiary measures (performance or achievement measures indicative of success in strategic research development areas in accord with the 2020 Plan and the 21st Century Initiative) also exist [33].

2. EVPRI tracks research activity and reports on the following metrics
  - Number of proposal submissions
  - Number of publications
  - Number of awards received
  - Number of new awards received
  - Number of continuations and supplements
  - Award dollars received
  - R&D expenditures
  - Number of invention disclosures
  - Number of research support agreements
  - Number of patent applications
  - Number of patents awarded
  - Number of license/option agreements
  - Number of start-ups
  - Earnings from royalties/license agreements
  - Associated income
  - Patent reimbursement income
  - Total income



3. As part of the annual Outcomes Assessment Report for administrative support areas (see Comprehensive Standard 3.3.1.2 for more information), EVPRI selected and reported on three major outcomes for the 2014-15 cycle:
  - a. Develop and customize an electronic research information system (iRIS, integrated Research Information System), implementing at least five administrative modules by the end of fiscal year 2015, in order to decrease the administrative workload and burden on UofL researchers.
  - b. Develop and submit competitive proposals/applications for at least two (2) extramurally funded programs in order to obtain financial and infrastructural support for translation and commercialization activities at UofL.
  - c. In the thematic area of Educational Excellence, increase opportunities for undergraduate research by supporting and administering programs that will provide research experiences to at least 80 undergraduate students.

A table of the measures, targets, findings, and action plan steps is provided [34].

4. The EVPRI office has also used consultants to assess the effectiveness of its support for researchers at UofL. Three consultants were hired from 2009-2013 to help identify areas for improvement in operations and support for faculty conducting research.

These reports have been used to improve the effectiveness of the EVPRI office. Examples of actions taken in response to the consultants' recommendations are provided [35].

In relation to the research metrics, people, programs, and opportunities are adjusted on a monthly to annual basis to increase capacity and effectiveness of the university's resources (people to increase effectiveness of programs; programs to enable scholars; opportunities to increase the effectiveness of people). Below are some of the actions the EVPRI office has taken as a result of annual assessment in support of these three important research-related areas:

1. Provided strong support for training grants for undergraduate, graduate, professional, postdoctoral, junior faculty.
2. Secured via philanthropy endowed funds to support recruitment of strong research scholars.
3. Allotted funds for retention of high-performing faculty.
4. Made internal seed grant programs available for nascent research.
5. Provided strong support and encouragement of multidisciplinary, large program groups.
6. Nationally recognized and NIH-NSF-Foundation funded innovation-commercialization proof-of-concept development program.
7. Recognition programs for recognized and highly successful scholars.
8. Data surveillance and communication of funding opportunity.
9. Recognition of multiple avenues of scholarly activity and success.

### **Supporting University Assessment Activities for Research**

Besides the Scorecard institutional assessment of research goals, other assessment activities related to research take place within units and other offices. While many of these are not explicitly measured within the Scorecard process, they do contribute to the university's research priorities and research emphasis in academic programs.

- **Human Subjects Protection Program Office (HSPPO)**

The Human Subjects Protection Program Office (HSPPO) [36] helps to ensure that all UofL research involving human participants is conducted in accordance with Federal and State regulations and university and sponsoring agency policies and procedures instituted to protect the rights and welfare of human research participants. HSPPO supports two duly established and independent Institutional Review Boards (IRBs), which review and approve protocols for all research involving human participants. IRB members participate in initial and continuing reviews of the research protocols to ensure that regulations are followed. If the IRB receives information regarding violations or has concerns about violations in human subject research, the group can request that the IRB Auditors conduct a For Cause Audit of the research study/program in question.

The IRB has recently completed a complete revision of the IRB application as a result of internal assessments and the recent AAHRPP site visit. The revised form is streamlined, more aligned with the regulatory requirements, and will provide a more efficient experience for researchers. Outcomes of routine review determinations are reported through approval letters and approval of consent forms and study documentation. Metrics on the IRB function are provided to the EVPRI (the institutional official for these matters).

- **Faculty Promotion Related to Research**

The university assesses faculty research activities using the governance policies of *The Redbook* and the Minimum Personnel Guidelines [37] and following unit personnel policies. *Tenure* (Sec. 4.2.2.) [38] or *Promotion in Rank* (Sec. 4.2.3) [39] includes an evaluation of research or creative activity and requires an external evaluation for research and creative activity (Section 5) [40]. Additionally, each faculty member's *Annual Work Plan* (Sec. 4.3.1) [41] is to specify the responsibilities of the faculty member for research. Faculty designate expected outcomes to align with the goals and requirements of the unit and establish minimum levels of satisfactory performance.

Individual academic units establish the criteria and standards for evaluating proficiency in research and may set additional standards (for example, excellence in research). The unit documents specify various forms of acceptable research (whether theoretical or applied) and creative activity. They make provisions for the evaluation of those forms of activity that do not result in traditional documentary evidence. The criteria in some units are more specific than others.

In the tenure process, the unit dean makes recommendation for promotion/tenure, the Executive Vice President and University Provost approves the recommendation and sends it on to the president, who makes a recommendation for approval by the Board of Trustees. Tenure decisions are a form of assessment used within the unit to evaluate faculty productivity related to research toward accomplishment of the university's research goals. Examples of tenure reviews are provided [42] [43].

- **Academic Analytics**

In 2015, the university began the deployment of Academic Analytics [44] to facilitate the assessment of research productivity at the unit level. Academic Analytics [45] created the Faculty Scholarly Productivity Database (FSP) and faculty scholarly productivity index to evaluate level of research productivity compared to peers. Based on a set of statistical

algorithms, the FSP and index measure the annual productivity of faculty on metrics such as:

- Publications (books and journal articles)
- Citations of journal publications
- Federal research funding
- Awards and honors

With over 150 institutions providing faculty information (270,000 names) from more than 172 disciplines, Academic Analytics provides UofL with national benchmarking data that allows the university to know how competitive its programs are compared to national norms. Going forward, the university plans to incorporate this data into its academic and strategic planning.

In implementing Academic Analytics, UofL created an academic advisory committee to work with academic units to ensure buy-in from senior leadership and faculty. Standard reports from the database [46] were developed beginning in 2015-16 for use in the 2016-17 assessment process as a way to assess graduate program productivity, with a goal to drive conversations around improvement and support toward growing the university's research mission. The reporting functionality allows comparison against a variety of institutions and can help identify strengths and weaknesses in our programs [47a] [47b] [47c] [47d] [47e] [47f] [47g]. Academic Analytics hasn't been in use long enough to close the loop on the assessment piece; however, the Provost has established a priority to have the reports reviewed when they are assessed again in 2016-17 and to use them as a means to focus in on the 21st Century Initiative.

- **Centers and Institutes Evaluation**

UofL has sixty-five approved centers and institutes that focus on a variety of areas in research, training, creative activity and community-based research and service [48a]. A UofL Board of Trustees-approved center or institute is a multidisciplinary entity that has a specialized mission related to research, service, instruction, or some combination of these activities [48b] [48c]. Centers have a single focus, while institutes are broader in scope and may include several centers.

In the process of gaining approval, a new center or institute must clearly document the purpose and need for the organization and establish the criteria for the future evaluation of progress in achieving its mission [48d], including specific objectives and outcomes; specific measures, assessment tools and/or performance indicators; a schedule for collection, analysis, and reporting evaluation data; and the person, committee, or entity responsible for developing and implementing changes and improvements.

Once approved, the center or institute is examined by a provost-appointed committee after three years of operation for an initial review and then, if approved for continuation, is reviewed every five years [48e]. The reviews of centers and institutes are based on data that supports the stated goals and objectives and provides evidence of assessment results and the use of that information for program improvement. Examples of completed continuation reviews of research centers include the Diabetes and Obesity Center (DOC) [48f] and the Institute for Molecular Cardiology (IMC) [48g] reviews.

The Executive Vice President for Research and Innovation (EVPRI) oversees the distribution of Center Research Infrastructure Funds (C-RIFs). The C-RIFs are used to invest in

interdisciplinary collaborations, support center/institute research and educational activities, and increase extramural funding. C-RIF's are negotiated before the Center/Institute is established and depend on fund availability, priority need, and periodic review of the success of the Center/Institute as indicated by preparation of program project grant applications and successful submission (funding) of proposals [48h].

- **Student Learning Outcomes Reports**

Research and methodology training are integral to graduate degree programs in order to provide students with the knowledge and skills needed to be independent learners. On the masters and doctoral level, students apply high levels of critical thinking by conducting original research. Research outcomes of academic graduate programs are assessed in the annual Student Learning Outcomes (SLO) report process [49] [50] [51]. See Comprehensive Standard 3.3.1.1 for explanation of the Student Learning Outcomes reporting process.

- **Kentucky Council on Postsecondary Education (CPE) Scorecard**

At the state level, progress toward established performance goals for "Research, Economic and Community Development" are monitored by the Kentucky Council on Postsecondary Education (CPE) [52]. The performance metrics are externally funded research and development dollars and stem +H degrees (science, technology, engineering, math, and health). These goals were established because they align with state goals and the university's 2020 Plan. The president and provost present our progress to CPE and their board annually [53]. The CPE performance scorecard for 2015 shows that UofL has met the STEM +H goal, is above the designated baseline, and is making progress on the externally funded research and development goal.

- **The Research Challenge Trust Fund: Bucks for Brains**

The Research Challenge Trust Fund is a strategic investment in university research designed to create new jobs, generate new economic activity, and provide new opportunities for Kentucky citizens. Commonly known as "Bucks for Brains," the program uses state funds to match private donations [54], effectively doubling the impact of private investment supporting research in strategically defined areas and planting the seeds for a better future. Since 2001, total federal commitments for research directly attributed to Bucks for Brains faculty at UofL has exceeded \$210 million. Economists estimate that each dollar in federal funding for research generates \$2.20 for the local and state economies, boosting the total economic impact of Bucks for Brains at UofL to more than \$462 million since 2001. UofL submits annual reports each year (since 2004) on the program to the Kentucky Council on Postsecondary Education (CPE), reporting on the endowment activity [55a] [55b] [55c] [55d]. This funding, combined with private support, has enabled UofL to recruit and retain world-renowned faculty to work alongside current outstanding faculty [56].

## **SUMMARY**

The University of Louisville (UofL) has identified expected outcomes for research and assesses the extent to which it achieves those outcomes. UofL's mission of excellence in "research, creative, and scholarly activity" is supported by Kentucky Revised Statute 164.815. University leadership for research and related functions is assigned to the Executive Vice President for Research and Innovation (EVPRI). At UofL, research includes various forms of theoretical or applied research and creative and scholarly activity. Most

research at UofL is conducted by faculty supporting the institutional mission of teaching, research (creative and scholarly activity), and service. The university's research agenda is driven by UofL's strategic plan, *The 2020 Plan: Making it Happen*, with "research, scholarship and creative activity" highlighted as one of the "five critical areas" of the plan. The university has established an institutional scorecard system of accountability and assessment that is aligned with the goals of the 2020 Plan. Research, scholarship, and creative activity are measured at three levels of the Scorecards (university, president, and unit). The EVPRI works with units throughout the year to collect information on the university's research metrics. This collected data not only feeds into the University Scorecard annually, but it is also used by units for planning, program-building, and course correction throughout the year.

[1] UofL Mission Statement  
3\_3\_1\_4\_fn01.pdf  
<http://louisville.edu/about/>

[2] KRS 164.003, Legislative Findings and Goals for Achievement by 2020  
3\_3\_1\_4\_fn02.pdf

[3] UofL Carnegie Classification  
3\_3\_1\_4\_fn03.pdf  
<http://tinyurl.com/jhlebyw>

[4] Carnegie Classifications-Classification Descriptions  
3\_3\_1\_4\_fn04.pdf  
[http://carnegieclassifications.iu.edu/classification\\_descriptions/basic.php](http://carnegieclassifications.iu.edu/classification_descriptions/basic.php)

[5] Research Components of Academic Units' Missions  
3\_3\_1\_4\_fn05.pdf

[6] Office of the Executive Vice President for Research and Innovation  
3\_3\_1\_4\_fn06.pdf  
<http://louisville.edu/research/about>

[7] Office of the President – Leadership Team Organizational Chart  
3\_3\_1\_4\_fn07.pdf

[8] EVPRI Mission  
3\_3\_1\_4\_fn08.pdf  
<http://louisville.edu/research/about>

[9] *The Redbook*, Minimum Guidelines for Faculty Personnel Reviews, Section II.C—  
Standards and Criteria  
3\_3\_1\_4\_fn09.pdf  
<http://louisville.edu/provost/redbook/chap4.html#minimum>

[10] Promotion and Tenure, Excellence in Research  
3\_3\_1\_4\_fn10.pdf

[11] *2020 Plan: Making it Happen*  
3\_3\_1\_4\_fn11.pdf  
<http://louisville.edu/president/the-2020-plan>

- [12] 21st Century Initiative  
3\_3\_1\_4\_fn12.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>
- [13] 21<sup>st</sup> Century Initiative Priorities, p. 5  
3\_3\_1\_4\_fn13.pdf  
<http://louisville.edu/provost/planning/21stCenturyInitiative.pdf>
- [14] Alignment of 2020 Plan Goals and 21<sup>st</sup> Century Initiative Goals  
3\_3\_1\_4\_fn14.pdf
- [15] University Scorecard – Research Metrics  
3\_3\_1\_4\_fn15.pdf
- [16] University Scorecard - Research  
3\_3\_1\_4\_fn16.pdf
- [17] President's Scorecard Proposed Metrics 2014-15 and 2020  
3\_3\_1\_4\_fn17.pdf
- [18] President's Scorecard Proposed Metrics 2014-15 Adopted by Board of Trustees  
3\_3\_1\_4\_fn18.pdf
- [19] Presidents Scorecard 2016 (progress as of 6.30.16)  
3\_3\_1\_4\_fn19.pdf
- [20] Sample Unit Scorecard  
3\_3\_1\_4\_fn20.pdf  
<http://louisville.edu/provost/planning/scorecards>
- [21] Office of the President's Goals Report  
3\_3\_1\_4\_fn21.pdf
- [22] SPIG Priority Funding Recommendations 2017  
3\_3\_1\_4\_fn22.pdf
- [23] 2020 Plan – Goal 2 - Research  
3\_3\_1\_4\_fn23.pdf  
<http://louisville.edu/president/the-2020-plan>
- [24] Presidents Scorecard 2016 (progress as of 6-30-16)  
3\_3\_1\_4\_fn24.pdf
- [25] 3-15-2011 Strategic Agenda Stronger by Degrees  
3\_3\_1\_4\_fn25.pdf
- [26] Office of the President Goals 2015-16 (2020 goals with charts) 7-20-16  
3\_3\_1\_4\_fn26.pdf
- [27] iRFP Proposal  
3\_3\_1\_4\_fn27.pdf

- [28] iRFP Budget Template  
3\_3\_1\_4\_fn28.pdf
- [29] Sample SPIG Planning Report  
3\_3\_1\_4\_fn29.pdf
- [30] SPIG Funding Recommendations FY17  
3\_3\_1\_4\_fn30.pdf
- [31] EVPRI Primary Measures  
3\_3\_1\_4\_fn31.pdf
- [32] EVPRI Secondary Measures  
3\_3\_1\_4\_fn32.pdf
- [33] EVPRI Tertiary Measures  
3\_3\_1\_4\_fn33.pdf
- [34] EVPRI Outcomes Assessment Report  
3\_3\_1\_4\_fn34.pdf
- [35] Examples of Actions Taken in Response to Consultants' Reports  
3\_3\_1\_4\_fn35.pdf
- [36] About HSPPO  
3\_3\_1\_4\_fn36.pdf  
<http://louisville.edu/research/humansubjects/about>
- [37] *The Redbook*, Minimum Personnel Guidelines  
3\_3\_1\_4\_fn37.pdf  
<http://louisville.edu/provost/redbook/chap4.html#minimum>
- [38] *The Redbook* 4.2.2, Tenure  
3\_3\_1\_4\_fn38.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s2>
- [39] *The Redbook* 4.2.3, Promotion in Rank  
3\_3\_1\_4\_fn39.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s3>
- [40] *The Redbook*, Minimum Personnel Guidelines, Section 5, Periodic Career Reviews  
3\_3\_1\_4\_fn40.pdf  
<http://louisville.edu/provost/redbook/chap4.html#minimum>
- [41] *The Redbook* 4.3.1, Annual Work Plan and Presence at the University  
3\_3\_1\_4\_fn41.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a3s1>
- [42] Example of Tenure Review—Medicine  
3\_3\_1\_4\_fn42.pdf
- [43] Example of Tenure Review—Speed School of Engineering  
3\_3\_1\_4\_fn43.pdf

[44] Academic Analytics FAQ  
3\_3\_1\_4\_fn44.pdf  
<http://louisville.edu/oapa/institutional-research-and-planning/docs/academic-analytics-faq-v5>

[45] Academic Analytics  
3\_3\_1\_4\_fn45.pdf  
<http://www.academicanalytics.com/>

[46] Academic Analytic Variables  
3\_3\_1\_4\_fn46.pdf

[47] Academic Analytic Sample Unit Reports

[47a] AA 2014 – Chemistry  
3\_3\_1\_4\_fn47a.pdf

[47b] AA 2014 – Civil Engineering  
3\_3\_1\_4\_fn47b.pdf

[47c] AA 2014 – Nursing  
3\_3\_1\_4\_fn47c.pdf

[47d] AA 2014 – Social Work  
3\_3\_1\_4\_fn47d.pdf

[47e] AA – English Dept. Gauge  
3\_3\_1\_4\_fn47e.pdf

[47f] AA – English Dept. Grants Market Share  
3\_3\_1\_4\_fn47f.pdf

[47g] AA – English Dept. Productivity Radar  
3\_3\_1\_4\_fn47g.pdf

[48] Centers and Institutes Related to Research

[48a] Centers and Institutes – Status Report  
3\_3\_1\_4\_fn48a.pdf

[48b] Centers and Institutes Overview  
3\_3\_1\_4\_fn48b.pdf

[48c] Centers and Institutes Listing  
3\_3\_1\_4\_fn48c.pdf

[48d] Proposal for the Establishment of a Center or Institute  
3\_3\_1\_4\_fn48d.pdf

[48e] Centers and Institutes Review Criteria  
3\_3\_1\_4\_fn48e.pdf



[48f] Diabetes and Obesity Center (DOC) Review and Approval Report  
3\_3\_1\_4\_fn48f.pdf

[48g] Institute for Molecular Cardiology Review and Approval Report  
3\_3\_1\_4\_fn48g.pdf

[48h] Research Infrastructure Funds  
3\_3\_1\_4\_fn48h.pdf

[49] Graduate Program SLO Report Instructions  
3\_3\_1\_4\_49.pdf  
[http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report\\_graduate\\_professional-instructions\\_sept-2015-1](http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report_graduate_professional-instructions_sept-2015-1)

[50] Graduate Program SLO Report Template  
3\_3\_1\_4\_fn50.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-report-template-for-graduate-programs>

[51] Table of Graduate SLO Reports  
3\_3\_1\_4\_fn51.pdf

[52] CPE UofL Scorecard  
3\_3\_1\_4\_fn52.pdf

[53] CPE Presentation – Research Section  
3\_3\_1\_4\_fn53.pdf

[54] Bucks for Brains-Donors  
3\_3\_1\_4\_fn54.pdf

[55] Bucks for Brains Endowment Match Program Annual Summary Reports  
<http://louisville.edu/bucksforbrains/executive-summaries>

[55a] BFB 2014-15 EMP Summary  
3\_3\_1\_4\_fn55a.pdf

[55b] BFB 2013-2014 EMP Summary  
3\_3\_1\_4\_fn55b.pdf

[55c] BFB 2012-2013 EMP Summary  
3\_3\_1\_4\_fn55c.pdf

[55d] BFB 2011-2012 EMP Summary  
3\_3\_1\_4\_fn55d.pdf

[56] Bucks for Brains  
3\_3\_1\_4\_fn56.pdf  
<http://louisville.edu/bucksforbrains/benefits>

### 3.3.1.5

#### **Institutional Effectiveness: Community/Public Service**

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:

3.3.1.5 community/public service within its mission, if appropriate.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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.

#### **Office of Community Engagement**

The Office of the Vice President for Community Engagement (OVPC) [1] is the central administrative office that facilitates the university's knowledge and resources to support effective partnerships with internal and external stakeholders. The OVPC reports directly to the President on relevant community engagement and public service matters [2].

The Office of Community Engagement (OCE) [3] promotes transformative experiences for faculty, staff, and students through engaged scholarship, outreach, and service to address community issues both locally, regionally, and internationally. OCE works to support effective partnerships with internal and external stakeholders in order to advance the mutual needs of the community and the university. The office also facilitates data collection and assessment of community engagement activities at the institutional level.

#### **UofL Definition of Community Engagement**

UofL defines community service and community engagement as the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity [4]. Community engagement can occur in the context of teaching, research, and service (see Figure 1). Examples of Community Engagement in Research and Scholarship include community-based participatory research, practice-based research, and scholarship. Community Engagement in Teaching may include community-based learning, practice-based learning, and service learning. Community Engagement in Service may include community service, practice-based service, civic engagement, and outreach.

**Figure 1. Community Engagement at the University of Louisville**



(NOTE: Graphic adapted from the Community-Campus Partnership for Health (CCPH))

UofL's mission [5] states that the university pursues excellence and inclusiveness in its work to educate and serve through providing engaged service and outreach that improves the quality of life for local and global communities. UofL understands that community service and engagement play a critical role in enhancing academic quality while providing service to the community and that public service reflects our mission to share the benefits of research and knowledge for the public good.

### **Strategic Planning for Community Engagement**

The university's community engagement agenda is driven by UofL's strategic plan, *The 2020 Plan: Making it Happen*, with community engagement highlighted as one of the "five critical areas" [6]. The 2020 Plan asserts that the university will be known as a national model for its engaged service in the life of its metropolitan area, the Commonwealth, the nation, and the world. Through strategic alliances and partnerships with public and private groups, the university will share its expertise, interest, and scholarship as an involved citizen. Faculty, staff, and students will use these community-based interactions to provide educational opportunities at UofL and as a vehicle for translational and applied research of university scholars.

In 2012, due to changes in higher education resulting from the downturn in the national economy, the university embarked on its *21st Century Initiative: Empowering the 2020 Plan* [7], a campus-wide process to position itself to meet its 2020 goals and to better serve students and the community. This effort served as an overlay to the existing 2020 Plan and refined our institutional priorities and performance metrics. The provost-led project resulted in the university establishing ten major initiatives organized within the three closely connected categories of Academic and Research Priorities, Culture of Excellence, and Financial Health. The 21<sup>st</sup> Century Initiative set a goal of increasing community engagement experiences by integrating community engagement into curricula [8].

See Core Requirement 2.5 for an overview of institution-wide, research-based planning and evaluation processes.

In 2016 the UofL Community Engagement Steering Committee approved a new implementation plan for activities in alignment with the 21<sup>st</sup> Century Plan. The 21<sup>st</sup> Century Initiative Implementation Plan for Community Engagement [9] calls for the integration of community-based learning experiences into the curriculum to enhance students' academic success. Also, UofL developed programs in Student Leadership and Engagement, Student Philanthropy, and Student Scholars, and a graduate and professional students' Community Engagement Academy [10] to engage students in the community in a meaningful way through academic courses and other offerings.

UofL's commitment to community engagement is articulated in the university mission statement, is aligned with the strategic community engagement targets in the 2020 Plan, and continues as an ongoing commitment in the university's 21<sup>st</sup> Century University Initiative (See Figure 2).

**Figure 2. Commitment to Community Engagement and Alignment to Strategic Planning**



### **University Level Assessment--University Scorecard**

The university has established an institutional scorecard system of accountability that is aligned with the goals of the 2020 Plan. The Scorecards outline the measures used to assess the university's efforts toward accomplishing its mission and strategic plan. There are three levels of the scorecards—university, president, and unit [11]. Progress toward the university's community engagement goals is reported annually in each of the Scorecards.

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.

The University Scorecard metrics track the number of engagement activities taking place, performance toward the goals of the university's Signature Partnership Initiative (a university effort to enhance the quality of life and economic opportunity for residents of west Louisville), and the retention of the university's Carnegie Community Engagement

classification. The university has made progress on these goals, as is documented in the Scorecard.

The community engagement metrics in the University Scorecard are:

- **Increase university presence (number of activities) throughout Kentucky:** The 2020 goal for increasing the number of annual community engagement activities, 800 annual activities by 2020, has been met and surpassed in recent years. Overall, Community Engagement activities throughout Kentucky have increased from 940 in 2014-15 to 1,092 in 2015-16. These activities are tracked annually via the Office of Community Engagement reporting system [12]. The purpose of the Community Engagement data collection system is to enable the university to report on its outreach and engagement activities. It allows academic and administrative units to explore community engagement activities through a range of categories and to share reports about the work we do with communities across Kentucky as well as activities occurring nationally and internationally.
- **Achieve goals of Signature Partnership Initiative:** The university strives to be a model metropolitan university, integrating academic excellence with civic engagement to transform the city of Louisville. A major effort in this goal is the Signature Partnership Initiative (SPI) [13], a coordinated effort across the institution, involving faculty, staff, and students from all schools and colleges, as well as staff in administrative units, to engage with community partners in improving the quality of life for residents of West Louisville. Signature Partnership projects provide engaged service to West Louisville and focus on decreasing disparities in educational, economic, social, and health care opportunities [14].

In alignment with the 2020 Plan goal 3.1, to increase collaborative partnerships with the community, the Signature Partnership Initiative works with various community partners to improve the education, health, residents, and social status of individuals and families who live in our urban core. The thirteen programmatic goals of the SPI [15] are measured through the SPI Data Dashboard [16]. Progress toward these goals is measured annually via the University Scorecard.

- **Achieve and Retain Carnegie Classification for Community Engagement designation:** The Carnegie Foundation Community Engagement Classification is an evidence-based documentation of institutional practice used in a process of self-assessment and quality improvement. The self-assessment for the Carnegie classification [17] involves data collection and documentation of important aspects of institutional mission, identity, and a commitment related to service and requires substantial effort invested by participating institutions. This is an “elective” classification where institutions participate voluntarily by submitting required materials describing and documenting the nature and extent of their engagement with the community, local, national, and international [18]. Colleges and universities with an institutional focus on community engagement are invited to apply for this classification. The documentation is reviewed to determine whether the institution qualifies for recognition as a community engaged institution. In 2008, one of the university scorecard goals tied to the *2020 Plan* was to “achieve the Carnegie Foundation Community Engagement Classification” and to maintain this classification moving toward 2020. By the end of 2008, UofL was classified by the Carnegie Foundation as a community engagement university. In 2015 UofL became one of 157 U.S. colleges and universities reclassified as a Community Engagement university by the Carnegie Foundation for the Advancement of Teaching [19].

Since our original designation in 2008, UofL has made substantial improvement in fostering a culture across the institution that values and supports community engagement. The Office of External Affairs was renamed the Office of Community Engagement and was charged with university-wide facilitation and coordination of engagement activities, resulting in the following:

- increased investments in community engagement infrastructure through budgetary re-allocation, grant funding, gifts, and endowments
- improved fundraising activities to support community engagement
- many units at the university have created high-level positions specific to community engagement
- a new process has been developed to allow UofL to catalog the grants and contracts that explicitly have a community engagement component.
- improvement related to policies rewarding faculty for community engagement in the areas of research and teaching
- professional development programming has been designed and implemented specifically for deans, department chairs, and faculty members
- the university has increased outreach programs and strived to make collaborations more inclusive that strategically benefit the university and community [20].

### **Office of the President Assessment**

The Office of the President's Scorecard [21] reports on the community engagement metrics in alignment with the University Scorecard. The UofL Board of Trustees uses the information reported in the President's Scorecard to complete an annual evaluation of the president and his efforts to ensure that consistent progress is made toward reaching the university's performance goals.

The community engagement metrics in the President's Scorecard are:

- **Identify 10 partnerships to define and demonstrate engaged scholarship/research:** Engaged Scholarship is scholarly work done in full partnership with the community. It consists of research, teaching, and the application of scholarship for the mutual benefit of the institution and the community partner. In 2014-15 an "Engaged Scholarship" rubric was piloted to assess the level of engaged scholarship/research across academic units, based in part on the work of faculty in the field [22]. A sample of faculty leading exemplary partnerships (*those including work across the areas of Student Learning, Teaching, Research, and Service*) was selected from the UofL Community Engagement database, and those scoring the highest on the rubric were selected as the five partnerships defining and demonstrating engaged scholarship/research for the 2014-15 academic year. Based on a culling of projects from the Community Engagement database, for the 2015-16 President's Scorecard we identified ten new and previously unreported partnerships [23] to define and demonstrate engaged scholarship/research. The Engaged Scholarship rubric was administered to the faculty leads on those projects.

Based on a review of these projects, the Office of Community Engagement determined that there should be more connection between teaching and research for new "Engaged Scholarship" partnership projects at the university. This finding led to the development of several strategies outlined in the new 21st Century Initiative on Community Engagement Implementation Plan for supporting stronger ties between the teaching and research agenda for community engaged scholarship projects [24].

- **Identify 10 partnerships that provide evidence of community impact based on established rubric:** In 2015, a rubric for community partnership impact assessment [25] was developed based on findings from a 2013 UofL Community Partner Impact Assessment [26]. The rubric looks at items related to the fulfillment of mission of the community partner, economic impact on the community partner, impact of the UofL partnership on the community partner, and impact the partner had on the community, as collected on an assessment form sent to a sample of established community partners [27]. In spring 2015, a group of fifteen long-standing community partners were identified and asked to complete a survey that was subsequently evaluated with the assessment rubric. Five partnerships responded: Northwest Area Health Education Center, Americana Community Center, Hotel Louisville/Wayside Christian Mission, Kentucky Refugee Ministries, and Louisville Central Community Center. These five partnerships were used to demonstrate community impact for reporting in the President's Scorecard for the 2014-15 academic year [28].

The Office of Community Engagement is continuing this community partner assessment process annually to continually monitor and improve university-community collaborations. The first follow up to the survey was administered in fall 2015 with 79 partner organizations responding to an updated survey instrument [29] that included more questions related to the impact of the project on the community that was served. The survey shows that 79 percent of efforts are having the intended level of community impact and that 68 percent of partners have evidence of community impact [30]. Among the new items on the instrument are questions about the presence of goals, measurable outcomes, perceptions of impact, and whether partners have evidence of community impact for their projects. Currently only 45 percent of partners report that formal assessment or evaluations are being conducted for their community service [31]. The Office of the Vice President of Community Engagement plans to work with community partners and university academic units to increase the number of community service projects with a formal assessment. One strategy will involve working with a new center for program evaluation that is planned to launch at the College of Education and Human Development in fall 2016.

- **Administrative and academic units submit revised engagement plans based on the standards established within the assessment rubric:** In 2014, in an effort to strengthen community engagement assessment at the unit-level, a template for Community Engagement planning was developed and shared with deans and vice presidents of all academic and administrative units. Per Office of the President goal 3.1b, all academic and administrative units were to establish community engagement plans by the end of the 2014-15 academic year [32]. The 2014-15 Office of the President goal for these plans was met by the deadline at a completion rate of 95 percent, with one plan pending at the time of the deadline and submitted shortly after the deadline. Through fall 2015, the Office of Community Engagement met with the deans of academic units and top administrators from administrative units to provide feedback for improving these newly established community engagement plans.

Based on our feedback for strengthening the plans, all units were asked to submit revised engagement plans based on the standards established within the assessment rubric per the 2015-16 Office of the President Scorecard goal 3.1b [33]. Twenty of twenty-one units submitted improved Community Engagement Plans meeting the

criteria for improvement (a completion rate of 95.2 percent by the deadline), with one unit pending and submitting after the deadline.

- **Increase the number of partnerships connected to the Signature Partnership Initiative:** Working closely with community, residents, Jefferson County Public Schools, Louisville Metro Government, Metro United Way, the Urban League, faith-based organizations, and many others, the university has coordinated and enhanced existing programs and launched service projects designed to eliminate or reduce disparities that West Louisville residents experience in education, health, and economic and social conditions.

SPI was successful in meeting the goal of increasing the number of partnership/outreach activities by 3 percent as outlined under 3.1c for the Office of the President Scorecard. The Office of Community Engagement tracks activities annually across all units at the university and reports 111 projects for 2015-16. This represents a 9.9 percent increase over the 2014-15 baseline of 101 [34].

### **Unit-Level Assessment**

Each academic unit reports on metrics related to the university's economic development and entrepreneurial engagement activities in its annual Unit Scorecard [35], which is aligned with the University Scorecard. To support the university's community engagement goal in terms of entrepreneurialism in the community, units must demonstrate that they have contributed to the engagement outcomes in relation to the economic metrics of the University Scorecard Goal 3.2 [36]. In terms of assessing community service at the unit-level, for both academic and administrative units, a new process was established in 2015, as directed by updated metrics in the President's Scorecard.

As a measurement of unit involvement and progress in community engagement, OCE initiated a reporting process for all colleges, schools, and applicable administrative units to develop goals, strategies, and targets for the assessment of the unit's community engagement mission [37]. Units submitted preliminary plans in early 2015 and in spring 2016 OCE assisted units in improving the content of the plans and aligning their plans with the 2015-2016 institutional goals. Since the 2014-15 academic year the establishment and improvement of the Unit Engagement plans has been a metric on the President's Scorecard. A rubric was used to assess the comprehensiveness and quality of the unit plans [38].

Administrative and academic units will use these plans to set goals for improving their community engagement and community service work and will annually report to OCE on whether or not targets have been met. An annual community engagement database reporting organized by OCE serves as the measure for many of the goals in the engagement plans for each unit. In 2017 OCE will work with units in reporting on their targets and in adding an "Action Plan" component for discussion of whether targets were met and what kinds of program improvements are necessary for meeting targets. This process will continue annually in order to assist academic and administrative units in working toward continuous improvement for their respective community engagement strategies.

### **Office of Community Engagement Assessment**

In 2015 the Office of Community Engagement submitted its first annual report for the university's administrative outcomes assessment [39] (see Comprehensive Standard 3.3.1.2). The report focuses on three major goals for OCE:



1. **Provide evidence of community impact for community partnerships:** Evidence of community impact is measured via the Community Partner Survey (described in detail below). The target for this goal in the 2014-15 report was “increasing the numbers of community partners reporting on community impact,” over the baseline of 35 in 2013. The 2015 Partner survey garnered 79 responses demonstrating that the target was achieved. In meeting this goal, OCE is in a better position to demonstrate a growing number of community engagement efforts reporting impact in their communities of service. This information will be used in the future for better planning, decision-making, and support for community engagement activities. In addition, the 2015 Community Partner Survey shows that 79 percent of efforts are having the intended level of community impact and that 68 percent of partners have evidence of community impact [40].
2. **Promote engaged teaching and scholarship:** OCE is committed to the support of engaged scholarly work and working across the university to increase the engaged research and teaching activities. Activities involving engaged scholarship are identified via an audit of the Community Engagement database, and an “Engaged Scholarship” rubric is in place to assess the level of engaged scholarship among community engagement activities, based in part on the work of faculty in the field [41]. Going forward, OCE has used information from this process in creating a 21st Century Initiative on Community Engagement Implementation Plan [42]. This plan seeks to garner resources and build capacity to increase the number of quality Engaged Scholarship activities taking place in communities.
3. **Coordinate and advance the Signature Partnership Initiative:** The Community Engagement database tracks activities across the university and helps measure the performance and reach of the university’s Signature Partnership Initiative. The targets for the 2014-15 Administrative Outcomes Report were met, with instances of student engagement increasing 3.7 percent from 3,324 in 2013-14 to 3,448 in 2014-15; instances of faculty engagement increasing 53 percent from 255 in 2013-14 to 389 in 2014-15; and instances of staff engagement increasing 150 percent from 265 in 2013-14 to 662 in 2014-15. New targets for advancing the SPI for the 2015-16 administrative outcomes report are in development.

**Improving the Community Engagement Database:** Data associated with all community service projects, including Signature Partnership Initiative projects, are reported by academic and administrative units to the Community Engagement database. OCE performs an annual audit of the data based on the university definitions of community engagement.

In working with the Community Engagement database for measuring Administrative Outcomes Report Goals 2 and 3 (described above), it became clear that a new reporting system was needed to improve participation in the reporting of community engagement activities. In 2016, improvements were made to the data collection system for university community engagement activities with academic and administrative units. OCE worked in consultation with data coordinators, faculty, and staff to identify an approach for streamlining reporting of new and ongoing partnership and outreach projects, leading to the implementation of a new web-based reporting system. The new system improved the reporting process by making project information directly accessible to project organizers and by reducing data entry and hard copy paper work.

**Vanderbilt Assessment of the Signature Partnership Initiative:** In 2010–2011, OCE, working in conjunction with researchers from Vanderbilt University, examined the impact of the Signature Partnership Initiative on the West Louisville community and perceptions of the

university-community partnership and examined factors contributing to project success [43]. Representatives from various partner organizations as well as the target schools and residents of West Louisville were interviewed. Qualitative methods were used to gain insight about the effectiveness of the Signature Partnership Initiative and to answer assessment questions.

Based on the lessons learned from the Vanderbilt Assessment, OCE has worked to maintain credibility and transparency with the Signature Partnership community. Goals have been set around shared governance, transparency, and ongoing feedback, working toward an outcome of establishing more robust accountability systems among our faculty, staff, and the community. Much of this work happens in the various committees convened by OCE (described below). These committees work to facilitate collaboration, to inform institutional policies and practices, and to implement actions based on feedback and assessment for program improvement.

**Decision-Making Committees Organized by the OCE:** Several committees have input into the university's strategic planning for community engagement and OCE's response and assessment of its progress toward the goals.

- The Community Engagement Steering Committee serves as an internal advisory committee for the Office of the President and Provost on matters pertaining to community engagement among faculty, staff, and students. The committee counsels and support OCE on the coordination, tracking/documentation, assessment, and recognition of community engagement of faculty, staff, and students. This committee was instrumental in setting the goals and objectives of the 2010 Community Engagement Action Plan [44], in helping to implement the strategies, in setting assessment items, and in monitoring progress and making necessary course corrections and improvement in meeting the objectives of the plan.
- The University Community Partnership (UCP) Advisory Board [45] has oversight of all university-community service partnerships and targets community partners to advance the effectiveness of the SPI. The UCP board supports the university's strategic objectives in building mutually beneficial partnerships and positive relationships with key community-based organizations. The board is composed of representatives from community organizations, university faculty, and administrators. UCP advises and assists the university administration and academic units with a special emphasis on partnerships with racial/ethnic minorities and economically disadvantaged neighborhoods. The UCP Advisory Board helped move forward the recommendations from the Vanderbilt Assessment [46] by working with the OCE, units within the university, and partners in the community.
- The Faculty Liaison group [47] is composed of representatives from each academic unit who serve as champions for the SPI. Monthly meetings allow for community organizations to present the services they offer and discuss opportunities for collaboration. The liaisons communicate these opportunities for partnership in their units and work with the appropriate faculty members to establish partnerships that are mutually beneficial for the university and the community. This group also serves as peer evaluators of the OCE faculty grant applications and are instrumental in selecting awardees. The faculty liaison group played a key role in helping to implement the recommendations of the 2010 Community Engagement Action Plan [48] in the areas of policy, internal programming, and resource development.

- The Resident Advisory Council (RAC) [49] is composed of individuals who reside in West Louisville and/or who have significant connection with the community. They provide input and suggestions for the development of SPI in West Louisville. The Council meets bi-monthly and receives regular updates from and provides ongoing advice to OCE on the progress of the initiative. The Council ensures that the views and perspectives of the residents of West Louisville are adequately represented and addressed. The primary goal of the RAC is to identify community concerns at the grassroots level with an outcome of stronger partnerships and better communications in an effort to improve services for people in West Louisville communities. Examples of their work range from organizing meetings with public school principals around specific issues to working with city officials to increase capacity of programs to serve youth.

### Other Community Engagement Assessment Activities

- **Review of Curricular Engagement**

In alignment with the goal of the 21<sup>st</sup> Century Initiative to integrate community-based learning experiences into the curriculum and as part of the Carnegie Classification for Community Engagement, the university continues to identify courses and credit-bearing experiences involving curricular engagement in the community [50] [51] [52]. Courses involving community engagement are assigned the designation of Community-Based Learning (CBL), which identifies a pedagogy that explicitly engages students in addressing community issues in order to increase students' understanding and application of academic content. CBL courses are to include student learning outcomes concerning application of the concepts and skills of an academic discipline to issues in the community [53]. Several times over the past few years, academic units have refined their designation of CBL courses in an effort to ensure the courses meet the required CBL components. Data from the last analysis of CBL courses is provided in Figure 3.

**Figure 3. CBL Table from 2015 Carnegie Report (2012-13 academic year)**

<i>Number of service learning courses</i>	<i>Change in number of courses since last application</i>	<i>Percentage of total courses</i>	<i>Percent change in courses since last application</i>
1,236	79	7.8%	6.8%
<i>Number of departments represented by service learning courses</i>	<i>Change in number of departments since last application</i>	<i>Percentage of total departments</i>	<i>Percent change in departments since last application.</i>
63	1	67%	1.6%
<i>Number of faculty who taught service learning courses</i>	<i>Change in number of faculty since the last application</i>	<i>Percentage of total faculty</i>	<i>Percent change in number of faculty since last application</i>
410	141	17.7%	52.4%
<i>Number of students participating in service learning courses</i>	<i>Change in number of students since last application</i>	<i>Percentage of total students</i>	<i>Percent change since last application.</i>
7,703	2,509	34.6%	48.3%

The process to quantify and assess the impact of Community Based Learning (CBL) courses on students, faculty, community partners, and the university will continue in the 2016-17 academic year. When the listing of all courses that meet the definition of CBL is finalized, the university plans to administer a student survey to assess the impact of CBL courses on students. This effort will ensure the institution is positioned to conduct regular assessment of the Curricular Engagement goal established under the 21<sup>st</sup> Century Initiative.

- **Institutional Student Engagement Assessment (NSSE Student Assessment)**

UofL has historically participated in the National Survey of Student Engagement (NSSE). The NSSE survey is designed to help administrators, faculty, and staff to better understand first-year students' and seniors' experiences based on their level of engagement both inside and out of the classroom.

Two questions specifically relate to the Scorecard goal for community engagement: (1) "which of the following have you done or plan to do before you graduate from your institution; and (2) in your experience at your institution during your current year, how often have you participated in a community-based project (e.g., service learning) as part of your regular course."

From the 2012 NSSE administration, 83 percent of first-year students and 82 percent of seniors responded that they had "done or plan to do" community service work before they graduate. For the last four NSSE administrations, there has been an increase (at least 16 percentage point overall for each group) for both first-year students and seniors indicating they "plan to do" or have "done" community service/volunteer work. An independent t-test (2-tailed) shows a statistically significant increase in senior responses from 2009 to 2012 ( $p < .01$ ). The results of responses to these two questions are used to inform our understanding of students' learning in community engagement-related experiences.

The results of NSSE community engagement items are used to broaden our understanding of student-learning in community engagement experiences and to inform decision making by the various community engagement working committees across the university, including, for example, committees focused on persistence to graduation, the i2a Critical Thinking Initiative committee (UofL's previous QEP), and the university's 2017 QEP development committee.

- **Division of Student Affairs**

The mission of the Division of Student Affairs is to provide students with effective services and developmental opportunities that augment their academic experience and enhance the quality of their lives. The vision statement for the Division of Student Affairs includes a commitment for students to be recognized as responsible servants to our communities, and a community engagement goal of being acclaimed as a model metropolitan university that integrates academic excellence with civic engagement toward transforming Louisville and Kentucky [54].

Several departments within the Division of Student Affairs work to carry out this community engagement mission, including the Office of International Service Learning Program (ISLP) and the Office of Student Involvement. Both offices coordinate community service and outreach activities, which are reviewed regularly

based on student evaluations, assessment of program impact on the student and the community, and academic evaluation [55] [56].

The Office of Student Involvement tracks data on the co-curricular, Welcome Week SOUL (Student Outreach Uniting Louisville) program, which connects students to group service projects across the city of Louisville. Information garnered through student feedback and reflection helps project coordinators continue to connect students to projects related to the SOUL Student Learning Outcomes [57].

Based on ISLP student assessment, program coordinators have made several improvements to the program. For instance, based on the assessment, student participants now perform the research and presentations on topics during pre-trip orientations; cultural or historic sites, political history of the country, etc., rather than having faculty perform these duties [58].

- **Faculty Promotion Related to Community Service**

*The Redbook* (UofL's governance document) policies for promotion and tenure specifically reference service to the community [59]. In keeping with community engagement as a university priority (Scorecard Goal 3), in 2009 the Provost asked each unit to revise its faculty personnel policy to "expand what kinds of activities and products count under the categories of teaching, research and creative activity, and service and expand our ability to assess and reward these activities and products" [60].

Professional development in this area was provided to deans, department chairs, and members of the faculty personnel committees. On three occasions (2012-13), the university hosted workshops conducted by nationally recognized experts in community engagement (Dr. Barbara Holland and Dr. Hiram Fitzgerald, whose presentations centered on engaged scholarship and the role of engagement in the production of traditional and non-traditional scholarly products). In addition, the university covered the cost of having members of the Faculty Senate attend a conference on community engagement and sponsored a Faculty Senate symposium on engaged scholarship. The "Showcase of Faculty Excellence 2013: Engagement" allowed faculty to demonstrate their engaged scholarship and teaching activities in a format designed to encourage discussion and networking.

The process toward the revision of *Redbook* language to encompass community engagement is underway. Proposed revisions to *Redbook* 4.2.2.F. (on tenure) and 4.2.3.A. (on promotion in rank) include language that supports specific recognition for engaged work: "The details of these criteria and of any additional criteria, including specific recognition of engaged teaching, research and service, to be considered in making a recommendation concerning tenure [or promotion] shall be specified in the unit's personnel document" [61].

Faculty tenure reviews at the academic unit can consider community engagement work as related to engaged scholarship and service. Faculty have been tenured and promoted based on the value of work with the community, government agencies, and the academy, as the two examples provided demonstrate. [62] [63].

Several awards related to outstanding faculty involvement in Engaged Scholarship and Service further demonstrate the university's continued commitment to community engagement [64].

- **Sustainability Council**

In alignment with 2020 Scorecard goals related to community engagement and creative and responsible stewardship (*expand our efficiency and sustainable initiatives and achieve the highest “STAR” rating from the Association for the Advancement of Sustainability in Higher Education*), the Office of the Executive Vice President and University Provost (EVPUP) formed the Sustainability Council, which pulls together campus and community efforts for environmental stewardship through the work of committees on sustainability [65]. The Finance and Outreach Committee oversees community engagement and service work related to sustainability. UofL students, faculty, and staff regularly engage the broader community in efforts to promote sustainable environmental, social, and economic stewardship beyond the borders of campus. These efforts may take the form of individual service projects, internships, ongoing collaborative work, research projects that benefit the community, or partnerships the university establishes with various entities [66].

In 2007 the President enrolled the university in the STARS (Sustainability Tracking, Assessment & Rating System) framework developed by AASHE (Association for the Advancement of Sustainability in Higher Education) as a way to measure progress in sustainability for universities. As a Charter Participant in STARS, UofL was the first school in the region—and the 10<sup>th</sup> in the nation--to achieve a STARS rating. UofL was the first school in Kentucky to achieve a STARS Gold rating and continues to have the highest STARS rating in Kentucky. The university has utilized the STARS system as a way of setting sustainability goals and for monitoring progress toward these goals (5.2 in University Scorecard) [67].

As part of the university-wide strategic plan, UofL seeks to progressively improve our overall STARS rating and our score across all sections of the framework. UofL reached a major milestone in the ongoing efforts to advance sustainability by achieving a new STARS Gold rating (65.19 percent) in February 2016 [68]. This represents a 6.9 point increase from its February 2013 STARS Silver rating (58.29 percent) and a significant improvement from the first rating in January 2011 of STARS Silver (50.11 percent). In 2016 the university met its 2020 goal related to Sustainability as laid out in the University Scorecard [69]. The university's 2016 STARS rating documents improvements in many areas and implements additional innovative activities to advance sustainability and community service [70].

The university targeted several areas for improvement based on scores from the past STARS ranking. These areas included the Conn Prize for Renewable Energy, the Beargrass Falls Environmental Park, the new Interdisciplinary Masters in Sustainability and a roster of 174 researchers at UofL investigating sustainability, and a growing social media presence for the Sustainability Council (launching feeds on Twitter, Instagram, and a Blog). In developing our reapplication for STARS designation we assessed our performance in these areas and improved the overall ranking for the university [71].

## **SUMMARY**

UofL identifies expected outcomes, assesses the extent to which it achieves the outcomes, and provides evidence of improvement based on analysis of the results of community service through partnerships and collaborations. The university follows the definition of community engagement as defined by the Carnegie Foundation for the Advancement of Teaching, that is, as describing the collaboration between institutions of higher education

and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. The university's community engagement agenda is driven by UofL's strategic plan, *The 2020 Plan: Making it Happen*. Further, the university's 21<sup>st</sup> Century Initiative calls for the integration of community-based learning experiences into the curriculum to enhance students' academic success.

The hundreds of community engagement activities carried out annually at the local, state, national, and international levels demonstrate the university's commitment to a culture of engaged public service. UofL is committed to the ongoing data collection efforts and planning processes for assessing results, outputs, and impact related to its community service mission. Thanks to the increasing institutionalization of these practices and processes, the university continues to be in a better position to demonstrate improvements resulting from measurement and assessment of community service projects.

[1] Office of the Vice President for Community Engagement  
3\_3\_1\_5\_fn01.pdf

<http://louisville.edu/communityengagement/office-of-the-vice-president-1/about-the-vice-president>

[2] UofL Organizational Chart  
3\_3\_1\_5\_fn02.pdf

<http://louisville.edu/administration/orgchart.html>

[3] OCE Mission Statement  
3\_3\_1\_5\_fn03.pdf

<http://louisville.edu/communityengagement/office-of-the-vice-president-1>

[4] Community Engagement Glossary  
3\_3\_1\_5\_fn04.pdf

<http://louisville.edu/communityengagement/CommunityEngagementGlossary2.7.11.pdf>

[5] UofL Mission Statement  
3\_3\_1\_5\_fn05.pdf  
<http://louisville.edu/about/>

[6] *2020 Plan: Making it Happen*  
3\_3\_1\_5\_fn06.pdf

<http://louisville.edu/president/vision2020.pdf>

[7] 21st Century Initiative  
3\_3\_1\_5\_fn07.pdf

<https://louisville.edu/21stcentury/21stCenturyInitiative.pdf>

[8] Goal 5: Increase Community Engagement Experiences  
3\_3\_1\_5\_fn08.pdf

<https://louisville.edu/21stcentury/21stCenturyInitiative.pdf>

[9] The 21<sup>st</sup> Century Initiative Implementation Plan for Community Engagement  
3\_3\_1\_5\_fn09.pdf

- [10] Community Engagement Academy  
3\_3\_1\_5\_fn10.pdf  
<http://louisville.edu/graduate/plan/community-engagement-academy>
- [11] 2020 Plan Scorecards  
3\_3\_1\_5\_fn11.pdf  
<http://louisville.edu/provost/planning/scorecards>
- [12] Community Engagement Reporting  
3\_3\_1\_5\_fn12.pdf  
<https://louisville.edu/communityengagement/community-engagement-partnership-1>
- [13] The SPI: A University-Community Collaboration  
3\_3\_1\_5\_fn13.pdf  
<http://ijdc.cgpublisher.com/product/pub.242/prod.72>
- [14] Signature Partnership 5-year Report 2012  
3\_3\_1\_5\_fn14.pdf  
<http://louisville.edu/communityengagement/signature-partnership-1/SigPartWebFinal.pdf>
- [15] SPI Program Objectives 2009 Update  
3\_3\_1\_5\_fn15.pdf
- [16] SPI Data Dashboard  
3\_3\_1\_5\_fn16.pdf  
<https://sharepoint.louisville.edu/sites/communityengagement/default.aspx>
- [17] Carnegie Community Engagement Reaffirmation  
3\_3\_1\_5\_fn17.pdf  
<http://uoflnews.com/post/uofltoday/uofl-reaffirmed-as-carnegie-community-engagement-university/>
- [18] Carnegie Application  
3\_3\_1\_5\_fn18.pdf  
<http://louisville.edu/communityengagement/community-engagement/The2015UofLCarnegieApplication.pdf>
- [19] All Community Engagement Classified Institutions: 2010 and 2015  
3\_3\_1\_5\_fn19.pdf
- [20] Community Engagement Improvements since 2008  
3\_3\_1\_5\_fn20.pdf
- [21] 2020 Plan President's Scorecard Goals & Metrics  
3\_3\_1\_5\_fn21.pdf  
<http://louisville.edu/provost/planning/scorecards>
- [22] Engaged Scholarship Rubric  
3\_3\_1\_5\_fn22.pdf
- [23] 2015-16 Engaged Scholarship Exemplars  
3\_3\_1\_5\_fn23.pdf



[24] The 21<sup>st</sup> Century Initiative Implementation Plan for Community Engagement  
3\_3\_1\_5\_fn24.pdf

[25] Community Partner Impact Assessment Rubric  
3\_3\_1\_5\_fn25.pdf

[26] 2013 Community Partner Assessment Survey Report  
3\_3\_1\_5\_fn26.pdf

[27] Community Partner Impact Assessment Form  
3\_3\_1\_5\_fn27.pdf

[28] Partnerships with Evidence of Community Impact 2014-15  
3\_3\_1\_5\_fn28.pdf

[29] Community Partner Survey Instrument  
3\_3\_1\_5\_fn29.pdf

[30] Results from 2015 Community Partner Survey  
3\_3\_1\_5\_fn30.pdf

[31] Results from 2015 Community Partner Survey  
3\_3\_1\_5\_fn31.pdf

[32] Unit Engagement Plan Template  
3\_3\_1\_5\_fn32.pdf

[33] Rubric for Community Engagement Plan Assessment  
3\_3\_1\_5\_fn33.pdf

[34] SPI Listing 2015-16  
3\_3\_1\_5\_fn34.pdf

[35] Unit Scorecard Example – Arts & Sciences  
3\_3\_1\_5\_fn35.pdf  
[http://louisville.edu/provost/planning/scorecards/A-S\\_Unit\\_Goals.pdf](http://louisville.edu/provost/planning/scorecards/A-S_Unit_Goals.pdf)

[36] 2020 Plan University Scorecard Goals and Metrics  
3\_3\_1\_5\_fn36.pdf

[37] Engagement Plan Example - Arts & Sciences 2016  
3\_3\_1\_5\_fn37.pdf

[38] Rubric for Community Engagement Plan Assessment  
3\_3\_1\_5\_fn38.pdf

[39] 2014-15 Administrative Outcomes Assessment Report – OCE  
3\_3\_1\_5\_fn39.pdf

[40] Results from 2015 Community Partner Survey  
3\_3\_1\_5\_fn40.pdf

[41] Engaged Scholarship Rubric  
3\_3\_1\_5\_fn41.pdf

[42] The 21<sup>st</sup> Century Initiative Implementation Plan for Community Engagement  
3\_3\_1\_5\_fn42.pdf

[43] Vanderbilt Assessment of the Signature Partnership Initiative  
3\_3\_1\_5\_fn43.pdf

[44] 2010 Community Engagement Action Plan  
3\_3\_1\_5\_fn44.pdf

[45] University Community Partnership Advisory Board  
3\_3\_1\_5\_fn45.pdf  
<http://louisville.edu/communityengagement/signature-partnership-1/university-community-partnership-advisory-board>

[46] Vanderbilt Assessment of the Signature Partnership Initiative  
3\_3\_1\_5\_fn46.pdf

[47] Faculty Liaisons  
3\_3\_1\_5\_fn47.pdf  
<http://louisville.edu/communityengagement/signature-partnership-1/faculty-liaisons>

[48] 2010 Community Engagement Action Plan  
3\_3\_1\_5\_fn48.pdf

[49] Resident Advisory Council  
3\_3\_1\_5\_fn49.pdf  
<http://louisville.edu/communityengagement/signature-partnership-1/resident-advisory-council>

[50] CBL Pilot Project Summary  
3\_3\_1\_5\_fn50.pdf

[51] Updated CBL Pilot Project Summary  
3\_3\_1\_5\_fn51.pdf

[52] Community-Based Learning Course Review Rubric & Review Timeline  
3\_3\_1\_5\_fn52.pdf  
<http://louisville.edu/communityengagement/community-engagement/CBLCourseRubricandTimeline041114.pdf>

[53] Definition of CBL Courses  
3\_3\_1\_5\_fn53.pdf

[54] Student Affairs Strategic Plan  
3\_3\_1\_5\_fn54.pdf

[55] International Service Learning Policies & Procedures  
3\_3\_1\_5\_fn55.pdf  
<http://louisville.edu/islp/program-information/program-information/administrative-policies-and-procedures>

- [56] Service Opportunities — Student Involvement  
3\_3\_1\_5\_fn56.pdf  
<http://louisville.edu/studentactivities/service-opportunities>
- [57] SOUL Assessment 2015  
3\_3\_1\_5\_fn57.pdf
- [58] Student Questionnaire for Alternative Service Break  
3\_3\_1\_5\_fn58.pdf
- [59] *Redbook* 4.2.3, Promotion in Rank  
3\_3\_1\_5\_fn59.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s3>
- [60] Provost Letter on Unit Personnel Policies 4-6-09  
3\_3\_1\_5\_fn60.pdf
- [61] *Redbook* 4.2.3, Promotion in Rank  
3\_3\_1\_5\_fn61.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a2s3>
- [62] Tenure Review College of Education & Human Development Redacted  
3\_3\_1\_5\_fn62.pdf
- [63] Tenure Review Arts & Sciences Redacted  
3\_3\_1\_5\_fn63.pdf
- [64] UofL Awards Recognizing Engaged Scholarship and Learning  
3\_3\_1\_5\_fn64.pdf
- [65] Sustainability Council Outreach Committee  
3\_3\_1\_5\_fn65.pdf  
<http://louisville.edu/sustainability/sustainability-council>
- [66] Listing of 2014-15 Sustainability Projects  
3\_3\_1\_5\_fn66.pdf
- [67] 2020 Plan University Scorecard Goals and Metrics  
3\_3\_1\_5\_fn67.pdf
- [68] STARS Ratings & Rankings  
3\_3\_1\_5\_fn68.pdf  
<http://louisville.edu/sustainability/sustainability-council/ratings-rankings>
- [69] 2020 Plan University Scorecard Goals and Metrics  
3\_3\_1\_5\_fn69.pdf
- [70] STARS Public Engagement & Service Documentation  
3\_3\_1\_5\_fn70.pdf  
<https://stars.aashe.org/institutions/university-of-louisville-ky/report/2016-02-13/>
- [71] Email Documentation from Sustainability Coordinator  
3\_3\_1\_5\_fn71.pdf

### 3.3.2

#### Quality Enhancement Plan

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. **(Note:** *This requirement is not addressed by the institution in its Compliance Certification.*)

#### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### Narrative

The University of Louisville's Quality Enhancement Plan will be submitted to SACSCOC at least six weeks in advance of the on-site visit as specified by the Principles of Accreditation.

### 3.4.1

#### **Educational Programs: All: Academic program approval**

The institution demonstrates that each educational program for which academic credit is awarded is approved by the faculty and the administration.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

Every University of Louisville (UofL) academic program for which academic credit is awarded has been approved by the faculty and administration [1]. The authority to start new programs is granted to the university by the Kentucky Council on Postsecondary Education (CPE) [2].

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 [3].

Authority for developing new degree programs rests with the appropriate academic unit. Section 3.3.2 of *The Redbook* [4], the university's governance document, states that faculty have:

general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions shall be consistent with enumerated policies of the Board of Trustees. For interdisciplinary degree programs and tracks, academic authority will be shared among the faculties of the participating units as specified in the Bylaws of the School of Interdisciplinary and Graduate Studies.

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 [5]. CPE is charged with granting final approval for all new academic programs in Kentucky.

The university provost office serves as the gatekeeper for the program proposal process and coordinates the required reviews (as applicable) with the university Faculty Senate; Undergraduate Affairs; Graduate Affairs (for interdisciplinary graduate programs); the Board of Trustees, and CPE. The School of Interdisciplinary and Graduate Studies oversees minimum admissions guidelines for all graduate programs. The provost office also notifies SACSCOC if the program falls under the SACS Substantive Change Policy. In addition to university and CPE approval, the Kentucky Education Professional Standards Board (EPSB) [6] must approve all teacher and other educator preparation programs.

The university follows CPE policy and procedures for developing new programs [7]. The CPE approval process is designed to promote program quality and to ensure that any program

expansion serves to support the objectives of the university's strategic plan and the academic mission of the sponsoring unit.

University procedures for developing new academic programs can be found on the Provost Office website [8].

The new program proposal process begins with a Letter of Intent (LOI) developed by the unit proposing the new academic program [9]. The LOI is approved by the department chair and dean before it is submitted to the provost office, where provost senior staff review it and make recommendation on action to the provost. If approved by the provost, provost staff post the Notice of Intent (NOI) information to the CPE online programs system for state-wide review by the Chief Academic Officers (CAO). This review includes a first and second reading [10].

If there is no CAO or CPE opposition from the posting, the faculty proposing the program submit a pre-proposal using the CPE's New Program Proposal template [11a] [11b] [11c] [11d], in which they outline the program's relationship to UofL's mission and consistency with state goals; program quality and student success; program demand/unnecessary duplication; cost and funding; and program review and assessment.

The pre-proposal is submitted to the provost office and once approved by the provost goes to the Faculty Senate Academic Programs Committee (APC). The APC reviews the program pre-proposal and meets with program faculty to discuss it. If APC approves the program proposal it will forward this recommendation to the Faculty Senate for addition to an upcoming meeting agenda. The Faculty Senate must vote to approve the program proposal before any other university action on the program can be completed. The Faculty Senate APC chair notifies the provost office once final approval has been granted. The pre-proposal is posted on the CPE's Program Proposal System (KPPPS) for the required 45 day statewide public review and comment period. Upon completion of the CPE 45-day public review and comment period, CPE staff review the pre-proposal and either approves it or requests additional information or revisions.

The program will make any revisions to the pre-proposal requested by the Faculty Senate or CPE. When the pre-proposal form is approved by the Faculty Senate and CPE, the provost office adds the proposed program to an upcoming Board of Trustees agenda. Upon approval of the program by the Board, the provost office enters the final proposal information into the program proposal portal in the CPE system (KPPPS). The provost office notifies the program when this action has been completed.

If required, the accreditation liaison works with the program to develop a SACSCOC Substantive Change prospectus report or letter of notification and submits the information to SACSCOC for approval.

Upon receipt of notification of institutional approval, CPE adds the final proposal to an upcoming monthly board agenda for a vote. The provost's office notifies the program of the addition to the CPE agenda. The CPE Board's vote for approval is required in order to add the program to the official statewide inventory of approved UofL academic programs.

Upon receipt of the SACSCOC approval (if required) and CPE's addition of the program to the statewide inventory, the provost office creates a new academic plan in PeopleSoft (the university's electronic management system) and notifies all key university stakeholders when the academic plan is in place and the admission and enrollment processes may begin.

The BS in Sustainability is an example of a newly created program following the proposal process [12a] [12b] [12c].

Any changes to already approved programs are generated by program faculty and communicated through the unit and university curriculum processes.

### **Programs Offered Online and through Collaborative Arrangements**

All UofL programs offered online or through collaborative arrangements involve approved UofL academic programs that program faculty have decided to offer online or through collaborative agreements with other institutions or entities. The programs involved were initially approved following the same procedures described earlier in this standard. Faculty initiate collaborations and develop the consortial agreements, which are reviewed by university legal counsel and then approved by the Provost.

### **SUMMARY**

Every University of Louisville (UofL) academic program (including online programs and those offered through collaborative agreements) for which academic credit is awarded has been approved by the faculty and administration. *The Redbook*, the university's governance document, gives oversight of curriculum to the individual academic unit and its faculty. The program proposal process follows the Kentucky Council on Postsecondary Education (CPE) process and uses the CPE New Academic Program Proposal template. The university provost office serves as the gatekeeper for the program proposal process and coordinates the required reviews (as applicable) with the university Faculty Senate, Undergraduate Affairs, Graduate Affairs (for interdisciplinary graduate programs) the Board of Trustees, and CPE and notifies SACSCOC if the program falls under the SACS Substantive Change Policy. Any changes to already approved programs are generated by program faculty and communicated through the unit and university curriculum processes.

[1] UofL Academic Program Development Process

3\_4\_1\_fn01.pdf

<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[2] Kentucky Council on Postsecondary Education (CPE), Academic Program Approval Policy

3\_4\_1\_fn02.pdf

[3] Inventory of Degree Programs

3\_4\_1\_fn03.pdf

[4] *Redbook*, Section 3.3.2, Jurisdiction and Purposes

3\_4\_1\_fn04.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[5] UofL Academic Program Approval Process

3\_4\_1\_fn05.pdf

<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[6] Kentucky Education Professional Standards Board (EPSB)

3\_4\_1\_fn06.pdf

<http://www.epsb.ky.gov/>

[7] Kentucky Council on Postsecondary Education (CPE), Academic Program Approval Policy  
3\_4\_1\_fn07.pdf

[8] UofL Academic Program Approval Process - New Proposals  
3\_4\_1\_fn08.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[9] UofL Academic Program Approval Process - New Proposals Letter of Intent Template  
3\_4\_1\_fn09.pdf  
<http://louisville.edu/oapa/program-approval/loi-new-programs>

[10] CPE/Program Approval Flow Chart  
3\_4\_1\_fn09.pdf  
<http://louisville.edu/oapa/program-approval/KPPSPProcessUniversities.pdf>

[11] Kentucky Council on Postsecondary Education (CPE) New Program Approval Templates  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[11a] CPE New Program Proposal Template (undergraduate)  
3\_4\_1\_fn11a.pdf

[11b] CPE New Program Proposal Template (Masters)  
3\_4\_1\_fn11b.pdf

[11c] CPE New Program Proposal Template (Doctoral)  
3\_4\_1\_fn11c.pdf

[11d] CPE New Program Proposal Template (Certificate)  
3\_4\_1\_fn11d.pdf

[12] Sample Undergraduate Program Proposal Process--BA in Sustainability

[12a] Letter of Intent  
3\_4\_1\_fn12a.pdf

[12b] Pre-proposal for new program  
3\_4\_1\_fn12b.pdf

[12c] Dean's letter to Provost supporting the proposed letter  
3\_4\_1\_fn12c.pdf



### 3.4.2

#### **Educational Programs: All: Continuing education/service programs**

The institution's continuing education, outreach, and service programs are consistent with the institution's mission.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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 UofL. On multiple levels, the initiatives and programs support several of the interrelated strategic themes in the university's mission [1]. The university currently has over 870 college and school, departmental, and individual faculty partnerships with the community and the state [2].

#### **Continuing Education**

Continuing education supports the university's mission by reinforcing partnerships and collaborations external to the institution. 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.

Programs that address the non-credit interests of the local community, business, and industry and the requirements for continuing education and non-academic certification are provided by and managed through the Professional Development [3] unit of the Delphi Center for Teaching and Learning [4]. The Delphi Center for Teaching and Learning's Professional Development office works with university departments to provide training in supervision, leadership, and performance management for university staff [5].

The office works extensively with external entities such as corporate, non-profit, and military organizations [6] to provide customized learning systems, learning and development programs, corporate universities [7], and open enrollment, non-credit professional development programming [8].

A variety of non-credit certificate programs are offered, including management development [9], professional development [10], professional communication [11], and project management [12]. These activities include participants from the university as well as the greater Louisville area [13]. These non-credit certificate programs provide professional training and skills in the critical areas of management and leadership, critical thinking, organization and productivity, coaching and motivation, and written and interpersonal communication [14] [15]. The Delphi Center for Teaching and Learning is a registered provider of the Project Management Certificate program aligned with the international Project Management Institute (PMI®) and Project Management Body of Knowledge (PMBOK®) certification.

In 2015, over 2,300 participants received learning and development services from the Professional Development office; over 750 hours of programming were delivered; and over 200 individuals completed the requirements for certificate programs. Instruction included

classroom, online, and virtual instructor-led offerings [16]. Professionals from the business community provide input and feedback on professional development curriculum in several ways, including needs assessment interviews, online surveys, and post-event evaluation questionnaires and assessments. New programs are piloted and thoroughly evaluated with target audiences as part of a continuous process to update and refresh content and offerings.

### **Evaluation and Testing Information for all Delphi Center Certificate Programs.**

Every program has a course evaluation conducted at the conclusion of the program that is reviewed and scored for quality, workplace applicability, overall satisfaction, and instructor effectiveness. Feedback is provided to the instructor and, when appropriate, the client.

Each student in the certificate program must take an exam and score at least 70 percent to pass. These exams are administered after the completion of each course in the certificate program. If the student does not pass the exam, he/she may retake the exam or retake the course again at no additional charge.

Academic and administrative units also provide continuing education for ongoing professional certification [17].

### **Outreach Programs**

Outreach programs support the university's mission by providing a tangible commitment to the intellectual, cultural, and economic development of our diverse communities and citizens. The faculty, staff, and students at UofL are involved in local, state, and international outreach programs. University-wide outreach efforts are coordinated through the Office of Community Engagement.

Community Engagement is a cornerstone of one of the university's five strategic priorities. The Office of the Vice President for Community Engagement coordinates the university's efforts to be a good neighbor, partner, and corporate citizen [18]. In January 2015, UofL was reaffirmed as a Carnegie Community Engagement University, as one of 239 United States colleges and universities that "are improving teaching and learning, producing research that makes a difference in communities, and revitalizing their civic and academic missions" [19]. Programs allow faculty and staff to participate in activities and special events that take UofL to the community.

The Office of Community Engagement oversees the Signature Partnership Initiative, a University effort to enhance the quality of life and economic opportunity for residents of west Louisville. The Signature Partnership Initiative collaborates with community partners to improve the overall educational attainment levels for West Louisville residents to equal those of Metro Louisville in general through the integrated enhancement of health, social, and human services and economic viability of the community [20]. In 2014-15 the university had 101 partnerships in the Signature Partnership area of west Louisville [21].

Every academic unit at the university is involved in or offers community outreach programs [22].

### **Service Programs**

Service programs support the university's mission by providing a tangible commitment to the health, intellectual, cultural, and economic development of our diverse communities and

citizens. These programs also directly contribute to the university's mission to be a metropolitan research institution that supports the community at-large.

The Office of the Vice President for Community Engagement coordinates the Speakers Bureau, one of UofL's top community service programs [23]. Each year, hundreds of faculty and staff give presentations at area businesses, schools, churches, and civic organizations. Also, thousands of university faculty and staff volunteer their time each year in the community to support numerous non-profit or public outreach programs [24]. The Office of Community Engagement documents these efforts in the Community Engagement Partnership Data collection [25].

UofL has numerous outreach and service programs consistent with its teaching, research, and service missions. A few examples of institutional and unit-level programs are provided [26].

## **SUMMARY**

The University of Louisville (UofL) continuing education, outreach, and service programs support several of the interrelated strategic themes in the university's mission. Continuing education supports the university's mission by reinforcing partnerships and collaborations external to the institution. 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 corporate, non-profit, and military organizations to provide customized learning systems, learning and development programs, corporate universities, and open enrollment, non-credit professional development programming.

[1] UofL Mission Statement  
3\_4\_2\_fn01.pdf  
<http://louisville.edu/about/>

[2] Community Partnerships Report  
3\_4\_2\_fn02.pdf  
<http://louisville.edu/communityengagement/community-engagement-partnership-1/201415PartnershipReport7215.pdf>

[3] Delphi Professional Development Homepage  
3\_4\_2\_fn03.pdf  
<http://louisville.edu/professionaldevelopment>

[4] Delphi Center Homepage  
3\_4\_2\_fn04.pdf  
<http://louisville.edu/delphi/>

[5] Delphi Professional Development for UofL Staff  
3\_4\_2\_fn05.pdf

[6] Partners' Success Stories  
3\_4\_2\_fn06.pdf  
<http://louisville.edu/professionaldevelopment/resources/success-stories>

- [7] Corporate Customized Learning Solutions  
3\_4\_2\_fn07.pdf  
<http://louisville.edu/professionaldevelopment/customized>
- [8] Professional Development Seminar Schedule  
3\_4\_2\_fn08.pdf
- [9] Management Development Certificate  
3\_4\_2\_fn09.pdf  
<http://louisville.edu/professionaldevelopment/certificates/management>
- [10] Professional Development Certificate  
3\_4\_2\_fn10.pdf  
<http://louisville.edu/professionaldevelopment/certificates/professional>
- [11] Professional Communication Certificate  
3\_4\_2\_fn11.pdf  
<http://louisville.edu/professionaldevelopment/certificates/certificates/professional-communication-certificate>
- [12] Project Management Certificate  
3\_4\_4\_fn12.pdf  
<http://louisville.edu/professionaldevelopment/certificates/projectmanagement>
- [13] Professional Development Certificate Programs  
3\_4\_2\_fn13.pdf  
<http://louisville.edu/professionaldevelopment/certificates/professional>
- [14] Management and Leadership Principles  
3\_4\_2\_fn14.pdf
- [15] Professional Development Seminars  
3\_4\_2\_fn15.pdf  
<http://louisville.edu/professionaldevelopment/seminars>
- [16] Delphi Annual Report  
3\_4\_2\_fn16.pdf
- [17] Continuing Education Offerings in Academic and Administrative Units  
3\_4\_2\_fn17.pdf
- [18] Office of VP Community Engagement  
3\_4\_2\_fn18.pdf
- [19] Carnegie Community Engagement Reaffirmation  
3\_4\_2\_fn19.pdf
- [20] Signature Partnership Initiative  
3\_4\_2\_fn20.pdf
- [21] Community Partnerships  
3\_4\_2\_fn21.pdf

[22] Academic Unit Community Outreach Programs  
3\_4\_2\_fn22.pdf

[23] Speakers Bureau  
3\_4\_2\_fn23.pdf

[24] Faculty and Staff Volunteer Program  
3\_4\_2\_fn24.pdf

[25] Community Engagement Partnership Data Collection  
3\_4\_2\_fn25.pdf

[26] Examples of UofL Service Programs  
3\_4\_2\_fn26.pdf

### 3.4.3

#### **Educational Programs: All: Admission policies**

The institution publishes admissions policies consistent with its mission.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville 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" [1]. University admissions policies and requirements for online and off-site programs are consistent with those for face-to-face programs.

UofL admits qualified students from the metropolitan Louisville area, Commonwealth of Kentucky, the United States, and international countries. In general, the university seeks prospective students who have the potential to become leaders prepared for life, work, research, and service in an ever more diverse world community. All admission requirements follow policies established by the university in conjunction with academic programs and are clear, reasonable, and consistently implemented.

UofL publishes admissions policies in various formats and venues, including the university's website [2]. The Undergraduate [3] and Graduate [4], catalogs are available online and include information on the application process, the necessary credentials and documents for application review, and the applicant's responsibilities for admission to undergraduate and graduate programs. This information is also available for the professional school academic programs, which include the School of Medicine [5], the School of Dentistry [6] the Brandeis School of Law [7].

Admission in all UofL programs is selective and is based on the individual program's minimum requirements, space, and fiscal limitations. Meeting the minimum admission requirements to the university does not guarantee a student admission to a particular program. The selection process may include such factors as grades, completed academic curriculum, standardized test scores, class rank, educational objectives, faculty interviews, letters of recommendation, portfolios, background checks, and interviews. Admissions policies allow some flexibility to admit a student who requires remedial instruction on a probationary basis when the student's past experiences indicate that he or she would be successful even though his/her credentials do not meet the minimum admission requirements. Admissions decisions are made by faculty or by a designated staff person who is under the supervision of either a faculty member or a senior administrator.

UofL does not discriminate in any admissions process on the basis of an applicant's gender, cultural origin, race, religion, ethnicity, nationality, age, disability, military service, or sexual orientation [8]. Some programs do require minimum physical, cognitive, emotional, interpersonal, and communication requirements to provide reasonable assurance that candidates can complete the entire course of study and all degree requirements; can participate fully in all aspects of education, training, and practice; and can anticipate a significant duration of practice.

UofL also offers online graduate and undergraduate programs. Admissions requirements for online programs are identical to those of traditional degree programs. The Delphi Center for Teaching and Learning is designated to oversee applicant support services for students applying to online programs and application information can be accessed from the Delphi Center's Online Learning website [9]. The Delphi Center's Office of Online Learning has a dedicated enrollment counselor to answer questions about admission requirements and other information. Delphi's Online Learning website also includes the admission requirements for all online programs. The Delphi Center works closely with the online programs to ensure that the information available there matches information published elsewhere.

### **Undergraduate Admissions**

The university publishes its undergraduate admissions standards in the online *Undergraduate Catalog* [10]. Typically, students are admitted if they complete the Kentucky pre-college curriculum [11]; have a GPA of at least 2.5; and demonstrate academic potential based on either a high standardized test score, strong performance in an enhanced pre-college curriculum, or high class rank. Up to 10 percent of entering freshman may be admitted by exception on a case-by-case basis, taking into account a variety of factors, including extracurricular activities, courses taken, performance improvement over time, and potential contribution to the university community.

Some individual colleges and schools within the university have higher admission standards than those for general admission to the university [12]. Lower grade averages may be offset by higher test scores with some programs.

Adults of at least twenty-two years of age with a high school diploma or GED may enroll for up to 8 credit hours per semester through Continuing Studies until they have earned 24 credit hours [13]. The Continuing Studies program allows access to lifelong learners and is consistent with our mission to educate "diverse communities and citizens." Students are admitted to the university as non-degree seeking students.

The university's High School Dual Credit Program [14] offers qualified, local high school students the opportunity to earn college and high school credit simultaneously before they receive their high school diploma. To participate in any dual-credit course offered by the university, students must have earned a cumulative 3.0 grade average in their high school course work and be nominated by a high-school teacher in the content area with their high school principal's approval. Students who enroll in English or Mathematics must meet specific additional requirements, including UofL threshold ACT/SAT scores for admission and completion of appropriate high school preliminary courses. UofL reserves the right to change or add student eligibility requirements based on the rigors of the course being offered.

### **Graduate Admissions**

The School of Interdisciplinary and Graduate Studies (SIGS) [15] provides administrative support to university graduate programs, including the processing of admissions documents for all graduate educational programs; however, academic authority for graduate degrees (including admissions decisions and granting of degrees) falls under the authority of the individual units housing the degree.

To ensure high-quality graduate educational programs, the university and SIGS maintain minimum guidelines for admission and performance of graduate students, for faculty involvement in graduate education, and for proper academic administration. The legislative functions of SIGS are vested in the Graduate Council [16], which as a body is responsible for establishing policies relating to graduate education (including admissions policies) and for maintaining a standard of excellence for graduate work within the university. The Graduate Council has the academic authority and responsibility to establish rigorous and effective admissions requirements, curricula, instruction, and examinations for the university's graduate programs.

The university publishes graduate admissions standards in the online *Graduate Catalog* [17]. Any student holding a bachelor's degree from an accredited institution is eligible to apply for admission to individual graduate programs. The formal application, application fee, at least two letters of recommendation, and official transcripts of all college work are submitted to SIGS. To gain unconditional acceptance, applicants should have a minimum of a 3.0 on a 4.0 scale and a minimum standardized test score in the 60th percentile on any program-required subject tests of the Graduate Record Exam (GRE). Official scores on the GRE General Test are also required by most programs. All applicants for whom English is a second language must also submit official Test of English as a Second Language (TOEFL) scores of at least 79 or International English Language Testing System (IELTS) scores of at least a 6.0. In some cases applicants are required to have completed an undergraduate major or the equivalent in the field in which they plan to study. Applicants who have an undergraduate major in a different discipline may be admitted with the stipulation that they complete foundation course work during their enrollment for a graduate degree. Unconditional admission to degree-seeking status is made only if all admission credentials have been received, evaluated, and approved.

A list of minimum graduate admissions requirements by school or college is provided [18]. Meeting minimum SIGS requirements does not guarantee admission to a particular program. Departments may set additional or more selective requirements, which would be described in the *Graduate Catalog* and on the individual program's website.

Provisional, special conditions, and non-degree acceptances are made on an individual basis and require a statement of the rationale for the exception. In cases where students do not meet minimum admissions standards, plans for monitoring progress and performance and required criteria for removal of provisional status will be documented. Such justification must be provided in writing and must be accepted by the dean of SIGS. This process allows for consideration of special circumstances where the student's potential for high-quality graduate performance has been clearly demonstrated by other means.

### **Transfer Admissions**

Students transferring from another institution must provide official transcripts of all work completed or in progress. Students with fewer than 24 transferable semester hours are required to take the ACT or SAT if they have not done so previously, to submit a high school transcript, and to meet admissions requirements for both new freshmen and transfer students [19].

### **International Applicant Requirements**

International applicants [20] who have attended institutions outside the United States may be required to submit their academic records to World Educational Services or Educational Credential Evaluators for a general evaluation. All academic credentials not in English must



be accompanied with a notarized verbatim English translation in addition to official transcripts. A course-by-course evaluation is required. Speed School applicants with less than 24 college credit hours are also required to have their high school record evaluated for a "general report." All applicants for whom English is a second language need to show evidence of sufficient proficiency in the English language. Applicants may demonstrate English proficiency by submitting Test of English as Second Language (TOEFL) scores or results of the International English Language Test System (IELTS) exam. Students may also demonstrate English proficiency by completing the advanced level of UofL's Intensive English as a Second Language (IESL) Program.

### **Law School Admissions**

Admission to the Louis D. Brandeis School of Law is determined by a faculty committee appointed by the dean of the School of Law [21]. The admissions committee reviews each applicant's LSAT scores, transcripts, two letters of recommendation, résumé, and a personal statement. In measuring academic potential for admission to the School of Law, the admissions committee relies primarily on the applicant's performance on the Law School Admission Test (LSAT) and the applicant's grades in undergraduate and graduate programs. The committee will also consider the rigor of the applicant's prior academic studies, the applicant's personal statement, letters of recommendation (particularly those highlighting academic achievement), community service, prior employment, and other activities showing initiative, responsibility, and willingness to accept challenges.

Candidates must have completed a bachelor's degree at an accredited college or university prior to enrollment. All undergraduate majors are acceptable, with courses emphasizing critical reasoning, writing, and communication skills recognized as good preparation for the study of law.

### **Medical School Admissions**

Admission to the School of Medicine at the University of Louisville requires evaluation of a student's standardized test scores by the Student Admissions Committee, satisfactory performance at the undergraduate level, letters of reference, an interview, and adherence to the school's required technical standards [22]. Premedical students are expected to develop a solid background in the humanities, philosophy, and the arts. Because prospective medical students with broad educational backgrounds profit most from the medical curriculum, preference is given to applicants with a bachelor's degree, but candidates with advanced degrees will be considered.

Courses in paramedical schools (such as pharmacy, nursing, optometry, etc.) do not fulfill the premedical science requirements; each applicant must complete the pre-med course requirements, obtaining college credits in the fields of biology, chemistry, physics, mathematics, and English.

All applicants must take the Medical College Admission Test (MCAT), preferably in the spring of the applicant's junior year but no later than the fall of the year prior to the one in which the applicant intends to enter medical school. A recommendation from the Premedical Committee or three faculty members at the undergraduate institution is required as well.

### **Dental School Admissions**

Applicants to the University of Louisville School of Dentistry must have completed a minimum of 90 semester hours of college course work from an accredited U.S. or Canadian

school, including 32 hours of science courses to include: 2 semesters/3 quarters of General Chemistry; 2 semesters/3 quarters of Organic Chemistry; 1 semester/2 quarters of Physics; and 4 semesters/6 quarters at minimum of Biology [23]. Applicants who have earned a baccalaureate degree prior to enrollment are given preference for admission.

All applicants are required to take the Dental Admissions Test (DAT). Qualified applicants are invited for an interview, at which time they interact with current dental students and interview with three members of the admissions committee. In addition to the applicant's GPA and DAT scores, particular attention is given to whether the candidate demonstrates the characteristics deemed to be consistent with the philosophy of the school with regard to professionalism, ability, and service mission.

## **SUMMARY**

The University of Louisville 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." Admissions policies and requirements for online and off-site programs are consistent with those for face-to-face programs. UofL publishes its admissions policies in various formats and venues, including the university's website, the Undergraduate and Graduate catalogs, and in professional schools' student handbooks or bulletins, all of which are available online. All admission requirements follow policies established by the university in conjunction with academic programs and are clear, reasonable, and consistently implemented.

[1] UofL Mission Statement

3\_4\_3\_fn01.pdf

<http://louisville.edu/about/>

[2] UofL Admissions Policies on the University's Website

3\_4\_3\_fn02.pdf

<http://louisville.edu/>

[3] *UofL Undergraduate Catalog Admissions Policies*

3\_4\_3\_fn03.pdf

[http://louisville.edu/undergraduatecatalog/versions/15\\_16\\_catalog.pdf](http://louisville.edu/undergraduatecatalog/versions/15_16_catalog.pdf)

[4] *UofL Graduate Catalog Admissions Policies*

3\_4\_3\_fn04.pdf

<http://louisville.edu/graduate/>

[5] School of Medicine Admissions Information

3\_4\_3\_fn05.pdf

<http://louisville.edu/medicine/admissions/policies>

[6] School of Dentistry Admissions Information

3\_4\_3\_fn06.pdf

<http://louisville.edu/dentistry/degrees/dmd>

[7] Brandeis School of Law Admissions Information

3\_4\_3\_fn07.pdf

<http://louisville.edu/law/admissions>

- [8] UofL Diversity Statement  
3\_4\_3\_fn08.pdf  
<http://louisville.edu/president/diversity-equity>
- [9] Delphi Center for Teaching and Online Learning Programs  
3\_4\_3\_fn09.pdf  
<http://louisville.edu/online/programs>
- [10] *Undergraduate Catalog*, Undergraduate Admissions Policies (pages 55-60)  
3\_4\_3\_fn10.pdf  
[http://louisville.edu/undergraduatecatalog/versions/15\\_16\\_catalog.pdf](http://louisville.edu/undergraduatecatalog/versions/15_16_catalog.pdf)
- [11] Kentucky Pre-College Curriculum  
3\_4\_3\_fn11.pdf  
<http://louisville.edu/admissions/apply/requirements/fr>
- [12] First-Time Freshmen in Good Standing Admissions by Unit  
3\_4\_3\_fn12.pdf
- [13] Continuing Studies Program  
3\_4\_3\_fn13.pdf  
<http://louisville.edu/admissions/apply/cs>
- [14] High School Dual Credit Program  
3\_4\_3\_fn14.pdf  
<http://louisville.edu/admissions/apply/requirements/dual-credit-program>
- [15] School of Interdisciplinary and Graduate Studies (SIGS)  
3\_4\_3\_fn15.pdf  
<http://louisville.edu/graduate/>
- [16] Graduate Council, Sections 2.2, 2.2.1  
3\_4\_3\_fn16.pdf  
<http://louisville.edu/graduate/office-of-the-dean/sigs-bylaws>
- [17] Graduate Catalog  
3\_4\_3\_fn17.pdf  
<http://louisville.edu/graduatecatalog/application-and-admission>
- [18] Minimum Graduate Admissions Requirements by School or College  
3\_4\_3\_fn18.pdf
- [19] Transfer Admission Policies  
3\_4\_3fn19.pdf
- [20] International Applicants  
3\_4\_3\_fn17.pdf  
<http://louisville.edu/graduate/futurestudents/international-applicants>
- [21] Brandeis School of Law Admissions Information  
3\_4\_3\_fn21.pdf  
<http://louisville.edu/law/admissions>

[22] School of Medicine Admissions Information  
3\_4\_3\_fn22.pdf  
<http://louisville.edu/medicine/admissions>

[23] School of Dentistry Admissions Information  
3\_4\_3\_fn23.pdf  
<http://louisville.edu/dentistry/degrees/dmd>

### 3.4.4

#### **Educational Programs: All: Acceptance of academic credit**

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.") (**Note:** Although not listed as a reference in the Principles of Accreditation, see also the Commission policy "The Quality and Integrity of Undergraduate Degrees.")

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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. Awarding of transfer credit is consistent with UofL's mission, which states that as a metropolitan research university UofL is committed to pursuing excellence and inclusiveness in educating and serving the community [1].

Policies related to the acceptance of transfer credit are developed or revised as needed in conjunction with unit faculty and the Provost Office, with the Provost Office taking the lead in researching the need for the new policy or a revision to an existing policy. Proposed policies or revisions are shared with academic units by way of unit associate deans, who provide input from their faculty, and the Council of Chief Academic Officers and Faculty Senate (if applicable) for review and feedback before approval by the provost.

#### **Transfer Credit**

**Undergraduate.** UofL is guided in the acceptance of transfer credit by the General Education Transfer Policy [2] developed by the Kentucky Council on Postsecondary Education (CPE) in 1996 and revised in 2004 to facilitate the transfer of credits between public colleges and universities in Kentucky. The policy was further revised in 2010 with passage of House Bill 160 [3], which coordinates the transfer of general education courses across the state of Kentucky for all public two-year and four-year institutions. The transfer of "block" general education courses is mandated so that students may transfer within the state of Kentucky with limited obstructions to degree completion. The *Undergraduate Catalog* [4] describes the specific requirements and credits awarded for transferring course credits. The Office of Admissions also provides the university's undergraduate transfer credit policy on its website [5].

The Office of Admissions has been granted the authority by the university Provost to make decisions on transferability of courses that fall at or below the 200-level. These determinations of course equivalency are vetted for desired college-level student learning outcomes outlined for each general education category [6]. Courses at the 300-level are

reviewed by the individual academic program for consistency with the learning outcomes of the UofL courses for which they are being applied.

The state of Kentucky mandates that public institutions use the Transfer Evaluation System (TES) © [7], a proprietary product through CollegeSource. The UofL Office of Admissions uses TES to route course equivalency decisions to faculty liaisons within academic units and back to Admissions. Faculty liaisons review course descriptions and determine the transferability of coursework. For courses that require a higher level of course specificity the student is required to submit a course syllabus, which is used by the faculty liaison to confirm that the learning outcomes are comparable to those for the UofL course for which the credit is being applied [8]. TES also provides a public website [9] where students can view a listing of all transfer equivalencies that have been established for colleges and universities across the country.

UofL, along with the other four-year public institutions in Kentucky, have partnered with CPE and the Kentucky Community and Technical College System (KCTCS) to create Degree Pathways (academic program plans) [10]. Students can use Degree Pathways to begin their degrees at a KCTCS institution and then transfer to a four-year institution at junior status and begin upper-level coursework, with the goal of graduating in four years.

UofL recognizes appropriate course work completed at other regionally accredited universities and colleges and accepts that work according to the principles and practices set forth in the American Association of Collegiate Registrars and Admissions Officers (ACCRAO) *Transfer Credit Practices* [11] and state law. Age and concordance of content to current requirements may be factors in determining course transfer and acceptance toward a specific degree. The university also has a methodology for converting transferred quarter hours to semester hours [12].

**Graduate.** General policies for accepting transfer students and credit for course transfer at the graduate level are defined in the *Graduate Catalog* [13]. These policies apply to degrees awarded by the university at all graduate degree levels. Six earned graduate credit hours may be transferred from an accredited graduate school. Up to six additional transfer hours may be petitioned, provided that these additional hours are not credits earned by extension, thesis, or practicum and provided that the residency requirement of 24 semester hours is maintained by the addition of UofL credits to the total program. The director of the graduate program in which the student is seeking additional graduate work evaluates the course work being considered for transfer to ensure it is comparable to the UofL course work.

Six hours may be transferred from a previously earned master's degree toward a doctoral degree or a second master's degree, subject to the approval of the degree program and the unit dean. Hours earned toward a culminating experience such as a thesis, practicum, or internship are not transferable to the second master's degree. As well, only courses in which the student earned grades of "B" or better are considered for transfer. Hours and quality points earned at other institutions are not included in the calculation of a student's UofL grade point average.

Courses in which grades of "P" were earned must have the approval of the unit dean in order to be transferred. Transfers of credit from constituent UofL schools and colleges are not subject to the above limitations on transfers but require the recommendation of the department chair and the approval of the unit dean.

Course work taken more than three years prior to the student's application to a graduate program will not normally be considered for transfer; however, such requests will be reviewed by the Vice Provost for Graduate Affairs upon recommendation by the department chair and the unit dean.

Specific requirements for accepting transfer students and credit for course transfer are defined in the *Graduate Catalog* under the respective programs within each college. For example, in the College of Business [14] transfer students may be accepted for admittance on a case-by-case basis and are subject to approval by the Associate Dean for Masters Programs (ADMP). Graduate students in the College of Business may be allowed to transfer up to nine credit hours of graduate academic credit from another AACSB-accredited institution that offers advanced degrees. Transfer credit will only be applied toward elective course modules. Only courses in which the student earned a grade of "B" or better are considered for transfer. A transfer of credits is possible only after the student has earned six hours from the UofL College of Business.

The Speed School of Engineering permits up to six semester credit hours of comparable and acceptable graduate course work to be transferred into the graduate or professional master's degree program. Transfer credit can only be applied toward elective course modules. Only courses in which the student earned a grade of "C" or better are considered for transfer. This practice ensures that at least 80 percent of graduate course work applied toward a master's degree will be undertaken under the supervision of UofL faculty.

### **Professional Schools' Transfer Policies**

The School of Medicine [15] considers transfer from LCME-accredited American medical schools only. Transfers from foreign medical schools are not considered. Transfers and transfer credit are considered on a case-by-case basis and normally are granted in cases of severe hardship. Kentucky residents are given preference.

The School of Dentistry [16] considers transfer students on a case-by-case basis. Under exceptional circumstances, highly qualified students who are currently enrolled in an ADA-accredited dental school may be considered for transfer. The candidate must be in good standing, rank in the upper 30 percent of their class, and have a minimum GPA of 3.0. Consideration is based on the quality of the candidate, resources, and space availability. Transfer of course credit is determined by the appropriate faculty, usually the associate dean for pre-doctoral education and the discipline coordinators. Lapse of time since a course was taken and concordance of content to current requirements may be factors in determining course transfer and acceptance.

The Brandeis School of Law [17] allows students who have attended another ABA-accredited law school and performed well to apply for transfer admission to the UofL Law School. Transfer students must have completed the first year of study, demonstrated high scholastic achievement, and meet the entrance requirements of the Law School. Ordinarily they must be in the upper one-fourth of the class at their previous law school in order to be admitted. A student who has been dismissed from another law school for academic failure or for misconduct is not eligible for transfer. Credit is usually awarded for credits earned through other ABA-accredited law school courses up to 30 credit hours, although transfer applicants may request up to 45 transfer credit hours. Transfer credits are awarded only for courses in which the student has a "C" grade or better.

## Experiential Learning

- **BS in Organizational Leadership and Learning** [18]. The Organizational Leadership and Learning (OLL) Bachelor of Science program in the Leadership, Foundation, and Human Resource Education (ELFH) department in the College of Education and Human Development awards academic credit for Experiential Learning. The program ensures that experiential learning for which credit is awarded is equivalent to a designated credit experience by following the American Council on Education (ACE) Evaluation of Educational Experiences guidelines. ACE publishes guides for both military and civilian jobs. The use of ACE recommendations is fairly universal by most of the larger institutions in the U.S. [19].

Prior learning assessment (PLA) [20] is used to give credit for life learning in a specialty area that has not previously been awarded credit. Students can earn up to 48 semester hours of credit from college-level and credit-worthy experiential learning that happened outside the confines of university classrooms. Most often this university prior learning credit is given for learning from on-the-job training and development, continuing educational units, military training courses, and CLEP tests. Credit is not awarded for work experience per se but for the learning that occurred as the result of work or life experiences that are comparable to college-level courses.

- **BS in Organizational Leadership and Learning, Healthcare Leadership—Competency-based Education** [21]. In fall 2016, UofL will offer its first competency-based education degree in the Bachelor of Science in Organizational Leadership and Learning, Healthcare Leadership. This competency-based education design is structured under a self-paced, course/credit based format. Because many of the courses were already available in three-credit course formats, the faculty rearranged many of the existing three credit courses into three separate single-credit courses. The driving demarcation was the competency or sub-competency as a guide to design the structured learning modules.

Dividing the learning experiences by sub-competencies and observable performance of elements within the sub-competencies (which may be arranged into a whole competency), faculty structured the courses considering the average length of time undergraduate students typically take to complete these learning units. Based on those times, a credit hour equivalency is based on 15 hours of class time via modules and faculty discussions. In addition, a credit hour course has an estimated 37.5-45 hours of outside of the classroom experience to process, reflect, and complete assignments. That is, for every hour of class, the program faculty estimated 2.5 to 3 hours of out of class course work. Based on the steps described above, the assignment of credit hours follows the existing notions of a credit hour at UofL [22].

Like the campus-based program, both the “traditional” online format and competency-based format of the BS in Organizational Leadership and Learning degree require a prior learning assessment (PLA) that is used to give credit for life learning in a specialty area that has not previously been awarded credit. Students can earn up to 48 semester hours of credit from college-level and credit-worthy experiential learning that happened outside the confines of university classrooms. Most often this university prior learning credit is awarded for learning from on-the-job training and development, continuing educational units, military training courses,



and CLEP tests. Credit is not awarded for work experience per se but for the learning that occurred as the result of work or life experiences that would be comparable to college-level courses.

- **RN to BS in Nursing** [23]. The Registered Nurse to Bachelor of Science in Nursing (RN-BSN) online program offered by the School of Nursing provides registered nurses who have an associate degree in nursing (ADN) or a nursing diploma the opportunity to earn their Bachelor of Science in Nursing in a timely manner via online instruction. The program's unique curriculum is designed to help working nurses pursue a bachelor's degree. RN-BSN students can transfer credits from other regionally accredited institutions and complete the required nursing courses at UofL. While all coursework can be completed online, students must fulfill the clinical requirement through a practicum project in community health, which they can conduct in their hometown.

Students admitted to the RN-BSN program must demonstrate that they have successfully completed and graduated from a pre-licensure nursing program granting either a diploma or associate degree, that they have passed the NCLEX-RN exam, and that they are licensed to practice as a registered nurse. The NCLEX-RN is the Licensure Examination for Registered Nurses. The student's ability to pass the NCLEX-RN ensures the student's basic competency as a minimally safe and competent generalist RN.

Upon enrollment in the RN-BSN program students are entered into the Portfolio project. The project requires students to complete a professional portfolio that includes developing a résumé that reflects their experience as a Registered Nurse and establishing professional goals, among other tasks. Through the portfolio the student can earn 30 credit hours that recognize the following: the student's successful completion of the NCLEX-RN [24], the student's recognition as a Registered Nurse, and the student's successful completion of a professional portfolio that can be used for job interviews and/or application to graduate school [25].

- **Criminal Justice** [26]. Through a Memorandum of Understanding between UofL's Department of Criminal Justice and the Louisville Metropolitan Police Department (LMPD), UofL awards 15 hours of university credit to police officer recruits and police officers who successfully complete the Metro Police basic law enforcement training [27]. Credit is awarded upon provision of documented evidence of successful completion of basic training from the Louisville Metropolitan Police Department. To determine the amount of equivalent credit, UofL faculty compared the Metro Police basic training curriculum to the program's curriculum to ensure that the training was equivalent to the UofL courses listed below. UofL will award six credit hours for CJ 450 to lateral transfers who successfully complete the training requirements for lateral transfers, as documented by LMPD. Since this agreement is only available to LMPD officers, it is their responsibility to inform their officers of the opportunity.

CJ 201 Law Enforcement in the United States (3)  
CJ 306 Criminal Procedure (3)  
CJ 395 Criminal Law and Evidence (3)  
CJ 355 Criminalistics (3)  
CJ 450 Internship (3)

## **Consortial Agreements**

The University is a member of two non-profit consortiums that provide student abroad programs: KIIS - Kentucky Institute for International Studies [28] and CCSA - Cooperative Center for Study Abroad [29]. Students studying abroad within either of these two consortiums are enrolled in UofL courses and are not transferring credit hours back to the university. UofL participates in several student exchanges [30] and allows students to participate in other opportunities with approval following UofL's Study Abroad and Faculty-led Programs Tuition Policy [31]. Students who wish to study abroad with a program that is not affiliated with UofL must follow the direct enrollment process [32] and receive approval from the academic unit in which he or she is majoring in order to transfer credits back to the university. Information about Study Abroad is provided on the university's website.

## **Credit by Exam**

The university accepts credit from Advanced Placement (AP) examinations [33], the College Level Examination Program (CLEP) [34], the International Baccalaureate (IB) program [35], and DSST exams [36]. Upon receipt of scores, the Office of Admissions enters the appropriate number of credit hours into the student's record.

The university offers students several credit by exam options within the academic units. Students may take the Foreign Language Placement [37], CIS 100 Test Out (for Introduction to Microcomputer Applications) [38], and Oral Communication Competency [39] exams in order to receive credit for prior learning. Students may also submit an English Portfolio [40] to be evaluated for credit for English 101 and/or 102 (College Writing courses).

## **Post-Professional Certificates**

The university offers five post-professional certificates for which we award academic credit and reflect earned credentials on official university transcripts. These programs are housed in the School of Dentistry and include Endodontics [41], Orthodontics [42], Pediatric Dentistry [43], Periodontics [44], and Prosthodontics [45]. All aforementioned policies and procedures also apply to courses completed through these certificate programs.

## **SUMMARY**

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 that applies to on-campus and off-campus programs as well as on-line education.

[1] U of L Mission Statement  
3\_4\_4\_fn01.pdf  
<http://louisville.edu/about/>

[2] General Education Statewide Transfer Policy (1996)  
3\_4\_4\_fn02.pdf

[3] KY House Bill 160 (2010)  
3\_4\_4\_fn03.pdf

[4] *Undergraduate Catalog*, Transfer Policy  
3\_4\_4\_fn04.pdf

[5] UofL Transfer Credit Policy on the Office of Admissions Website  
3\_4\_4\_fn05.pdf  
<http://louisville.edu/admissions/apply/transfer/services/course-credit>

[6] General Education Learning Outcomes  
3\_4\_4\_fn06.pdf  
<http://louisville.edu/provost/ger/ger-preface>

[7] CollegeSource Transfer Evaluation System (TES)  
3\_4\_4\_fn07.pdf  
<http://louisville.edu/admissions/apply/transfer/services/course-credit/transfer-evaluation-system-tes>

[8] Equivalency Decision Flow Chart  
3\_4\_4\_fn08.pdf

[9] TES Public View for UofL Transfer  
3\_4\_4\_fn09.pdf  
[http://tes.collegesource.com/view/tes\\_view01.asp?rid=%7BDFBEB9E1%2DE048%2D49CA%2DB901%2DD8BA6666EB39%7D&aid=%7B39380D65%2D2CA9%2D4BD4%2D8A40%2D421D48832187%7D](http://tes.collegesource.com/view/tes_view01.asp?rid=%7BDFBEB9E1%2DE048%2D49CA%2DB901%2DD8BA6666EB39%7D&aid=%7B39380D65%2D2CA9%2D4BD4%2D8A40%2D421D48832187%7D)

[10] Kentucky Degree Pathways  
3\_4\_4\_fn10.pdf  
<http://knowhow2transfer.org/degreepathway.asp>

[11] AACRAO's *Transfer Credit Practices*  
3\_4\_4\_fn11.pdf

[12] Quarter to Semester Hour Conversion  
3\_4\_4\_fn12.pdf  
<http://louisville.edu/admissions/apply/transfer/services/course-credit>

[13] *Graduate Catalog*, Transfer Policy  
3\_4\_4\_fn13.pdf  
<http://louisville.edu/graduatecatalog/academic-policies-procedures-and-requirements>

[14] College of Business Graduate Transfer Policy  
3\_4\_4\_fn14.pdf  
<http://business.louisville.edu/graduate-visit/>

[15] School of Medicine Transfer Policy  
3\_4\_4\_fn15.pdf  
<http://louisville.edu/medicine/admissions/policies/transfers>

[16] School of Dentistry Transfer Policy  
3\_4\_4\_fn16.pdf  
<http://louisville.edu/dentistry/degrees/dmd/transfer-admissions>

- [17] Brandeis School of Law Transfer Policy  
3\_4\_4\_fn17.pdf  
<http://www.law.louisville.edu/students/transfer-credit-acceptance-policy>
- [18] Organizational Leadership and Learning  
3\_4\_4\_fn18.pdf  
<http://louisville.edu/education/departments/elfh/oll>
- [19] Guidelines for Prior Learning  
3\_4\_4\_fn19.pdf
- [20] Prior Learning Assessment  
3\_4\_4\_fn20.pdf
- [21] BS in Organizational Leadership and Learning, Healthcare Leadership—Competency-based Education  
3\_4\_4\_fn21.pdf  
<http://louisville.edu/online/programs/index/competency-based-degree-programs/healthcare-leadership-cbe>
- [22] UofL Credit Hour Policy  
3\_4\_4\_fn22.pdf
- [23] RN to BSN Program  
3\_4\_4\_fn23.pdf  
<http://louisville.edu/online/programs/index/bachelors/rn-to-bachelor-of-science-in-nursing>
- [24] NCLEX-RN Test Plan  
3\_4\_4\_fn24.pdf
- [25] RN to BSN Portfolio  
3\_4\_4\_fn25.pdf
- [26] BS in Criminal Justice  
3\_4\_4\_fn26.pdf  
<http://louisville.edu/justice/undergraduate-degree-programs/bachelor-of-science-in-criminal-justice>
- [27] LMPD Memorandum of Agreement  
3\_4\_4\_fn27.pdf
- [28] KIIS - Kentucky Institute for International Studies  
3\_4\_4\_fn28.pdf  
<http://www.kiis.org/go/AboutKIIS.php>
- [29] CCSA - Cooperative Center for Study Abroad  
3\_4\_4\_fn29.pdf  
<http://ccsa.cc/>
- [30] Full List of Pre-Approved Student Exchange Providers for UofL Students  
3\_4\_4\_fn30.pdf  
<http://louisville.edu/studyabroad/futurestudents/program-providers>

[31] UofL's Study Abroad and Faculty-led Programs Tuition Policy  
3\_4\_4\_fn31.pdf

[32] Study Abroad Direct Enrollment  
3\_4\_4\_fn32.pdf  
<http://louisville.edu/studyabroad/policies/direct-enrollment>

[33] Advanced Placement  
3\_4\_4\_fn33.pdf  
<http://louisville.edu/admissions/apply/transfer/services/credit-by-exam/advanced-placement-ap>

[34] CLEP  
4\_4\_fn34.pdf  
<http://louisville.edu/admissions/apply/transfer/services/credit-by-exam/college-level-exam-program-clep>

[35] International Baccalaureate (IB)  
3\_4\_4\_fn35.pdf  
<http://louisville.edu/admissions/apply/transfer/services/credit-by-exam/international-baccalaureate-ib>

[36] DSST Exams  
3\_4\_4\_fn36.pdf  
<http://louisville.edu/admissions/apply/test-credit/DSSTExamCredit.pdf>

[37] Foreign Language Placement  
3\_4\_4\_fn37.pdf  
<http://louisville.edu/modernlanguages/placement-exam>

[38] CIS 100  
3\_4\_4\_fn38.pdf  
<http://louisville.edu/testing/cis100-test-out>

[39] Oral Communication Competency  
3\_4\_4\_fn39.pdf  
<http://comm.louisville.edu/department/testout.php>

[40] English Portfolio  
3\_4\_4\_fn40.pdf  
<http://louisville.edu/english/composition/portfolio-exemption-procedures.html>

[41] Endodontics Certificate  
3\_4\_4\_fn41.pdf  
<http://louisville.edu/dentistry/residency/endodontics>

[42] Orthodontic Certificate  
3\_4\_4\_fn42.pdf  
<http://louisville.edu/dentistry/residency/orthodontics/orthodontic-residency>

[43] Pediatric Dentistry Certificate  
3\_4\_4\_fn43.pdf  
<http://louisville.edu/dentistry/residency/pediatric>

[44] Periodontics Certificate  
3\_4\_4\_fn44.pdf  
<http://louisville.edu/dentistry/residency/periodontics>

[45] Prosthodontics Certificate  
3\_4\_4\_fn45.pdf  
<http://louisville.edu/dentistry/residency/prosthodontics>

### 3.4.5

#### Educational Programs: All: Academic policies

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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. *The Redbook*, Chapter 3 addresses the organization and governance of academic programs [1] and specifies that "except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own . . . admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit" [2]. Revision of *The Redbook* related to academic programs is the responsibility of the Board of Trustees based upon the recommendation of the president after formal consultation with and recommendations from the Faculty Senate [3].

The Faculty Senate [4] retains jurisdiction over all matters involving the educational policies of the university except where that jurisdiction is reserved for faculty of the academic units. Academic units establish unit bylaws that meet the requirements of the Faculty Senate. Once approved by the Faculty Senate, the bylaws are published on each unit's webpage [5a] [5b] [5c] [5d] [5e] [5f] [5g] [5h] [5i] [5j] [5k] [5l] [5m]. The university provost signs off on unit bylaws before they are posted on the Faculty Affairs webpage.

The Vice Provost for Undergraduate Affairs (VPUA) [6] is responsible for academic policies related to undergraduate programs. The VPUA works with the Undergraduate Council [7], unit deans, and the academic unit faculties to develop or revise academic policies. Examples of communication related to the development of academic policies are provided [8a] [8b] [8c] [8d] [8e] [8f] [8g]. The VPUA is responsible for ensuring that the *Undergraduate Catalog* publishes current academic policies.

The implementation and ongoing development of the university's general education program and policies are overseen by the university-wide General Education Curriculum Committee [9]. The Committee reports to the Undergraduate Council, which then forwards recommendations to the Provost.

The Vice Provost for Graduate Affairs (VPGA) is also the dean of the School of Interdisciplinary and Graduate Studies and is responsible for coordinating academic policies related to graduate programs [10]. To ensure high-quality graduate and professional

programs, SIGS oversees minimum admissions guidelines for all graduate programs. Individual academic units may establish policies that are more stringent than the SIGS minimum requirements, but they cannot establish standards that are lower. The Graduate Council oversees academic policies and procedures for interdisciplinary graduate programs.

Unit specific requirements for academic programs are developed by program faculty within the academic unit and are based upon acceptable practices for higher education and current discipline-specific research, as well as professional standards where they exist for the discipline.

### **Program Approval**

The university follows the Kentucky Council on Postsecondary Education (CPE) policy and procedures for developing new programs. The CPE approval process is designed "to promote program quality and to assure any program expansion serves to support the objectives of the university's strategic plan and the academic mission of the sponsoring unit" [11]. All new programs are processed through the university's new program approval process [12] and 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 [13]. CPE grants final approval for all new academic programs in Kentucky. University procedures for developing new programs can be found on the Provost Office website [14]. An example of a new program proposal is provided [15a] [15b] [15c]. After a new program is approved, faculty communicate and coordinate revisions to the program curriculum through the unit's and university's curriculum processes [16]. Programs also undergo program review every ten years [17] following CPE program review procedures [18] and complete an internal progress report every five years [19].

### **Publication of Academic Policies**

The university publishes and disseminates undergraduate and graduate catalogs that contain policies and procedures for each academic unit within the university. The online *Undergraduate Catalog* [20] contains specific academic policies, procedures, and standards (such as admission standards, grade point average requirements, and the process for advising) for each academic unit. Unit policies must be in alignment with university policies. The catalog is updated annually with input from the academic units. The current version and at least five prior years are available online [21].

Policies relevant to graduate students are published in the online *Graduate Catalog* [22]. SIGS maintains the catalog and requests changes and updates annually from graduate program directors and departments. Catalogs from previous years are archived and made available on the SIGS website [23].

Academic policies for the professional schools are published by each school: *School of Medicine Bulletin* [24]; *School of Law Student Handbook* [25]; *School of Dentistry Bulletin* [26]. The dean of each professional school maintains responsibility for annual updates of the catalogs and policies.

Academic and classroom policies are also available in the online *Faculty Handbook* [27]. This handbook disseminates policies for undergraduate and graduate education, general education, and classroom policies and provides links to campus-wide resources on matters of academic policy.



Information regarding registration [28] and final exam schedules [29] is available online. The university makes yearly Academic Calendars for undergraduate, graduate, and professional programs available online [30].

Policies for undergraduate students are also published in the online *Undergraduate Student Handbook* [31]. Prior to the beginning of each academic year, the Office of the Dean of Students requests updates from departments responsible for information in the *Student Handbook*. Information about the *Undergraduate Student Handbook* is shared with students each semester in the online Student Weekly News [32]. A link to the online *Student Handbook* is found in the *Undergraduate Catalog*.

The School of Interdisciplinary and Graduate Studies publishes an online *Graduate Student Handbook* [33] that was developed in conjunction with the deans and associate deans of the academic units. Graduate students are informed about the *Handbook* at orientation each fall. The *Handbook* is updated annually prior to orientation by the admissions staff.

Off-site and online students at UofL are governed by the same academic policies, regulations, and rules as on-campus students.

## SUMMARY

The University of Louisville (UofL) publishes academic policies that adhere to principles consistent with good educational practices and with the university's mission. Policies are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution. The Vice Provost for Undergraduate Affairs is responsible for academic policies related to undergraduate programs. The Vice Provost for Graduate Affairs is responsible for coordinating academic policies related to graduate programs. Unit specific requirements for academic programs are developed by program faculty within the academic unit and are based upon acceptable practices for higher education and current discipline-specific research, as well as professional standards where they exist for the discipline.

[1] *The Redbook*, Chapter 3: Organization and Governance of the Academic Programs  
3\_4\_5\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html>

[2] *The Redbook*, Section 3.3.2 Jurisdiction and Purposes  
3\_4\_5\_fn02.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[3] *Redbook* and Addenda Changes Approved by the Board of Trustees  
3\_4\_5\_fn03.pdf

[4] Faculty Senate  
3\_4\_5\_fn04.pdf  
<http://louisville.edu/facultysenate/>

[5] Unit Bylaws  
<http://louisville.edu/provost/faculty-personnel/unit>

[5a] Arts and Sciences Bylaws  
3\_4\_5\_fn05a.pdf

[5b] Business Bylaws  
3\_4\_5\_fn05b.pdf

[5c] Dentistry Bylaws  
3\_4\_5\_fn05c.pdf

[5d] Education and Human Development Bylaws  
3\_4\_5\_fn05d.pdf

[5e] School of Interdisciplinary and Graduate Studies Bylaws  
3\_4\_5\_fn05e.pdf

[5f] Kent School of Social Work Bylaws  
3\_4\_5\_fn05f.pdf

[5g] Brandeis School of Law Bylaws  
3\_4\_5\_fn05g.pdf

[5h] Medicine Bylaws  
3\_4\_5\_fn05h.pdf

[5i] Music Bylaws  
3\_4\_5\_fn05i.pdf

[5j] Nursing Bylaws  
3\_4\_5\_fn05j.pdf

[5k] Public Health & Information Sciences Bylaws  
3\_4\_5\_fn05k.pdf

[5l] Speed School of Engineering Bylaws  
3\_4\_5\_fn05l.pdf

[5m] University Libraries Bylaws  
3\_4\_5\_fn05m.pdf

[6] Vice Provost for Undergraduate Affairs  
3\_4\_5\_fn06.pdf

[7] Undergraduate Council  
3\_4\_5\_fn07.pdf  
[http://louisville.edu/provost/what-we-do/UGC\\_Charge.pdf](http://louisville.edu/provost/what-we-do/UGC_Charge.pdf)

[8] Policy Change Process Examples

[8a] Undergraduate Council Minutes 10-2-15  
3\_4\_5\_fn08a.pdf

[8b] Undergraduate Council Minutes 11-6-15  
3\_4\_5\_fn08b.pdf

[8c] Undergraduate Council Minutes 12-4-15  
3\_4\_5\_fn08c.pdf

[8d] Policy Recommendations from Undergraduate Council to Unit Deans 1-22-16  
3\_4\_5\_fn08d.pdf

[8e] Memo to Provost Regarding Proposed Policy Changes 1-4-16  
3\_4\_5\_fn08e.pdf

[8f] Provost Response to Proposed Changes 1-8-16  
3\_4\_5\_fn08f.pdf

[8g] Undergraduate Council Minutes Status Report on Proposed Policies 2-5-16  
3\_4\_5\_fn08g.pdf

[9] General Education Program and Policies  
3\_4\_5\_fn09.pdf

[10] Graduate Student Policies  
3\_4\_5\_fn10.pdf  
<http://louisville.edu/graduate/current-students/policies-procedures-and-forms>

[11] Kentucky Council on Postsecondary Education, New Program Policies and Procedures  
3\_4\_5\_fn11.pdf

[12] UofL New Program Process  
3\_4\_5\_fn12.pdf  
<http://louisville.edu/oapa/accreditation-academic-programs-1/academie-program-approval-review>

[13] Board of Trustees Minutes—Approval of New Academic Program  
3\_4\_5\_fn13.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2013/bot130712.pdf/view>

[14] University Provost's Procedures for Developing New Programs  
3\_4\_5\_fn14.pdf  
<http://louisville.edu/oapa/accreditation-academic-programs-1/academie-program-approval-review>

[15] Sample Undergraduate Program Proposal Process - BA in Sustainability

[15a] Letter of Intent  
3\_4\_5\_fn15a.pdf

[15b] Pre-proposal for New Program  
3\_4\_5\_fn15b.pdf

[15c] Dean's Letter to Provost Supporting the Proposed Letter  
3\_4\_5\_fn15c.pdf

[16] Curriculum Flowchart  
3\_4\_5\_fn16.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/cif-approval-process-flowchart>

- [17] Ten-Year Program Review Template  
3\_4\_5\_fn17.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [18] CPE Program Review Procedures  
3\_4\_5\_fn18.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [19] Five-Year Program Review Template  
3\_4\_5\_fn19.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [20] *Undergraduate Catalog*  
3\_4\_5\_fn20.pdf  
[http://louisville.edu/undergraduatedatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true](http://louisville.edu/undergraduatedatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true)
- [21] Archived *Undergraduate Catalog*:  
3\_4\_5\_fn21.pdf  
<http://louisville.edu/undergraduatedatalog/previous>
- [22] *Graduate Catalog*  
3\_4\_5\_fn22.pdf  
<http://louisville.edu/graduatecatalog>
- [23] Archived *Graduate Catalog*  
3\_4\_5\_fn23.pdf  
<http://louisville.edu/graduatecatalog/archive>
- [24] *School of Medicine Bulletin*  
3\_4\_5\_fn24.pdf  
[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)
- [25] *School of Law Student Handbook*  
3\_4\_5\_fn25.pdf  
<http://louisville.edu/law/student-services/handbooks/archive/student-handbook-2015-16-new>
- [26] *School of Dentistry Bulletin*  
3\_4\_5\_fn26.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)
- [27] *Faculty Handbook, Classroom Policies*  
3\_4\_5\_fn27.pdf  
<http://louisville.edu/facultyhandbook/classroom-and-student-policies>
- [28] Registration Schedule  
3\_4\_5\_fn28.pdf  
<http://louisville.edu/registrar/registration-information/>
- [29] Final Exam Schedule  
3\_4\_5\_fn29.pdf  
<http://louisville.edu/registrar/registration-information/final-exam-schedules>

[30] Academic Calendars  
3\_4\_5\_fn30.pdf  
<http://louisville.edu/calendars/academic>

[31] *Undergraduate Student Handbook:*  
3\_4\_5\_fn31.pdf  
<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-handbook>

[32] Student Weekly News  
3\_4\_5\_fn32.pdf  
<http://louisville.edu/student/studentnews>

[33] *Graduate Student Handbook*  
3\_4\_5\_fn33.pdf  
<https://sharepoint.louisville.edu/sites/SIGS/Documents/Graduate%20Student%20Orientation%20Handbook%20-%20Final.pdf>

### 3.4.6

#### **Educational Programs: All: Practices for awarding credit**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville 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. Additionally, to strengthen consistency with the norms of the discipline, UofL programs seek program accreditation whenever it is available for their discipline [1]. Academic units with external accreditation requirements have the flexibility, with the approval of the University Provost, to make adjustments based on best practices in that discipline.

The university's credit hour policy [2], approved by the University Provost in December 2011, provides the standards for in-class and out-of-class instructional activities for undergraduate and graduate education. 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 [3]). Courses offered entirely or partially through distance education or other alternate methods follow the same guidelines as face-to-face courses [4].

During shorter terms, the number of hours per week increases, but the total number of contact hours per course remains the same. In some cases, additional contact hours may be required to meet the expectations of a given field and/or the needs of a course (e.g., laboratory sections, activity courses). The only courses for which less instructor contact is acceptable are courses in which there is a focus on independent learning, including internships, independent studies, directed readings, and various culminating experiences. However, even in these cases, an instructor is assigned to the course and regular contact between the instructor and each student is expected.

The professional schools of Law, Medicine, and Dentistry have credit hour policies that are driven by their professional accrediting bodies. The Brandeis School of Law follows a credit hour policy developed in alignment with the American Bar Association (ABA) standards [5]. The School of Medicine follows a credit hour policy developed to support the requirements of the Liaison Committee on Medical Education (LCME) standards 6.3 (Self-Directed and Life-Long Learning) and 8.8 (Monitoring Student Time) [6]. Dentistry uses a competency-based system to develop specific contact hours for each course as required by its accrediting organization, the Commission on Dental Accreditation (CODA) [7].

To address the needs of its diverse student body, UofL's academic calendar is based on a standard of 14 weeks (fall/spring terms). The university's calendar policy was developed to align with SACSCOC guidelines. The university's calendar structure requires: 1) the establishment of valid, assessable course learning outcomes for each course (which are stated in the syllabus of each course section) [8]; 2) the inclusion of calendar and credit

hour requirements in the university catalog and other information resources [9]; and 3) the inclusion of the expectations for out-of-class instructional activities in course descriptions and syllabi [10]. Department chairs and deans are responsible for monitoring and enforcing these requirements for the courses and sections in their units.

*The Redbook*, the university's governance document, guarantees to each unit's faculty general legislative powers over all matters pertaining to the unit's curricula and instruction [11]. The initial credit hour recommendation is made by the faculty in the discipline, which ensures consistency with the norms of the discipline. When a new course is being created or adjustments made to existing courses, the program faculty in the academic unit submit a Course Inventory File (CIF) form through the unit's and university's course approval processes [12]. The instructions that accompany the CIF provide the details of the university's credit hour policy and definitions of type of activity/contact hour expectations [13]. The CIF contains fields for minimum and maximum credit hours, type of activity, and number of contact hours per semester. All aspects of the course, including the assigned credit hours, are reviewed at all levels in the curriculum process. If the number of assigned credit hours is not consistent with UofL's policy for assigning credit, then the course creation is not approved until the hours are consistent with university policy. Courses offered through distance learning are approved in the same manner as other courses [14].

### **Experiential Learning**

- **BS in Organizational Leadership and Learning** [15]. The Organizational Leadership and Learning (OLL) Bachelor of Science program in the Leadership, Foundation, and Human Resource Education (ELFH) department in the College of Education and Human Development awards academic credit for Experiential Learning. The program ensures that experiential learning for which credit is awarded is equivalent to a designated credit experience by following the American Council on Education (ACE) Evaluation of Educational Experiences guidelines. ACE publishes guides for both military and civilian jobs. The use of ACE recommendations is fairly universal by most of the larger institutions in the U.S. [16].

Prior learning assessment (PLA) [17] is used to give credit for life learning in a specialty area that has not previously been awarded credit. Students can earn up to 48 semester hours of credit from college-level and credit-worthy experiential learning that happened outside the confines of university classrooms. Most often this university prior learning credit is given for learning from on-the-job training and development, continuing educational units, military training courses, and CLEP tests. Credit is not awarded for work experience per se but for the learning that occurred as the result of work or life experiences that are comparable to college-level courses.

- **BS in Organizational Leadership and Learning, Healthcare Leadership—Competency-based Education** [18]. In fall 2016, UofL will offer its first competency-based education degree in the Bachelor of Science in Organizational Leadership and Learning, Healthcare Leadership. This competency-based education design is structured under a self-paced, course/credit based format. Because many of the courses were already available in 3-credit course formats, the faculty rearranged many of the existing 3-credit courses into three separate single credit courses. The driving demarcation was the competency or sub-competency as a guide to design the structured learning modules.

Dividing the learning experiences by sub-competencies and observable performance of elements within the sub-competencies (which may be arranged into a whole competency), faculty structured the courses considering the average length of time undergraduate students typically take to complete these learning units. Based on those times, a credit hour equivalency is based on 15 hours of class time via modules and faculty discussions. In addition, a credit hour course has an estimated 37.5-45 hours of outside of the classroom experience to process, reflect, complete assignments. That is, for every hour of class, the program faculty estimated 2.5 to 3 hours of out of class course work. Based on the steps described above, the assignment of credit hours follows the existing notions of a credit hour at UofL [19].

Like the campus-based program, both the “traditional” online format and competency-based format of the BS in Organizational Leadership and Learning degree require a prior learning assessment (PLA) that is used to give credit for life learning in a specialty area that has not previously been awarded credit. Students can earn up to 48 semester hours of credit from college-level and credit-worthy experiential learning that happened outside the confines of university classrooms. Most often this university prior learning credit is awarded for learning from on-the-job training and development, continuing educational units, military training courses, and CLEP tests. Credit is not awarded for work experience per se but for the learning that occurred as the result of work or life experiences that would be comparable to college-level courses.

- **RN to BS in Nursing** [20]. The Registered Nurse to Bachelor of Science in Nursing (RN-BSN) online program offered by the School of Nursing provides registered nurses who have an associate degree in nursing (ADN) or a nursing diploma the opportunity to earn their Bachelor of Science in Nursing in a timely manner via online instruction. The program’s unique curriculum is designed to help working nurses pursue a bachelor’s degree. RN-BSN students can transfer credits from other regionally accredited institutions and complete the required nursing courses at UofL. While all coursework can be completed online, students must fulfill the clinical requirement through a practicum project in community health, which they can conduct in their hometown.

Students admitted to the RN-BSN program must demonstrate that they have successfully completed and graduated from a pre-licensure nursing program granting either a diploma or associate degree, that they have passed the NCLEX-RN exam, and that they are licensed to practice as a registered nurse. The NCLEX-RN is the Licensure Examination for Registered Nurses. The student’s ability to pass the NCLEX-RN ensures the student’s basic competency as a minimally safe and competent generalist RN.

Upon enrollment in the RN-BSN program students are entered into the Portfolio project. The project requires students to complete a professional portfolio that includes developing a résumé that reflects their experience as a Registered Nurse and establishing professional goals, among other tasks. Through the portfolio the student can earn 30 credit hours that recognize the following: the student’s successful completion of the NCLEX-RN [21], the student’s recognition as a Registered Nurse, and the student’s successful completion of a professional portfolio that can be used for job interviews and/or application to graduate school [22].



- **Criminal Justice** [23]. Through a Memorandum of Understanding between UofL's Department of Criminal Justice and the Louisville Metropolitan Police Department, UofL awards 15 hours of university credit to police officer recruits and police officers who successfully complete the Metro Police basic law enforcement training [24]. Credit is awarded upon provision of documented evidence of successful completion of basic training from the Louisville Metropolitan Police Department. To determine the amount of equivalent credit, UofL faculty compared the Metro Police basic training curriculum to the program's curriculum to ensure that the training was equivalent to the UofL courses listed below. UofL will award 6 credit hours for CJ 450 to lateral transfers who successfully complete the training requirements for lateral transfers, as documented by the Louisville Metropolitan Police Department.

CJ 201 Law Enforcement in the United States (3)  
 CJ 306 Criminal Procedure (3)  
 CJ 395 Criminal Law and Evidence (3)  
 CJ 355 Criminalistics (3)  
 CJ 450 Internship (3)

## SUMMARY

The University of Louisville 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. The initial credit hour recommendation is made by the faculty in the discipline, which ensures consistency with the norms of the discipline.

[1] External Accreditation by Program  
 3\_4\_6\_fn01.pdf  
<http://louisville.edu/accreditation>

[2] UofL Policy for Awarding of Course Credit  
 3\_4\_6\_fn02.pdf  
<http://louisville.edu/oapa/credit-hour-definition-and-policy>

[3] Carnegie Unit Definition  
 3\_4\_6\_fn03.pdf  
<http://edglossary.org/carnegie-unit/>

[4] Creating an Online Course  
 3\_4\_6\_fn04.pdf  
<http://louisville.edu/delphi/resources/online-course>

[5] Law School Credit Hour Policy (2011-2015)  
 3\_4\_6\_fn05.pdf

[6] Medicine Credit Hour Policy  
 3\_4\_6\_fn06.pdf

[7] Dentistry Credit Hour Policy  
3\_4\_6\_fn07.pdf

[8] Syllabus Showing Course Learning Outcomes  
3\_4\_6\_fn08.pdf

[9] Course Catalog Description Showing Field Experience  
3\_4\_6\_fn09.pdf

[10] Academic Calendar – UG and Graduate  
3\_4\_6\_fn10.pdf

[11] *The Redbook*, Section 3.3., Jurisdiction and Purposes  
3\_4\_6\_fn11.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#ART3.3>

[12] Course Inventory File - Curriculum Request  
3\_4\_6\_fn12.pdf

[13] Instruction Accompanying CIF -- *Graduate Catalog*, Course Grading System  
3\_4\_6\_fn13pdf  
[http://louisville.edu/graduatecatalog/toc#Grades\\_and\\_Grading\\_Policies](http://louisville.edu/graduatecatalog/toc#Grades_and_Grading_Policies)

[14] Creating an Online Course,  
3\_4\_6\_fn14.pdf  
<http://louisville.edu/delphi/resources/online-course>

[15] Organizational Leadership and Learning BS  
3\_4\_6\_fn15.pdf

[16] Guidelines for Prior Learning Assessment  
3\_4\_6\_fn16.pdf

[17] Prior Learning Assessment (PLA)  
3\_4\_6\_fn17.pdf  
<http://louisville.edu/education/degrees/files/OLL-Handbook.pdf>

[18] BS in OLL—Competency Based  
3\_4\_6\_fn18.pdf

[19] UofL Credit Hour Policy  
3\_4\_6\_fn19.pdf

[20] RN to BSN Webpage  
3\_4\_6\_fn20.pdf

[21] NCLEX-RN Test Plan 2016  
3\_4\_6\_fn21.pdf

[22] Credit Hours for N355-85  
3\_4\_6\_fn22.pdf

[23] Criminal Justice Web Page  
3\_4\_6\_fn23.pdf

[24] MOU between UofL's Criminal Justice Department and the Metro Police Department  
3\_4\_6\_fn24.pdf

### 3.4.7

#### **Educational Programs: All: Consortial relationships/contractual agreements**

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."*)

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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 [1]. 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 [2]. 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.

#### **Consortial Agreements**

Consortial relationships fall into three categories – degree programs, academic partnerships, and group consortiums or contract delivery [3]. In order to ensure the quality of all consortia relationships or contractual agreements directly related to educational programs or courses, such offerings are regularly evaluated by the deans and department chairs per the language of the agreement. Each agreement is prioritized by the dean based on the unit mission and authorized by the university provost to ensure alignment with the university's mission. The university's accreditation liaison coordinates the submission of relevant agreements to SACSCOC as required by Comprehensive Standard 3.12.1.

#### **Consortial Degree Programs**

UofL offers completely or shares responsibility for several educational programs leading to bachelors, master's, and doctoral degrees. The university has seven degree program agreements with other institutions of higher education, of which two are with international partners. These degrees are joint (single degree awarded by both institutions), dual (separate degrees awarded by each partner), and collaborative (awarded by UofL only). These programs are not new degrees but represent an extension of existing degree offerings. See Table 1.

**Table 1. Consortial Degree Programs**

<b>Consortial Degree(s)</b>	<b>Degree Type</b>	<b>Partner Institution</b>	<b>Academic Unit</b>	<b>Year of Approval by SACSCOC</b>
Master of Business Administration	Collaborative (UofL degree)	Akademie Adolph Wurth (Germany)	College of Business	2002
Bachelor of Science in Business	Dual	European Business School (Germany)	College of Business	2013
Executive Master of Business Administration (E-MBA)	Joint	University of Kentucky	College of Business	2013
Ph.D. in Social Work	Joint	University of Kentucky	Kent School of Social Work	2010
Juris Doctor/ Master of Divinity	Dual	Louisville Seminary	Brandeis School of Law	1969 – revised in 2016
M.S. in Social Work/ Master of Divinity	Dual	Louisville Seminary	Kent School of Social Work	1969 – revised in 2016
B.S. in Electrical Engineering	Joint	Western Kentucky University	Speed School of Engineering	2001

UofL participates in consortial degree programs with the following:

- The Akademie Adolph Wurth Business School is part of the College of Business Global Master of Business Administration (MBA) program. The UofL MBA degree is offered to students in Bad Mergentheim, Germany [4a]. The Program is a total of 42 credit hours. Students earn 24 hours at UofL and 18 hours in Germany. The agreement states that UofL policies and procedures will govern the relationship. The Akademie signed an addendum to the MOA to acknowledge the SACSCOC disclaimer statement for non-SACSCOC accredited schools on March 18, 2016, also agreeing to confer annually to evaluate the success in reaching the program objectives [4b].
- The European Business School (EBS) partnership is an exchange program that allows participating students to spend up to three semesters at the other participating institution. Up to 60 percent of the degree can be earned at either location [5a]. Participating students complete regular course offerings taught by the faculty at either location. Courses of study are developed by the respective program directors, so UofL faculty approve all EBS course work to be undertaken by UofL students studying in Germany. Moreover, the memorandum of understanding (MOU) specifies that participating students are subject to their host institution's policies, so the integrity of both the EBS and the UofL degree is assured. EBS signed an addendum

to the MOA to acknowledge the SACSCOC disclaimer statement for non-SACSCOC accredited schools on March 18, 2016 and also agreeing to confer annually to evaluate the success in reaching the program objectives [5b].

- The Executive Master of Business Administration partnership agreement with the University of Kentucky (UK) Carol Martin Gatton College of Business states that each institution provides approximately 50 percent of the faculty, offers approximately 50 percent of the courses on its respective campus, and students completing the program receive diplomas bearing the names of both institutions [6a]. This shared responsibility approach is also reflected in the program's oversight. The MOU guarantees UK and UofL faculty the right to review and amend the curriculum in accordance with their individual faculty governance policies and procedures, assuring that UofL's faculty has a significant role in the program's administration [6b].
- The Joint Ph.D. in Social Work program is administered in partnership by the UK College of Social Work and UofL Kent School of Social Work under the academic purview of the respective Graduate Schools. Initially, the Kent School of Social Work was to take primary responsibility for the management of resources for faculty, staff, operations, teaching materials, travel, and professional development [7a]. However, the joint degree has changed over time so that each school can more independently address operational issues. The joint aspect of the program is currently focused on the dissertation stage and ensuring representation by the faculty of both schools. The diploma indicates the conferring of the degree by UofL and UK schools. The program evaluation report is reflective of the UofL assessment process [7b].
- The Louisville Seminary has two dual degree programs with UofL. The Master of Divinity offered by the seminary can be obtained in combination with either the juris doctor offered by the university's Brandeis School of Law [8] or the masters' of science in social work offered by the Kent School of Social Work [9]. The student receives a separate degree in each discipline upon completion of the coursework for both programs. These agreements have been in place since 1969, based on a letter between the two presidents. But recently (summer 2016), a memorandum of agreement for each program was signed by both colleges to formalize the partnerships to reflect current program expectations.
- The Western Kentucky University (WKU) Engineering program is a joint bachelor of science in electrical engineering degree program offered on the WKU campus in Bowling Green, Kentucky. Under the agreement established by the Kentucky Council on Postsecondary Education (CPE), UofL offers 16-24 hours of the engineering coursework [10a]. Both programs are accredited by ABET, Inc., and the UofL and WKU faculty regularly review student's course evaluations and use the established ABET procedures to assess the program [10b].

### **Academic Partnerships**

UofL has partnerships with organizations that are not SACSCOC accredited or are non-higher education institutions. Each partnership is unique and allows the university to expand opportunities for students to be educated at off-site locations. See Table 2.

**Table 2. Academic Partnerships**

<b>Locations</b>	<b>Degree Program (% offered)</b>	<b>Academic Unit</b>	<b>Year of Approval by SACSCOC</b>
Fort Knox, Army Base	BS in Organizational Leadership (OLL) (100%) and MS in Human Resources & Organizational Development (HROD) (100%)	College of Education & Human Development (CEHD)	1999
General Electric	MS in Mechanical Engineering (100%) MS in Electrical Engineering (100%)	Speed School	2012
School of Medicine Trover Clinic	Medicine (MD) (50%)	School of Medicine	2006
Owensboro Medical Health System	BS in Nursing (100%)	School of Nursing	2009
Quality Leadership University – Panama	BA in Communication (100%)	Arts & Sciences	2012
Quality Leadership University – Panama	Master of Engineering in Engineering Management (100%)	Speed School of Engineering	1999
Simmons College of Kentucky	General Education Coursework only	College of Arts & Sciences	2010
NUR Foundation - Pakistan Program	Master in Public Health (100%) Program canceled – 8.2016	School of Public Health and Information Sciences	2014

- Fort Knox: The partnership between UofL and Fort Knox is designed to offer “programs and activities that enhance the engagement of the partnering communities” [11a]. According to the agreement, “[p]ost-secondary education offerings are subject to the Army’s and University’s existing regulatory structure” [11b].
- General Electric: The partnership between UofL and General Electric provides their employees the opportunity to earn their master’s degree. After many years of delivering off-campus courses at GE, the university was asked in 2012 to expand the course offerings at Appliance Park to permit completion of all Master of Science degree requirements in Mechanical Engineering or Electrical Engineering [12a]. The Speed School provides academic support for the Advanced Course in Engineering (ACE), which includes provision of course coordinators, assistance in preparing and maintaining UofL compliant instructional materials, and outcomes assessment and review [12b].

- Owensboro Medical Health Systems (OMHS): The partnership between OMHS and the School of Nursing allows the completion of the third and fourth years of the baccalaureate program at that location and via online instruction [13a]. The MOA was renewed in 2014 and is scheduled for renewal in 2019. An annual report of the program evaluation is provided to Owensboro Health in June of each year. The evaluation includes number of students enrolled; who complete the program in four semesters; who pass NCLEX on 1<sup>st</sup> attempt; who are employed by Owensboro Health after graduation; and who begin graduate programs within 5 years post-graduation [13b].
- The Trover Clinic is an off-campus teaching center of UofL. The facility, which includes a 401-bed hospital and 120 physicians, is playing a focal role in the School of Medicine's generalist physician efforts. An increasing number of students are receiving training at the clinic and its related satellites. In addition to the excellent patient volume and medical staff, this location provides a different orientation to the delivery of medical care and demonstrates to the students and residents the excellent quality of care that can be rendered in a small to medium size community. Graduates of UofL's Trover Clinic programs are overwhelmingly choosing to locate their post-graduate practice in rural and/or underserved communities [14a]. Trover Clinic off-campus outcomes are studied in comparison to UofL campus outcomes each year in the review of all required courses that occur on both campuses [14b]. The program evaluation process includes several required components necessary for LCME accreditation.
- Quality Leadership University (QLU) has two agreements with UofL to offer a bachelor's degree in Communication [15a], and a master's degree in Engineering Management at QLU in Panama [15b]. Both UofL contracts with QLU establish that all state and federal laws relating to student records must be followed. Also, that UofL policies and procedures shall govern the relationship and that UofL reserves the right to review all materials associated with the program including student and financial records.

QLU's agreement with the College of Arts and Sciences establishes that courses are to be offered by regular UofL faculty teaching in Panama (up to 12 courses and 6 laboratory sections). Further, section B of the agreement specifies that A&S department chairs are to review and approve all Panama course syllabi and are the only agents authorized to schedule Panama courses. Under the terms of both agreements, UofL faculty "serve as the sole and final determiner of admission of candidates," teach the majority of the courses offered, and maintain all academic records related to the program [15c].

QLU's agreement with the Speed School calls for an evaluation of the MEEM program by the QLU administration and UofL faculty and that the information be used for programmatic improvement [15d].

- Simmons College of Kentucky students are allowed to co-register for select general education courses offered by UofL. The pilot project reported to SACSCOC in 2010 allows for general education coursework offered by UofL to be taught in Simmons College's classroom space. The instructors can be Simmons College or UofL faculty and must have the necessary credentials. The UofL College of Arts and Sciences serves as the academic lead for the partnership because of the focus on general education instruction. Simmons College gives academic credit to their students enrolled in these courses and UofL gives academic credit to their enrolled students.



Simmons College students wishing to transfer their general education credits can do so upon applying for admission and being accepted to UofL [16a].

The University Provost oversees the administration of the partnership with Simmons College and coordinates the assignment of resources to the project. The Simmons College academic articulation agreement was formalized on December 21, 2015. Both the college and the university agreed to “meet annually . . . to evaluate the success in reaching program objectives based on a review of course evaluations, faculty qualifications, student enrollments, student success, and other factors deemed important to the assessment process” [16b].

- NUR Foundation in Lahore, Pakistan, has an agreement with the School of Public Health and Information Sciences (SPHIS) to offer the Master of Public Health (MPH). This agreement was reviewed and approved by SACSCOC in 2014. The MPH start was delayed until fall 2016 and at this time is canceled [17]. SPHIS and NUR are continuing their discussions under the current agreement to develop other offerings.

### Group Consortium or Contract Delivery

UofL has several types of group consortium or contract delivery arrangements that include academic partnerships and contract course delivery. See Table 3.

**Table 3. Consortial Partners**

Consortial Partners	Type of Program	Unit	Implementation Year
Kentuckiana Metroversity Inc.	Group Consortium	University	1969
Metropolitan College	Group Consortium	University	1998
iLawVentures, LLC	Contract Delivery	Brandeis School of Law	2015

### Group Consortium

- Kentuckiana Metroversity, Inc.: At the undergraduate level, seven institutions in Louisville and Southern Indiana form the non-profit consortium [18a]. All participating institutions are accredited by SACSCOC, with the exception of Indiana University Southeast which is accredited by the Higher Learning Commission. Full-time students at these institutions have access to cross-registration, double-degree programs, library privileges, and extracurricular activities on the other campuses of the consortium. As the largest institution in the consortium, UofL enrolls more students than it sends to other institutions. The agreement does allow our students to take summer classes on a part-time basis at another institution for a lesser credit-hour cost. Control of the program rests with the home and host registrars, who must both give permission for the cross registration.

Transient students taking courses at UofL are subject to UofL’s course policies. Item #11 of the agreement specifically enjoins that participation in this agreement will not “change, add to, or diminish any policy of the constituent members” without “formal action of and by the governing body of the membership” [18b].

- Metropolitan College (MC): MC is a partnership among United Parcel Service, UofL, and Jefferson Community and Technical College. Qualified students receive tuition-free (Kentucky undergraduate resident rate) education and employment opportunities [19a]. To participate in the program, students must be employed at UPS in the Next Day Air Operation, admitted to one of the participating educational institutions, and meet the Metropolitan College admission requirements for that school. Students are eligible to pursue any program of study offered by the schools. Additional benefits include a book reimbursement program and an educational bonus program. Metropolitan College institutions coordinate their own course schedules with the Metropolitan College board and retain full rights to their curricular content [19b].

### Contract Delivery

- iLaw Ventures, LLC: The UofL Brandeis School of Law has contracted with iLaw Ventures, LLC to provide online courses for the summer terms. iLaw partners with accredited law schools to deliver online programs and courses. The online law courses offered by Brandeis are Administrative Law, Business Law/operations, Criminal Procedures, Adjudication, Evidence, Family Law, Professional Responsibility, Securities Regulation, and Wills and Trusts. These course offerings do not exceed American Bar Association rules on the number of credit hours that can be earned via online education. The iLaw Ventures, LLC contract was reported to SACSCOC and acknowledged in a letter to the university dated July 1, 2015 [20].

Brandeis appoints the online instructors as visiting or adjunct faculty for the duration of the classes. The contract states “the parties agree that the named professors are independent contractors and not employees of the university” and that professors must comply with all applicable UofL policies, including the grading policy. The contract with iLaw Ventures is renewed annually, which allows the Brandeis faculty to regularly evaluate the success of the effort based on enrollments, tuition revenues, student course evaluations, and peer reviews.

### **SUMMARY**

UofL has specific procedures in place for the review and approval of memoranda of agreement or understanding. The university’s accreditation liaison reviews all academic consortial agreements to ensure timely reporting to SACSCOC as described in the Comprehensive Standard 3.12.1 response. The program evaluations will vary based on the terms of the agreement, and the faculty of each involved unit have oversight of responsibilities.

[1] *The Redbook*, Section 3.3.2, Jurisdiction and Purposes  
 3\_4\_7\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[2] Memorandum of Agreement Approval Process Flowchart  
 3\_4\_7\_fn02.pdf

[3] Consortial Agreements Report: 2015-16  
 3\_4\_7\_fn03.pdf

## **Consortial Degrees**

[4] Master of Business Administration with Akademie Wurth—Germany

[4a] Akademie Adolph Wurth Global MBA MOA  
3\_4\_7\_fn04a.pdf

[4b] Akademie Wurth Global MBA Program Evaluation  
3\_4\_7\_fn04b.pdf

[5] Bachelor of Science in Business with European Business School

[5a] European Business School (EBS) MOA  
3\_4\_7\_fn05a.pdf

[5b] European Business School Program Evaluation  
3\_4\_7\_fn05b.pdf

[6] Executive Master of Business Administration (E-MBA) with University of Kentucky

[6a] UK UofL Executive MBA MOU  
3\_4\_7\_fn06a.pdf

[6b] UK UofL Executive MBA Program Evaluation  
3\_4\_7\_fn06b.pdf

[7] Ph.D. in Social Work with University of Kentucky

[7a] UK UofL Social Work PHD MOA  
3\_4\_7\_fn07a.pdf

[7b] UK UofL PhD in Social Work Program Evaluation  
3\_4\_7\_fn07b.pdf

[8] Louisville Seminary Juris Doctor/ Master of Divinity with  
3\_4\_7\_fn08.pdf

[9] Louisville Seminary M.S. in Social Work/ Master of Divinity with  
3\_4\_7\_fn09.pdf

[10] B.S. in Electrical Engineering with Western Kentucky University

[10a] WKU Electrical Engineering Joint Degree  
3\_4\_7\_fn10a.pdf

[10b] WKU Electrical Engineering Joint Degree Program Evaluation  
3\_4\_7\_fn10b.pdf

## **Academic Partners**

[11] Fort Knox, Army Base (BS in Organizational Leadership & MS in Human Resources & Organizational Development)

- [11a] Fort Knox Army Base UofL MOU  
3\_4\_7\_fn11a.pdf
- [11b] Fort Knox—CEHD Program Evaluation  
3\_4\_7\_fn11b.pdf
- [12] General Electric (MS in Electrical and Mechanical Engineering)
- [12a] General Electric MOA Engineering  
3\_4\_7\_fn12a.pdf
- [12b] General Electric Engineering Program Evaluation  
3\_4\_7\_fn12b.pdf
- [13] Owensboro Medical Health System (BS in Nursing)
- [13a] SON—Owensboro Medical Health System—BSN MOA  
3\_4\_7\_fn13a.pdf
- [13b] SON—Owensboro Program Evaluation  
3\_4\_7\_fn13b.pdf
- [14] School of Medicine Trover Clinic—Doctor of Medicine (MD)
- [14a] SOM Trover Clinic—Baptist Health Madisonville Affil Agreement  
3\_4\_7\_fn14a.pdf
- [14b] SOM—Trover Clinic Program Evaluation  
3\_4\_7\_fn14b.pdf
- [15] Quality Leadership University—Panama (BA in Communications and ME in Engineering Management)
- [15a] QLU—Panama—Arts and Sciences MOA  
3\_4\_7\_fn15a.pdf
- [15b] QLU—Panama—Engineering MOA  
3\_4\_7\_fn15b.pdf
- [15c] QLU—Panama—Arts and Sciences Program Evaluation  
3\_4\_7\_fn15c.pdf
- [15d] QLU—Panama—Engineering Program Evaluation  
3\_4\_7\_fn15d.pdf
- [16] Simmons College of Kentucky (General Education Courses only)
- [16a] Simmons College Articulation Agreement 2016  
3\_4\_7\_fn16a.pdf
- [16b] Simmons College Agreement Program Evaluation  
3\_4\_7\_fn16b.pdf

[17] NUR Foundation - Pakistan Program—MPH program canceled  
3\_4\_7\_fn17.pdf

**Group Consortium/Contract Delivery**

[18] Kentuckiana Metroversity Inc.

[18a] Kentuckiana Metroversity Agreement  
3\_4\_7\_fn18a.pdf

[18b] Kentuckiana Metroversity Program Evaluation  
3\_4\_7\_fn18b.pdf

[19] Metropolitan College

[19a] Metropolitan College Program  
3\_4\_7\_fn19a.pdf

[19b] Metropolitan College Program Evaluation  
3\_4\_7\_fn19b.pdf

[20] iLawVentures, LLC  
3\_4\_7\_fn20.pdf

### 3.4.8

#### **Educational Programs: All: Noncredit to credit**

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.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

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

The university does allow courses to be audited, but audited courses do not earn credit. Students who have registered as auditor will not receive credit for the course unless their registration has been changed officially from audit to credit by the published deadline for such a change. Students are allowed to change from audit to grade status or from grade status to audit status at any time from the beginning of regular registration through the last day to add a class with approval from the course instructor.

Students are cautioned that auditing a class cannot substitute for taking the course for credit if that course is part of the credit hour requirement for graduation, including both college-wide and major requirements. Any required course taken as audit must be retaken for credit in order to be counted toward a degree [1].

See Comprehensive Standard 3.4.4 for information on Experiential Learning that is non-course based.

#### **SUMMARY**

UofL does not award academic credit for course work taken on a noncredit basis. The university does allow courses to be audited, but audited courses do not earn credit.

[1] UofL Audit Policy, *Undergraduate Catalog*, page 155  
3\_4\_8\_fn01.pdf

### 3.4.9

#### **Educational Programs: All: Academic support services**

The institution provides appropriate academic support services.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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.

#### **Academic Support Coordination**

The Undergraduate Affairs office [1] works with the Undergraduate Council [2], the deans and the academic unit faculties, academic advisors, and academic support programs to promote undergraduate student success, engagement, persistence, and satisfaction at UofL. The Undergraduate Affairs unit includes the Delphi Center for Teaching and Learning [3]. The Delphi Center provides university-wide services for all students and pedagogical engagement and development support for faculty. In addition, the following offices related to academic support services report to the Vice Provost for Undergraduate Affairs: Enrollment Management, Undergraduate Advising Practice, REACH, First Year Initiatives, Office of Admissions, Office of Financial Aid, Registrar's Office, Military and Veterans Student Services, and Transfer and Adult Student Services. The vice provost is the provost's liaison to the university honors program [4] and the McConnell Center [5].

#### **Academic Advising**

Academic advising is crucial to the retention and academic success of students at UofL. Academic advising for both undergraduate and graduate students is decentralized at the university and takes place in the academic units. Undergraduate students with declared majors are advised by professional advisors within their college or school and/or by faculty advisors in the department of their major. This model provides the students with contact with a professional advisor to ensure that all degree requirements are met and with a faculty advisor to provide advice and support relative to career and graduate school opportunities. Exploratory students (undergraduates with undeclared majors) are advised by professional advisors within the College of Arts and Sciences [6]. Each of the undergraduate units has its own system for advising. Some units advise by appointment, and other units have "walk-in" advising times. Each academic unit uses targeted best practices to advise student majors within the unit. To provide consistency of university advising practice, academic advisors participate in a university-wide comprehensive professional development program and receive a master advisor certification as part of the program.

The office of Undergraduate Advising Practice (UAP) [7] is charged by the provost to work collaboratively with the undergraduate academic units in promoting consistent and best practice in academic advising. This includes oversight of the university's professional development program for academic advisors, the implementation of degree audit, the implementation of Flight Plan (a proactive university-wide initiative to track and assist students to graduate in 4 to 6 years), and the administration of GradesFirst, a university-wide software program used for scheduling student advising appointments and posting of advising notes. The UAP office provides leadership to university-wide advising committees, coordinates advising initiatives, and collaborates with Undergraduate Affairs and Student Affairs staff to promote student persistence and retention. The UAP office maintains two Blackboard shells for advisors (Basic Advisor Resources [BAR] and the Master Advisor Certification program [MAC], which serve as resources to advisors and advising center directors).

Graduate students have access to academic advising from their Director of Graduate Studies [8] and faculty mentor [9].

### **Resources for Academic Achievement (REACH)**

REACH [10], a centralized academic support unit in Undergraduate Affairs, provides tutoring services and retention programs primarily for students enrolled in 100-, 200-, and many 300-level university courses. REACH has six physical locations: the Welcome Center, Learning Resource Center (LRC), Math Resource Center (MRC), Virtual Math Center (VMC), Ekstrom Library's Computer Resource Center (CRC), and Miller IT Building's iTech Zone (iTech). Tutoring is also provided to students residing in the five Living-Learning Communities, and mentoring is provided to students in the Metropolitan College Themed Community. REACH provides graduate exam preparation seminars, the Ambassador peer mentoring program, a supplemented college reading course, student engagement events, and an online early warning alert system. Summer bridge programs in pre-algebra and engineering calculus are offered for college readiness.

REACH provides supplemental instruction and learning assistance specifically linked to about 25 difficult courses, and sessions are held in various locations throughout the campus in a recitation style setting for large groups. REACH offers small group, scheduled appointment tutoring sessions for over 100 on-campus and online courses each academic year, along with corresponding online tutoring sessions. Drop-in tutoring is provided for mathematics, pre-algebra to calculus II, and computer science and computer literacy courses. REACH also provides onsite Student Success seminars that introduce university students to proven strategies and practices recommended for academic success and accommodated scheduled tutoring for any disabled undergraduate student who has documentation from the Disability Resource Center.

A primary goal of REACH is to provide resources to assist students to enhance or improve their academic performance, to help students transition to college life, and to support the university's retention of undergraduate students. Online tutoring is an option for both traditional and online courses through REACH's Learning Resource Center (which coordinates all weekly, scheduled tutoring sessions). Promotion of virtual tutoring for distance education courses is a collaborative effort between REACH and the Delphi Center. REACH provides flexibility for online tutoring support using Google Hangouts. Students may request online tutoring through the REACH website.

Information about REACH services is available online. The home page lists important updates and announcements about student academic support programs and services. The



website also has links to tutoring session schedules and a link for enrolled students to securely create their tutoring appointments. REACH gives presentations to students and to parents during new student orientation and participates at information tables as well. About 10 percent of the new students complete their first semester course registration in a REACH center. REACH participates during transfer orientation and provides assistance during Welcome Week, including events like “Kick Back in the Stacks” during the first two weeks of each semester. REACH staff have personal relationships with faculty, who promote REACH services to students via Blackboard and their syllabi. Representatives from REACH visit each of the classes supported for in-person promotions. Advisors are given REACH brochures and flyers to distribute to students. Paper and digital signage throughout campus and social media outlets are used as additional ways to inform students and faculty of REACH services. REACH regularly participates in campus community events, fairs, and food give-aways to maintain student awareness.

REACH staff, graduate assistants, and tutors visit the classrooms of each of the course sections supported by tutoring to talk briefly to students about REACH services. Flyers or bookmarks with REACH information are distributed to students in the classroom. As students begin preparing for their first tests, faculty are asked to make reminder announcements to their sections about REACH services. As REACH programs begin for the semester, announcements are added to the Student News emails and flyers are posted on bulletin boards. Several times each semester, REACH provides snack giveaways and support information during REACHout events. REACH mentors and tutors are also given REACH shirts each Fall that serve to promote REACH services.

#### REACH Ambassadors

The REACH Ambassadors [11] programs are internationally certified peer mentoring programs that help UofL students transition and connect to their college experience. The Ambassadors help students be successful during college by providing support, leadership, and advice and by helping to connect students to university faculty, staff, and services. The REACH Ambassadors are comprised of three dedicated programs: the General Ambassador Program, the SMART Ambassador Program, and the Mentor and Veteran Students Ambassador Program. The General Ambassador Program provides support for first year students, the SMART Ambassador Program supports transfer and returning students, and the MAV Ambassador Program focuses on mentoring new incoming student veterans, although any undergraduate student veteran can join the program. Each program provides experienced mentors who have had similar experiences as the students they mentor.

The Computer Resource Center offers students drop-in tutoring assistance with Microsoft Office software and other common student technologies used on campus, such as Cardmail, Blackboard, wireless internet configuration, password resetting, and printing. Tutoring is provided specifically for College of Business students taking CIS 100 and CIS 300 (Computer Information Sciences) courses and CIS 199 and 200 (C# programming) courses. Tutoring assistance is also provided for Speed School of Engineering students taking CECS 120 (C programming), CECS 130 (C++), and CECS 220 (Java) programming courses. Student support for other, infrequently used software is offered from time to time based on instructors' needs and predictions. Seminars are offered to students throughout semesters to enhance their computer literacy skills.

During the summer, the REACH Math Resource Center conducts four-week, intensive review programs that are conducted either on-site or online as instructor-led review sessions. The Calculus Preview Program enables students to be better prepared to handle the rigorous first few weeks of her or his first engineering course by reviewing intermediate algebra and

advanced algebra skills. To help students stay on track with the Speed School of Engineering plan of study, various additional programs are offered each summer, depending on grant funding, to provide additional background support in algebra, trigonometry, analytic geometry, and differential calculus.

The REACH Supplemental Instruction (SI) program is a series of weekly review and discussion sessions attached to specific courses that are historically difficult for students. SI integrates how to learn with what to learn. The SI sessions allow students to get extra help beyond the normal classroom, and they are voluntary and free. The sessions are designed for large groups and frequently meet in the larger instructional rooms of the library.

Similar to Supplemental Instruction, Learning Assistance (LA) provides flexible drop-in office hours, weekly study sessions, and exam reviews for designated departmental collaborators. While both programs have a shared purpose and delivery format and serve similar students, the specifics of the way the SI program operates is certified, copyrighted by the University of Missouri-Kansas City, and standardized across universities in the U.S. with Supplemental Instruction programs. The Learning Assistance program is tailored to meet the unique needs of the UofL course instructors.

The Digital Media Suite (DMS) is a state-of-the-art computer media lab in the Learning Commons of Ekstrom Library. The DMS is equipped with the latest video, image, and audio editing software that allows beginner, intermediate, and advanced UofL faculty and students to work on their presentations and multimedia assignments. The Delphi Center works closely with faculty to help ensure multimedia assignments are well-designed, and trained REACH tutors provide day-to-day assistance to students. While the tutors will provide technical assistance as required, they are also trained to analyze and evaluate the progress of a project and offer constructive criticism and inspirational guidance on a variety of media projects.

Usage hours of REACH services can be seen in Table 1. The number of student who have used REACH resources over the same five years can be seen in Table 2. In 2014-15, 8,824 students utilized REACH programs, for a total of 58,038 hours.

**Table 1. Usage Hours - Five Year REACH Usage Trend Summary by Academic Support Service**

LRC=Learning Resource Center, MRC=Math Resource Center, SI=Supplemental Instruction, LA=Learning Assistance, VMC=Virtual Math Center, CRC=Computer Resource Center, iTech=Miller IT Building's iTech Zone, DMS=Digital Media Suite.

Service	Academic Year					% Change
	2010-11	2011-12	2012-13	2013-14	2014-15	
LRC	10,953	11,775	11,979	9,087	7,880	-13%
MRC	12,464	12,910	14,095	11,779	9,655	-18%
SI	9,340	12,584	12,542	13,882	17,211	+24%
LA	4,549	6,554	3,338	3,963	3,078	-22%
CRC	14,794	11,474	11,015	7,760	5,334	-31%
iTechZone	17,025	14,618	14,862	10,305	12,050	+17%
DMS	2,603	3,247	2,543	1,796	2,830	+58%
Total	71,728	73,162	70,374	58,572	58,038	

**Table 2. Unique Students - Five Year REACH Usage Trend Summary by Academic Support Service**

Service	Academic Year					% Change
	2010-11	2011-12	2012-13	2013-14	2014-15	
LRC	1,551	1,915	1,965	1,620	1,346	-17%
MRC	1,353	1,541	1,546	1,484	1,390	-6%
SI	1,347	1,620	1,983	1,972	2,045	+4%
LA	1,046	1,270	1,010	892	786	-12%
CRC	1,907	1,768	1,513	1,243	999	-20%
iTechZone	2,308	2,329	1,945	1,770	1,394	-21%
DMS	513	798	759	688	864	+26%
Total	10,025	11,241	10,721	9,669	8,824	

### **Military and Veterans Student Services**

The Office of Military and Veterans Student Services (OMVSS) [12] was created to smooth the transition from military life to student life by devoting individualized support to veteran students and their families through a broad range of services coordinating with Veterans Affairs, university departments, and other community organizations. OMVSS staff assist with identifying federal and state education benefit options, advocating military transfer credit, aiding withdrawals/re-admits due to deployments or call to Active Duty status, and connecting veteran students with campus resources, veteran service providers, and other agencies encouraging academic success at UofL. Veteran and military students enrolled in online programs also have access to the support provided by OMVSS.

### **Transfer and Adult Services**

The goal of the Office of Transfer and Adult Services [13] is to help current and future transfer students and veterans with the application process and transition to the university. The office offers visits for prospective transfer and adult students once a month, which include an admissions presentation and campus tour. A transfer admissions counselor is available to meet with students to assist them in the transfer process. Transfer credit evaluations and an appeals process are also handled in the office.

## School of Interdisciplinary and Graduate Studies (SIGS)

The School of Interdisciplinary and Graduate Studies (SIGS) [14] serves four primary roles within graduate education: advocacy, funding, policy development and oversight, and professional development. SIGS houses four key units related to graduate student services: interdisciplinary programs, admissions, the office of the Dean of the Graduate School, and professional development. Graduate students enroll in the units that house their programs, but SIGS serves the admissions needs of all masters and doctoral programs, as well as sets minimum standards for admissions and degree completion.

SIGS holds two orientations each fall, one for new graduate students and one for new graduate teaching assistants (GTAs). New graduate students are introduced to campus resources, connected with the Graduate Student Council, learn about professional development opportunities, and hear from other graduate students and faculty about how to be successful in graduate school. New graduate teaching assistants learn about legal issues, the learning management system (Blackboard), and how to be successful in their first three weeks of teaching. The Blackboard site dedicated to GTA orientation remains open throughout the students' time at UofL.

"The PLAN" Graduate Student Professional Development is a framework for understanding and addressing the professional development needs of graduate students. Managed by SIGS, PLAN helps students take charge of their own learning and development by offering opportunities and resources related to professional development, life skills, academic development, and networking skills. PLAN is designed to help students in getting started, moving on through their program, and moving beyond graduate school [15].

The PLAN is comprised of three academies (the Graduate Teaching Assistant Academy, the Grant Writing Academy, and the Entrepreneurship Academy), 40-80 workshops a year (including tracks for teaching, research, career planning, diversity, technology, communication, leadership), support for graduate student groups (including the Graduate Student Women's Group and Dissertation Accountability Group), graduate student peer mentoring program development support and consultation, and one-on-one consultations and referrals. SIGS collaborates with individual colleges and many student services offices, including the University Writing Center, University Libraries, Delphi Center for Teaching and Learning, Career Development Center, and LGBT Office.

SIGS and PLAN have regularly hosted special events, including a "Year of the Mentor" focus on mentoring and peer mentoring for graduate students, a visit by *Chronicle of Higher Education* writer Dr. Leonard Cassuto to talk about the job market, Directors of Graduate Studies Reading Groups around topics of graduate education, and international student and women's focused programming [16].

The PLAN has a comprehensive website that provides graduate students with access to upcoming professional development opportunities and events, resources related to graduate student development and success, self-assessment and planning documents, and mentoring resource, including The MentorCenter, a one-stop shop for research, program support, and mentors for graduate students [17].

## Delphi Center for Teaching and Learning

The Delphi Center for Teaching and Learning [18] promotes excellence in teaching and learning in the university community. The administrative offices are located in the Ekstrom Library. The Delphi Center's responsibilities include faculty development, i2a Critical Thinking Initiative coordination (the university's Quality Enhancement Plan), oversight of online education, support for the university's course management system (Blackboard), and instructional design services. In coordination with the University Libraries and REACH, the Delphi Center for Teaching and Learning supports the Digital Media Suite (covered above under REACH). The Delphi Center sends email to all faculty to make them aware of its program offerings.

i2a Critical Thinking Initiative, the university's 2007 Quality Enhancement Plan (QEP) [19], is focused on improving the critical thinking skills of undergraduate students to more effectively prepare them to contribute to society. The goal of the initiative is to provide an education that is centered on a student's ability to bring together skills and knowledge from a variety of disciplines to solve complex problems. The i2a staff provide resources to faculty on implementing the i2a initiative, fostering critical thinking in their students, and incorporating critical thinking into their coursework.

The Delphi Center's Online Learning [20] team coordinates eighteen online programs. The team also maintains data regarding online students and courses, and assists departments with various administrative aspects of online learning, such as how to put a program online.

The Delphi Center also offers the following support and development opportunities for faculty. A number of these resources such as Delphi U are asynchronous and fully available to offsite faculty. For on-campus workshops and events, course materials are uploaded and available to all faculty through Blackboard:

- **i2a Critical Thinking Institute.** A 2-day conference designed to help faculty put critical thinking concepts and tools into their everyday practice inside and outside the classroom [21].
- **Part-Time Faculty Institute.** Provides monthly faculty development workshops designed specifically for part-time faculty. [22].
- **Celebration of Teaching and Learning.** An annual conference that has been hosted by the Delphi Center since 2004. Since its inception, more than 2,400 UofL faculty and staff have taken part, participating in workshops ranging from how to improve student engagement to integrating technology into courses [23].

### Other Training Seminars Offered by the Delphi Center

- Blackboard support for faculty members, staff, and students [24].
- Dine and Discover sessions provide faculty with instructional support on a range of topics such as best practices for engaging students in the learning process, utilizing technology, and evidence-based strategies for overcoming challenges in the classroom [25].
- Delphi U is four and a half-day workshop designed to give faculty the tools and principles they need to create effective, interactive and stimulating online courses [26].
- Delphi U Online is an eight-week online course to prepare instructors to teach online [27].

- Year-long faculty learning communities on a range of teaching and learning topics such as using digital media teaching [28].
- On-demand technology training seminars designed to introduce faculty and staff to best practices with new and emerging technologies [29].
- One-on-one consultations with instructional designers or teaching consultants [30].
- Featured events that are offered periodically on teaching and learning topics of interest to the university community [31].
- A series of professional development programs for the community. Faculty, staff, and alumni may enroll in these professional development programs at a 50 percent discount. Additional funding is possible through the Staff/Faculty Professional Development Small-Grant Fund [32]. Additionally, through the Professional Development Office, a 25 percent discount is offered for Fundamentals of Project Management [33].

### **University Writing Center**

The University Writing Center [34] serves all members of the university community-- undergraduate, graduate, and professional school students, faculty, and staff from both Health Sciences and Belknap campuses. The Center works with them to improve their writing projects and helps them develop into more effective writers. The Writing Center provides one-on-one consultations and tutoring to students (including international students) and faculty; online tutoring to distance education students and off-site students; writing resources; and in-class workshops, and a comfortable place to write. The Writing Center maintains a website, Twitter page, Facebook page, and blog, all aimed at providing additional resources and support to writers and teachers of writing. The Writing Center operating hours are:

Ekstrom Library  
 Monday, Tuesday, Friday 9 am to 5 pm  
 Wednesday, Thursday, 9 am to 8 pm  
 Saturday, 1 pm to 4 pm

Health Sciences Campus  
 Wednesday, 10 am to 3 pm  
 Thursday, 1 pm to 6 pm

The University Writing Center is an active research site on Writing Center theory and practice and serves as an important component of the university's Ph.D. in Rhetoric and Composition program. UofL faculty and graduate students have produced numerous articles, dissertations, and master's projects from research conducted in the University Writing Center.

In addition to providing individualized tutoring, the Writing Center offers workshops covering a variety of writing topics to faculty and their students. In an effort to offer more support to doctoral students and their advisors, the Writing Center, with the support of the School of Interdisciplinary Graduate Studies (SIGS), hosts annual Dissertation Writing Retreats where dissertation writers are given a week to write in a distraction-free environment, to meet with a trained consultant on a daily basis, and to develop strategies and plans that will allow them to complete their dissertation in a timely manner. The Writing Center also facilitates writing groups for junior faculty looking for feedback and support for their writing. The groups are organized by discipline and represent a wide range of departments on both the Belknap and Health Sciences campuses.

To serve the needs of distance education students and other writers both on and off campus, the Writing Center, in coordination with the Delphi Center, provides online writing tutoring in both asynchronous and synchronous formats. In addition, the Assistant Director of the Virtual Writing Center conducts workshops about writing instruction for online instructors.

Table 3 shows Writing Center Usage from 2011 to 2015. Since 2011, the Writing Center has e-mailed clients an exit survey. Survey results consistently indicate a high level of satisfaction with the Writing Center, by both quantitative and qualitative measures. Each year more than 90 percent of respondents have responded with "Strongly Agree" or "Agree" for the following statements:

- "My Writing Center consultation addressed my concerns about my writing project."
- "What I learned during my Writing Center consultation will help me with future writing projects."
- "I plan to use the Writing Center again."
- "The Writing Center staff were welcoming and helpful."

**Table 3. Writing Center Usage from 2011 to 2015**

AY	Number of Appointments		
	Belknap	Health Sciences	Online
2011-2012	3,910	67	796
2012-2013	4,281	116	1,032
2013-2014	4,017	98	1,052
2014-2015	4,048	69	711

### Academic Support Services Related to Diversity and Inclusion

The university also provides the following student academic support:

- Disability Resource Center [35] provides accommodations and advocacy for students with developmental, emotional, intellectual, learning, and physical disabilities. This office advocates for policies and services related to accessibility and compliance with the *Americans with Disabilities Act of 1990*.
- International Student Services/Study Abroad Programs [36] assist and support international students who are not American citizens with visas, homesickness, and linguistic and cultural transitions and can include programs for citizens who seek Study or Education Abroad programs.
- TRIO Student Support Services (TRIO) [37] is a combination of three grants funded by the U.S. Department of Education and UofL. TRIO is committed to helping low-income, first-generation college students and students with disabilities achieve a bachelor's degree. The program's mission is to increase retention and graduation rates by offering academic and personal support. During the academic year, TRIO students receive individual and group advising to foster positive study habits and academic success. Students can take advantage of a comfortable learning environment, financial counseling, leadership opportunities, cultural excursions, and exciting academic workshops. Online learners are welcome to use the services of TRIO, and its staff can be reached by email, Skype, and phone.
- The Society of Porter Scholars [38] is the largest African-American scholarship organization at UofL. Named after former university trustee Woodford R. Porter Sr.,

the scholarship was created in 1984. The society's mission and purpose are to provide support and assistance, academically, personally and socially for the retention of Porter Scholars.

- Student athletes academic support [39] provides comprehensive academic support, counseling, guidance, services, and programming to all UofL student-athletes while promoting self-responsibility, personal growth, and academic development.
- University Honors program [40] provides students with the best of both worlds in terms of college experience: the intimacy of a small college combined with the vast resources of a national research institution. With smaller classes that are more focused on reading, writing, and discussion, students benefit from greater academic rigor alongside more personalized support.
- Diversity Fellows are funded by the School of Interdisciplinary and Graduate Studies to support under-represented graduate students. Fellows are required to attend professional development workshops that encourage a network of support systems, cultural awareness, and access to resources. Students attend monthly check-in-and-connect meetings that intentionally build rapport with the Faculty Advisor. Professional development offerings have ranged from workshops on how to navigate the job market as a diverse applicant, being "the only" in an academic program, Strength Finders techniques, and how to balance work and family life [41].
- Minority Association of Graduate Students (MAGS) (a Resident Student Organization [RSO]) assists underrepresented graduate students. The organization has improved student persistence, elevated student support, and served as a resource to help ensure the academic success of students through the development of educational and social programming [42].

## **Partnerships and Collaboration**

The university has several academic programs that are offered off-site under contracts such as memorandum of agreements/understanding or articulation agreements [43]. All consortial agreements must be approved by the academic unit and be signed by the University Provost. These agreements include joint, dual and collaborative degrees that are managed through the responsible academic units, and the program faculty are responsible for providing oversight and ensuring that appropriate academic support services are offered at the offsite locations. The university also has collaborative partnerships with academic institutions and non-academic partners, such as the engineering degrees offered at the General Electric (GE) Plant in Louisville, Kentucky. Two engineering degrees are taught at that location to GE employees, and the Speed School of Engineering faculty provide the necessary oversight for the program. For more information about consortial agreements see Comprehensive Standard 3.4.7.

**Metropolitan College (MC).** Metropolitan College [44] is a partnership among Jefferson Community and Technical College (JCTC), the University of Louisville, and UPS. Metropolitan College is funded primarily by the state of Kentucky and the Louisville Metro governments. Qualified participants receive a tuition-free education along with employment opportunities.

Metropolitan College is not a program that delivers instructional programs but instead assists students with issues that they encounter as they coordinate education, work, and personal lives. Learning outcomes for Metropolitan College are to reinforce and support the outcomes defined by local education and business partners in the areas of recruitment, academic and/or work performance, retention in the academic setting and the work place, graduation, and job placement.



## SUMMARY

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.

[1] Undergraduate Affairs Office  
3\_4\_9\_fn01.pdf

[2] Undergraduate Council – UGC Charge  
3\_4\_9\_fn02.pdf  
[http://louisville.edu/provost/what-we-do/UGC\\_Charge.pdf](http://louisville.edu/provost/what-we-do/UGC_Charge.pdf)

[3] Delphi Center for Teaching and Learning  
3\_4\_9\_fn03.pdf  
<http://louisville.edu/delphi/>

[4] University Honors Program  
3\_4\_9\_fn04.pdf  
<http://louisville.edu/honors/>

[5] McConnell Center  
3\_4\_9\_fn05.pdf  
<http://louisville.edu/mcconnellcenter>

[6] Structure of Academic Advising  
3\_4\_9\_fn06.pdf  
<http://louisville.edu/advising/about/structure>

[7] Undergraduate Advising Practice  
3\_4\_9\_fn07.pdf  
<http://louisville.edu/advising/>

[8] Directors of Graduate Study Webpage  
3\_4\_9\_fn08.pdf  
<https://louisville.edu/graduate/faculty-staff/directors-of-graduate-studies>

[9] SIGS Graduate—Rules to Advise By  
3\_4\_9\_fn09.pdf  
<http://louisville.edu/graduate/faculty-staff/graduate-advisors>

[10] Resources for Academic Achievement (REACH)  
3\_4\_9\_fn10.pdf  
<http://reach.louisville.edu/>

[11] Resources for Academic Achievement (REACH) Ambassadors  
3\_4\_9\_fn11.pdf

- [12] Military and Veterans Student Services  
3\_4\_9\_fn12.pdf  
<http://louisville.edu/admissions/apply/transfer/veterans/>
- [13] Office of Transfer and Adult Services  
3\_4\_9\_fn13.pdf  
<http://louisville.edu/admissions/apply/transfer>
- [14] School of Interdisciplinary and Graduate Studies  
3\_4\_9\_fn14.pdf  
<http://louisville.edu/graduate/>
- [15] SIGS PLAN  
3\_4\_9\_fn15.pdf  
<http://louisville.edu/graduate/plan/>
- [16] SIGS PLAN past events  
3\_4\_9\_fn16.pdf  
<http://louisville.edu/graduate/plan/past-plan-events>
- [17] SIGS MentorCenter  
3\_4\_9\_fn17.pdf  
<http://louisville.edu/graduate/mentorcenter>
- [18] Delphi Center for Teaching and Learning  
3\_4\_9\_fn18.pdf  
<http://louisville.edu/delphi/>
- [19] i2a Critical Thinking Initiative, Quality Enhancement Plan  
3\_4\_9\_fn19.pdf
- [20] Delphi Center Online Learning Team  
3\_4\_9\_fn20.pdf  
<http://louisville.edu/online/About-Us/meet-our-team>
- [21] i2a Critical Thinking Initiative Institute  
3\_4\_9\_fn21.pdf
- [22] Part-Time Faculty Institute  
3\_4\_9\_fn22.pdf  
<http://louisville.edu/delphi/programs/ptf/institute>
- [23] Celebration of Teaching and Learning  
3\_4\_9\_fn23.pdf  
<http://louisville.edu/delphi/programs/celebration>
- [24] Blackboard Support for Faculty Members, Staff, and Students  
3\_4\_9\_fn24.pdf  
<http://louisville.edu/delphi/blackboard>
- [25] Dine and Discover Sessions  
3\_4\_9\_fn25.pdf  
<http://louisville.edu/delphi/programs/discover>

- [26] Delphi U  
3\_4\_9 fn26.pdf  
<http://louisville.edu/delphi/programs/delphiu>
- [27] Delphi U Online  
3\_4\_9 fn27.pdf
- [28] Year-long Faculty Learning Communities  
3\_4\_9 fn28.pdf  
<http://louisville.edu/ideastoaction/programs/communities>
- [29] On-demand Technology Training Seminars  
3\_4\_9 fn29.pdf  
<http://louisville.edu/delphi/resources/training>
- [30] One-on-one Consultations with Instructional Designers or Teaching Consultants  
3\_4\_9 fn30.pdf  
<http://louisville.edu/delphi/resources/consultation>
- [31] Featured events  
3\_4\_9 fn31.pdf  
<http://louisville.edu/delphi/programs/featured>
- [32] Staff/Faculty Professional Development Small-Grant Fund  
3\_4\_9 fn32.pdf  
<http://louisville.edu/president/special-programs-initiatives/small-grant-development-program>
- [33] Fundamentals of Project Management  
3\_4\_9 fn33.pdf  
<http://louisville.edu/professionaldevelopment/>
- [34] University Writing Center  
3\_4\_9 fn34.pdf  
<http://louisville.edu/writingcenter>
- [35] Disability Resource Center  
3\_4\_9 fn35.pdf  
<http://louisville.edu/disability>
- [36] International Student Services/Study Abroad Programs  
3\_4\_9 fn36.pdf  
<http://louisville.edu/internationalcenter/iss>
- [37] TRIO Student Support Services  
3\_4\_9 fn37.pdf  
<http://louisville.edu/trio>
- [38] Porter Scholars  
3\_4\_9 fn38.pdf  
<http://louisville.edu/culturalcenter/retention/porter>

[39] Student Athletes Academic Support  
3\_4\_9 fn39.pdf  
<http://www.uoflsports.com/index.aspx?path=acadservices&>

[40] University Honors program  
3\_4\_9 fn40.pdf  
<http://louisville.edu/honors>

[41] SIGS Diversity Fellow Check-in and Connect  
3\_4\_9\_fn41.pdf  
<http://louisville.edu/graduate/mags/diversity-fellows>

[42] SIGS Minority Association of Graduate Students (MAGS)  
3\_4\_9\_fn42.pdf  
<http://louisville.edu/graduate/mags>

[43] Consortial Academic Programs  
3\_4\_9 fn43.pdf

[44] Metropolitan College  
3\_4\_9 fn44.pdf  
<http://metro-college.com/what-is-it>

### 3.4.10

#### Educational Programs: All: Responsibility for curriculum

The institution places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

Primary responsibility for all content, quality, and effectiveness of University of Louisville (UofL) curriculum (both face-to-face and distance learning) rests in the hands of the faculty. All units of the university follow the direction of the university's governance document, *The Redbook*, which states:

"Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to...the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions shall be consistent with enumerated policies of the Board of Trustees. For interdisciplinary degree programs and tracks, academic authority will be shared among the faculties of the participating units as specified in the Bylaws of the School of Interdisciplinary and Graduate Studies" [1].

*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" [2].

Ultimate responsibility for the curriculum rests with the Faculty Senate, who "shall have jurisdiction over all matters involving the educational policies of the University insofar as this jurisdiction is not reserved to the faculties of the academic units. The establishment or termination of any degree-granting program shall require action by the Board of Trustees and such proposal shall first be submitted to the Faculty Senate for a recommendation" [3].

Units participating in graduate education must act in "accordance with the *Minimum Guidelines for Graduate Education* and appropriate unit guidelines" [4]. The *Minimum Guidelines for Graduate Education* state, "To ensure high quality graduate education programs, the university maintains minimum guidelines for admission and performance of graduate students, for faculty involvement in graduate education and for proper academic administration. The faculties of the enrollment units have the academic authority and responsibility to establish rigorous and effective: admission requirements, curricula . . ." [5a] [5b] [5c] [5d] [5e] [5f] [5g] [5h] [5i] [5j] [5k].

Distance education courses and degree programs must go through the same rigorous process for approval and must meet the same standards for student learning outcomes and program objectives as more traditional classroom format courses.

Academic units grant responsibility to a curriculum committee or elected body of the faculty for the consideration and approval of new programs or courses and for modifications to existing courses, curriculum, or degree programs. In some cases, curricular proposals are

forwarded to a curriculum committee from a full departmental faculty committee. In order to maintain high-level academic programs, these bodies are charged with coherence, oversight of the integrity, rigor, relevancy, need, and effectiveness of the curriculum. Final unit approval occurs either at a full faculty meeting or by the approval of an elected Faculty Assembly body within the unit [6]. Once approved by the unit faculty, all new courses, course revisions, or deletions must be submitted to the provost office on a Course Inventory File Form (CIF) [7] [8].

To ensure the effectiveness of curriculum faculty consider current research in the field of study; the skills students need to be proficient in the field; and requirements of accrediting bodies, if applicable. Some programs, such as those in the School of Dentistry [9], acquire feedback from external groups and develop recommendations for improvement. For the educator preparation programs in the College of Education and Human Development, program faculty submit Program Review Documents to be approved by the Kentucky Educator Professional Standards Board that show the alignment of the proposed program with the Kentucky State Teacher Standards and professional accreditation standards [10]. Some programs conduct regular and comprehensive analyses of the effectiveness of their curriculum and revise as needed. The Speed School of Engineering conducted curricular reviews of all of its programs in 2014 [11]. The Brandeis School of Law makes curriculum review a part of its strategic planning process [12].

### **New Program Approval Process**

Coordination for all new program approvals is handled in the Provost's Office, which serves as the contact between the various university entities as well as with the Kentucky Council on Postsecondary Education (CPE), who through KRS 164.020 (15) is empowered to give ultimate approval to all new programs [13]. The Kentucky Education Professional Standards Board (EPSB) [14] approves all teacher certification and other educator preparation programs. A proposal for a new degree program must receive full approval from the unit faculty and dean, the provost's office, and Faculty Senate before being recommended to the Board of Trustees. Interdisciplinary degrees must have approval of all involved units, the Graduate Council, and the provost's office. A detailed summary of the new academic program approval process is included under Comprehensive Standard 3.4.1.

The new academic program proposal process [15] ensures that significant discussion and consideration of the need for the program as well as its ability to support the university's mission and Strategic Plan [16] and the unit's mission have been thoroughly examined. The proposal must clearly list the objectives of the new program, the rationale for the need, and provide an indication of a demand for the program. The faculty must structure the curriculum to meet stated student learning outcomes.

### **Student Learning Outcomes Reports**

Each fall, program faculty review data surrounding student learning outcomes and complete Student Learning Outcomes (SLO) reports that assess students' progress toward the program's learning outcomes. SLO reports contain the following six components:

- Program Mission (aligned with the university's mission)
- Program Goals (aligned with the program mission)
- Student Learning Outcomes (aligned with the program's goals)
- Measures and Targets for each learning outcome
- Findings from the previous year's assessment
- Action Plan for the coming year [17]

This process asks faculty to analyze data surrounding the program's student learning outcomes and to develop an action plan to address any identified deficiencies. Student Learning Outcomes Reports and processes are explained in detail in Comprehensive Standard 3.3.1.1.

### **Program Accreditation**

In addition to our commitment to internal review and evaluation, one of UofL's goals is to seek and obtain accreditation from external bodies whenever it is available. The Institutional and Program Accreditation Schedule details the accreditation status of the university and its academic programs [18].

Discipline-based accreditation provides an opportunity for academic programs and their faculty to demonstrate that there is a commitment to maintain their programs' quality and that programs are performing at the level required by the professions they serve. These accrediting agencies have established standards for student learning outcomes that are incorporated into assessment activities at the program and course levels. In most cases, the external program accreditation process provides written feedback to the academic program. Deans and program faculty are expected to thoroughly review the accreditation report and use the findings from the discipline-based assessment for both program and curricular improvement.

### **Academic Program Review**

Academic program reviews are coordinated by a multidisciplinary, faculty-led committee composed of ten faculty and two student representatives. Faculty representation on the academic program review committee is derived from appointments by UofL's Undergraduate Council, Graduate Council, Faculty Senate, the School of Interdisciplinary and Graduate Studies (SIGS), Staff Senate, and the Office of the Executive Vice-President for Research.

Academic programs undergo review every ten years, in which faculty review the alignment of the program with the university's mission and statewide goals; the attainment of student learning outcomes and success; student enrollment and completion data; curriculum changes; and student, alumni, and employer feedback on the program. The review template calls for program faculty to evaluate the effectiveness of the program in meeting its student learning outcomes, program goals, and the goals of the university and to make plans for improvement [19]. Programs complete a five-year progress report to provide an update on the plan for improvement from the previous program review [20].

### **General Education Assessment of Student Learning**

The General Education Curriculum Committee (GECC) [21] provides the oversight for the implementation and ongoing development of the university's general education program, including its specific competencies, content areas, and learning outcomes [22]. The committee consists of faculty representatives from Arts and Sciences, Engineering, Business, Dentistry, Education, Music, Nursing, and Libraries, along with two students nominated by the Student Government Association. GECC reviews the overall general education program and courses offered. It develops assessment measures, oversees their implementation, and assesses their effectiveness. The GECC also revises the general education program as needed for continuous improvement or as mandated by changes to the university, the Kentucky Council on Postsecondary Education (CPE), or SACS requirements. Additional information on general education can be found in Comprehensive Standards 3.5.1 and 3.5.3.

## SUMMARY

Primary responsibility for all content, quality, and effectiveness of University of Louisville curriculum (both face-to-face and distance learning) rests in the hands of the faculty. All units of the university follow the direction of the university's governance document, *The Redbook*, which allows units and faculty purview over their curriculum. Academic units grant responsibility to a curriculum committee or elected body of the faculty for the consideration and approval of new programs or courses and for modifications to existing courses, curriculum, or degree programs. Distance education courses and degree programs must go through the same rigorous process for approval and must meet the same standards for student learning outcomes and program objectives as more traditional classroom format courses.

[1] *The Redbook*, Section 3.3.2, Jurisdiction and Purpose  
3\_4\_10\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.2.3>

[2] *The Redbook*, Section 3.3.5, Divisional or Department Chairs  
3\_4\_10\_fn02.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.5>

[3] *The Redbook*, Section 3.4.2, Faculty Senate  
3\_4\_10\_fn03.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.4.2>

[4] *Minimum Guidelines for Graduate Education*  
3\_4\_10\_fn04.pdf

[5] Unit Minimum Guidelines for Graduate Education

[5a] School of Business  
3\_4\_10\_fn05a.pdf

[5b] College of Education and Human Development  
3\_4\_10\_fn05b.pdf

[5c] College of Arts and Sciences  
3\_4\_10\_fn05c.pdf

[5d] School of Dentistry  
3\_4\_10\_fn05d.pdf

[5e] Kent School of Social Work  
3\_4\_10\_fn05e.pdf

[5f] School of Medicine  
3\_4\_10\_fn05f.pdf

[5g] School of Music  
3\_4\_10\_fn05g.pdf

[5h] School of Nursing  
3\_4\_10\_fn05h.pdf



- [5i] School of Interdisciplinary and Graduate Studies  
3\_4\_10\_fn05i.pdf
- [5j] J. B. Speed School of Engineering  
3\_4\_10\_fn05j.pdf
- [5k] School of Public Health and Information Sciences  
3\_4\_10\_fn05k.pdf
- [6] How Faculty Approve Curriculum in Units  
3\_4\_10\_fn06.pdf
- [7] Course Inventory File (CIF)  
3\_4\_10\_fn07.pdf  
<http://louisville.edu/oapa/institutional-research-and-planning/course-inventory-form-cif>
- [8] Curriculum Flow Chart  
3\_4\_10\_fn08.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/cif-approval-process-flowchart>
- [9] Example of Curriculum Process, School of Dentistry  
3\_4\_10\_fn09.pdf
- [10] Gifted Education Program Review Document, College of Education and Human Development  
3\_4\_10\_fn10.pdf
- [11] Review of Curriculum 2014, Speed School of Engineering,  
3\_4\_10\_fn11.pdf
- [12] Curriculum as a Part of Strategic Planning, Brandeis School of Law  
3\_4\_10\_fn12.pdf
- [13] KRS 164.020 (15), Powers and Duties of Council  
3\_4\_10\_fn13.pdf
- [14] Kentucky Educational Professional Standards Board  
3\_4\_10\_fn14.pdf
- [15] New Academic Program Development Process  
3\_4\_10\_fn15.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>
- [16] 2020 Strategic Plan  
3\_4\_10\_fn16.pdf  
<http://louisville.edu/president/special-programs-initiatives/2020-strategic-plan-1>
- [17] Student Learning Outcome Reports  
3\_4\_10\_fn17.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>

[18] UofL Program Accreditations  
3\_4\_10\_fn18.pdf  
<http://louisville.edu/accreditation>

[19] Ten-Year Academic Program Review Template  
3\_4\_10\_fn19.pdf  
<http://louisville.edu/oapa/academic-program-review-process>

[20] Five-Year Progress Report Template  
3\_4\_10\_fn20.pdf  
<http://louisville.edu/oapa/academic-program-review-process>

[21] General Education Curriculum Committee  
3\_4\_10\_fn21.pdf  
<http://louisville.edu/provost/ger/gecc>

[22] General Education Competencies Content Areas, and Learning Outcomes of the General Education Program  
3\_4\_10\_fn22.pdf  
<http://louisville.edu/provost/ger/ger-preface>

### 3.4.11

#### **Educational Programs: All: Academic program coordination**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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* [1]. The university's Inventory of Degree Programs [2] lists all UofL programs by academic unit and degree level.

*The Redbook* 3.3.2 [3], states that "each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. For interdisciplinary degree programs and tracks, academic authority will be shared among the faculties of the participating units as specified in the by-laws of the School of Interdisciplinary and Graduate Studies."

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.

The academic units at the university define "field" as a specialized area of knowledge and related scholarship and instructional practices. Individuals who are specialists in a given field have specialized training and/or educational or other related experiential experiences that qualify them to teach their assigned courses.

The program coordinating activities within each of the degree-granting schools can include:

- Administering academic processes including entrance criteria, progress, retention, discipline, dismissal, and graduation in conjunction with the appropriate departments, affiliated institution, and committees;
- Advising the department or overseeing the committee that regularly advises the department on curriculum review and revision;
- Identifying, developing, and proposing program curricular changes as needed and implementing changes once they have been approved through the university's curriculum process;

- Scheduling or participating in scheduling of program classes, with a focus on ensuring that the schedule provides ample opportunity for students to take required courses in a timely fashion;
- Advising students and/or overseeing advising of students in the program;
- Evaluating or overseeing the regular evaluation of courses, including course syllabi, course learning outcomes, and student success as evaluated in the program's annual Student Learning Outcomes Report;
- Providing oversight in completing annual Student Learning Outcomes reports in which they assess student learning and the quality of their programs and make plans for improvement of student learning and the program;
- Conducting or overseeing degree checks;
- Assisting graduating students with placement in further educational programs or in employment;
- (In graduate programs) overseeing the administration and evaluation of preliminary and/or comprehensive examinations and theses, dissertations, and other culminating projects;
- Serving as liaisons to accreditors, licensing organizations, community boards or partners and grant or contracting agencies (local, state, federal);
- Completing Academic Program Reviews (following a Kentucky Council on Postsecondary Education [CPE]-developed template) every ten years and a Progress Report every five years.

All of these processes contribute to the continuing improvement of program quality.

Program coordinators are also responsible for coordinating any off-campus or online program activities. For programs with international agreements or partnerships, the coordinator may have an additional onsite or offsite partner or liaison who helps with the administration of the program [4].

The program coordination rosters prepared for each degree-granting unit outline the academic qualifications for faculty with these designated responsibilities:

- College of Arts and Sciences [5]
- College of Business [6]
- School of Dentistry [7]
- College of Education and Human Development [8]
- School of Interdisciplinary and Graduate Studies [9]
- Kent School of Social Work [10]
- Brandeis School of Law [11]
- School of Medicine [12]
- School of Music [13]
- School of Nursing [14]
- School of Public Health and Information Sciences [15]
- J.B. Speed School of Engineering [16]

Many academic units also hold external program accreditation that requires that program coordination be performed by academically qualified individuals [17].

## **SUMMARY**

At the University of Louisville, academic deans have responsibility for program coordination within their respective units. Generally, deans 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. The academic units at the university define "field" as a specialized area of knowledge and related scholarship and instructional practices.

[1] *The Redbook*, Chapter Three: Organization and Governance of the Academic Programs  
3\_4\_11\_fn01.pdf

[2] Inventory of Degree Programs  
3\_4\_11\_fn02.pdf

[3] *The Redbook*, Sec. 3.3.2  
3\_4\_11\_fn03.pdf

[4] Off-site Programs Coordinators Roster  
3\_4\_11\_fn04.pdf

[5] College of Arts and Sciences Program Coordinators Roster  
3\_4\_11\_fn05.pdf

[6] College of Business Program Coordinators Roster  
3\_4\_11\_fn06.pdf

[7] School of Dentistry Program Coordinators Roster  
3\_4\_11\_fn07.pdf

[8] College of Education and Human Development Program Coordinators Roster  
3\_4\_11\_fn08.pdf

[9] School of Interdisciplinary and Graduate Studies Program Coordinators Roster  
3\_4\_11\_fn09.pdf

[10] Kent School of Social Work Program Coordinators Roster  
3\_4\_11\_fn10.pdf

[11] Brandeis School of Law Program Coordinators Roster  
3\_4\_11\_fn11.pdf

[12] School of Medicine Program Coordinators Roster  
3\_4\_11\_fn12.pdf

[13] School of Music Program Coordinators Roster  
3\_4\_11\_fn13.pdf

[14] School of Nursing Program Coordinators Roster  
3\_4\_11\_fn14.pdf

[15] School of Public Health and Information Sciences Program Coordinators Roster  
3\_4\_11\_fn15.pdf

[16] J. B. Speed School of Engineering Program Coordinators Roster  
3\_4\_11\_fn16.pdf

[17] External Accreditations by Program  
3\_4\_11\_fn02.pdf  
<http://louisville.edu/accreditation>

### 3.4.12

#### **Educational Programs: All: Technology use**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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 mission of the University of Louisville's Information Technology (IT) [1] is to support and enhance the teaching and learning, research, and service goals of the university through effective, customer-focused technology resources. The university has built an extensive data network, including a 40Gbps campus backbone network and a high-speed inter-campus fiber network providing access to university applications and the Internet. The university has multiple high-speed Internet access points, including Internet service through private circuits, and the Kentucky Regional Optical Network (KyRON). The university is a member of the Internet2 network. The breadth of university internet services also provides appropriate access for students in off-site locations and enrolled in online programs.

Information Technology provides wireless coverage in 100 percent of the classrooms and instructional spaces on Belknap, Shelby, and the Health Sciences Campus through 2,300 wireless access points. The wireless network uses 802.11n access points that provide data rates at up to 150 Mbps. All wireless access points are dual band capable, operating in both the 2.4 GHz and 5.0 GHz radio spectrum, and are capable of providing less interference and more bandwidth to user devices. Auditoriums and areas where large numbers of students gather are engineered to maintain availability of service for a large number of devices. The wireless service provides students with encrypted access to keep their personal information secure. An open visitor wireless service is available for parents and guests [2].

IT has several advisory teams [3] and also consults with the faculty, staff, and student governance groups in decision making, using input from each advisory committee, the university's strategic plan, the university community, and assessment data. The Academic Technology Committee (ATC) serves as the primary advisory committee to IT for academic technology concerns and has played a key role in researching new technologies. The ATC completed an evaluation of classroom capture software that led to the selection and purchase of Tegrity [4] in June 2008. The ATC has recently (2015) been tasked with developing a continuity of instruction plan for the university. Continuity of instruction is defined as the capability of faculty to address the challenges of continuing instruction without being able to meet with students face-to-face [5]. The plan allows for students in face-to-face courses to continue the learning process regardless of inclement weather or other disruptions. The plan benefits students regardless of location in a manner that is similar to the experience of students in online courses.

In 2010, in conjunction with the ATC, IT completed a study of technology in UofL's learning spaces [6]. The study included an assessment of classroom technology compared to the university's benchmark institutions, a review of then current literature, and the solicitation of input from faculty and students through surveys and focus groups. The study resulted in the creation of thirteen recommendations with respect to the university's learning spaces, with an overall goal to equip 100 percent of the university's learning spaces with a minimum level of technology [7]. This level included: a data projector or smart board and electric screen with an option to use a big screen television, a control system, input panel, network access (wired or wireless), amplifier and speakers, and a dedicated computer. Since 2010, the university has improved the number of classrooms meeting this standard from 43 percent to 72 percent on Belknap Campus, with 100 percent compliance on the Health Sciences Campus.

IT also works collaboratively with several units on campus to ensure the efficient and effective delivery of technology services in support of student learning. Two key partnerships in this endeavor include the Delphi Center for Teaching and Learning [8] and REACH (Resources for Academic Achievement) [9]. IT has a Service Level Agreement with the Delphi Center to support the university's Blackboard Learning Management System and meets regularly to ensure service expectations are being met. IT also has an agreement with REACH to manage the iTech Zone [10], the public computing facility on the Belknap Campus. REACH provides extensive training to their student workers in support of their mission to provide undergraduate tutoring services. REACH has brought a new and much-needed level of support to the students utilizing this facility.

The university participates in the annual student technology surveys conducted by the Educause Center for Analysis and Research (ECAR). The 2013 ECAR Study of Undergraduate Students and Technology [11] found that 67.4 percent of responding UofL students believed that most or all of their instructors use technology effectively, slightly above the 64.6 percent national average. The study also demonstrated that 63.8 percent of respondents learn the most from courses with some online components. Additionally, the ECAR study informed IT that 94.2 percent of responding students owned laptops and 84.1 percent of students owned a smartphone.

Using these results has allowed IT to improve support of the devices students are most likely to own, use, and bring to campus. With this information, IT works with the ATC to develop plans and strategies for enhancing the teaching and learning experience in all learning spaces, ensuring that the university is providing the right institutional resources for academic success and student engagement.

### **Access to Appropriate Technology**

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. Student userID and password credentials provide access to Ulink (the student's portal to register for classes, manage their accounts, view their transcript, and more), Blackboard, and email.

Additionally, the GlobalProtect VPN allows a user from a remote location, public network, or Internet service to securely connect to protected University resources that are not accessible off-campus (e.g., file servers, print servers, SQL servers, remote logins to computers) [12] [13]. Using the VPN ensures that university resources are accessed in a



secure manner. The VPN is ideal for accessing sensitive data, such as HIPAA, FERPA and Research data, when not on the university campus.

Two public computing center facilities supported by central IT are available to faculty and students: 1) iTech Zone, located in the lower level of the Miller Information Technology Center (MITC) on Belknap Campus, containing forty-seven computers, one pay-for-print station, and one scanner; and 2) the Health Sciences Computer Center, located in the K-Wing, Room 2016, containing six computers and one pay-for-print station [14] [15]. IT also provides support to faculty, staff, and students in person at iTech Connect [16] as well as by phone, email, and Live Chat through the IT HelpDesk [17]. In a fall 2012 survey of UofL faculty and staff, 80.2 percent of respondents who had used HelpDesk services reported being “extremely satisfied” or “satisfied” [18]. IT used data from these surveys as well as student satisfaction surveys to improve the experience of faculty, staff, and students using the HelpDesk. For example, in 2014 feedback resulted in the installation of an automated information call attendant which allowed HelpDesk analysts to spend more time on individual calls.

IT provides discounted or free software for faculty, staff, and students through the iTech Xpress technology store [19] [20] [21]. This includes the Microsoft Campus Agreement for Work and Home, Adobe, Maple, SAS and SPSS, EndNote, and other miscellaneous software. Software may be purchased online or in the store. Students may also download Office 365 Pro Plus for free and employees can participate in Microsoft’s Home Use program for a nominal fee.

The University Libraries (UL) support student learning by providing access to technology that is appropriate to the institutions’ programs. The UofL locations provide nearly 300 general use computers for students to access library resources and to complete curricular requirements. Ekstrom Library and Kornhauser Health Sciences Library have laptop and tablet lending programs for students, with over 100 laptops and tablet devices available for loan [22]. The Brandeis School of Law Library supports student use of online research resources, such as Westlaw, Lexis-Nexis, Bloomberg Law, and use of online CALI (Computer-Assisted Legal Instruction) exercises [23]. The University Libraries deploy additional technologies in support of their mission.

A collaborative effort by the University Libraries, the Delphi Center, and REACH provides the Digital Media Suite (DMS), a state-of-the-art computer media lab in the Learning Commons of UofL’s Ekstrom Library. The lab is equipped with the latest video, image, and audio editing software and is available to beginner, intermediate, and advanced UofL faculty and students working on presentations and multimedia assignments [24]. From August 20, 2014 to December 19, 2014, 513 students visited the DMS [25].

Blackboard [26], the university’s learning management system, provides a common, cross-campus learning environment that students and faculty have embraced. All faculty have convenient access to Blackboard, and usage is increasing each semester. A Blackboard course shell is created for every course offered by the university. Blackboard has grown from 1,158 courses for spring 2006 to 7,564 courses for spring 2015. Of these Blackboard course shells, 76 percent are actively being used. Blackboard is administered and supported by the Delphi Center for Teaching and Learning, which also provides additional resources and both face-to-face and online training for faculty. Another access point is ULink, the student’s portal to register for classes, manage their accounts, view their transcript, and more. All students are provided with a Microsoft Office 365 account (CardMail), which includes email, SharePoint, and Lync instant messaging, as well as free access to the full Microsoft Office suite of products and a 50 GB OneDrive.

UofL's IT subscribes to Blackboard's mobile application services. Through ULMobile [27], the university provides access to course schedules, event calendars, maps, news, campus tours, library services, and more on smart devices for students, employees, and parents.

IT custom developed a "Card Safety" application for ULMobile, which includes an automatic dialer for 911, information on reporting crimes, crime prevention, and how to handle other types of emergencies. The application developed at UofL has been shared with over twenty other higher education institutions.

### **Training and Support to Address Instructional Objectives**

The university provides a variety of resources for students, including e-mail, computing facilities, access to training, technology support, and discounted software. Information Technology offers free instructional short courses to UofL faculty, staff, and students for a variety of software applications. Most courses are offered on both the Belknap and Health Sciences Center campuses [28]. Faculty, staff, and students can also connect to Microsoft's Training site for free online training for Microsoft applications, including the entire Microsoft Office suite. Microsoft E-Learning is designed for faculty and staff. Microsoft IT Academy [29] is geared toward students. This training can be taken anytime at their own pace from their office or home. Microsoft E-Learning and Microsoft IT Academy are not UofL-specific trainings.

In order to ensure a successful transition to college, incoming undergraduate students (both first-year and transfer) receive training on basic university systems such as Blackboard and Ulink. These students receive their initial training during mandatory orientation sessions [30]. First-year students attend these orientations in person, while transfer students can choose whether to attend orientation in person or online. First-year students receive further training on Blackboard and Ulink as part of GEN 101 courses offered by their academic units. The School of Interdisciplinary and Graduate Studies (SIGS) partners with Delphi each fall term to offer Blackboard workshops for new Graduate Teaching Assistants [31].

The Delphi Center Instructional Design and Technology (IDT) team offers a faculty development opportunity for faculty wanting to teach online. Delphi U [32], Delphi U Online [33], Survivors Guide for Teaching Online, Instructional Resources [34], and other online resources are offered to faculty teaching online/blended courses. Training ranges from one-on-one consultation to workshops on specific instructional technologies, such as iClicker and SoftChalk, and how to use them effectively in the classroom.

Training in the use of the Digital Media Suite (DMS) is provided by specially trained student tutors. These tutors also provide technical assistance, are trained to analyze and evaluate the progress of a project, and are willing to give constructive criticism and inspirational guidance on a variety of media projects.

IT Instructional Support also provides training and support to faculty on the use of technology in the classroom. An email note is sent to all faculty at the beginning of each semester informing them of the opportunity to request training on the use of technology in the classroom. A full list of services, including forms to request training and audio visual equipment, is available on the IT Classroom Support website [35].

The University Libraries' faculty provide library and information literacy instruction to students through individual class sessions integrated into UofL courses by instructor request. UofL faculty can request sessions for their courses. Along with traditional face-to-

face classes, synchronous online instruction for distance courses is available and can be requested in the same manner [36]. Faculty teaching in international programs and off-site dual degree programs can request classes as well. All sessions are tailored to the objectives of the particular class and often incorporate active, hands-on learning with relevant information technology, including library databases.

The College of Education and Human Development (CEHD) operates an Education Research Technology Center (ERTC) to support university students and CEHD faculty in their use of technology [37]. The technology available in the ERTC is adopted specifically to meet the technology training and needs of students preparing to be school teachers or other educators.

The College of Business (COB) operates three computer labs for students with over 80 computers, including 10 Macs. Each computer is equipped with a wide assortment of software [38]. In addition, the COB maintains a teaching lab in Davidson Hall. This lab is the primary computer lab used for the instruction of CIS 100 and CIS 300, the two required technology courses for all COB students. In 2014, the College of Business IT staff implemented a Virtual Desktop Infrastructure (VDI) environment, replacing the aging student workstations in the computer lab with HP zero-clients. The VDI environment allows for streamlined support in terms of hardware and software support in addition to a lower Total Cost of Operations (TCO) [39]. The computer lab uses one instructor workstation connected to two high resolution overhead projectors.

The Speed Information Technology Group, formed in 2012, is comprised of a director and five full-time systems analysts who together are responsible for the planning, development, implementation, and maintenance of information systems, databases, and custom applications for the Speed School of Engineering. The Speed IT Group collects, analyzes, and interprets data, with a focus on support of assessment and planning, supports Speed School with basic technology and leads the School's technology planning. The Speed IT Group also creates presentations, publications, and reports; coordinates WEB-based information delivery, particularly within SharePoint environment; serves as liaison with major university offices responsible for information systems and research; coordinates Speed School's use and training of enterprise systems; provides consultation and support for users in administration, academics, and research areas concerning statistical needs, data gathering, and data processing; manages data warehouse for surveys, requests for information, and accreditation data needs; serves as the resource for departments regarding data needs; administers primary support to the tablet user base of the engineering student body; and provides support to the entire Speed School community (faculty, staff, and students) through the Speed IT Help Desk [40].

### **Using Technology to Enhance Student Learning**

Students and faculty in all academic units use computers, the internet, and special software applications. Eighty-six percent of first-year students and seniors responding to the 2009 National Survey of Student Engagement felt that UofL emphasizes using computers in academic work "very much" or "quite a bit" [41]. The university has incorporated technology into the curriculum for the enhancement of student learning. Several units have implemented specific technology requirements for their students. Many programs identify and assess student learning related to technology in their annual Student Learning Outcomes reports (SLOs).

The College of Arts and Sciences (A&S) maintains 71 pool classrooms that are equipped with at least the minimum technology standards as set by Information Technology [42].

Pool classrooms are classrooms not assigned to any particular department. A&S has scheduling priority for these classrooms, but when they are available other colleges may use them. In addition to the pool classrooms, several departments in A&S maintain their own computer labs for classroom instruction. Many of these are available to students when they are not otherwise in use [43].

College of Business students are required to take two courses with a technology focus (CIS 100 and CIS 300). The CIS 100 course, currently titled Introduction to Microcomputer Applications, introduces fundamental business computing concepts with a goal of increasing computer literacy. Computer literacy refers to a functional understanding of the fundamentals of computers and their uses. One of the primary concepts taught in CIS 100 is the identification of data and how computers manipulate data to create usable information. In addition to computing fundamentals, the course also provides an introduction to the use of Microsoft® Access™ and Microsoft® Excel®, with a general overview of how they are used in business. Today's college graduates are entering the workforce as knowledge workers expected to add value to the information economy. The CIS 100 course emphasizes employer expectations that college graduates are fluent in the use of computers and technology [44] [45]. The CIS 300 course, currently titled Computer Information Systems, extends the primary concept of transforming data into information and emphasizes the use of computer applications coupled with business knowledge to help address/solve existing business problems. The course utilizes a problem-solving cases textbook that focuses on the use of Microsoft® Access™ and Microsoft® Excel® in real-world business situations. Students receive enough instruction in the CIS 300 course to prepare them to earn a Microsoft Office Specialist credential in Microsoft® Excel®. While the course does not currently offer the credentialing process at UofL, students are encouraged to earn the credential to boost their employability [46] [47].

The Dental School's main facility for preclinical laboratory instruction is the \$1.8 million Simulation Clinic with two connected laboratories that can accommodate 121 students. Each of the 121 individual workstations has a monitor that enables the viewing of computer and web-based instructional programs, CDs, DVDs, video tapes, intraoral camera input, and slide projection [48]. The audio/visual technology in lecture halls 124, 125, 127 and 131 are computer-controlled facilities, including internet and internet access, VCR, and Elmo visual presenter. The Dental Education Center (119) is also available for pre-doctoral didactic instruction. Audio/visual services (closed circuit television, teleconferencing, etc.) are provided by the Information Technology Department located in the basement of the School of Dentistry.

The College of Education and Human Development's (CEHD) use of technology is important for the unit's Continuous Assessment System. Student performance is systematically monitored and tracked, and educator preparation programs use data to inform curricular, assessment, and program-based decisions. The use of technology allows for easy data collection and management. With assessment points that are unique to CEHD, the unit has implemented multiple electronic systems to meet the data collection and analysis needs of the unit. LiveText™ (an assessment management system) is used by both students and faculty for performance feedback and standards-based assessment. Students are required to purchase a LiveText account and submit Hallmark Assessment Tasks in LiveText. Faculty use LiveText to assess student work and to provide feedback. A Continuous Assessment Records and Documentation System (CARDS) works in conjunction with LiveText™ web-based software to monitor student performance and progress throughout a program. LiveText is also used in conjunction with Peoplesoft and iStrategy for standards-based assessment of student learning for program improvement [49] [50].

Kent School of Social Work classes are administered via a Blackboard site. Within these sites various technologies are used to enhance learning. Students can sign up for a variety of trainings via the Delphi Center at UofL. Faculty can also sign up for a variety of trainings via the Delphi Center on how to successfully include technology in their classrooms.

Brandeis School of Law students may take most exams on their personal laptops using Exam4, a secure, exam-taking application licensed to and supported by the law school. First-year students are required to attend a policy and training session about Exam4 before their first exam each fall semester. The entire first-year class (90-130 students) receive this training [51].

The School of Medicine (SOM) recently underwent a \$9.6 million renovation of its learning, library, and study space. As part of this renovation, the school created one of the premier interactive learning spaces in the nation [52]. This newly renovated space is used for peer-led facilitated learning, using the students own devices, tablets, or computers to share educational materials. Faculty can select tables to share this content to all of the other 29 tables around the room. Additionally, there are twelve break-out rooms per floor, all of which can be interacted with from the central learning spaces. These break-out rooms are typically used for case-based Problem Based Learning, where the displays can share information generated by the students in the room, while reviewing cases presented on the second display from faculty, controlled from the central learning space. Hands-on training in the use of all available technologies is given by the members of the School of Medicine Academic Technology Office during first-year orientation [53]. A similar hands-on, interactive training on the specific technologies they will use during their clinical years takes place for rising 3<sup>rd</sup> year medical students before they begin their clinical rotations [54].

The School of Music's computer-based music notation software is required for use throughout the music theory sequence of classes, which all students take. Music composition students continue to employ and refine their skills with this software throughout their undergraduate and graduate studies. Music therapy students develop and employ multi-media materials in their clinical work, while music education students use computer-based charting software to design marching band shows for teaching purposes. SmartMusic software is used to develop instrumental performance and teaching skills for instrumentalists. All new faculty members in the School of Music receive a personalized orientation to technology resources in School of Music facilities by music staff. New faculty are oriented to office resources and to the instructional equipment available in each of the music classrooms [55]. Additionally, if a faculty member has responsibilities in a particular type of technology-rich field of study, the Tier I technology staff support for music collaborates with the faculty member with these responsibilities to ensure that the specialized instructional space both has the proper equipment and software, and that the faculty member receives a proper orientation to these facilities. School of Music technology classes are situated in digital composition labs and workstations in the school, while larger technology classes of up to sixteen students may be taught in the school's comprehensive computer lab [56].

The School of Nursing (SON) has state-of-the-art high fidelity simulators and audio/video captures in its 30+ bed 5-room clinical practice suite [57] [58] [59]. Each on-campus undergraduate nursing student is trained in the use of Electronic Health Records through class time, case studies, and simulation. High fidelity and medium fidelity mannequins are used multiple times per semester in each course to help students apply lessons learned in class in a safe, simulated environment. SON requires its students to have a laptop and the technology necessary for their educational needs while attending the school to prepare them for their professional careers upon graduation [60].

All School of Public Health and Information Sciences (SPHIS) students are required to have laptop computers with Office production software. All faculty and staff have desktop or laptop computers that include all Office production software. Many faculty, and some students, also have statistical analysis software (SAS or SPSS). School of Public Health and Information Sciences (SPHIS) students are trained in the use of statistical analysis software in several research/statistical methods courses. SPHIS has an arrangement with the UofL Bookstore for students to purchase this software at a highly reduced cost [61].

Undergraduate and transfer students at the J. B. Speed School of Engineering are required to have a mobile computer with an active digital pen [62] [63]. Graduate students are required to have a laptop. Each semester, a technology fee of \$25 is charged to every engineering student to cover downloads of the engineering software bundle, which contains applications commonly needed by all Speed School students [64].

### **Distance Learning**

Between 2012 and 2014, approximately 10.6-11.9 percent of students took courses that were offered exclusively online [65] [66] [67]. The Delphi Center for Teaching and Learning is the central location on campus that supports the academic units offering online programs and courses [68]. The Delphi Center provides technology and pedagogy training to faculty. The Delphi Center also partners with campus administrative and student support services to ensure that online students have access to the necessary services to facilitate their academic success. Both prospective and online students can use an Online Course Demo to familiarize themselves with the online tools in Blackboard [69].

Distance Learning Library Services (DLLS) aggregates library services to UofL online and distance learners. The services include off-campus access to electronic databases of library resources for self-directed research and delivery of library resources not available through online sources, including the retrieval and copying of items from the libraries' print collections or through ILL. These items are mailed, or scanned and emailed, to the users by staff support in Ekstrom Library's Access and User Services department. Research and instructional assistance are provided through Ekstrom Library's Research Assistance and Instruction (RAI) department. Research inquiries are directed to appropriate subject liaison librarians. Instructional support for online classes is provided through RAI's Online Learning Team that develops general online research instruction as requested by faculty for specific classes. PeopleSoft/Blackboard integration provides immediate access to these services for students enrolled in online courses.

DLLS E-Reserves are available to online/distance course instructors through staff support in Ekstrom Library's Access and User Services department. E-Reserve pages contain full-text links to articles and book chapters available from the UL collections [70]. A complete overview of DLLS services is available on the DLLS website [71].

The university has several consortial agreements for off-campus program offerings that are explained in detail in Comprehensive Standard 3.4.7. The academic units responsible for providing instruction at the off-campus location are also required to provide the necessary training and coordinate access to university technology.

### **SUMMARY**

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 provides access to technology and training in the use of the technology to faculty, staff, and students. The mission of the University of Louisville's Information Technology (IT) is to support and enhance the teaching and learning, research, and service goals of the university through effective, customer-focused technology resources. IT also works collaboratively with several units on campus to ensure the efficient and effective delivery of technology services in support of student learning. 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. The University Libraries (UL) support student learning by providing access to technology that is appropriate to the institutions' programs. The university provides a variety of resources for students, including e-mail, computing facilities, access to training, technology support, and discounted software. The Delphi Center Instructional Design and Technology (IDT) team offers a faculty development opportunity for faculty wanting to teach online. The University Libraries' faculty provide library and information literacy instruction to students through individual class sessions integrated into UofL courses by instructor request.

[1] About Us – Information Technology

3\_4\_12\_fn01.pdf

<http://louisville.edu/it/about-us>

[2] List of UofL Wireless Locations

3\_4\_12\_fn02.pdf

<http://louisville.edu/it/departments/communications/wireless/uofl-wireless-locations>

[3] IT Advisory Teams and Committees

3\_4\_12\_fn03.pdf

[4] Tegrity – Information Technology

3\_4\_12\_fn04.pdf

<http://louisville.edu/it/departments/communications/conferencing/tegrity>

[5] Continuity of Instruction

3\_4\_12\_fn05.pdf

<http://louisville.edu/delphi/resources/continuity-of-instruction>

[6] Technology in the Learning Spaces

3\_4\_12\_fn06.pdf

[7] Classroom Technology Standards

3\_4\_12\_fn07.pdf

[8] About Us – Delphi Center for Teaching and Learning

3\_4\_12\_fn08.pdf

<http://louisville.edu/delphi/about>

[9] Resources for Academic Achievement (REACH)

3\_4\_12\_fn09.pdf

<http://reach.louisville.edu/>

[10] Information Technology Services for Students

3\_4\_12\_fn10.pdf

<http://louisville.edu/it/students-parents/files/IT%20services%20for%20students.pdf>

- [11] ECAR Study of Undergraduate Students and Technology, 2013  
3\_4\_12\_fn11.pdf
- [12] GlobalProtect Agent User Guide for Windows  
3\_4\_12\_fn12.pdf  
[http://louisville.edu/it/departments/enterprise-security/information/documents/GlobalProtect-agent-UserGuide\\_windows.pdf](http://louisville.edu/it/departments/enterprise-security/information/documents/GlobalProtect-agent-UserGuide_windows.pdf)
- [13] GlobalProtect Agent User Guide for Mac  
3\_4\_12\_fn13.pdf  
[http://louisville.edu/it/departments/enterprise-security/information/documents/GlobalProtect-agent-UserGuide\\_mac.pdf](http://louisville.edu/it/departments/enterprise-security/information/documents/GlobalProtect-agent-UserGuide_mac.pdf)
- [14] Additional Info on IT Computing Centers  
3\_4\_12\_fn014.pdf  
<http://louisville.edu/it/departments/consulting/computing-centers>
- [15] IT Computing Center Hours & Locations  
3\_4\_12\_fn15.pdf
- [16] iTech Connect  
3\_4\_12\_fn16.pdf  
<http://louisville.edu/it/departments/consulting/itech-connect>
- [17] HelpDesk Resources  
3\_4\_12\_fn17.pdf  
<http://louisville.edu/it/departments/consulting/helpdesk>
- [18] IT Faculty/Staff Survey Report on Close-ended Questions Fall 2012  
3\_4\_12\_fn18.pdf
- [19] iTech Xpress Technology Store  
3\_4\_12\_fn19.pdf  
<http://louisville.edu/it/departments/itech-xpress-and-printing-copier-management/itech-xpress/>
- [20] iTech Xpress Technology Store Software Page  
3\_4\_12\_fn120.pdf
- [21] iTech Xpress Software List February 2015  
3\_4\_12\_fn21.pdf
- [22] Table of University Libraries' Technology for Student Use  
3\_4\_12\_fn22.pdf
- [23] Law Information Technology  
3\_4\_12\_fn23.pdf  
<http://louisville.edu/law/it>
- [24] Digital Media Suite  
3\_4\_12\_fn24.pdf  
<http://louisville.edu/digitalmediasuite>



[25] Survey of Student Usage of the Digital Media Suite  
3\_4\_12\_fn25.pdf

[26] Blackboard Homepage  
3\_4\_12\_fn26.pdf

[27] UL Mobile  
3\_4\_12\_fn27.pdf

[28] IT Training Page  
3\_4\_12\_fn28.pdf

[29] Microsoft IT Academy Courses for Students  
3\_4\_12\_fn29.pdf

[30] New Cards Quick Start Guide  
3\_4\_12\_fn30.pdf

[31] SIGS Plan  
3\_4\_12\_fn31.pdf  
<http://louisville.edu/graduate/plan/>

[32] Delphi U  
3\_4\_12\_fn32.pdf  
<http://louisville.edu/delphi/programs/delphiu>

[33] Delphi U Online  
3\_4\_12\_fn33.pdf

[34] Delphi Center Instructional Resources  
3\_4\_12\_fn34.pdf  
<http://louisville.edu/delphi/resources>

[35] Info on IT Classroom Support  
3\_4\_12\_fn35.pdf  
<http://louisville.edu/it/departments/classroom-support>

[36] Online Instruction Request Form  
3\_4\_12\_fn36.pdf  
<http://louisville.edu/library/forms/classes/online/>

[37] Technology to Support the CEHD Assessment System  
3\_4\_12\_fn37.pdf  
<http://louisville.edu/education/ertc>

[38] College of Business Computer Labs  
3\_4\_12\_fn38.pdf  
<http://business.louisville.edu/faqs/college-of-business-computer-labs/>

[39] College of Business Virtual Desktop  
3\_4\_12\_fn39.pdf  
<http://business.louisville.edu/virtual-desktop/>

- [40] Speed IT Group  
3\_4\_12\_fn40.pdf  
<http://louisville.edu/speed/people/speed-IT>
- [41] FSSE-NSSE Combined Report August 2011  
3\_4\_12\_fn41.pdf
- [42] A&S Pool Classrooms  
3\_4\_12\_fn42.pdf
- [43] College of Arts and Sciences Technology Plan: Student Computing Resources  
3\_4\_12\_fn43.pdf  
[http://louisville.edu/oapa/comp-folder-2/3\\_4\\_14\\_fn11a.pdf](http://louisville.edu/oapa/comp-folder-2/3_4_14_fn11a.pdf)
- [44] CIS 100-06-4152 Syllabus  
3\_4\_12\_fn44.pdf
- [45] CIS 100-06-4152 Schedule  
3\_4\_12\_fn45.pdf
- [46] CIS 300-05-4152 Syllabus  
3\_4\_12\_fn46.pdf
- [47] CIS 300-05-4152 Schedule  
3\_4\_12\_fn47.pdf
- [48] Webpage for the ULSD IT Department  
3\_4\_12\_fn48.pdf
- [49] CEHD Unit Technology Resources  
3\_4\_12\_fn49.pdf  
<http://louisville.edu/education/ertc>
- [50] LiveText  
3\_4\_12\_fn50.pdf  
<http://louisville.edu/education/livetext>
- [51] Exam4.com  
3\_4\_12\_fn51.pdf  
<http://www.exam4.com/>
- [52] School of Medicine 2014 Renovation Project  
3\_4\_12\_fn52.pdf  
<http://louisville.edu/medicine/renovation>
- [53] Student Tech Orientation 2015 Documents and Tutorials  
3\_4\_12\_fn53.pdf  
<http://louisville.edu/medicine/tech/technology-documentation/student-tech-orientation-2015-documents-and-tutorials>
- [54] Tegrity Tutorials  
3\_4\_12\_fn54.pdf

[55] School of Music 2014 Technology Presentation  
3\_4\_12\_fn55.pdf

[56] School of Music Facilities  
3\_4\_12\_fn56.pdf  
<http://louisville.edu/music/about/facilities>

[57] METI man  
3\_4\_12\_fn57.pdf

[58] Laerdal Nursing Anne  
3\_4\_12\_fn58.pdf

[59] Laerdal Nursing Kelly  
3\_4\_12\_fn59.pdf

[60] Technology for New & Current Nursing Students  
3\_4\_12\_fn60.pdf

[61] UofL School of Public Health and Information Sciences: Student Laptop Requirement  
3\_4\_12\_fn61.pdf

[62] Speed School Tablet Requirements  
3\_4\_12\_fn62.pdf  
<http://louisville.edu/speed/academics/tabletPC>

[63] Speed School Detailed Tablet Requirements  
3\_4\_12\_fn63.pdf  
<http://louisville.edu/speed/academics/tabletPC/detailedTabletRequirements>

[64] Speed School Software Bundle  
3\_4\_12\_fn64.pdf  
<http://louisville.edu/speed/academics/tabletPC/software>

[65] IT Student Survey Report on close-ended questions Fall 2012 Report  
3\_4\_12\_fn65.pdf

[66] IT Student Survey Report on close-ended questions Fall 2013  
3\_4\_12\_fn66.pdf

[67] IT Student Survey Fall 2014  
3\_4\_12\_fn67.pdf

[68] Online Learning Student Services  
3\_4\_12\_fn68.pdf  
<http://louisville.edu/online/current/student-services>

[69] Online Course Demo  
3\_4\_12\_fn69.pdf  
<http://louisville.edu/online/current/online-demo-course>

[70] Course Electronic Reserves Page  
3\_4\_12\_fn70.pdf

[71] Library Services for Distance Education and Online Courses  
3\_4\_12\_fn71.pdf  
<http://louisville.edu/library/ekstrom/research/distance/>

### 3.5.1

## Educational Programs: Undergraduate: General Education Competencies

The institution identifies college-level general education competencies and the extent to which students have attained them.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville (UofL) has identified college-level general education competencies and assesses the extent to which students have attained them [1].

### General Education Competencies

The general education program at UofL fosters active learning by asking students to:

1. think critically,
2. communicate effectively,
3. 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 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."

The competencies and learning outcomes for each content area are outlined below.

- Arts and Humanities are concerned with understanding texts of art, music, theater, literature, philosophy, and religious thought. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
  1. Communicate an understanding of vocabulary, concepts, materials, techniques, and methods of intellectual inquiry within the arts and/or humanities;
  2. Describe and evaluate texts using primary and secondary materials;
  3. Analyze and synthesize texts, recognizing the diversity of cultures and historical contexts.
- Mathematics is concerned with solving real-world problems through mathematical methods. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
  1. Represent mathematical information symbolically, visually, and numerically;
  2. Use arithmetic, algebraic, and geometric models to solve problems;

3. Interpret mathematical models, such as formulas, graphs, and tables;
  4. Estimate and check answers to mathematical problems, determining reasonableness; alternatives; and correctness and completeness of solutions.
- Natural Sciences are concerned with understanding the physical world through the scientific method. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
    1. Relate everyday observations of the world to physical principles;
    2. Apply scientific principles to construct explanations of natural phenomena;
    3. Communicate an understanding of scientific explanations of natural phenomena.
  - Oral Communication is the ability to convey ideas, emotions, and information through speech. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
    1. Speak publicly, in both formal and informal context, demonstrating skills such as appropriate selection of topic and materials, clear organization, effective presentation, and the ability to adapt to audience, setting, and occasion;
    2. Participate effectively in discussion;
    3. Analyze and critique the oral communication of oneself and others.
  - Social and Behavioral Sciences are concerned with understanding human behavior, human interactions, human environment, and the related social structures and forms. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
    1. Communicate an understanding of how social science knowledge is established and how and why it changes over time;
    2. Evaluate evidence and apply it to solving problems through social science methods;
    3. Communicate an understanding of a body of social science knowledge and its disciplinary perspective.
  - History is concerned with understanding change over time. Courses addressing this requirement cover a broad body of historical knowledge and compare Western and non-Western cultures. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
    1. Communicate an understanding of the process of historical change and the significance of place and time;
    2. Communicate an understanding of the creation, development, and changing nature of historical knowledge and the importance of historical documentation;
    3. Construct and communicate a historical argument employing historical facts.
  - Written communication is the ability to develop and express ideas, opinions, and information in appropriate written forms. To fulfill this requirement, students will complete a substantial amount of writing, including several texts that go through the writing process. Students who satisfy this requirement will demonstrate that they are able to do all of the following:

1. Understand and use writing processes, including invention, drafting, organizing, revising through multiple drafts, and editing;
  2. Write clear and effective prose in several forms, demonstrating an awareness of audience and purpose;
  3. Understand and use appropriate academic textual conventions of presentation, at sentence level and beyond;
  4. Employ critical thinking processes, such as abstracting, synthesizing, and representing ideas, and developing complex structures for them;
  5. Collect, select, and integrate material from a variety of sources into their writing, citing it appropriately.
- Understanding Cultural Diversity means students will have a broad exposure to a variety of social systems, cultures, and subcultures, both within the United States and the rest of the world. This portion of the curriculum encourages an appreciation of the realities of a racially and culturally diverse world. Students who satisfy this requirement will demonstrate that they are able to do all of the following:
    1. Recognize that social and cultural systems develop out of adaptation to environmental and historical circumstances;
    2. Communicate an understanding of the ways in which race, ethnicity, and/or gender are socially constructed;
    3. Communicate an understanding that different cultures may hold different views of the same issues;
    4. Evaluate pertinent information and assertions for relevance, bias, stereotyping, manipulation, and completeness.

### **Evidence of Competencies**

The General Education Curriculum Committee (GECC) [2] and the Assessment Subcommittee of the GECC oversee the general education assessment process. The GECC includes seven representatives from Arts and Sciences, two from the Business School, one from the College of Education and Human Development, two from the School of Dentistry, one from the School of Music, one from the School of Nursing, two from Speed School of Engineering, two from the Student Government Association, and one from University Libraries. The Vice Provost for Undergraduate Affairs and representatives from the Office of General Education Assessment serve as non-voting members of the GECC.

Before receiving approval as a general education course, any proposed course also undergoes rigorous review by the unit curriculum committee for adherence to commonly accepted practices for the discipline and for higher education. Every course approved for General Education credit must address each general education outcome in its content and/or competency area. Methods of assessment must be specified for each outcome. To propose a general education course, faculty must submit the Course Proposal Cover Sheet [3a] and the designated course proposal template [3b] [3c] [3d] [3e] [3f] [3g] [3h] outlining how the course meets the content and/or competency area outcomes and further discuss how those outcomes will be assessed [4].

Online courses and dual-credit general education courses are required to address the general education outcomes and adhere to the same standards as on-campus, face-to-face, general education courses. Dual-credit courses are evaluated at the department level through the same means as course sections offered only to UofL students. In the Math

department, a Dual-Credit Coordinator observes the instructors and acts as a resource person to the instructor of the dual-credit course delivered off-campus.

### **General Education Assessment Infrastructure**

UofL's General Education program uses a course-embedded assessment approach for measuring the extent to which students have attained the college-level competencies. With this approach a sample of student artifacts is captured each semester from both on-campus and online courses, and the artifacts are reviewed using university-wide rubrics aligned with general education program outcomes.

In 2005, the GECC developed and implemented the first course-based assessment of the general education program. The committee developed five rubrics to measure critical thinking, effective communication, and understanding and appreciation of cultural diversity in alignment with the content area competencies and outcomes:

1. Comprehensive Critical Thinking Rubric
2. Mathematics Critical Thinking Rubric
3. Natural Sciences Critical Thinking Rubric
4. Effective Communication Rubric
5. Cultural Diversity Rubric

The Comprehensive Critical Thinking Rubric, the Effective Communication Rubric, and the Cultural Diversity Rubric are used in the assessment of Arts & Humanities, Cultural Diversity, Oral Communication, Social & Behavioral Sciences, and Written Communication general education courses. Mathematics and Natural Science courses are assessed with content specific rubrics due to the quantitative and scientific nature of the content specific outcomes. A crosswalk of the UofL General Education Rubric Measures and the UofL Content Area Outcomes is provided in the Plan Competencies and Outcomes Crosswalk [5].

The rubrics use a four-point scale, with 4 indicating a performance of the measure as "clearly evident," 3 indicating performance as "usually evident," 2 indicating "minimally evident," and 1 indicating performance as "not evident." In addition, a score of "not requested" can be selected for assignments that did not provide an opportunity for the student to demonstrate the criterion within the rubric measure. The "not requested" criterion is excluded from calculation of assessment results and is presented as a count to identify potential misalignment of the curriculum and the general education outcomes.

The Office of General Education Assessment conducts the general education assessment on behalf of the GECC and regularly presents assessment processes and results to the committee to ensure continuous improvement of the general education curriculum.

### **Assessment Procedures**

The assessment of general education student learning outcomes is divided into cycles. In alignment with Kentucky's Statewide General Education Assessment Plan [6], all content areas (Arts and Humanities, Mathematics, Natural Sciences, Oral Communication, Social and Behavioral Sciences, History, and Written Communication) must be assessed within a three-year cycle. The GECC Assessment Subcommittee determines the sequence for assessment of the content areas and identifies the departments and courses that will be included in each assessment based upon the classification of general education courses.



The Director of General Education Assessment and the Assessment Coordinator, from the Office of General Education Assessment, meet with department chairs to review the assessment process and to disseminate all pertinent information. The meeting with the department chair provides an opportunity to overview the project, the outcomes to be assessed, and the sampling process. Formal memos [7a] [7b] [7c] [7d] [7e] outlining the project and the process are sent to course instructors after these meetings. Memos to instructors are shared with department chairs in advance to ensure a mutual understanding of project expectations. After the semester drop or withdraw deadline has passed, the Assessment Coordinator requests the class rosters for all general education courses within the content area to be assessed from the Office of the Registrar and systematically selects every fourth student for assessment from the roster. Instructors of the identified general education courses are sent assessment rosters along with detailed instructions requesting that a copy of one assignment with ungraded responses for the selected students be sent to the Assessment Coordinator. Student artifacts are collected and stored in an electronic repository and uploaded into the LiveText assessment management system.

Deans and department chairs are notified of the upcoming assessment and asked to put forward faculty to participate in the assessment reading. The panel of assessors consists of tenured faculty, tenure-track faculty, instructors, and graduate teaching assistants, with priority given to tenured and tenure-track faculty. For all assessments, except for the Natural Sciences, the assessment enlists faculty from multiple academic units to ensure engagement of faculty from across disciplines in the assessment of general education outcomes [8]. The assessment of Natural Sciences artifacts requires content experts to help navigate the content within the student artifacts.

All assessors participate in a half-day of assessment training to address validity and reliability of the assessment process. In the training session, the Office of General Education Assessment presents the context and process for the assessment, assessors engage in dissection and discussion of the rubric criteria, and then the assessors individually review and score benchmark sample assignments. The results from scoring of benchmark samples are displayed to highlight the reliability in scoring. Assessors are then prompted to engage in discussion about the assessment scores that were selected to support conclusions for why particular scores were selected. Scorers are reminded that rationale for scores assigned should be solely based upon the language within the rubric criteria and the assessment should be free from bias. The assessment training serves as a mechanism to ensure consistency and reliability of the process. Assessment readers have provided valuable feedback on instrumentation through this process of thoughtfully engaging in discussion of the instruments used to measure student learning in the general education curriculum.

On the assessment day, assessors are provided a quick overview of the process for electronically assessing the student artifacts and a list of artifacts to review. Three separate readers assess each student artifact included in the sample. The Office of General Education Assessment generates a report of the results and presents the information to the GECC and the Assessment Subcommittee. A summary of the 2014-2016 Assessment Cycle findings is provided [9].

To further evaluate the integration of college-level general education competencies into the General Education Curriculum, in 2015 the GECC incorporated a syllabus review into the assessment process. Faculty teaching general education courses are expected to include the General Education Learning Outcomes and an explanation of how they are assessed within the course syllabus. The Office of General Education Assessment collects the course syllabi for all courses in the content area being assessed and reviews them for these two criteria to ensure that faculty continue to embed the college-level competencies in the

course curriculum and assess them to determine the extent to which they are being attained within their own courses.

## Summary of Results

The assessment cycle is as follows:

2013-2014	Written Communication
2014-2015	Natural Sciences and Oral Communication
2015-2016	Arts & Humanities, Mathematics, Social and Behavioral Sciences, and Cultural Diversity

The results of the General Education Assessments are included in the General Education Curriculum Committee (GECC) reports from each assessment iteration [10a] [10b] [10c] [10d], Kentucky Council for Postsecondary Education (CPE) Annual Assessment Reports [11a] [11b], and the College-Level General Education Competency Report [12]. The results for 2014-2016 General Education Assessment Cycle are aggregated by Effective Communication [13], Critical Thinking [14], Cultural Diversity [15], Natural Sciences [16], and Mathematics [17].

The GECC sets thresholds for each of the General Education rubrics as a mechanism to determine the extent to which students are achieving the outcomes. The threshold for all critical thinking measures, effective communication measures, natural science measures, and mathematics measures was set at 60 percent of students scoring at the “clearly evident” or “usually evident” level (score at a 3 or 4). The threshold for cultural diversity was set lower at 40 percent of students scoring at the “clearly evident” or “usually evident” level (score at a 3 or 4). The rationale for setting the cultural diversity threshold lower was due to the complexity of the cultural diversity outcomes and the challenges of embedding them within the diverse curriculum of the General Education program.

### *Effective Communication Measures (EC) [18]*

The 60 percent target was consistently met across all content areas for demonstrating the ability to articulate a clear purpose (EC1), employing clear and coherent organization (EC2), and using appropriate conventions and style (EC4). The measure pertaining to demonstrating analysis or synthesis (EC3) fell below the target for all content areas and continues to be an area for improvement in the general education curriculum.

### *Critical Thinking Measures (CT) [19]*

The 60 percent target was consistently met across all content areas for making a logical argument and developing a line of reasoning based on evidence (CT3). The target was met for stating a thesis, identifying a purpose, and demonstrating recognition of a problem or question (CT1) in the Oral Communication content, Arts & Humanities content, Social & Behavioral Science content, and the Cultural Diversity competency area. The target was met for using evidence, information, data, observations, experiences, and/or reasons (CT2) in the Arts & Humanities content and the Cultural Diversity competency. The Cultural Diversity competency courses were the only area to meet the target for evaluating implications, conclusions, and consequences (CT5). The target was not met for influence of content and assumptions (CT4) in any content area.

### *Cultural Diversity Measures (CD) [20]*

The target of 40 percent was exceeded for all measures in the Cultural Diversity competency area courses. Results from the content area assessments have fallen below the target for most of the assessment measures. The lower target for Cultural Diversity is tied to new expectations of incorporating the outcomes into the curriculum. Spring 2014 was the first assessment outside of the Cultural Diversity competency area assessment that assessed the Cultural Diversity outcomes regardless of whether or not the course fell within the Cultural Diversity competency area. The GECC is continuing to focus on increased integration of cultural diversity outcomes into the general education curriculum.

### *Natural Science Critical Thinking Measures (NS) [21]*

Greater than 60 percent of students scored at the “clearly evident” and “usually evident” level for all Natural Science Rubric Measures. The Student Profile Analysis Spring 2014-Spring 2015 [22], a follow-up study, looked specifically at student performance by student class year. The analysis revealed that there is a statistically significant difference on the Natural Science outcomes between freshmen students and all other class years (sophomores, juniors, and seniors), thus indicating that freshmen do not perform as well in the Natural Sciences as their upperclassmen counterparts.

### *Mathematics Critical Thinking Measures (M) [23]*

The target of 60 percent of students to score at the “clearly evident” and “usually evident” level was exceeded for all Mathematics Rubric Measures. The Mathematics assessment showed an improvement from the last assessment in 2013 when the mode for each measure was at the “usually evident” level. In 2015 the mode was “clearly evident” for all Mathematics Rubric Measures.

## **Supporting Data**

In addition to the data from the General Education Assessment project, the Office of Institutional Effectiveness administers the Collegiate Assessment of Academic Proficiency (CAAP) for Writing and Critical Thinking. Results from the CAAP assessments provide additional understanding of how well students are meeting the overarching goals of the General Education program for students to effectively communicate and think critically. The tests are administered every two years to incoming freshmen in the fall and upper-division courses that have been identified as the Culminating Undergraduate Experience (CUE) courses in the spring.

The CAAP Critical Thinking Test is a 32-item, 40-minute test that measures students’ skills in clarifying, analyzing, evaluating, and extending arguments. The results from the past three iterations of the CAAP Critical Thinking Test are provided in Table 1. As shown in Table 1, seniors score higher on the CAAP than freshmen on all three assessments, indicating that across the curriculum, including General Education, students are building critical thinking skills. For 2013-14, seniors scored at 64.3 and freshmen scored at 62.5.

**Table 1. CAAP Critical Thinking Results for UofL Freshmen and Seniors**

	Freshmen	Seniors
2009-2010	61.2	64.5
2011-2012	62.5	65.3
2013-2014	63.5	64.3

The CAAP Writing Essay Test consists of two 20-minute writing tasks. Students are scored on a scale of 1 to 6 in increments of .5. The results from the past three iterations of the CAAP Writing Essay Test are provided in Table 2. As shown in Table 2, seniors score higher on the CAAP than freshmen on all three assessments, indicating that across the curriculum, including General Education, students are building effective written communication skills. For 2014-15, seniors scored at 3.7 and freshmen at 3.3.

**Table 2. CAAP Writing Essay Test Results for UofL Freshmen and Seniors**

	Freshmen	Seniors
2010-2011	2.9	3.2
2012-2013	3.2	3.4
2014-2015	3.3	3.7

### **Use of Results for Improvement**

The results of the General Education Assessment are systematically reported back to the GECC and the GECC Assessment Subcommittee. Assessment results and feedback from participants in the assessment program have driven changes to the assessment process, the curriculum within general education courses, and, ultimately, the general education program as a whole.

When the assessment was designed and first implemented in 2005, the intent was to examine assessment results for the general education program and to drive change through the GECC. A shift in the culture of assessment at the university was made apparent in 2011, when the GECC authorized the sharing of disaggregated assessment data with individual departments to support continuous improvement of general education courses within those departments. Departments began requesting detailed reports pertaining to the courses within their departments to support continuous improvement of curriculum and student learning outcomes. Through the reporting process and transparency with departments, the results from the assessment of general education have driven curriculum and assessment changes at the program, department, and course level.

### *Assessment Modifications*

The General Education Assessment project has undergone a number of modifications since the first assessment in 2005 as a result of sharing assessment results and feedback from faculty assessors who have participated in the training and the assessment of artifacts. The GECC Assessment Subcommittee has regularly engaged administrators and faculty from Arts & Sciences (A&S), the College of Education and Human Development (CEHD), and the Office of General Education Assessment in the review of results and follow-up from assessor feedback to provide recommendations for change to the GECC.

One of the first changes to the assessment process was a result of collaboration with College of Education and Human Development (CEHD) representatives. The GECC Assessment Subcommittee identified the need for a more systematic approach to capturing assessment data that would streamline the reporting process. The CEHD has used LiveText since 2004 for the assessment of student learning outcomes within all of their programs and recommended the platform as a mechanism for streamlining the artifact collection and the assessment process. Representatives from the CEHD consulted with the General Education Assessment Coordinator to implement LiveText for the assessment process. A pilot was successfully conducted in 2010 and the system continues to serve the needs of the GECC in conducting the assessment.

The GECC has also made a number of adjustments to the rubrics used in the assessment. The assessment training provides an opportunity to dissect and discuss the criteria of the General Education rubrics in great detail and to practice applying the rubrics. Through this process faculty can identify language or criteria that may be problematic in assessing artifacts, and as one assessment reader stated, "you do not truly understand the rubric until you apply it."

One of the first rubric modifications occurred in 2012 when the scoring criteria of "Always Evident" and "Occasionally Evident" were modified to "Clearly Evident" and "Usually Evident." The faculty assessors gave feedback to the Assessment Subcommittee during the Spring 2011 assessment training and through follow-up emails after the assessment reading day that led to this shift. The faculty assessors expressed difficulty with negotiating between "Always Evident" and "Occasionally Evident" when reviewing artifacts. The reviewers further expressed that distinguishing between "always" and "occasionally" allowed for subjectivity in the assessment and could ultimately impact reliability. As a result of this feedback, all of the General Education Assessment rubrics were modified in 2012 to address this concern.

During the training for the spring 2012 assessment, the assessment readers brought attention to the "Not Evident" scoring criteria. The assessors were concerned that in some cases the assignment did not provide an opportunity for the student to demonstrate the competency and that this should be distinguished from a student not demonstrating the competency. In an effort to distinguish between student learning and misalignment of an assignment with the outcomes, the GECC Assessment Subcommittee proposed to the GECC that a "Not Requested" category be added to all scoring rubrics. This additional level of detail provides valuable feedback to departments about the explicit connection to the competencies within the general education curriculum without impacting the validity in measuring student learning outcomes within the general education program.

In 2013, the General Education Assessment Subcommittee proposed a significant change to the Comprehensive Critical Thinking Rubric. The results of the assessment had shown that student artifacts had been scored lowest on the fourth competency for "Point of View" through multiple iterations of the assessment. Upon further investigation and feedback from

the assessment readers who participated in previous assessments, the "Point of View" measure contained multiple measures that made it difficult to identify exactly what students were struggling with in regards to "Point of View." This measure had focused on identifying perspectives and also the influence of perspectives on making an argument or stating a claim. As a result, the GECC Assessment Subcommittee met to discuss this rubric measure and determine recommendations to the GECC. Sample critical thinking rubrics were brought to this discussion to determine how other institutions were examining perspective and influence of perspective. As a result, the committee proposed transitioning the rubric to a new competency 4, which assesses the influence of context and assumptions and a competency 5 for evaluating implications, conclusions, and consequences. These modifications were adapted from the Paul-Elder Critical Thinking Framework, and specific language adopted from the Association of American Colleges & Universities' (AAC&U) Critical Thinking VALUE Rubric and the Northeastern Illinois University's Critical Thinking Rubric was approved by the GECC in 2013.

In 2015, the Office of General Education Assessment implemented formal surveys to assessment readers as a follow-up to the assessment training and assessment reading day. A sample survey for Natural Sciences is provided [24]. As a result of these formal opportunities for feedback the GECC has continued to make changes to the assessment instruments and assessment process. In addition to informal feedback on the assessment readings and artifacts provided by departments, the surveys now provide an official mechanism to record suggestions for improvement that can be provided to the General Education Assessment Subcommittee and ultimately the GECC. A sample feedback report for the Natural Sciences is provided [25].

### *Curriculum Modifications*

The decision to provide disaggregated results of the General Education Assessment to departments in 2011 demonstrated a shift in the culture of assessment. Faculty and administrators were eager to know how their students were performing on the general education competencies in order to further address those competencies in their courses. In the College of Arts and Sciences the general education results are discussed at regularly scheduled meetings of the department chairs. Chairs are urged to discuss the results with their faculty and to consider making changes in the General Education courses to raise the levels of skills asked of and demonstrated by the students. The following is a sampling of the changes made in the General Education program and in particular courses.

### *Critical Thinking*

The alignment of the General Education competencies to the university's Quality Enhancement Plan (QEP) (Ideas to Action Critical Thinking Initiative [i2a]) has provided a mechanism to ensure faculty development to support the incorporation of critical thinking into curriculum, assignments, and assessments. Outreach and support from the university's Delphi Center for Teaching and Learning has been instrumental in supporting faculty to build critical thinking skills and create a common language of critical thinking through the use of the Paul-Elder Framework. The Provost and the i2a Leadership Committee have also provided Supporting Undergraduate Innovation (SUN) grants to faculty, staff, and administrators to implement critical thinking projects within their programs. A sample i2a SUN grant for composition course development is provided [26].

The results of the General Education Assessment indicated that students struggled most with "point of view" and "demonstrating contrary evidence." At the level of specific courses, faculty within Arts & Sciences were tasked with incorporating more instruction and more

practice in the Critical Thinking skill of “dealing with contrary evidence.” Samples of assignments and instruction in this skill are appended from English 101 and History 102 [27] [28].

In addition to incorporating critical thinking into project-based and written assignments, other departments have focused on incorporating critical thinking into exam questions. The Anthropology Department undertook a study of the test questions employed in a sampling of 200-level classes in relation to Bloom’s taxonomy and recommended sample question types to address higher levels of critical investigation. An excerpt from their report is also appended [29].

### *Effective Communication*

On assessments of Effective Communication, Arts & Sciences faculty identified a need to improve students’ ability to develop arguments through analysis or synthesis, including the ability to employ analytical or synthetic methods appropriate to specific disciplines and kinds of evidence. The document titled Natural Sciences General Education Learning Outcomes [30] was developed for the popular Biology 102-104 General Education sequence, and it demonstrates the kinds of assignments that address these skills. Another example is shown in the Composition Student Learning Outcomes [31] revising the student learning outcomes in English 101: Intro to College Writing.

### *Cultural Diversity*

Because the assessment of students’ ability to understand and appreciate Cultural Diversity revealed a relative weakness in students’ understanding of the concepts of race and ethnicity, the General Education Curriculum Committee urged attention to this outcome. A sample syllabus from Pan African Studies 227, Survey of American Diversity, which makes the concepts of race and ethnicity a central focus of the course is provided [32].

It was also made apparent that the type of assignment selected for assessment played a major role in how well students performed on the Cultural Diversity Rubric. The number of “Not Requested” ratings that appear for this rubric as well as feedback from the assessors scoring the artifacts support this. As a result, faculty have developed assignments that will help students to demonstrate the knowledge, skills, and dispositions represented within the assessment rubric. A sample assignment from Women’s and Gender Studies demonstrates how faculty have adapted course assignments to more closely align with the cultural diversity outcomes to better support student development of these skills within the course work [33].

At the general education program level, the General Education Curriculum Committee recognized a need for more courses addressing the Cultural Diversity outcomes. The university made the development of such courses a priority. Between 2002 and 2015 approximately 127 cultural diversity courses were approved by the GECC and are offered by a wide range of academic departments to ensure students meet the cultural diversity outcomes.

### *Statewide General Education Assessment*

The University of Louisville General Education Assessment is aligned with the Statewide General Education Assessment Plan [34].

In 2012, the State of Kentucky revised its General Education Transfer Policy [35] to create a transfer structure founded on the competencies and student learning outcomes of courses rather than on the comparisons of individual general education course titles and descriptions:

“All Kentucky public universities and KCTCS colleges are expected to assess, in accordance with SACS-COC *Principles of Accreditation* and based upon nationally accepted standards, the student learning outcomes associated with their general education programs, indicate the relationship to the faculty-generated Statewide General Education Student Learning Outcomes, and provide evidence of ongoing assessment that ensures comparability for transfer purposes on a three year cycle.”

KRS 164.2951(2)(a) states that “The student-learning outcomes in each category must be met through courses identified in each category.” Faculty from around the state had input into the development of the learning outcomes, including UofL faculty. As a result of this involvement in the development of the statewide outcomes, there is clear alignment between the UofL outcomes and the statewide outcomes.

### *21<sup>st</sup> Century General Education Task Force*

In 2014, the Provost convened a task force to review the general education program. The committee is tasked with making recommendations for modifications to the current general education program with the charge of ensuring that, regardless of major, University of Louisville students all have a strong liberal arts and sciences core at the heart of their curriculum to develop the knowledge, skills, and collegiate experiences that students will require in their roles as key decision-makers and productive workers in a democratic society.

During the spring and summer of 2015, the Task Force members divided up into sub-committees to begin researching philosophies behind successful General Education programs and the liberal arts experience, as well as gathering feedback from faculty, staff, students, and alumni on the existing General Education program. Each academic unit and individual departments within each unit were given the opportunity to submit feedback to the committee. Student focus groups and informal surveys were conducted to ensure student voice was captured. Formal surveys of alumni from the last three graduating class years and all undergraduate advisors were conducted during the summer.

The major findings from the committee’s research were related to clarification and transparency of the learning outcomes and expectations for the general education program, greater flexibility in general education requirements, and a reduction in hours. As a result, the committee has developed a revised program proposal to share to the academic units in the Fall of 2016. The modified program includes a revised program description, student learning outcomes, program governance, and assessment provisions.

## **SUMMARY**

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 fosters active learning by asking students to: think critically, communicate effectively, and understand and appreciate cultural diversity. In addition to these over-arching competencies, 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." UofL's General Education program uses a course-embedded assessment approach for measuring the extent to which students have attained the college-level competencies. A sample of student artifacts is captured each semester from both on-campus and online courses, and the artifacts are reviewed using university-wide rubrics aligned with general education program outcomes. All content areas (Arts and Humanities, Mathematics, Natural Sciences, Oral Communication, Social and Behavioral Sciences, History, and Written Communication) must be assessed within a three-year cycle. The results of the General Education Assessments are included in the General Education Curriculum Committee (GECC) reports from each assessment iteration, Kentucky Council for Postsecondary Education (CPE) Annual Assessment Reports, and the College-Level General Education Competency Report. The results for 2014-2016 General Education Assessment Cycle are aggregated by Effective Communication, Critical Thinking, Cultural Diversity, Natural Sciences, and Mathematics.

[1] UofL General Education Plan  
3\_5\_1\_fn01.pdf  
<http://louisville.edu/provost/ger>

[2] Function and Structure General Education Curriculum Committee  
3\_5\_1\_fn02.pdf  
<http://louisville.edu/provost/ger/gecc>

[3] General Education Course Proposal Templates

[3a] Sample Proposal General Education Course Proposal Template  
3\_5\_1\_fn03a.pdf

[3b] Arts & Humanities General Education Course Proposal Template  
3\_5\_1\_fn03b.pdf

[3c] Mathematics General Education Course Proposal Template  
3\_5\_1\_fn03c.pdf

[3d] Natural Sciences General Education Course Proposal Template  
3\_5\_1\_fn03d.pdf

[3e] Oral Communications General Education Course Proposal Template  
3\_5\_1\_fn03e.pdf

[3f] Social and Behavioral General Education Course Proposal Template  
3\_5\_1\_fn03f.pdf

[3g] Written Communication General Education Course Proposal Template  
3\_5\_1\_fn03g.pdf

[3h] Cultural Diversity General Education Course Proposal Template  
3\_5\_1\_fn03h.pdf

[4] Sample Course Proposal  
3\_5\_1\_fn04.pdf

[5] Plan Competencies and Outcomes Crosswalk  
3\_5\_1\_fn05.pdf

[6] Statewide General Education Assessment Plan  
3\_5\_1\_fn06.pdf

[7] Formal Memos of the Assessment Process

[7a] Initial Faculty Memo  
3\_5\_1\_fn07a.pdf

[7b] Assessment Roster Faculty Memo  
3\_5\_1\_fn07b.pdf

[7c] Faculty Reminder Memo  
3\_5\_1\_fn07c.pdf

[7d] Faculty Nomination Request Memo  
3\_5\_1\_fn07d.pdf

[7e] Call for Assessment Readers Memo  
3\_5\_1\_fn07e.pdf

[8] Gen Ed Assessment—2016 Report to Provost  
3\_5\_1\_fn08.pdf

[9] General Education Assessment Cycle Report (2014-16)  
3\_5\_1\_fn09.pdf

[10] General Education Curriculum Committee (GECC) Assessment Reports  
<http://louisville.edu/provost/ger/assessment>

[10a] GECC Written Communication Assessment Report  
3\_5\_1\_fn10a.pdf

[10b] GECC Natural Sciences Assessment Report  
3\_5\_1\_fn10b.pdf

[10c] GECC Oral Communication Assessment Report  
3\_5\_1\_fn10c.pdf

[10d] GECC Arts and Humanities and Mathematics Assessment Report  
3\_5\_1\_fn10d.pdf

[11] 2014 and 2015 Kentucky Council on Postsecondary Education (CPE) General Education Assessment Report

[11a] 2014 CPE GE Assessment Report  
3\_5\_1\_fn11a.pdf

[11b] 2015 CPE GE Assessment Report  
3\_5\_1\_fn11b.pdf

- [12] College-Level GE Competencies  
3\_5\_1\_fn12.pdf
- [13] Summary Results for Effective Communication  
3\_5\_1\_fn13.pdf
- [14] Summary Results for Critical Thinking  
3\_5\_1\_fn14.pdf
- [15] Summary Results for Cultural Diversity  
3\_5\_1\_fn15.pdf
- [16] Summary Results for Natural Sciences  
3\_5\_1\_fn16.pdf
- [17] Summary Results for Mathematics  
3\_5\_1\_fn17.pdf
- [18] Summary Results for Effective Communication  
3\_5\_1\_fn18.pdf
- [19] Summary Results for Critical Thinking  
3\_5\_1\_fn19.pdf
- [20] Summary Results for Cultural Diversity  
3\_5\_1\_fn20.pdf
- [21] Summary Results for Natural Sciences  
3\_5\_1\_fn21.pdf
- [22] Student Profile Analysis Spring 14-Spring15  
3\_5\_1\_fn22.pdf
- [23] Summary Results for Mathematics  
3\_5\_1\_fn23.pdf
- [24] Sample Survey for Assessment Participant Feedback  
3\_5\_1\_fn24.pdf
- [25] Natural Sciences Assessor Feedback  
3\_5\_1\_fn25.pdf
- [26] Composition i2a Sun Grant  
3\_5\_1\_fn26.pdf
- [27] Assignment 1 Dealing with Contrary Evidence  
3\_5\_1\_fn27.pdf
- [28] Assignment 2 Dealing with Contrary Evidence  
3\_5\_1\_fn28.pdf

[29] Anthropology General Education Course Exam Study  
3\_5\_1\_fn29.pdf

[30] Natural Sciences General Education Learning Outcomes  
3\_5\_1\_fn30.pdf

[31] Composition Student Learning Outcomes  
3\_5\_1\_fn31.pdf

[32] Pan African Studies 227 Syllabus  
3\_5\_1\_fn32.pdf

[33] Women's and Gender Studies Artifact  
3\_5\_1\_fn33.pdf

[34] Statewide General Education Assessment Plan  
3\_5\_1\_fn34.pdf

[35] General Education Transfer Policy  
3\_5\_1\_fn35.pdf

### 3.5.2

#### **Educational Programs: Undergraduate: Institutional credits for a degree**

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."*)

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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* [1]. As stated in the *Undergraduate Catalog*, students earning baccalaureate degrees are required to complete 30 of their last 36 semester hours at the University of Louisville. Students earning the associate degree are required to complete a minimum of 15 of their last 18 semester hours at the UofL. Individual units may have more stringent residency requirements.

The application of credit hours accepted in transfer are monitored on a student-by-student basis through periodic advising and degree audits.

Students are strongly urged to request a preliminary degree audit [2] prior to their final semester so that any deficiencies in degree requirements and/or any issues with the university's residency policy are identified well in advance of the student's desired graduation date. Students must submit an Application for Degree online form [3] to their academic advising unit in the beginning of the semester in which they expect to complete all degree requirements, at which time the unit advisors conduct a final degree audit [4].

Unit advisors monitor the application of transfer credits toward their degrees and validate that the required number of credit hours have been earned at UofL after transfer hours have been applied. Transfer hours are listed after External Degrees on a transcript in the following way: "Credits Accepted"; "Credits Accepted from (Institution Name)"; "Applied Toward Graduate (Unit) Degree"; "Credits Accepted: (number of hours)" [5]. Credits from other institutions applied to dual degrees are listed under "Credits Accepted" on the student's transcript [6]. Joint degree programs are identified on the transcript in the "Degrees Awarded" line of the transcript, as demonstrated in the example provided [7].

University policies regarding residency requirements also apply to online programs and programs offered through joint, cooperative, or consortial arrangements. All UofL collaborative program agreements align with the university's residency policy, which means that the 25 percent rule is satisfied for those programs.

A case study that demonstrates the process of verifying that 30 of the last 36 hours are taken at UofL is provided [8].

Residency requirements for graduate and professional programs are provided in Comprehensive Standard 3.6.3.

## **SUMMARY**

UofL residency policy requires that 30 of the last 36 semester hours for an undergraduate degree be completed at UofL (15 of the last 18 semester hours of associate degrees are to be completed at UofL). This requirement is monitored by the unit granting the degree and is confirmed in the degree audit process before a student graduates.

[1] UofL *Undergraduate Catalog*. Residency Policy, page 212

3\_5\_2\_fn01.pdf

[http://louisville.edu/undergraduatecatalog/versions/15\\_16\\_catalog.pdf](http://louisville.edu/undergraduatecatalog/versions/15_16_catalog.pdf)

[2] Preliminary Degree Audit—Example

3\_5\_2\_fn02.pdf

[3] Application for Degree Online Portal3\_5\_2\_fn03.pdf

[4] Final Degree Audit—Example

3\_5\_2\_fn04.pdf

[5] Undergraduate Transcript Showing Transfer Credits

3\_5\_2\_fn05.pdf

[6] Undergraduate Transcript Showing Credits for Dual Degree

3\_5\_2\_fn06.pdf

[7] Transcript Showing Awarding of Joint Degree

3\_5\_2\_fn07.pdf

[8] Case Study Demonstrating the Process of Verifying Residency Requirement

3\_5\_2\_fn08.pdf

### 3.5.3

#### **Educational Programs: Undergraduate: Undergraduate program requirements**

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."*)

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville 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* [1]. The current *Undergraduate Catalog* and archives of past versions of the catalog are available online to students [2]. The *Undergraduate Catalog* is updated annually by the Registrar's office to ensure that information is accurate and up to date. A contact person in each academic unit is responsible for providing catalog updates. The update process begins each January and a new undergraduate catalog is posted online in May of each year. Academic requirements are also published in program "flight plans" [3], which help students to stay on course toward graduation in four years or in the time frame of their choice. Flight plans are available online and are shared with students by program faculty and academic advisors [4].

Examples of various forms of publication of program requirements for the following programs are provided:

- Biology BA [5a] [5b] [5c]
- Communication BS [6a] [6b] [6c] [6d]
- Sport Administration BS [7a] [7b] [7c]
- Nursing BSN [8a] [8b] [8c] [8d] [8e]

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

#### **Program Requirements Conforming to Commonly Accepted Standards and Practices**

Program and general education requirements follow commonly accepted standards and practices for degree programs. Kentucky Revised Statute (KRS) 164.2951 sets a minimum of 120 semester credit hours for all baccalaureate degrees [9], and every undergraduate program at the University of Louisville requires a minimum of 120 credit hours for degree completion [10]. Each program curriculum builds on a foundation of prerequisite coursework

and general education requirements leading into degree program requirements that ground students in the discipline of the degree program.

Academic authority for undergraduate degrees rests with the appropriate academic unit. Section 3.3.2 of *The Redbook* [11], the university's governing document, states that each faculty has "general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions shall be consistent with enumerated policies of the Board of Trustees.

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. Undergraduate faculty who are experts in their disciplines apply their scholarship and knowledge toward establishing and maintaining the appropriate sequence of courses and other requirements necessary to ensure they are graduating students who are qualified and knowledgeable in their fields.

The university's academic accountability processes provide guidance in the appropriateness of program curriculum. Each new program proposal undergoes review at numerous levels internally (including participating departments, units, the faculty senate, and office of the provost) [12] and externally by the Kentucky Council on Postsecondary Education (CPE). The review process ensures that the content and requirements of new programs are appropriate for their specific field of study.

The university's process for proposing new programs follows Kentucky Council on Postsecondary Education (CPE) policy and procedures [13] and uses CPE's new program proposal template [14a] [14b] [14c]. As well, the proposed program must be approved by CPE. The CPE approval process is designed "to promote program quality and to assure any program expansion serves to support the objectives of the university's strategic plan and the academic mission of the sponsoring unit." During the CPE review the proposed program is posted to the CPE website for review by institutions in the state for program duplication and/or demand. This review also provides an opportunity for other institutions to comment on any inconsistencies or inappropriateness of the proposed curriculum.

All new degree program proposals must demonstrate the relationship of the proposed program to the university's mission. The new program proposal process requires that the curriculum "be structured to meet the stated objectives and student learning outcomes of the program" [15]. The program proposal includes a description of the academic program and its objectives, including admissions requirements, number of semester credit hours, graduation requirements, new courses to be developed, plans for distance education, and potential for collaboration with other units at UofL or other institutions. The proposal must also outline student learning outcomes, identify direct indicators of achievement of program-level student learning outcomes, explain how the curriculum achieves the outcomes, describe the relationship between the overall curriculum or the major curricular components and the program objectives, and describe the plan for program evaluation.

A major goal of the university is to seek and obtain accreditation for all programs for which accreditation is available. This process adds another layer of review of the appropriateness of the program's course of study and requirements for the academic level [16].

Curriculum and course approval occurs in two steps, first through the unit faculty process and then at the university level through the Office of the Provost [17]. Revisions to



program curriculum are communicated through the units' and university's curriculum processes. The Registrar's annual review of the *Undergraduate Catalog* ensures the consistency and accuracy of program requirements published in the *Undergraduate Catalog*, flight plans, and other publications.

### **General Education Requirements**

All undergraduate students, whether on-campus or through distance education, must complete 34 credit hours of general education coursework. Policies guiding the General Education Requirements can be found on the Provost Office website [18], and a list of courses that meet general education requirements is provided online [19]. Students can also access information on General Education requirements in the *Undergraduate Catalog* [20]. Courses that meet general education requirements are clearly marked in the online schedule of courses, and students can search the online course schedule for courses that meet specific general education categories [21].

The General Education program is designed to foster active learning through critical thinking, effective communication and competency in cultural diversity. The General Education requirement includes: six content areas: Arts and Humanities (6 credit hours), Mathematics (3 credit hours), Oral Communication (3 credit hours), Social and Behavioral Sciences (9 hours), Natural Sciences (7 hours), and Written Communication (6 credit hours) (Total 34) [22].

Within their first 30 credit hours, students are required to complete 12 credit hours within the General education program. Individual departments and units develop and propose courses that meet general education requirements. The university-wide General Education Curriculum Committee reviews these proposals and documentation (e.g., sample syllabi) following established guidelines [23]. This committee determines whether course objectives are consistent with the general education program's student learning outcomes and overall goals of the program [24]. The committee is charged with ensuring that all general education courses provide a breadth of knowledge and skills that students will be able to draw on regardless of the majors they pursue. Approved courses are then added to the list of acceptable general education courses [25], which is maintained online and tracked in the university's student information system so that proper credit can be assigned by course and year. Changes to program general education requirements are processed through the university's curriculum process and are reviewed by the General Education Curriculum Committee for consistency to the university's general education requirements and commonly accepted standards and practices.

### **SUMMARY**

The University of Louisville publishes requirements for all undergraduate programs, including general education components, that conform to the commonly accepted standards and practices for higher-education degree programs. Requirements for all undergraduate programs are published in the *Undergraduate Catalog*, which is updated annually to ensure accuracy. Archives of past versions of the catalog are available online. The new program proposal process, curriculum and course approval process, and accreditation reviews (where applicable) further foster adherence to commonly accepted practices.

[1] *UofL Undergraduate Catalog*  
3\_5\_3\_fn01.pdf  
<http://louisville.edu/undergraduatedcatalog>

[2] Previous Versions of *UofL Undergraduate Catalog* Available Online  
3\_5\_3\_fn02.pdf  
<http://louisville.edu/undergraduatecatalog/previous>

[3] Flight Plans—Explanation  
3\_5\_3\_fn03.pdf  
<http://louisville.edu/flightplan/>

[4] Flight Plans Milestones Webpage Where Students Can Access Four-year, Five-Year, or Six-Year Flight Plans  
3\_5\_3\_fn04.pdf  
<http://louisville.edu/flightplan/plans/2015-16>

[5] Examples of Publication of Program Requirements--Biology BA

[5a] Biology Program Requirements  
3\_5\_3\_fn05a.pdf  
<http://louisville.edu/biology/undergraduate-information-center/undergraduate-degrees>

[5b] Biology Program Requirements UG Catalog  
3\_5\_3\_fn05b.pdf

[5c] Biology Flight Plan  
3\_5\_3\_fn05c.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Biology%20\(BA\)%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Biology%20(BA)%20-%202015.pdf)

[6] Examples of Publication of Program Requirements--Communication BS

[6a] Communication BS Program Requirements Webpage  
3\_5\_3\_fn06a.pdf

[6b] Communication Program Requirements in UG Catalog  
3\_5\_3\_fn06b.pdf

[6c] Communication Online Program Webpage  
3\_5\_3\_fn06c.pdf  
<http://louisville.edu/online/programs/bachelors/bachelor-of-science-in-communication>

[6d] Communication Flight Plan  
3\_5\_3\_fn06d.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Communication%20\(BS\)%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Communication%20(BS)%20-%202015.pdf)

[7] Examples of Publication of Program Requirements--Sport Administration BS

[7a] Sports Administration Program Requirements  
3\_5\_3\_fn07a.pdf  
<http://louisville.edu/education/degrees/bs-sa>

[7b] Sports Administration Program Requirements UG Catalog  
3\_5\_3\_fn07b.pdf

[7c] Sports Administration Flight Plan  
3\_5\_3\_fn07a.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Communication%20\(BS\)%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Communication%20(BS)%20-%202015.pdf)

[8] Nursing BSN

[8a] Nursing Program Requirements  
3\_5\_3\_fn08a.pdf  
<http://louisville.edu/nursing/academics/bsn>

[8b] Nursing Program Requirements UG Catalog  
3\_5\_3\_fn08b.pdf

[8c] Nursing Online Program  
3\_5\_3\_fn08c.pdf  
<http://louisville.edu/online/programs/bachelors/rn-to-bachelor-of-science-in-nursing>

[8d] Nursing Off-site Program  
3\_5\_3\_fn08d.pdf  
<http://louisville.edu/nursing/academics/bsn/owensboro>

[8e] Nursing Flight Plan  
3\_5\_3\_fn08e.pdf  
[https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Nursing%20\(BSN\)%20-%20without%20Summer%20Courses%20-%202015.pdf](https://sharepoint.louisville.edu/sites/ugap/flightplan/201516%20Flight%20Plans/Nursing%20(BSN)%20-%20without%20Summer%20Courses%20-%202015.pdf)

[9] KRS 164.2951, Undergraduate Program Length Requirement  
3\_5\_3\_fn09.pdf

[10] *UofL Undergraduate Catalog*, Examples of 120 Credit Hour Requirements  
3\_5\_3\_fn10.pdf

[11] *Redbook*, Section 3.3.2  
3\_5\_3\_fn11.pdf

[12] New Academic Program Development Process  
3\_5\_3\_fn12.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[13] CPE New Program Approval Policies and Procedures  
3\_5\_3\_fn13.pdf  
[http://cpe.ky.gov/NR/rdonlyres/280181DD-385C-4371-89D2-36EF9124B014/0/10\\_Program\\_Approval\\_New\\_Programs.pdf](http://cpe.ky.gov/NR/rdonlyres/280181DD-385C-4371-89D2-36EF9124B014/0/10_Program_Approval_New_Programs.pdf)

[14] New Program Proposal Template  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[14a] New Program Proposal Template--Undergraduate  
3\_5\_3\_fn14a.pdf

- [14b] New Program Proposal Template--Masters  
3\_5\_3\_fn14b.pdf
- [14c] New Program Proposal Template--Doctoral  
3\_5\_3\_fn14c.pdf
- [15] New Academic Program Development Process  
3\_5\_3\_fn15.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>
- [16] UofL Program Accreditations  
3\_5\_3\_fn16.pdf  
<http://louisville.edu/accreditation>
- [17] Curriculum and Course Development Flow Chart  
3\_5\_3\_fn17.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development>
- [18] General Education Requirements  
3\_5\_3\_fn18.pdf  
<http://louisville.edu/provost/ger>
- [19] General Education List of Approved Courses  
3\_5\_3\_fn19.pdf  
<http://louisville.edu/provost/ger/courses/GER-2016.pdf>
- [20] *UofL Undergraduate Catalog*, General Educational Requirements, Pages 294-299  
3\_5\_3\_fn20.pdf  
<http://louisville.edu/undergraduatecatalog/versions/2014-2015-catalog.pdf#pagemode=bookmarks&toolbar=true&page=882>.
- [21] General Education Option on the Online Schedule of Courses  
3\_5\_3\_fn21.pdf  
<http://htmlaccess.louisville.edu/classSchedule/setupSearchClassSchedule.cfm>
- [22] General Education Requirements  
3\_5\_3\_fn22.pdf  
<http://louisville.edu/provost/ger/ger-preface>
- [23] General Education Curriculum Committee  
3\_5\_3\_fn23.pdf  
<http://louisville.edu/provost/ger/gecc>
- [24] General Education Goals  
3\_5\_3\_fn24.pdf  
<http://louisville.edu/provost/ger/ger-preface>
- [25] General Education Content and Competency Courses 2016-17  
3\_5\_3\_fn25.pdf  
<http://louisville.edu/provost/ger/courses/GER-2016.pdf>

### 3.5.4

#### Educational Programs: Undergraduate: Terminal degrees of faculty

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.

#### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### 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.

University-wide the average percentage of undergraduate credit/course hours taught by faculty with a terminal degree is sixty-one percent, as indicated in Table 1.

**Table 1. Percent of Undergraduate (UG) Credit Hours taught by Faculty with Terminal Degree**

<b>Term</b>	<b>Total UG Credit Hours Taught By Faculty With Terminal Degree</b>	<b>Total UG Credit Hours - Excludes General Education</b>	<b>Overall Percentage Of UG Credits Taught By Faculty With Terminal Degree</b>
<b>Fall 2015</b>	<b>72,740.5</b>	<b>117,543</b>	<b>61.9%</b>
<b>Spring 2016</b>	<b>96,230.5</b>	<b>160,116</b>	<b>60.1%</b>
<b>Total</b>	<b>168,971</b>	<b>277,659</b>	<b>61.0%</b>

Note: At UofL, the historical trend is that for degree-seeking, undergraduate students, the number of student credit hours in the spring semesters exceed the number of credit hours in the fall semesters. Juniors/seniors are taking a greater number of credit hours in the spring semesters.

Degrees defined as terminal are doctoral level degrees including: the doctor of philosophy (PhD), doctor of medicine (MD), doctor of dentistry (DMD/DDS), Juris Doctor in Law (JD), and professional practice doctoral degrees in a variety of disciplines. In addition to doctorate level degrees, the university considers the master's degree in the following disciplines to be a terminal degree:

- Master of Fine Arts
- Master of Library Sciences

- Master of Nursing
- Master of Social Work
- Master of Music.

The Terminal Degrees of Faculty template is provided for fall 2015 [1] and spring 2016 [2]. The template provides information on credit hours by major and location taught by faculty with terminal degrees. Over sixty percent of all undergraduate credit hours excluding general education courses are taught each term by faculty with a terminal degree.

The one exception to the twenty-five percent rule is American Sign Language (ASL). The ASL program is located in the Modern Languages department. ASL courses can be taken to satisfy the foreign language requirement. The ASL faculty all have bachelor's degrees in ASL or interpreter training and are considered proficient in the skills for that major [3] [4]. So, while none of the faculty have a terminal degree based on traditional definitions, they do possess the professional skills needed for this applied discipline.

The university has three campuses: Belknap is the main campus; the Health Sciences Campus has the health-related programs of medicine, dentistry, nursing, and public health; and the Shelby Campus is used by the Delphi Center for Teaching and Learning for professional development and continuing education programming. The majority of undergraduate instruction takes place on the Belknap Campus. In addition, the College of Education and Human Development offers the bachelor's degree in Organizational Leadership and Learning (OLL) at the Fort Knox army base; the School of Nursing offers the bachelor's degree in nursing (BSN) at the Owensboro Medical Center; and the Online Learning unit of the Delphi Center offers the following undergraduate online degrees:

- RN to Bachelor of Science in Nursing
- Bachelor of Science in Organizational Leadership and Learning
  - Training and Development Concentration
  - Leadership and Organizational Development Concentration
  - Career and Technical Education Concentration
  - Bachelor of Science in Organizational Leadership and Learning - Healthcare Leadership
- Bachelor of Science in Criminal Justice
- Bachelor of Arts in Communication
- Bachelor of Science in Communication.

The undergraduate instruction level for faculty with terminal degrees averages well over twenty-five percent at all locations, as indicated in Table 2.

**Table 2. Terminal Faculty Credit Hours by Location or Mode of Delivery**

<b>Location</b>	<b>Fall 2015</b>	<b>Spring 2016</b>	<b>Average by Location</b>
<b>Belknap</b>	59.4%	57.5%	58.4%
<b>Health Sciences</b>	83.7%	84.3%	84.0%
<b>Fort Knox</b>	50.0%	33.3%	41.7%
<b>Online</b>	62.3%	55.3%	58.8%
<b>Owensboro</b>	97.6%	84.3%	90.1%
<b>Panama</b>	43.6%	---	43.6%
<b>Average by Term</b>	<b>61.9%</b>	<b>60.1%</b>	<b>61.0</b>

**SUMMARY**

UofL is in compliance with Comprehensive Standard 3.5.4 as demonstrated by the information provided in support of this report. As a metropolitan research institution, with the majority of enrollment at the undergraduate level, the university is committed to hiring and retaining quality faculty in all programs and at all locations.

[1] Fall 2015 Terminal Degrees of Faculty Template  
3\_5\_4\_fn01.pdf

[2] Spring 2016 Terminal Degrees of Faculty Template  
3\_5\_4\_fn02.pdf

[3] Fall 2015 American Sign Language Faculty Roster  
3\_5\_4\_fn03.pdf

[4] Spring 2016 American Sign Language Faculty Roster  
3\_5\_4\_fn04.pdf

### 3.6.1

#### **Educational Programs: Graduate/Post-Baccalaureate: Post-baccalaureate program rigor**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville (UofL) offers graduate degree programs at the master's, specialist, and doctoral level in numerous disciplines [1] and professional degrees in medicine [2], dentistry [3], and law [4]. The professional degree programs and master's and doctoral degree programs are progressively more advanced in academic content than the undergraduate programs. Academic rigor increases progressively from undergraduate to master's to doctoral or professional study.

#### **Program Creation and Review**

A number of mechanisms at the university assure escalation in academic rigor from undergraduate to graduate or professional degree. All new programs must go through an institutional approval process that includes a thorough review by program faculty and unit-level oversight committees, the faculty senate, and the Office of the Provost [5].

New programs are developed by faculty in the discipline based upon current discipline-specific research, as well as professional standards where they exist for the discipline. Guidelines [6] for proposing new programs are outlined by the Kentucky Council on Post-secondary Education (CPE) master's [7] and doctoral programs report templates [8]. All new degree program proposals must demonstrate the relationship of the proposed program to the university's mission and that it is structured to meet the stated objectives and student learning outcomes of the program. The program proposal includes a description of the academic program and its objectives, including admissions requirements, number of semester credit hours, graduation requirements, new courses to be developed, plans for distance education, and potential for collaboration with other units at UofL or other institutions. The proposal must also outline student learning outcomes, identify direct indicators of achievement of program-level student learning outcomes, explain how the curriculum achieves the outcomes, describe the relationship between the overall curriculum or the major curricular components and the program objectives, and describe the plan for program evaluation.

The proposal for the new programs must also follow the approval process outlined by CPE [9]. During the CPE review the proposed program is posted to the CPE website for review by other state institutions for program duplication and/or demand. This step provides an opportunity for other institutions to comment on the appropriateness of the proposed curriculum for an advanced degree.



## **Graduate Courses**

Courses designated at the 500-level and above represent advanced study courses that are available for post-baccalaureate study, as outlined by the *Graduate Catalog* policy governing graduate courses [10]. Although undergraduate students may take 500-level courses, students taking them for graduate credit are required to do additional, more advanced work, which ensures that the academic content is progressively more advanced than the undergraduate course. Courses numbered 600 and above are designated as graduate-level courses. Depending on the graduate program, doctoral students may take some of the same graduate-level courses as master's students, but doctoral students predominantly enroll in discipline-based courses that are considerably more advanced throughout their program.

## **Master's Degrees**

UofL has seventy-five master's degrees and one specialist degree. The general degree requirements for master's and the specialist programs are outlined in the *Graduate Catalog* [11]. A minimum total of 30 semester hours of graduate credit is required for the master's degree. At least 15 credit hours must be in courses within the major subject area, and the remaining credit hours are distributed as recommended and approved by the program faculty. At least one-half of the credits counted toward the degree (exclusive of thesis, practicum and internships) must be in courses open to graduate students only (600 level or above).

In addition to these graduate program curriculum requirements, individual master's programs require students to complete one or more culminating experiences, which could include comprehensive exams, theses, portfolios, research projects, or internships. Master's students are expected to demonstrate an understanding of the core knowledge within their discipline. In course-based programs the general requirements are met through course work, and the acquisition of new knowledge and information is best demonstrated by synthesizing material across courses in an exit exam or by applying classroom knowledge in real-world settings through an internship. In thesis-based programs, up to one-half of the credits may be earned through independent research, some of which may be practical in nature and carried out in a laboratory or in the field. Students completing degree programs that include a thesis must submit the thesis to their reading committee (composed of the major professor and two other faculty members) for approval. Master's students must complete the degree requirements within six years of beginning the program of study.

## **Doctoral Degrees**

UofL has thirty-six doctoral programs. The general degree requirements for doctoral programs are outlined in the *Graduate Catalog* [12]. Only students with exceptional potential are accepted for admission into doctoral programs, and these programs are expected to have more restrictive criteria for admission than those for admission to master's degree programs. Research, critical analysis, and scholarship are core competencies required to be awarded the doctoral degree.

Most doctoral programs have a minimum of 30 course credit hours plus additional research. Each applicant for the doctorate degree is expected to take such courses as may be required for the advancement of scholarship in general and for training in his or her field of specialization. Program faculty work with the student to design a program of study to fit the needs and interests of the individual student, subject to approval by the department's

graduate program committee and/or department chair. Research, critical analysis, and scholarship are required core competencies. The doctoral degree indicates that a student has attained mastery of a field and has demonstrated the capacity to perform independent scholarly research that advances the field. The degree is not awarded solely upon completion of a curriculum of prescribed courses, even though the student has done superior work in them. Rather, it is awarded in recognition of creative scholarship that represents a significant contribution to the field of study.

Doctoral students must pass a qualifying examination, oral or written, or both, to advance to doctoral candidacy. The purpose of the exam is to verify that the student has sufficient understanding of and competence in the field to become a candidate for the degree. This examination may be referred to by some programs as the preliminary, comprehensive, or candidacy examination. To be eligible for this examination, the student must have satisfactorily completed the major portion of the prescribed course work and any other discipline/program-specific prerequisites with a minimum GPA of 3.0.

After advancing to candidacy, doctoral students must complete a dissertation for the doctor of philosophy degree (Ph.D.), or a capstone project for professional practice doctorates. The dissertation is to be a scholarly achievement in research and should demonstrate a thorough understanding of research techniques in the field of inquiry and the ability to conduct independent research. An oral public defense of the dissertation is used to demonstrate and challenge the candidate's mastery of his/her field. The dissertation and defense must be approved by a committee composed of the major professor and no fewer than four faculty members, including one representative from outside the program. Doctoral students have four years after passing the qualifying exams and entering degree candidacy to finish all other degree requirements.

UofL has three professional practice doctorate degrees: Doctor of Audiology (Au.D.), Doctor of Nursing Practice (D.N.P.) and Doctor of Education (Ed.D.). For the Au.D. degree, students (along with a faculty member) complete a capstone research project in their final year of the program [13]. The Ed.D. degree has the option of either a traditional dissertation or a group manuscript model as a pinnacle for the degree, depending on whether the career goals of the student involve mainly research or applied practice [14]. Each student participating in the group manuscript model must author a publishable manuscript that includes an introduction, a review of literature, a methodology section, a set of findings, and a discussion. In addition to completing this individual work, students participating in the group manuscript model must collaborate on a common introduction, a set of implications for future research, and a summary. The D.N.P. (which begins in the 2016-17 academic year) is the newest of the professional practice doctoral degrees offered at UofL, and it is fully a professional practice degree [15]. The program requires the student to complete a culminating project, often in collaboration with an outside health-related group.

### **Advanced Expectations of Graduate Programs**

Each academic degree program is required to develop Student Learning Outcomes (SLO) relevant to the level of study in the program for the undergraduate [16] and graduate and professional programs [17]. Program faculty annually complete SLOs, in which they review data on their program's learning outcomes and make plans for future improvement. Evidence of increasing rigor from the bachelors, to the master's, to doctoral programs can be found by reviewing the SLOs across programs. Examples are provided for English [18a], Public Health [18b], Biology [18c], and Social Work [18d] (which holds program accreditation).

Graduate and professional programs are to identify program goals that show competencies relating to content knowledge of the discipline (including literature of the discipline), student engagement in research, and professional practice and training experiences. See Comprehensive Standard 3.3.1.1 for information on SLO reports.

Each course’s learning objectives, content, and assignments contribute to the program’s goals and student learning outcomes at each degree level. Faculty develop curriculum and courses that provide students with the foundation for developing expertise at a given level in a field of study. Many courses build upon earlier coursework and have pre-requisites that students are to have completed before enrolling into the higher-level course.

To further demonstrate the advanced expectations from bachelor’s to master’s to doctoral degrees, we have chosen syllabi from a sampling of four programs (across the disciplines of humanities, health science, biological science, and social science) that have degrees at the bachelor’s, master’s, and doctoral level. A summary table for each program, along with associated exemplar syllabi across the levels, is provided for each of the four disciplines (see Table 1). The requirements in the program syllabi demonstrate a progression of rigor across the three levels of student training, with increasing complexity of the material and a progressive focus on research and literature of the discipline from bachelor’s to doctoral programs.

**Table 1. A Sampling of Four Disciplines**

<b>Discipline</b>	<b>Summary Table</b>	<b>Bachelor’s Syllabus</b>	<b>Master’s Syllabus</b>	<b>Doctoral Syllabus</b>
English	[19a]	[19b]	[19c]	[19d]
Public Health	[20a]	[20b]	[20c]	[20d]
Biology	[21a]	[21b]	[21c]	[21d]
Social Work	[22a]	[22b]	[22c]	[22d]

A major goal of the university is to seek and obtain accreditation for all programs for which accreditation exists. This process adds another layer of review of the appropriateness of the program’s course of study for the academic level. Currently, several graduate programs and all of the professional degree programs are accredited [23].

### **Professional Programs**

The UofL professional programs of Law, Dentistry, and Medicine are stand-alone degrees that accept applicants from a variety of educational backgrounds. Each of these professional programs is mandated to be accredited to retain licensure at the state and national levels. The accrediting body for each program establishes the standards for program outcomes that ensure advanced academic content [24].

### **SUMMARY**

The University of Louisville offers graduate degree programs at the master’s, specialist, and doctoral level in numerous disciplines and professional degrees in medicine, dentistry, and law. 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.

Academic rigor increases progressively from undergraduate to master's to doctoral or professional study.

[1] School of Interdisciplinary and Graduate Study Degree Programs  
3\_6\_1\_fn01.pdf  
<http://louisville.edu/graduatecatalog/degree-programs>

[2] School of Medicine Programs  
3\_6\_1\_fn02.pdf  
<http://louisville.edu/medicine/admissions/programs>

[3] School of Dentistry Program  
3\_6\_1\_fn03.pdf  
<http://louisville.edu/dentistry/degrees/dmd>

[4] School of Law Programs  
3\_6\_1\_fn04.pdf  
<http://louisville.edu/law/academics/degree-programs>

[5] New Academic Program Development Process  
3\_6\_1\_fn05.pdf  
<http://louisville.edu/oapa/program-approval/loi-new-programs>

[6] CPE New Program Policy and Procedure  
3\_6\_1\_fn06.pdf

[7] CPE Template for New Master's Program  
3\_6\_1\_fn07.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[8] CPE Template for New Doctoral Program  
3\_6\_1\_fn08.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[9] CPE New Program Approval Flowchart  
3\_6\_1\_fn09.pdf  
<https://louisville.edu/oapa/program-approval/KPPSPProcessUniversities.pdf>

[10] General Policies Governing Graduate Courses  
3\_6\_1\_fn10.pdf  
<http://louisville.edu/graduatecatalog/policies-governing-graduate-courses>

[11] *Graduate Catalog*, Master's Degree Requirements  
3\_6\_1\_fn11.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>

[12] *Graduate Catalog*, Doctoral Degree Requirements  
3\_6\_1\_fn12.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>

[13] Audiology (Au.D.) Curriculum  
3\_6\_1\_fn13.pdf  
<http://louisville.edu/medicine/degrees/audiology>

[14] Ed.D. Dissertation or Group Manuscript Model, page 27 of CEHD Doctoral Handbook  
3\_6\_1\_fn14.pdf

[15] Doctorate in Nursing Practice  
3\_6\_1\_fn15.pdf  
<http://louisville.edu/graduatecatalog/degree-programs/degree-programs-by-school/gn-school-of-nursing/doctor-of-nursing-practice>

[16] Undergraduate SLO Process  
3\_6\_1\_fn16.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>

[17] Graduate/Professional SLO Process  
3\_6\_1\_fn17.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>

[18] Exemplar Student Learning Outcome (SLO) Tables

[18a] English SLO Table  
3\_6\_1\_fn18a.pdf

[18b] Public Health SLO Table  
3\_6\_1\_fn18b.pdf

[18c] Biology SLO Table  
3\_6\_1\_fn18c.pdf

[18d] Social Work SLO Table  
3\_6\_1\_fn18d.pdf

[19] English

[19a] English Advanced Expectations Table  
3\_6\_1\_fn19a.pdf

[19b] English 311 Syllabus  
3\_6\_1\_fn19b.pdf

[19c] English 601 Syllabus  
3\_6\_1\_fn19c.pdf

[19d] English 691 Syllabus  
3\_6\_1\_fn19d.pdf

[20] Public Health/Epidemiology

[20a] Public Health Advanced Expectations Table  
3\_6\_1\_fn20a.pdf

[20b] Public Health 441 Syllabus  
3\_6\_1\_fn20b.pdf

[20c] Epidemiology 618 Syllabus  
3\_6\_1\_fn20c.pdf

[20d] Epidemiology 650 Syllabus  
3\_6\_1\_fn20d.pdf

[21] Biology

[21a] Biology Advanced Expectations Table  
3\_6\_1\_fn21a.pdf

[21b] Biology 242 Syllabus  
3\_6\_1\_fn21b.pdf

[21c] Biology 548 Syllabus  
3\_6\_1\_fn21c.pdf

[21d] Biology 652 Syllabus  
3\_6\_1\_fn21d.pdf

[22] Social Work

[22a] Social Work Advanced Expectations Table  
3\_6\_1\_fn22a.pdf

[22b] Social Work 202 Syllabus  
3\_6\_1\_fn22b.pdf

[22c] Social Work 605 Syllabus  
3\_6\_1\_fn22c.pdf

[22d] Social Work 669 Syllabus  
3\_6\_1\_fn22d.pdf

[23] UofL Program Accreditations  
3\_6\_1\_fn23.pdf

<http://louisville.edu/oapa/accreditation-academic-programs-1/accreditation>

[24] Accreditation of Law, Dentistry, and Medicine  
3\_6\_1\_fn24.pdf

### 3.6.2

#### **Educational Programs: Graduate/Post-Baccalaureate: Graduate curriculum**

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.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville structures its graduate curricula to include knowledge of the literature of the discipline and to ensure ongoing engagement in research, professional practice, and training.

The general degree requirement for master's and doctoral programs are outlined in the *Graduate Catalog* [1]. Master's programs require 30 credit hours, including completing one or more culminating experiences, which could include theses, portfolios, research projects, or internships. The primary example of independent learning for graduate students is the acquisition of new knowledge and information through independent research, some of which may be practical in nature and carried out in a laboratory or in the field.

By its very nature, research is the force of the continuing growth of professions and students. In our graduate programs, students have an opportunity to 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. Through writing and research assignments, students are trained to actively integrate both historical and current literature as an apprentice in the discipline. Students also are exposed to the literature of their discipline in the focused research they do in the completion of the thesis, dissertation, or other culminating projects.

Research and methodology training are integral to all research degree programs in order to provide students with the knowledge and skills needed to be independent learners. The academic challenges of the doctoral degree programs are the highest at the university. From admission to graduation, doctoral students must meet a greater level of expectation and achievement, which culminates in the production of a dissertation for research-based doctorates or a culminating project for professional-based doctorates such as the Doctor of Nursing Practice (DNP) and the Doctor of Audiology (Au.D.). Although doctoral students may take some of the same beginning, graduate-level courses as master's students, doctoral students will undertake further discipline-based courses at a considerably more advanced level throughout their program. The course of study provides the background and research tools necessary for completing the study of the proposed research problem, culminating in the dissertation. The student's entire research experience is designed to provide training in the ability to conduct independent research and in learning the procedures for disseminating results in scholarly publications, which are typically subject to peer review. Evidence of the higher standard of scholarly work in research doctoral programs is best demonstrated by the dissertation. Dissertations from the doctoral

programs in Biology [2], Public Health [3], Social Work [4], and English [5] are shown here as examples.

### **Student Learning Outcome Reports (SLOs)**

All university programs complete annual Student Learning Outcomes Reports (SLOs), which provide an opportunity for programs to review data surrounding their identified learning outcomes and plan for program improvement based upon that assessment [6]. In these reports, programs are looking for evidence that students are developing the skills and content knowledge related to their discipline and that they are engaged in research, professional practice, and training experiences as appropriate to their fields of study. Graduate programs are asked to address in their SLOs the areas of content knowledge, research, and professional practice (see Comprehensive Standard 3.3.1.1 for an explanation of the university's SLO process.) The SLO process helps programs identify problem areas surrounding their learning outcomes and enhance student learning in the discipline.

Student engagement in learning, in achieving milestones of critical thinking, and in application of discipline-based content to research questions in practical experiences are inherent in the outcome measures used in the SLOs. These hallmarks of learning and training are exemplified across samples of SLO reports for master's and doctoral programs. As an example, the School of Nursing offers the Masters of Science Degree in Nursing and the Doctor of Philosophy in Nursing. The use of critical thinking skills is addressed progressively through all levels of graduate training. At the master's level, students focus on an advanced application of critical thinking skills. They are required to synthesize theories, concepts, and research findings from the physical and psychosocial sciences, humanities, and nursing to support evidence-based advanced nursing practice. On the doctoral level, students apply high levels of critical thinking by conducting original research to become proficient as nurse scientists. At this level, students generate knowledge, test interventions, and evaluate outcomes to reduce the risk of illness/disability, to help others manage chronic illness, and to promote quality of life. A comparison of student learning outcomes for these two degrees is provided [7].

Learning outcomes for degree programs in Biology [8a], English [8b], Public Health/Epidemiology [8c], and Social Work [8d] are also provided.

Graduate courses provide students with direct exposure to the literature of the discipline, the methods of professional practice in the discipline, and direct training as an apprentice in the area of study. Each course syllabus defines the purpose of the course in the context of the student's training and provides an outline of the content and achievements expected of students.

As examples we have chosen a sampling of four programs that provide training at the master's and doctoral levels within the disciplines of natural science (Biology), health science (Public Health), social science (Social Work), and humanities (English), and have provided sample syllabi (see Table 1). For each program, a table is used to demonstrate student engagement in the literature and professional training in the respective disciplines.



**Table 1. Student Engagement in the Literature and Professional Training**

Biology [9a]	Public Health [10a]	Social Work [11a]	English [12a]
BIOL 541 [9b]	PHEP 609 [10b]	SW 668 [11b]	ENGL 601 [12b]
BIOL 548 [9c]	PHEP 614 [10c]	SW 669 [11c]	ENGL 631 [12c]
BIOL 552 [9d]	PHEP 618 [10d]	SW 677 [11d]	ENGL 654 [12d]
BIOL 642 [9e]	PHEP 650 [10e]	SW 764 [11e]	ENGL 681 [12e]
BIOL 643 [9f]	PHEP 655 [10f]	SW 769 [11f]	ENGL 691 [12f]

### **Program Approval and Review**

The goal of graduate training at UofL is to foster independent thinking and learning at an advanced level in traditional disciplines as well as in interdisciplinary fields of study. Assurance of this goal begins at the time new graduate programs are proposed. Guidelines for proposing new programs are outlined by the Kentucky Council on Post-secondary Education (CPE) for certificate [13], master's [14] and doctoral programs [15]. The proposal of a new program begins with a Letter of Intent [16] from faculty in the discipline that describes the program's objectives and the skills and knowledge that students are to acquire. If the Letter of Intent is approved, the faculty then develop a full proposal in which they explain how the curriculum achieves the program-level student learning outcomes and the relationship between the overall curriculum and major curricular components and program objectives. Faculty list all student learning outcomes and describe the relationship between the overall curriculum or the major curricular components and the program objectives. The proposal also includes a plan for program evaluation and direct indicators of achievement of program-level student learning outcomes.

As required by CPE, all academic programs undergo a very extensive review every ten years, requiring faculty to review the alignment of the program with the university's mission and statewide goals; the attainment of student learning outcomes and success; student enrollment and completion data; curriculum changes; and student, alumni, and employer feedback on the program [17]. In addition, programs complete a five-year progress report in which program faculty provide an update on their efforts in addressing the program's plan for improvement from the previous program review.

### **SUMMARY**

The University of Louisville 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.

[1] *Graduate Catalog*, Graduate Programs  
3\_6\_2\_fn01.pdf  
<http://louisville.edu/graduatecatalog/degree-programs>

[2] Biology Degree, Dissertation Example  
3\_6\_2\_fn02.pdf

[3] Public Health Degree, Dissertation Example  
3\_6\_2\_fn03.pdf

[4] Social Work Degree, Dissertation Example  
3\_6\_2\_fn04.pdf

[5] English Degree, Dissertation Example  
3\_6\_2\_fn05.pdf

[6] Graduate/Professional Programs' Student Learning Outcomes Report Instructions  
3\_6\_2\_fn06.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/student-learning-outcomes-2>

[7] Nursing School Student Learning Outcomes Across Master's and Doctoral Degrees  
3\_6\_2\_fn07.pdf

[8] Exemplar Student Learning Outcome (SLO) Tables

[8a] Biology SLO Table  
3\_6\_1\_fn08a.pdf

[8b] English SLO Table  
3\_6\_1\_fn08b.pdf

[8c] Public Health SLO Table  
3\_6\_1\_fn08c.pdf

[8d] Social Work SLO Table  
3\_6\_1\_fn08d.pdf

[9] Biology MS, PhD Syllabi

[9a] Biology—Overview of Syllabi  
3\_6\_2\_fn09a.pdf

[9b] Biology 541 Syllabus  
3\_6\_2\_fn09b.pdf

[9c] Biology 548 Syllabus  
3\_6\_2\_fn09c.pdf

[9d] Biology 552 Syllabus  
3\_6\_2\_fn09d.pdf

[9e] Biology 642 Syllabus  
3\_6\_2\_fn09e.pdf

[9f] Biology 643 Syllabus  
3\_6\_2\_fn09f.pdf

[10] Public Health MS, PhD Syllabi

[10a] Public Health/Epidemiology—Overview of Syllabi  
3\_6\_2\_fn10a.pdf

[10b] Epidemiology 609 Syllabus  
3\_6\_2\_fn10b.pdf

[10c] Epidemiology 614 Syllabus  
3\_6\_2\_fn10c.pdf

[10d] Epidemiology 618 Syllabus  
3\_6\_2\_fn10d.pdf

[10e] Epidemiology 650 Syllabus  
3\_6\_2\_fn10e.pdf

[10f] Epidemiology 655 Syllabus  
3\_6\_2\_fn10f.pdf

[11] Social Work MA, PhD Syllabi

[11a] Social Work —Overview of Syllabi  
3\_6\_2\_fn11a.pdf

[11b] Social Work 668 Syllabus  
3\_6\_2\_fn11b.pdf

[11c] Social Work 669 Syllabus  
3\_6\_2\_fn11c.pdf

[11d] Social Work 677 Syllabus  
3\_6\_2\_fn11d.pdf

[11e] Social Work 764 Syllabus  
3\_6\_2\_fn11e.pdf

[11f] Social Work 769 Syllabus  
3\_6\_2\_fn11f.pdf

[12] English MA, PhD Syllabi

[12a] English—Overview of Syllabi  
3\_6\_2\_fn12a.pdf

[12b] English 601 Syllabus  
3\_6\_2\_fn12b.pdf

[12c] English 631 Syllabus  
3\_6\_2\_fn12c.pdf

[12d] English 654 Syllabus  
3\_6\_2\_fn12d.pdf

[12e] English 681 Syllabus  
3\_6\_2\_fn12e.pdf

[12f] English 691 Syllabus  
3\_6\_2\_fn12f.pdf

[13] New Certificate Program Proposal Template  
3\_6\_2\_fn13.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[14] New Master's Program Proposal Template  
3\_6\_2\_fn14.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[15] New Doctoral Program Proposal Template  
3\_6\_2\_fn15.pdf  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[16] New Program Letter of Intent  
3\_6\_2\_fn16.pdf  
<http://louisville.edu/oapa/program-approval/loi-new-programs>

[17] Program Review Template  
3\_6\_2\_fn17.pdf  
<http://louisville.edu/oapa/academic-program-review-process>

### 3.6.3

#### **Educational Programs: Graduate/Post-Baccalaureate: Institutional credits for a graduate degree**

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 Commission policy "Collaborative Academic Arrangements".)

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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 so that they have the opportunity of working closely with faculty, of using university resources and facilities, and being immersed in the intellectual life of their disciplines. Full-time residency for doctoral students is defined as being registered for a minimum of 18 credit hours in a twelve-month period. The residency policy is disseminated in the *Graduate Catalog* [1] [2] and on the School of Interdisciplinary and Graduate Studies (SIGS) website [3].

This residency policy, combined with university policy regarding transfer credit, ensures that one-third of credits toward a graduate or a post-baccalaureate professional degree are earned through instruction offered by UofL.

UofL allows students to transfer up to six semester hours into a graduate or post-baccalaureate program that falls within the oversight of the graduate admission unit in SIGS. Students may petition to have six additional transfer hours as long as the residency requirement of 24 semester hours is maintained by the addition of UofL credits to the total program. All graduate programs abide by this policy. The transfer policy is disseminated in the *Graduate Catalog* [4], on the Online Learning webpage [5], and on the SIGS website under Graduate Advising, "Rules to Advise By" [6]. In addition, many degree programs include this information in their individual student handbooks.

A minimum total of 30 semester hours of graduate credit is required for a master's degree, while some programs require additional hours. In all cases the majority of the credit hours for a master's degree must be earned at UofL or at designated universities associated with UofL joint, cooperative, or consortia programs [7]. Most students transferring credits would be required to take at least 80 percent of their coursework from the University of Louisville.

Doctoral programs vary in length depending upon the program and the availability of a master's degree. The School of Interdisciplinary and Graduate Studies does not require a minimum number of credit hours to receive a doctoral degree beyond those required for a master's degree in the same program. The doctoral degree is considered a research degree and the student must master the research requirements of the degree. All doctoral students must spend at least two years of study at UofL and at least one year of full-time residency [8].

The School of Interdisciplinary and Graduate Studies and the program directors and staff associated with a specific degree program monitor the application of transfer credits. Validation that credit hours have been earned at UofL and that transfer courses are applied is done in the final degree audit conducted by SIGS and the school awarding the post-baccalaureate professional degree. Transfer hours are listed after External Degrees on a transcript in the following way: "Credits Accepted"; "Credits Accepted from (Institution Name)"; "Applied Toward Graduate (Unit) Degree"; "Credits Accepted: (number of hours)" [9]. For Collaborative degrees such as the UK/UL Executive MBA, the transcript identifies the coursework counted for the degree with the collaborating universities [10].

UofL offers three first professional degrees: Medical Doctorate (M.D.), Doctor of Dental Medicine (D.M.D.), the Juris Doctorate (J.D.). The entire professional Doctor of Medicine degree is offered and taught by the faculty of the School of Medicine [11]. Transfer students must complete no less than 50 percent of their medical school curriculum from the University of Louisville School of Medicine [12].

The School of Dentistry accepts transfer students up to the first two years of D.M.D. training. The candidate must be in good standing in their first or second year of dental school and rank in the upper 30 percent of their class with a minimum GPA of 3.0 [13]. Thus, at least 50 percent of the D.M.D. coursework must be taken at UofL. Responsibility for certifying that all graduation requirements have been met rests with the School of Dentistry faculty Assembly and the dean [14].

All students who begin their work toward the J.D. at the UofL Louis D. Brandeis School of Law [15] must complete at least half of their 90 credit hours at UofL and at least 30 of their last 36 credit hours at UofL. They may earn no more than 30 credit hours toward the J.D. degree outside the Law School [16]. This includes credit hours from foreign institutions, other ABA-approved law schools as a visiting student, and graduate-level courses taken outside the Law School.

## **SUMMARY**

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.

[1] Residency and Transfer Credit Policy in the *Graduate Catalog*, page 12  
3\_6\_3\_fn01.pdf  
<http://louisville.edu/graduatecatalog/academic-policies-procedures-and-requirements>

[2] UofL Residency Requirement in the *Graduate Catalog*, page 17  
3\_6\_3\_fn02.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>

[3] UofL Residency Requirement on the SIGS Website  
3\_6\_3\_fn03.pdf  
<http://louisville.edu/graduate/faculty-staff/graduate-advisors>

- [4] Transfer Credit Policy in the *Graduate Catalog*, page 12  
3\_6\_3\_fn04.pdf  
<http://louisville.edu/graduatecatalog/academic-policies-procedures-and-requirements>
- [5] Online Credit Transfer Policies  
3\_6\_3\_fn05.pdf  
<http://louisville.edu/online/military/credit-transfer>
- [6] Rules to Advise By  
3\_6\_3\_fn06.pdf  
<http://louisville.edu/graduate/faculty-staff/graduate-advisors>
- [7] Off-site Program Locations 2015-2016  
3\_6\_3\_fn07.pdf
- [8] Doctoral Degree Residency Requirements  
3\_6\_3\_fn08.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>
- [9] Example of Transcript showing Transfer Credit  
3\_6\_3\_fn09.pdf
- [10] Example of Transcript showing credits awarded for collaborative degree  
3\_6\_3\_fn10.pdf
- [11] M.D. Curriculum  
3\_6\_3\_fn11.pdf  
<http://louisville.edu/medicine/ume/curriculum/curriculum-overview>
- [12] M.D. Transfer Policies  
3\_6\_3\_fn12.pdf  
<http://louisville.edu/medicine/admissions/policies/transfers>
- [13] D.M.D. Transfer Policies  
3\_6\_3\_fn13.pdf  
<http://louisville.edu/dentistry/degrees/dmd/transfer-admissions>
- [14] D.M.D. Curriculum  
3\_6\_3\_fn14.pdf  
<http://louisville.edu/dentistry/degrees/dmd>
- [15] J.D. Curriculum  
3\_6\_3\_fn15.pdf  
<http://louisville.edu/law/academics/degree-programs/jd-program>
- [16] J.D. Transfer Policies  
3\_6\_3\_fn16.pdf  
<http://louisville.edu/law/admissions/apply-now/transfer-visiting-student-applicants>

### 3.6.4

#### **Educational Programs: Graduate/Post-Baccalaureate: Post-baccalaureate program requirements**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville (UofL) awards master's (including one specialist), doctoral, and first-professional degrees (D.M.D., J.D., M.D.). The university defines and publishes the requirements of all graduate programs in the *Graduate Catalog* [1]. The *Graduate Catalog* is updated annually using an online process [2] whereby each graduate program has a designated editor who enters changes.

Each professional program makes its requirements available on the web and in program handbooks, which are updated regularly [3] [4] [5]. As required for public disclosure, the *Graduate Catalog* [6] and professional school handbooks are archived annually [7] [8] [9]. The requirements for all graduate and professional programs conform to discipline-specific commonly accepted standards and practices.

All program requirements apply to online and off-site graduate programs as well. The Delphi Center for Teaching and Learning is designated to oversee applicant support services for students applying to online programs, and program requirements for online programs can be accessed from the Delphi Center's Online Learning website [10]. In compliance with SACSCOC public disclosure requirements, all units with off-site programs are required to have links on their webpages that make program information accessible to the public [11].

Academic authority for graduate and professional degrees rests with the appropriate academic unit. Section 3.3.2 of *The Redbook*, the university's governing document, states that faculty have

general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit. All such actions shall be consistent with enumerated policies of the Board of Trustees. For interdisciplinary degree programs and tracks, academic authority will be shared among the faculties of the participating units as specified in the Bylaws of the School of Interdisciplinary and Graduate Studies. [12]

The School of Interdisciplinary and Graduate Studies (SIGS) provides administrative support to all graduate programs and serves as the enrollment unit for students in graduate Interdisciplinary Studies programs. To ensure high-quality graduate and professional programs, SIGS oversees minimum admissions guidelines for all graduate programs. Individual academic units may establish policies that are more stringent than the



SIGS minimum requirements, but they cannot establish standards that are lower. Any requirements specific to an individual program are also published in the *Graduate Catalog* and must meet the minimum guidelines set by the university.

The goal of graduate training at UofL is to foster independent thinking and learning at an advanced level. Graduate curricula are designed to include knowledge of the literature of the discipline and to ensure ongoing engagement in discipline-specific content, research, professional practice, and training. Faculty experts in the discipline apply their scholarship and knowledge toward establishing and maintaining the appropriate admission requirements, sequence of courses, and other requirements necessary to ensure that they are graduating students who are qualified and knowledgeable in their fields.

### **Defining and Monitoring Requirements for Graduate and Professional Programs**

The university's academic accountability processes provide guidance in the appropriateness of graduate program and post-baccalaureate curricula.

### **New Academic Program Proposal Process**

Each new program proposal undergoes review and approval at numerous levels internally (including participating departments, units, the Faculty Senate, and office of the provost) and externally by the Kentucky Council on Postsecondary Education (CPE) [13]. The internal review process ensures that the content of new master's or doctoral programs is at an advanced level and that the academic content is appropriate for the specific field of study.

The university's process for proposing new graduate programs follows CPE policy and procedures [14] and uses CPE's New Program Proposal template [15a] [15b]. During the CPE review the proposed program is posted to the CPE website for review by institutions in the state for program duplication and/or demand. This review also provides an opportunity for other institutions to comment on any inconsistencies or inappropriateness of the proposed curriculum.

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. All new degree program proposals must demonstrate the relationship of the proposed program to the university's mission and that the program is structured to meet its stated objectives and student learning outcomes. The program proposal includes a description of the academic program and its objectives, including admissions requirements, number of semester credit hours, graduation requirements, new courses to be developed, plans for distance education, and potential for collaboration with other units at UofL or other institutions. The proposal must also outline student learning outcomes, identify direct indicators of achievement of program-level student learning outcomes, explain how the curriculum achieves the outcomes, describe the relationship between the overall curriculum or the major curricular components and the program objectives, and describe the plan for program evaluation. Existing programs coordinate revisions to their curricula through the units' and university's curriculum processes.

### **Academic Program Review**

Existing graduate programs undergo Academic Program Review every ten years [16], with a progress report in five years [17]. The ten-year program review process follows CPE guidelines [18] and provides an avenue for the program to evaluate its effectiveness in

meeting student learning outcomes, program goals, and the goals of the university. Programs are also asked to discuss any substantial changes to the curriculum since the last review. In the five-year progress report program faculty provide an update on their efforts in addressing the program's plan for improvement from the previous program review.

In accordance with requirements of the CPE, each graduate program that has a concentration or specialization must also have a common core of more than half (50 percent) of the program across all concentrations or specializations. The CPE New Program Approval and the Academic Program Review processes include verification that this course hour requirement is being met.

UofL has many programs that have professional accreditation [19]. For graduate programs that are accredited, there is an additional layer of review that the program's course of study conforms to commonly accepted standards and practices. Each of the three first-professional schools (Dentistry, Law, and Medicine) is mandated to be accredited to retain licensure at the state and national levels.

### **Student Learning Outcomes**

All degree programs, including graduate and professional programs, have identified major student learning outcomes based upon current research and professional standards in their respective disciplines. These outcomes are assessed in annual Student Learning Outcomes Reports (SLOs) [20], which provide an opportunity to review data surrounding the identified learning outcomes and to plan for improvement in student learning and the program. In these reports, programs look for evidence that students are developing the college-level skills and knowledge related to their discipline and that they are engaged in research, professional practice, and training experiences as appropriate to their fields of study. Graduate programs are asked to address in their SLO reports the areas of content knowledge, research, and professional practice [21]. The program also reviews its mission, goals, and outcomes in relation to the mission of the university, unit, program, and discipline.

### **General Graduate Program Requirements**

**Master's Programs.** The University of Louisville awards M.A., M.Ac., M.A.T., M.B.A., M.Eng., M.Ed., M.F.A., M.M., M.M.E., M.P.A., M.P.H., M.S., M.Sc., M.S.D., M.S.N., M.S.S.W., and M.U.P. degrees at the master's level [22], as well as an Ed.S. degree. The general degree requirements for master's programs are outlined in the *Graduate Catalog* [23]. A minimum total of 30 semester hours of graduate credit is required for the master's degree. At least 15 credit hours must be in courses within the major subject area, and the remaining hours in the program are distributed as recommended and approved by the program faculty. At least one-half of the credits counted toward the degree (exclusive of thesis, practicum and internships) must be in courses open to graduate students only (i.e., 600 level or above). Students must maintain a grade average of 3.0 or better. The Education Specialist (Ed.S.) degree requires a minimum total of 30 semester hours of graduate credit beyond the master's [24].

The minimum guidelines for graduate programs require students to maintain good standing within their program by making satisfactory progress toward the degree. Academic good standing requires a minimum graduate grade point average of 3.0 on a 4-point scale. Satisfactory progress also requires maintaining the standards of academic and professional

integrity expected in a particular discipline or program and, in some disciplines, may include demonstration of the ability to function as a professional practitioner.

In addition to these general graduate program requirements, individual master's programs generally require students to complete one or more culminating experiences, which could include comprehensive exams, theses, portfolios, research projects or internships. Master's students are expected to demonstrate an understanding of the core knowledge within their discipline.

Programs may offer both course-based and thesis-based programs for the master's degree. In course-based programs the general requirements are met through course work, and the acquisition of new knowledge and information is best demonstrated by synthesizing material across courses in an exit exam or by applying classroom knowledge in real-world settings through an internship. In thesis-based programs, up to one-half the credits may be earned through independent research, some of which may be practical in nature and carried out in a laboratory or in the field. Students completing degree programs that include a thesis must submit the thesis to a reading committee composed of the major professor and two other faculty members for approval. Master's students must complete the degree requirements within six (6) years of beginning the program of study.

**Doctoral Programs.** At the doctoral level, UofL offers Ph.D., Ed.D, Au.D., and D.N.P degrees. Research, critical analysis, and scholarship are core competencies required to be awarded the doctoral degree. The doctoral degree indicates that a student has attained mastery of a field and has demonstrated the capacity to perform independent scholarly research. General degree requirements for doctoral programs are outlined in the *Graduate Catalog* [25]. There is no specific minimum number of credit hours established for doctoral degree programs due to the nature of the degree and variable lengths of time for completion of the degree. Each program publishes requirements for the degree and most programs have a minimum of 30 credit hours, with the majority of the credits earned by course work. In addition, all doctoral students who have completed their coursework must be continuously enrolled in doctoral candidacy and meet a two-year enrollment (residency) requirement.

To enter doctoral candidacy, the student must pass a qualifying examination (oral or written) or both. The purpose is to verify that the student has sufficient understanding of and competence in his/her field to become a candidate for the degree. This examination may be referred to by some programs as the preliminary, comprehensive, or candidacy examination. To be eligible for this examination, the student must have satisfactorily completed the major portion of the prescribed course work and any other discipline/program-specific prerequisites with a minimum GPA of 3.0. A dissertation is required of all candidates for the degree of Doctor of Philosophy. It is to be a scholarly achievement in research and should demonstrate a thorough understanding of research techniques in the field of inquiry and the ability to conduct independent research. An oral public defense of the dissertation is used to demonstrate the candidate's mastery of his/her field. The dissertation and defense must be approved by a committee composed of the major professor and not fewer than four faculty members, including one representative from outside the program. Doctoral students have four (4) years after passing the qualifying exams and entering Degree Candidacy to finish all other degree requirements.

The published requirements for UofL master's and doctoral graduate degrees are in alignment with those of peer institutions. Florida State University (FSU) program requirements are published in a Graduate Bulletin and the University of Kentucky (UK) program requirements are found in The Bulletin: Graduate Catalog, with both universities

providing online access. UofL's general program requirements are consistent with these benchmark institutions. Both non-thesis (course-based) and thesis-based Master's programs are offered at FSU and UK with a minimum 30 credit hours requirement and a thesis defense. Doctoral students at FSU must complete a minimum of 30 hours of course work equivalent to a master's degree, and at UK students must complete 36 credit hours of graduate-level coursework within five years. Both institutions also have in place qualifying examinations for doctoral candidacy, residency requirements for continuous enrollment for doctoral students, and dissertation and defense approval by a faculty committee.

**Professional Programs:** The University of Louisville has three accredited professional programs: Doctor of Dental Medicine (D.M.D.), Doctor of Medicine (M.D.), and Juris Doctor (J.D.).

The D.M.D. degree requirements are published on the School of Dentistry website [26]. The first two years of the D.M.D. curriculum focus on the studies necessary to prepare each student for the clinical practice of dentistry and for the National Boards, Part I, including courses in the basic sciences, pre-clinical techniques and behavioral sciences. Students utilize the Simulation Clinic to gain experience in diagnosis and pre-clinical procedures. First- and second-year students also gain clinical experience in various dental disciplines through direct patient contact. The third- and fourth-year curricula include advanced basic science, clinical and practice management courses and extensive clinical patient treatment using a comprehensive care system. Students complete rotations in pediatric dentistry and oral surgery. An extramural rotation is required. During this experience students are placed in practices throughout Kentucky and nationally through the Public Health Service's/Co-Step Program and the military. The D.M.D. program is accredited by the American Dental Association Commission on Dental Accreditation (CODA) [27].

The M.D. degree is awarded by the School of Medicine (SOM). The SOM is accredited by the Liaison Committee on Medical Education (LCME) of the Association of American Medical Colleges and the American Medical Association [28]. The School of Medicine curriculum uses an integrative approach for delivering the pre-clerkship course content in years 1 and 2 and to link all of the courses throughout the four-year program [29]. Team-based learning and student-directed learning are examples of approaches used to enhance a better fundamental understanding of the way the human body works in health and disease. The third year is devoted to required clerkships and the fourth year to elective clinical rotations for a minimum of 34 weeks. In addition, four distinction tracks (Business and Leadership, Global Health, Medical Education, and Research) were created to meet two primary goals: to increase the number of students choosing a career in academic medicine and to provide students with opportunities to focus on areas in medicine for which they have a passion. Each track is unique in its requirements, ensures a mentored longitudinal experience, and culminates in a scholarly project [30].

The Juris Doctor degree requirements are published on the Brandeis School of Law website [31]. The J.D. program is accredited by the Council of the Section of Legal Education and Admissions [32], and the Brandeis School of Law is a member of the Association of American Law Schools (AALS) [33]. The J.D. program requires the completion of 90 semester hours of work, which can be completed on either a full-time or part-time basis. The full-time program is a three-year course of study for students who are able to devote virtually all of their time to the study of law. The part-time program is designed to meet the needs of students who have outside obligations and is generally completed in four or five years. Students must maintain a cumulative grade point average (GPA) of 2.0 to remain in good academic standing. In addition to core course work, students are required to take

writing and professional skills courses and to perform a minimum of 30 hours of law-related public service.

Graduation requirements for the university's professional degrees must meet the standards of their respective accrediting agencies. This level of oversight aligns our programs with those at peer institutions.

## **SUMMARY**

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, post-baccalaureate, and professional program curricula. The university's programs conform to commonly accepted practices and are similar to programs at peer institutions.

[1] *Graduate Catalog*, Degree Programs

3\_6\_4\_fn01.pdf

<http://louisville.edu/graduatecatalog/degree-programs>

[2] *Graduate Catalog* Update

3\_6\_4\_fn02.pdf

<http://louisville.edu/graduatecatalog/update-site>

[3] Brandeis School of Law Student Handbook 2015-2016

3\_6\_4\_fn03.pdf

<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16>

[4] School of Dentistry Bulletin 2015-2016

3\_6\_4\_fn04.pdf

[5] School of Medicine Bulletin 2015-2017

3\_6\_4\_fn05.pdf

[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)

[6] *Graduate Catalog* Archive

3\_6\_4\_fn06.pdf

<http://louisville.edu/graduatecatalog/archive>

[7] Brandeis School of Law Student Handbook Archive

3\_6\_4\_fn07.pdf

<http://louisville.edu/law/student-services/handbooks>

[8] School of Dentistry Bulletin Archive

3\_6\_4\_fn08.pdf

<http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1>

[9] School of Medicine Bulletin Archive

3\_6\_4\_fn09.pdf

<http://louisville.edu/medicine/studentaffairs/student-services>

- [10] Delphi Center's Online Programs  
3\_6\_4\_fn10.pdf  
<http://louisville.edu/online/admissions>
- [11] Consortial Programs List  
3\_6\_4\_fn11.pdf
- [12] *The Redbook*, Section 3.3.2, Jurisdiction and Purposes  
3\_6\_4\_fn12.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>
- [13] Academic Program Development Process  
3\_6\_4\_fn13.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>
- [14] CPE New Academic Program: Policy and Procedures  
3\_6\_4\_fn14.pdf
- [15] CPE New Academic Program Approval Templates  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>
- [15a] New Program Approval Template—Master's  
3\_6\_4\_fn15a.pdf
- [15b] New Program Approval Template—Doctorate  
3\_6\_4\_fn15b.pdf
- [16] Academic Program Review Template Ten-Year Report  
3\_6\_4\_fn16.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [17] Academic Program Review Template Five-Year Report  
3\_6\_4\_fn17.pdf  
<http://louisville.edu/oapa/academic-program-review-process>
- [18] CPE Academic Program Review Policies and Procedures  
3\_6\_4\_fn18.pdf
- [19] UofL Program Accreditations  
3\_6\_4\_fn19.pdf  
<http://louisville.edu/accreditation>
- [20] 2014-15 SLO Report Template for Graduate Programs  
3\_6\_4\_fn20.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-report-template-for-graduate-programs>
- [21] 2013-14 SLO Annual Report, Graduate Instructions  
3\_6\_4\_fn21.pdf  
[http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/201314SLOAnnualReport\\_GraduateInstructions\\_Sept2014.pdf](http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/201314SLOAnnualReport_GraduateInstructions_Sept2014.pdf)

- [22] School of Interdisciplinary Graduate Studies—Graduate & Professional Degree Programs  
3\_6\_4\_fn22.pdf Degree Programs  
<http://louisville.edu/graduatecatalog/degree-programs>
- [23] *Graduate Catalog* Master's Degree Requirements  
3\_6\_4\_fn23.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>
- [24] Education Specialist (Ed.S.) Degree Requirements  
3\_6\_4\_fn24.pdf  
<https://louisville.edu/graduatecatalog/degree-programs/degree-programs-by-school/ge-college-of-education-and-human-development/specialist-in-education-in-educational-administration>
- [25] *Graduate Catalog* Doctoral Degree Requirements  
3\_6\_4\_fn25.pdf  
<http://louisville.edu/graduatecatalog/degree-requirements>
- [26] Dentistry Degrees DMD  
3\_6\_4\_fn26.pdf  
<http://louisville.edu/dentistry/degrees/dmd>
- [27] American Dental Association Commission on Dental Accreditation (CODA)  
3\_6\_4\_fn27.pdf  
<http://www.ada.org/en/coda>
- [28] Liaison Committee on Medical Education (LCME)  
3\_6\_4\_fn28.pdf  
<http://lcme.org/>
- [29] SOM Curriculum 2015-16  
3\_6\_4\_fn29.pdf
- [30] Medicine Distinction Tracks  
3\_6\_4\_fn30.pdf  
<http://louisville.edu/medicine/distinction-tracks/tracks>
- [31] Brandeis School of Law Academics  
3\_6\_4\_fn31.pdf  
<http://louisville.edu/law/academics/degree-programs/jd-program>
- [32] Council of the Section of Legal Education and Admissions  
3\_6\_4\_fn32.pdf  
[http://www.americanbar.org/groups/legal\\_education.html](http://www.americanbar.org/groups/legal_education.html)
- [33] Association of American Law Schools (AALS)  
3\_6\_4\_fn33.pdf

### 3.7.1

#### Faculty: Faculty competence

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."*)

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) has qualified faculty that effectively support the teaching, research and service mission of the institution [1]. UofL has twelve degree-granting academic units. Nine academic units (Business, Dentistry, Education, Engineering, Law, Medicine, Music, Nursing and Social Work) offer programs with discipline-specific accreditations and have faculty credential standards that must be met to be accredited. Core Requirement 2.8 describes how the university has an adequate number of full-time faculty to support the university's mission and the integrity of the academic programs.

#### Qualified Faculty

UofL has comprehensive procedures for searches and appointments of full-time faculty [2]. Depending on whether the academic unit is health sciences related or not, Deans first request permission from the university Provost or the Executive Vice President for Health Affairs to obtain or retain an available faculty line. Justification must be provided, such as enrollment demand, consistency with the university's 2020 strategic plan, impact on accreditation, etc. In addition, the area of scholarship, workload expectations, and rank must be provided, all with justification.

The appropriateness of an individual's degree for his or her teaching, research or service assignment is evaluated by the academic unit responsible for the appointment decision as defined by *The Redbook*, Chapter Four (the university's governance document) [3]. The search process varies by academic unit and department, although all hires must be endorsed by the appropriate faculty in the unit as well as by the dean, provost and Board of Trustees. New full-time faculty hires, changes in rank, tenure, or appointments are approved by the Board of Trustees, as required by *The Redbook*. The Office of Faculty Affairs [4] supports each academic unit with the hiring process by maintaining the official personnel file for each full-time faculty hire. This file holds documentation of any changes in the faculty appointment, including rank or tenure decisions [5].

Part-time faculty hiring is completed by each academic unit with oversight from the Faculty Affairs Office. Each academic unit maintains a personnel file for all part-time faculty hires.



Part-time faculty are on contract to teach specific classes, and their credentials are verified at the unit-level by the department chair or program director [6].

All faculty hired are expected to contribute to the university's teaching, research, and service mission. Faculty contribution to these areas will be in varying levels of commitment as reflected in their annual work plans. Per *Redbook* Section 3.3.6, postdoctoral fellows and research appointments must also be approved by the Executive Vice President for Research and Innovation [7]. Research faculty serve as mentors of students in their research, serve on dissertation committees, and supervise students in their involvement with research projects. Postdoctoral fellows are considered university staff and will be active participants in supporting grant-sponsored research projects.

The Full-time Faculty Profile for fall 2015 documents qualifications at the program level [8]. In fall 2015, 89.5 percent of all fall 2015 courses were taught by full-time faculty with a terminal degree. In addition to doctorate level degrees, the following disciplines are considered to be terminal degrees:

- Master of Fine Arts
- Master of Library Sciences
- Master of Nursing
- Master of Social Work
- Master of Music

## **Teaching Mission**

UofL has policies and procedures in place to ensure that all faculty are qualified to teach their assigned courses. The Faculty Credentials Procedures [9] guidelines apply to all categories of full-time and part-time faculty (including those instructors teaching online and in off-campus or international locations) and graduate assistants (if the teacher of record). The university may employ instructional staff who do not meet the full expectations of the SACSCOC faculty credential guidelines but who possess other credentials that specifically qualify them to teach an assigned course. These other credentials are documented with an instructional justification statement that is maintained by the hiring unit [10].

Documentation of credentials (including official transcripts) for all instructional staff members (full- and part-time) are retained either in the Faculty Affairs Office (housed in the provost's office) or in the academic unit. The Faculty Affairs Office keeps the central file of faculty credentials for all Board of Trustees-approved positions. Records for full-time faculty have been digitized to ensure better record keeping. The units maintain records for all other faculty (e.g., graduate teaching assistants, adjunct/gratis, and other part-time instructional staff), as well as justifications and documentation for board-appointed faculty who teach out of discipline. The credentials information is entered into the university's PeopleSoft system by a designated staff member in the unit at the time of hiring or when justifying an individual for a new course [11].

Faculty who participate in teaching graduate-level courses must meet the requirements of the School of Interdisciplinary and Graduate Studies (SIGS) [12]. The criteria for graduate faculty status is 1) an earned doctorate/terminal degree in the teaching discipline or a related discipline and 2) evidence of experience in research, teaching, scholarship, or creative activity. However, units may consider other qualifications (e.g., work experience, research) when determining whether a person is qualified to teach graduate-level courses [13].

Faculty teaching online and in off-site locations employed by the university on a full-time or part-time basis must meet the minimum SACSCOC guidelines or have a justification listed. The faculty credentials guidelines also apply to dual credit instruction in the local high schools [14]. Academic units are responsible for maintaining personnel files for part-time instructors employed to teach off-site. The university's largest off-site program is in Panama at the Quality Leadership University (QLU). A faculty roster for QLU for the 2014-15 school year is provided as documentation [15].

Any graduate teaching assistants designated as the lead instructor must meet the minimum of the SACSCOC faculty credentials guidelines [16]. They are evaluated regularly, are supervised by a faculty member in the discipline, and are provided ongoing training and development opportunities by their home unit and/or department [17]. All graduate teaching assistants are required to attend an orientation run by the SIGS before they begin their positions. International GTAs must demonstrate their level of proficiency in the English Language. The PLAN [18] is a framework to address the professional development needs of graduate students and is presented by SIGS. PLAN seminars provide ongoing learning and development opportunities for graduate students on resources to support effective teaching [19] [20], successful mentor relationships, productive research, and dissertation preparation.

## **Faculty Rosters**

- College of Arts and Sciences - Humanities Division Fall 2015 [21a]
- College of Arts and Sciences - Humanities Division Spring 2016 [21b]
- College of Arts and Sciences - Natural Sciences Division Fall 2015 [21c]
- College of Arts and Sciences - Natural Sciences Division Spring 2016 [21d]
- College of Arts and Sciences - Social Sciences Division Fall 2015 [21e]
- College of Arts and Sciences - Social Sciences Division Spring 2016 [21f]
- College of Business Fall 2015 [21g]
- College of Business Spring 2016 [21h]
- School of Dentistry Fall 2015 [21i]
- School of Dentistry Spring 2016 [21j]
- College of Education Human Development Fall 2015 [21k]
- College of Education Human Development Spring 2016 [21l]
- Speed School of Engineering Fall 2015 [21m]
- Speed School of Engineering Spring 2016 [21n]
- Brandeis School of Law Fall 2015 [21o]
- Brandeis School of Law Spring 2016 [21p]
- School of Medicine Fall 2015 [21q]
- School of Medicine Spring 2016 [21r]
- School of Music Fall 2015 [21s]
- School of Music Spring 2016 [21t]
- School of Nursing Fall 2015 [21u]
- School of Nursing Spring 2016 [21v]
- School of Public Health and Information Sciences Fall 2015 [21w]
- School of Public Health and Information Sciences Spring 2016 [21x]
- Kent School of Social Work Fall 2015 [21y]
- Kent School of Social Work Spring 2016 [21z]
- Dual Credit Faculty Roster 2015-16 [21aa]

The rosters reflect the credentials of the person listed in the university's PeopleSoft system as the first instructor of record for courses offered in the fall/spring of 2015-2016.

Faculty credentials information for University Library faculty are listed in Comprehensive Standard 3.8.3. The university does not offer any degrees in Library Sciences so the library faculty are not considered instructional.

## **SUMMARY**

The University of Louisville 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 units can run reports to review and update faculty credentials regularly.

[1] University Mission Statement

3\_7\_1\_fn01.pdf

<http://louisville.edu/about/>

[2] Faculty Credentials Procedures – Final 2016

3\_7\_1\_fn02.pdf

<http://louisville.edu/provost/faculty-personnel/sacs-faculty-credentials-procedures-1>

[3] The Redbook, Chapter 4

3\_7\_1\_fn03.pdf

<http://louisville.edu/provost/redbook/contents.html/chap4.html>

[4] Faculty Affairs Office

3\_7\_1\_fn04.pdf

<http://louisville.edu/provost/faculty-personnel>

[5] Faculty Appointment Triptych

3\_7\_1\_fn05.pdf

<http://louisville.edu/provost/faculty-personnel/faculty-appointment>

[6] Certification of Qualification for Part-time Lecturer

3\_7\_1\_fn06.pdf

<http://louisville.edu/provost/faculty-personnel/certification-of-qualifications-for-part-time-lecturers>

[7] The Redbook, Section 3.3.6

3\_7\_1\_fn07.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.6>

[8] Full-time Faculty Profile – Fall 2015

3\_7\_1\_fn08.pdf

[9] Faculty Credentials Procedures – Final 2016

3\_7\_1\_fn09.pdf

<http://louisville.edu/provost/faculty-personnel/sacs-faculty-credentials-procedures-1>

[10] Instructor Justification Overview

3\_7\_1\_fn10.pdf

<http://louisville.edu/provost/faculty-personnel/faculty-credential-reporting-sacs-coc>

[11] Faculty Credentials Manual 5\_1\_2014  
3\_7\_1\_fn11.pdf

[12] SIGS Graduate Faculty  
3\_7\_1\_fn12.pdf  
<http://louisville.edu/graduate/faculty-staff>

[13] Guidelines for Graduate Faculty  
3\_7\_1\_fn13.pdf  
<http://louisville.edu/artsandsciences/academics/graduate-education/files/ByLawsMinimumGuidelinesSIGS.pdf>

[14] How to Become a Dual Credit Teacher  
3\_7\_1\_fn14.pdf  
<http://louisville.edu/admissions/apply/requirements/how-to-become-a-dual-credit-teacher>

[15] QLU-Panama Faculty Roster: 2014-15  
3\_7\_1\_fn15.pdf

[16] Faculty Credentials Procedures  
3\_7\_1\_fn16.pdf  
<http://louisville.edu/provost/faculty-personnel/sacs-faculty-credentials-procedures-1>

[17] A&S Annual Performance Review for PTL and GTA  
3\_7\_1\_fn17.pdf

[18] PLAN  
3\_7\_1\_fn18.pdf  
<http://louisville.edu/graduate/plan/>

[19] PLAN Workshop- More Than a Discussion Board: Best Practices and Effective Applications for Teaching Online  
3\_7\_1\_fn19.pdf  
[http://events.louisville.edu/event/plan\\_workshop-\\_more\\_than\\_a\\_discussion\\_board\\_best\\_practices\\_and\\_effective\\_applications\\_for\\_teaching\\_online\\_5853#.Vsy3I-Z6VJw](http://events.louisville.edu/event/plan_workshop-_more_than_a_discussion_board_best_practices_and_effective_applications_for_teaching_online_5853#.Vsy3I-Z6VJw)

[20] PLAN Workshop- Technology for Effective Teaching  
3\_7\_1\_fn20.pdf  
[http://events.louisville.edu/event/plan\\_workshop-\\_technology\\_for\\_effective\\_teaching\\_6304#.Vsy3VOZ6VJw](http://events.louisville.edu/event/plan_workshop-_technology_for_effective_teaching_6304#.Vsy3VOZ6VJw)

[21] Faculty Rosters

[21a] College of Arts and Sciences - Humanities Division Fall 2015  
3\_7\_1\_fn21a.pdf

[21b] College of Arts and Sciences - Humanities Division Spring 2016  
3\_7\_1\_fn21b.pdf

[21c] College of Arts and Sciences - Natural Sciences Division Fall 2015  
3\_7\_1\_fn21c.pdf

[21d] College of Arts and Sciences - Natural Sciences Division Spring 2016  
3\_7\_1\_fn21d.pdf

[21e] College of Arts and Sciences - Social Sciences Division Fall 2015  
3\_7\_1\_fn21e.pdf

[21f] College of Arts and Sciences - Social Sciences Division Spring 2016  
3\_7\_1\_fn21f.pdf

[21g] College of Business Fall 2015  
3\_7\_1\_fn21g.pdf

[21h] College of Business Spring 2016  
3\_7\_1\_fn21h.pdf

[21i] School of Dentistry Fall 2015  
3\_7\_1\_fn21i.pdf

[21j] School of Dentistry Spring 2016  
3\_7\_1\_fn21j.pdf

[21k] College of Education Human Development Fall 2015  
3\_7\_1\_fn21k.pdf

[21l] College of Education Human Development Spring 2016  
3\_7\_1\_fn21l.pdf

[21m] Speed School of Engineering Fall 2015  
3\_7\_1\_fn21m.pdf

[21n] Speed School of Engineering Spring 2016  
3\_7\_1\_fn21n.pdf

[21o] Brandeis School of Law Fall 2015  
3\_7\_1\_fn21o.pdf

[21p] Brandeis School of Law Spring 2016  
3\_7\_1\_fn21p.pdf

[21q] School of Medicine Fall 2015  
3\_7\_1\_fn21q.pdf

[21r] School of Medicine Spring 2016  
3\_7\_1\_fn21r.pdf

[21s] School of Music Fall 2015  
3\_7\_1\_fn21s.pdf

[21t] School of Music Spring 2016  
3\_7\_1\_fn21t.pdf

[21u] School of Nursing Fall 2015  
3\_7\_1\_fn21u.pdf

[21v] School of Nursing Spring 2016  
3\_7\_1\_fn21v.pdf

[21w] School of Public Health and Information Sciences Fall 2015  
3\_7\_1\_fn21w.pdf

[21x] School of Public Health and Information Sciences Spring 2016  
3\_7\_1\_fn21x.pdf

[21y] Kent School of Social Work Fall 2015  
3\_7\_1\_fn21y.pdf

[21z] Kent School of Social Work Spring 2016  
3\_7\_1\_fn21z.pdf

[21aa] Dual Credit Faculty Roster 2015-16  
3\_7\_1\_fn21aa.pdf

### 3.7.2

#### Faculty: Faculty evaluation

The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) conducts annual evaluations of the effectiveness of each faculty member [1]. Chapter 4 of *The Redbook*, the university's governance document, addresses Faculty Personnel Policies [2]. *The Redbook*, Section 4.2.1 (B), states that

All part-time, term, probationary, and tenured faculty must be reviewed in writing annually. Unit personnel documents shall specify the process of annual review, which shall be consistent with *The Redbook* and the Minimum Guidelines. Copies of the evaluations are maintained in the Office of the Dean in each unit. [3]

The Faculty Senate [4] has oversight of *The Redbook*, and the Faculty Senate's standing *Redbook* Committee [5] coordinates changes and revisions to *The Redbook*. The Faculty Senate is composed of sixty-four members (including part-time faculty representatives), each elected by their unit, and is charged with reviewing any documents or policies affecting faculty. Proposed changes to the *Redbook* are shared with university faculty by the faculty senators, who have voting rights on *Redbook* changes. This input ensures that *Redbook* policies surrounding faculty evaluations are broad enough for all faculty regardless of status. The process allows for faculty review, input, and discussion of proposed changes to policies.

As required by *The Redbook* 4.6.1 [6], the Faculty Senate adopts Minimum Guidelines for unit policies regarding faculty tenure, promotion, periodic career reviews, and salary increases based upon merit. The guidelines are approved by the President and Board of Trustees and are stated in an addendum to *The Redbook* [7].

The Provost's Office provides university-level oversight of faculty personnel issues, including recruitment, appointment, promotion, tenure, leave and review, awards and recognition, position retention, and grievances and disputes [8].

Students contribute to the faculty evaluation process through student course evaluations administered in each class every semester. Students are surveyed on the ability of the instructor to clearly communicate ideas and concepts, facilitate understanding of the material, and encourage participation, and the instructor's availability outside of class, effectiveness of classroom content and assignments, and timeliness in returning assignments and feedback [9]. The results of course evaluations are shared with the unit, department, and program offering the course. These results are often used in the faculty evaluation process as specified in each unit's personnel guidelines.

#### Unit Personnel Documents

Section 4.6.2.A of *The Redbook* specifies that each academic unit is to have a personnel document that outlines the unit's personnel policies, including faculty evaluation

[10]. Academic unit personnel policies are to be in alignment with the minimum guidelines set forth in *The Redbook*. Once approved by the unit faculty, the personnel policies are reviewed and approved by the Faculty Senate *Redbook* Committee (for alignment with the university's personnel guidelines), by University Counsel, and by the Board of Trustees and the university president. Under *The Redbook* Minimum Guidelines the changes to the documents must be reviewed by the Provost who, after consulting with the Faculty Senate, shall advise the President on a recommendation to the Board of Trustees concerning approval [11]. Unit personnel documents are available on the Office of Faculty Affairs website [12]. The unit personnel policies are provided [13a] [13b] [13c] [13d] [13e] [13f] [13g] [13h] [13i] [13j] [13k] [13l].

The process for annual faculty evaluation is left up to each academic unit. However, Section III, Part B.4 of the Minimum Guidelines states that unit documents must spell out the documentation required from each faculty member for the annual review, the due date for such documentation, the period of the review for salary increases (while the performance reviews are annual more than one year may be included for salary increase calculations), that the faculty member is to receive the review in writing, and who will do the review [14]. Units are also to provide procedures for appeals of personnel decisions.

The unit personnel documents address the evaluation process or annual reviews of term, probationary, and tenured faculty. Many also outline the unit's annual review procedures for part-time faculty and GTAs. Annual faculty evaluations are used to ensure the effectiveness of faculty and of student learning. Faculty teaching off-site or online are subject to the same evaluation standards provided in the hiring unit's personnel policies [15].

### **Evaluation of Full-time Faculty**

Full-time faculty include tenured and tenure-track faculty as well as faculty with term appointments (*Redbook*, Section 4.1.1 [16]). In compliance with the Minimum Guidelines (*Redbook*, Section 4.6.3) [17], each academic unit's personnel document establishes and maintains a system of career reviews for all full-time faculty. The kinds of review are: annual (4.2.1) [18]; pre-tenure (4.2.2 [G]) [19]; tenure (4.2.2 [H]) [20]; promotion in rank (to associate professor or professor (4.2.3) [21]; and periodic career review (4.2.4) [22].

Full-time faculty collaborate with department chairs or supervisors to develop an annual work plan, an agreement between the faculty member and the administration of his or her school regarding the faculty member's responsibilities for the year in the areas of teaching, research or creative activity, and service [23]. Each faculty member is evaluated according to the criteria approved in his or her annual work plan (*Redbook* 4.3.1) [24].

Across all units the annual evaluation of full-time faculty is based upon their achievements relative to the annual work plan. While most faculty work plans consist of responsibilities in teaching, research or creative activity, and service, the work plans in all units are flexible based on the needs of the unit. Most full-time term faculty have work plans that have only teaching and service responsibilities, or in some cases only teaching. Examples of work plans are provided [25a] [25b] [25c] [25d] [25e] [25f].

Within tenured faculty the work plan could be heavily focused on one area. Tenure-track faculty work plans are set up to emphasize the criteria for tenure and promotion. In any event, the work plans for the coming year are set up as part of the evaluation process. In some units the work plans are detailed, and in others only the percentage or effort for each area may be indicated. In all instances the work plan template is guided by the unit



personnel document. Deficiencies in any of the areas of the work plan are identified in the annual review process.

### **Promotion and Tenure**

Tenure-track faculty undergo the following additional levels of evaluation.

- Tenure Review: Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied to tenure [26a] [26b]. The faculty member's tenure materials are reviewed according to the procedures specified in *The Redbook's* Minimum Guidelines and the unit personnel document. The tenure file is also reviewed by the Executive Vice President and University Provost, who makes recommendation regarding tenure to the President. The President makes the final recommendation concerning tenure for any faculty member whose status is to be acted upon by the Board of Trustees.
- Promotion in Rank: For promotion in rank, a faculty member is evaluated in the areas of teaching, research or creative activity, and service to the profession, unit, university, or community as specified in the unit personnel document [27].
- Periodic Career Reviews: Faculty with tenure undergo periodic career review following the process specified in the unit personnel document [28].

A list of the 2015 promotion and tenure decisions is provided [29a], along with examples of tenure reviews [29b] [29c] [29d] [29e].

### **Part-time Faculty**

Part-time faculty are appointed to teach specified courses or instruction, or to complete research or service less than full time for a designated period [30a]. University policy requires that all faculty, including part-time faculty, be reviewed in writing annually [30b] [30c]. Examples of a part-time faculty evaluation and contract are provided [30d] [30e].

### **Graduate Teaching Assistants**

Graduate Teaching Assistants (GTAs) are graduate students who have teaching appointments as part of their graduate work. Graduate Teaching Assistants are closely supervised and evaluated on an annual basis to determine their suitability for continuing in the Teaching Assistant position [31a]. Only five of the academic units use GTAs on a regular basis, and all of these units have a process for evaluating the teaching of the GTA at least annually, with some doing evaluations every semester. In most of the units the evaluation process is part evaluation and part mentoring [31b].

### **Use of Faculty Evaluation**

Annual reviews are used to determine the faculty member's effectiveness in addressing the goals of the department, school, or university and to make determination about salary adjustments.

Section III, part B of the Minimum Guidelines states that "Each academic unit shall award salary increases based upon performance as documented in annual reviews." Further, in Part B.1 the guidelines state that "All decisions concerning salary increases shall be made in

accordance with criteria and procedures contained in the unit document adopted by the unit faculty" [32].

Examples of faculty annual evaluations are provided [33a] [33b] [33c] [33d] [33e] [33f] [33g] [33h] [33i] [33j] [33k] [33l].

When deficiencies are identified in the evaluation process, department chairs develop strategies for the faculty member to work toward improvement. Examples of how annual reviews are used for faculty improvement are provided from the College of Arts and Sciences (the largest academic unit on campus), the College of Education and Human Development (the unit that prepares teacher educators), Brandeis School of Law (a professional program), and the School of Nursing (a program on the Health Sciences Campus) [34].

### **Dissemination of Faculty Evaluation Information**

Units are responsible for disseminating information on faculty evaluation to their faculty. Workload evaluation information is included in full-time faculty employment letters, along with the basic timetable and processes for promotion and tenure [35]. A link to *The Redbook* is available on the Office of Faculty Affairs webpage [36], and a link to *The Redbook*, Chapter 4, which contains specific information about annual reviews, the annual work plan, and the promotion and tenure review process, is available in the Faculty Handbook, which can also be found on the Faculty Affairs webpage [37]. Information on the promotion and tenure process is shared with new faculty during New Faculty Orientation [38]. Evaluation information is included in Unit Personnel Policies, which are available on the Office of Faculty Affairs website [39] and on many unit webpages. Each unit has an Associate or Assistant Dean for Faculty Affairs, who helps faculty to understand and complete the annual review and promotion and tenure process [40]. Part-time faculty are informed of the annual evaluation process by the department chair at the time of hire. Requirements regarding annual evaluation of GTAs are posted on the School of Interdisciplinary and Graduate Studies (SIGS) webpage [41].

### **SUMMARY**

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." The Faculty Senate has oversight of *The Redbook*, and the Faculty Senate's standing Redbook Committee coordinates changes and revisions to *The Redbook*. The Provost's Office provides university-level oversight of faculty personnel issues. Full-time faculty develop an annual work plan that outlines the faculty member's responsibilities for the year in the areas of teaching, research or creative activity, and service. The annual evaluation of full-time faculty is based upon achievements relative to the annual work plan.

[1] Types of Faculty Appointments  
3\_7\_2\_fn01.pdf

[2] *The Redbook*, Chapter 4, Faculty Personnel Policies  
3\_7\_2\_fn02.pdf

[3] *The Redbook*, Section 4.2.1, Annual Reviews  
3\_7\_2\_fn03.pdf

[4] Faculty Senate

3\_7\_2\_fn04.pdf

<http://louisville.edu/facultysenate>

[5] Faculty Senate Redbook Committee

3\_7\_2\_fn05.pdf

[6] *The Redbook* 4.6.1, Minimum Guidelines

3\_7\_2\_fn06.pdf

[7] *The Redbook* Addendum, Minimum Guidelines for Faculty Personnel Reviews

3\_7\_2\_fn06.pdf

[8] UofL Office of Faculty Affairs

3\_7\_2\_fn08.pdf

<http://louisville.edu/provost/faculty-personnel>

[9] Example of Student Course Evaluation

3\_7\_2\_fn09.pdf

[10] *The Redbook*, Section 4.6.2.A, Unit Personnel Documents

3\_7\_2\_fn10.pdf

[11] Procedures for Revisions to Unit Personnel Policies

3\_7\_2\_fn11.pdf

[12] UofL Office of Faculty Affairs, Unit Personnel Policies

3\_7\_2\_fn12.pdf

<http://louisville.edu/provost/faculty-personnel/unit>

[13] Unit Personnel Documents

<http://louisville.edu/provost/faculty-personnel/unit>

[13a] Brandeis School of Law

3\_7\_2\_fn13a.pdf

[13b] College of Arts and Sciences

3\_7\_2\_fn13b.pdf

[13c] College of Business

3\_7\_2\_fn13c.pdf

[13d] College of Education and Human Development

3\_7\_2\_fn13d.pdf

[13e] J.B. Speed School of Engineering

3\_7\_2\_fn13e.pdf

[13f] Kent School of Social Work

3\_7\_2\_fn13f.pdf

- [13g] School of Dentistry  
3\_7\_2\_fn13g.pdf
- [13h] School of Medicine  
3\_7\_2\_fn13h.pdf
- [13i] School of Music  
3\_7\_2\_fn13i.pdf
- [13j] School of Nursing  
3\_7\_2\_fn13j.pdf
- [13k] School of Public Health and Information Sciences  
3\_7\_2\_fn13k.pdf
- [13l] University Libraries  
3\_7\_2\_fn13l.pdf
- [14] Minimum Guidelines, III.B.4, Components of Unit Personnel Policies  
3\_7\_2\_fn14.pdf
- [15] Off-site Faculty Evaluation Example  
3\_7\_2\_fn15.pdf
- [16] *The Redbook* Section 4.1.1, Full-Time Faculty Appointments  
3\_7\_2\_fn16.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a1>
- [17] *The Redbook*, Section 4.6.3, Minimum Guidelines for Faculty Personnel Reviews  
3\_7\_2\_fn17.pdf  
<http://louisville.edu/provost/redbook/chap4.html#minimum>
- [18] *The Redbook*, Section 4.2.1, Annual Reviews  
3\_7\_2\_fn18.pdf
- [19] *The Redbook*, Section 4.2.2 (G), Pre-Tenure Review  
3\_7\_2\_fn19.pdf
- [20] *The Redbook*, Section 4.2.2 (H), Evaluation for Tenure  
3\_7\_2\_fn20.pdf
- [21] *The Redbook*, Section 4.2.3, Promotion in Rank  
3\_7\_2\_fn21.pdf
- [22] *The Redbook*, Section 4.2.4, Periodic Career Review  
3\_7\_2\_fn22.pdf
- [23] Definition of Teaching, Research or Creative Activity, and Service  
3\_7\_2\_fn23.pdf
- [24] *The Redbook* 4.3.1, Annual Work Plan  
3\_7\_2\_fn24.pdf

[25] Examples of Work Plans

[25a] Example of Work Plan—Dentistry  
3\_7\_2\_fn25a.pdf

[25b] Example of Work Plan—Kent School of Social Work  
3\_7\_2\_fn25b.pdf

[25c] Example of Work Plan—Law School  
3\_7\_2\_fn25c.pdf

[25d] Example of Work Plan—Speed School of Engineering  
3\_7\_2\_fn25d.pdf

[25e] Example of Work Plan—Libraries  
3\_7\_2\_fn25e.pdf

[25f] Example of Work Plan—Public Health  
3\_7\_2\_fn25f.pdf

[26] Tenure Review

[26a] *The Redbook* 4.2.2, Tenure Review  
3\_7\_2\_fn27a.pdf

[26b] Example of Tenure Progress Report  
3\_7\_2\_fn27b.pdf

[27] *The Redbook* 4.2.3, Promotion in Rank  
3\_7\_2\_fn27.pdf

[28] *The Redbook* 4.2.4, Periodic Career Reviews  
3\_7\_2\_fn28.pdf

[29] Promotion and Tenure

[29a] Promotion and Tenure Decisions 2015  
3\_7\_2\_fn29a.pdf

[29b] Example of Promotion and Tenure Review for Teaching—Arts and Sciences  
3\_7\_2\_fn29b.pdf

[29c] Example of Promotion and Tenure Review for Teaching—Education  
3\_7\_2\_fn29c.pdf

[29d] Example of Promotion and Tenure Review for Research—Medicine  
3\_7\_2\_fn29d.pdf

[29e] Example of Promotion and Tenure Review for Research-Engineering  
3\_7\_2\_fn29e.pdf

[30] Evaluation of Part-Time Faculty

[30a] *Redbook* 4.1.2, Definition of Part-time Faculty  
3\_7\_2\_fn30a.pdf

[30b] *Redbook* 4.2.1 (B), PTF Annual Evaluation Requirement  
3\_7\_2\_fn30b.pdf

[30c] Part-time Faculty Evaluation by Unit  
3\_7\_2\_fn30c.pdf

[30d] Sample Part-time Faculty Evaluation--Music  
3\_7\_2\_fn30d.pdf

[30e] Sample Part-time Faculty Contract  
3\_7\_2\_fn30e.pdf

[31] Evaluation of Graduate Teaching Assistants

[31a] GTA Annual Evaluation Requirement  
3\_7\_2\_fn31a.pdf

<http://louisville.edu/graduate/faculty-staff/directors-of-graduate-studies/evaluation-overview>

[31b] GTA Evaluation by Unit  
3\_7\_2\_fn31b.pdf

[32] Minimum Guidelines III.B.4, Salary Increases  
3\_7\_2\_fn32.pdf

[33] Examples of Faculty Annual Reviews

[33a] Example of Faculty Annual Review—Arts and Sciences  
3\_7\_2\_fn33a.pdf

[33b] Example of Faculty Annual Review—Business  
3\_7\_2\_fn33b.pdf

[33c] Example of Faculty Annual Reviews—Dentistry  
3\_7\_2\_fn33c.pdf

[33d] Example of Faculty Annual Reviews—Education  
3\_7\_2\_fn33d.pdf

[33e] Example of Faculty Annual Reviews—Social Work  
3\_7\_2\_fn33e.pdf

[33f] Example of Faculty Annual Reviews—Libraries  
3\_7\_2\_fn33f.pdf

[33g] Example of Faculty Annual Reviews—Medicine  
3\_7\_2\_fn33g.pdf

[33h] Example of Faculty Annual Reviews—Music  
3\_7\_2\_fn33h.pdf

[33i] Example of Faculty Annual Reviews—Nursing  
3\_7\_2\_fn33i.pdf

[33j] Example of Faculty Annual Reviews—Law  
3\_7\_2\_fn33j.pdf

[33k] Example of Faculty Annual Reviews—Engineering  
3\_7\_2\_fn33k.pdf

[33l] Example of Faculty Annual Reviews—Public Health  
3\_7\_2\_fn33l.pdf

[34] Examples of Use of Annual Reviews for Faculty Improvement  
3\_7\_2\_fn34.pdf

[35] Sample Faculty Employment Letters  
3\_7\_2\_fn35.pdf

[36] Office of Faculty Affairs Webpage, Promotion and Tenure Review Information  
3\_7\_2\_fn36.pdf

[37] Faculty Handbook  
3\_7\_2\_fn37.pdf  
<http://louisville.edu/facultyhandbook/policies-governing-faculty-appointments>

[38] New Faculty Orientation  
3\_7\_2\_fn38.pdf

[39] Unit Personnel Policies on Office of Faculty Affairs Website  
3\_7\_2\_fn39.pdf  
<http://louisville.edu/provost/faculty-personnel/unit/>

[40] *The Redbook*, Chapter 4, Faculty Personnel Policies  
3\_7\_2\_fn40.pdf

[41] GTA Evaluation  
3\_7\_2\_fn42.pdf  
<http://louisville.edu/graduate/faculty-staff/directors-of-graduate-studies/evaluation-overview>

### 3.7.3

#### Faculty: Faculty development

The institution provides ongoing professional development of faculty as teachers, scholars, and practitioners.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 for various professional development activities. Faculty development activities are supported both in university-wide programs and through unit practices and professional development offerings.

Sabbaticals are an integral part of each faculty's professional development. As outlined in *The Redbook*, Section 4.3.5 [1], every seventh year faculty are eligible to apply for sabbatical leave of either one year at half pay or one semester at full-pay. The university approves an average of forty sabbaticals each year.

In order to support their continuing education, full-time faculty (.80 FTE or more) receive a tuition waiver for up to six credit hours of course work each semester. Part-time faculty (.40 FTE) receive tuition remission for four credit hours each semester (not to exceed 9 credit hours a year) [2].

#### Delphi Center for Teaching and Learning

The university's Delphi Center for Teaching and Learning offers a wide range of faculty development programs and services. The Delphi Center keeps faculty informed of their activities through monthly faculty emails, targeted email promotions, UofL Today daily email announcements promoting workshops, and word-of-mouth outreach. Faculty development initiatives are also shared and promoted by faculty participating in the Delphi Center for Teaching and Learning's Advisory Board, which meets twice a semester. In addition to the activities discussed below, the Delphi Center also offers many seminars on technology and software used by faculty, online education techniques, and individualized consultations [3]. In 2015, the Delphi Center delivered a total of 6,299 professional development contact hours, including 77 special topic offerings based on best practices for teaching and learning with over 245 programming hours and 1,561 program attendees.

The Delphi Center provides the following primary activities, along with various other opportunities for faculty development:

- **i2a Critical Thinking Institute** [4]. Ideas to Action, or i2a, is the university's quality enhancement plan (QEP) to promote the infusion of critical thinking, culminating undergraduate experiences (CUE), and community engagement into the undergraduate curriculum. In collaboration with undergraduate faculty and staff, i2a provides consultation services and sponsors workshops, events and other programs



to support the goals of i2a in and outside of the classroom. The i2a Institute is a 2-day conference designed to help faculty put critical thinking concepts and tools into their everyday practice in and outside the classroom.

- **Part-Time Faculty (PTF) Institute** [5]. The Part-time Faculty Institute provides monthly faculty development workshops designed specifically for part-time faculty. Part-time faculty who successfully complete the Institute qualify for a modest incentive. In 2015, 116 part-time faculty attended the PTF Institute sessions.
- **Celebration of Teaching and Learning** [6]. The annual Celebration of Teaching and Learning conference has been hosted by the Delphi Center since 2004. Since its inception, more than 2,400 UofL faculty and staff have taken part, participating in workshops ranging from how to improve student engagement to integrating technology in courses. In 2015, 244 faculty attended the Celebration of Teaching and Learning.
- **Dine and Discover Series** [7]. Expert UofL faculty share their knowledge, experience, and excitement for a variety of subjects at these thought-provoking lunchtime sessions. Offered on both the HSC and Belknap campuses, Dine and Discover sessions provide faculty with important information in a manageable format. Topics range from best practices for engaging students in the learning process and better utilizing technology to evidence-based strategies for overcoming challenges in the classroom and beyond. In 2015, 221 faculty attended Dine and Discover sessions.
- **Faculty Learning Communities** [8]. A faculty learning community (FLC) is an interdisciplinary cohort of 8-12 faculty who engage in a collaborative year-long program to ask questions about teaching and learning, explore teaching innovations, assess the impact on student learning, and present and publish scholarship about their work. In 2015, the Delphi Center offered five Faculty Learning Community sessions in partnership with the Department of Engineering Fundamentals with 40 participants.
- **Faculty Development Partnerships**. Delphi has unit-level faculty development partnerships with the Health Sciences Campus (HSC), Speed School of Engineering, School of Medicine, and School of Social Work. On August 19, 2015, on the Health Sciences Campus 151 attendees participated in a session with Dr. Gerard Rabalais, Chair of the Department of Pediatrics, entitled "Future Directions in Health Science Education: What I Learned on my Sabbatical Visits to Eight Exemplary Medical Schools." This presentation identified key trends in medical education across eight medical schools at the forefront of innovation in medical education. It also compared and contrasted alternative curricular and clinical approaches for preparing health practitioners [9].

The Delphi Center offers a variety of development options for faculty to learn to teach online.

- **Delphi U** [10]. Delphi U is a four-and-a-half day, in-person workshop conducted in an engaging, hands-on environment. Faculty get many of their questions and concerns about online courses answered and are introduced to ways of designing, developing, delivering, and assessing online classes. Faculty leave Delphi U with a head start on creating or re-designing an online course. Delphi U is offered two times a year.

- **Delphi U Online** [11]. Delphi U Online is an eight-week online course that covers the same content as Delphi U. Participants learn two primary concepts: what it is like to be an online learner and how to effectively teach online. This course is made up of eight modules that are covered one week at a time. The program includes optional synchronous sessions for interaction with the instructor and peers, but all other portions of the class are asynchronous. Delphi U Online is offered three times a year.
- **Consultation Service Offering** [12]. Direct assistance to individual faculty members and departments is available via consultation with Delphi Center staff. Staff members assist faculty in course design, assessing and implementing teaching strategies, syllabus construction, development of assessment measures, technology integration, etc.
- **Instructional Design and Technology Team**. The Instructional Design and Technology Team also offers a three-level service offering in which faculty can learn to teach online [13]. This service is most often in conjunction with group trainings. In 2015 the Instructional Design Team offered 144 sessions with 1,580 faculty attending.

Faculty teaching in off-site locations are either permanent faculty that travel to that location from the sponsoring UofL unit or are local part-time faculty hired to teach courses. At the Quality Leadership University (QLU) in Panama, UofL programs offered using this dual approach are in the social sciences (i.e., communications or general education instruction). The Master's in Engineering courses offered at QLU are taught only by UofL engineering faculty. The UofL faculty for these programs have access to the same professional development opportunities outlined in this report. The part-time faculty employed by QLU are provided professional development opportunities organized by QLU [14].

### **Other Professional Development Opportunities**

A variety of university centers, offices, and academic units continuously offer seminars and workshops to faculty across campus on an individual and group level.

- The Office of the Executive Vice President and University Provost hosts the Academic Leadership Program [15], a series of workshops designed for departmental chairs and division leaders with the goal of acknowledging the critical role that departmental and divisional leadership plays in achieving the university's strategic aims. Under the leadership of the vice provost for faculty affairs, the sessions are designed to inform and train departmental and divisional leadership of the changing roles, rules, obligations, and opportunities related to their jobs.
- The Sponsored Programs Administration Office [16], a unit of the Executive Vice Provost for Research and Innovation (EVPRI), provides training to faculty and others on the processes to find funding, prepare proposals, and manage extramural awards. EVPRI also offers multiple training programs for faculty through its Research Integrity Program and support for Research!Louisville, which is an annual event with educational presentations and seminars [17].
- The University Writing Center offers seminars to faculty on incorporating writing into their courses and assessing outcomes [18].

- The University Library offers a variety of workshops to faculty on the use of new research and teaching tools, including available electronic databases and citation management software [19].
- Information Technology (IT) offers a wide variety of free instructional short courses and face-to-face instruction to UofL faculty, staff, and students for a variety of software applications. Most courses are offered on both Belknap and Health Sciences Center campuses [20].
- The Research Integrity Program directs and conducts the university's program for education and training in the responsible conduct of research, coordinating the implementation of this effort with departments and units within the university [21].
- UofL's Sustainability Council offers a peer-to-peer sustainability outreach and education program. Eco-Reps provide basic training and resources, service opportunities, and certification as a point-person and peer-to-peer advocate for sustainability. Their workshop series provides opportunities for learning more about specific topics in sustainability.
- Academic units throughout the university provide a large number and wide variety of professional development programs, seminars, and guest speakers for their faculty. Examples of these offerings and attendance numbers are provided [22]. Many units also provide funding for external professional development activities, including professional society memberships, conferences, seminars, and other experiences that require travel to an external location [23].
- University Libraries faculty participate in ongoing professional development related to their specialized field of library sciences [24].

Faculty share their professional development experiences in brown bag sessions, research forums, department meetings or retreats, special presentations, retreats, informal discussions, calibration sessions, written reports, and informal discussions. Descriptions of how faculty share their experiences are provided [25].

### **Professional Development for Graduate Teaching Assistants**

All graduate teaching assistants (GTAs) are required to attend an orientation run by the School of Interdisciplinary and Graduate Studies (SIGS) before they begin their positions. The PLAN [26], provided by SIGS, is a framework for understanding and addressing the professional development needs of graduate students. PLAN seminars provide learning and development opportunities for graduate students on resources to support effective teaching; successful mentor relationships; productive research; and dissertation preparation. [27]. GTAs are also provided ongoing training and development opportunities by their home unit and/or department [28].

### **SUMMARY**

The University of Louisville supports the ongoing professional development of its faculty through both university-wide programs and through unit practices and offerings. Opportunities range from sabbatical leaves to training seminars to financial support for various activities. Faculty are informed of professional development opportunities through monthly faculty emails, targeted email promotions, UofL Today daily email announcements promoting workshops, and word-of-mouth outreach. The Delphi Center also offers many

seminars that focus on training about university technology and software used by faculty, online education techniques, and individualized consultations. In 2015, the Delphi Center delivered a total of 6,299 professional development contact hours, including 77 special topic offerings based on best practices for teaching and learning with over 245 programming hours and 1,561 program attendees. UofL faculty in off-site programs have access to the same professional development opportunities as those for on-site programs.

[1] *Redbook* Section 4.3.5, Sabbatical Leave

3\_7\_3\_fn01.pdf

<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a3s5>

[2] Tuition Remission Information for Faculty and Staff

3\_7\_3\_fn02.pdf

<http://louisville.edu/hr/benefits/education>

[3] Delphi Center Seminars

3\_7\_3\_fn03.pdf

<http://louisville.edu/delphi/programs>

[4] i2a Critical Thinking Institution3\_7\_3\_fn04.pdf

3\_7\_3\_fn04.pdf

<http://louisville.edu/ideastoaction/programs/institute>

[5] Part-Time Faculty Institute

3\_7\_3\_fn05.pdf

<http://louisville.edu/delphi/programs/ptf/institute>

[6] Celebration of Teaching and Learning

3\_7\_3\_fn06.pdf

<http://louisville.edu/delphi/programs/celebration>

[7] Dine and Discover Series

3\_7\_3\_fn07.pdf

<http://louisville.edu/delphi/programs/discover>

[8] Faculty Learning Communities

3\_7\_3\_fn08.pdf

[9] Faculty Development Partnership Example

3\_7\_3\_fn09.pdf

<http://louisville.edu/delphi/programs/featured/future-directions-in-health-science-education>

[10] Delphi U

3\_7\_3\_fn10.pdf

<http://louisville.edu/delphi/programs/delphiu>

[11] Delphi U Online

3\_7\_3\_fn11.pdf

[12] Consultation Service Offering

3\_7\_3\_fn12.pdf

<http://louisville.edu/delphi/resources/consultation>

- [13] Instructional Design and Technology Team  
3\_7\_3\_fn13.pdf
- [14] Quality Leadership University Professional Development  
3\_7\_3\_fn14.pdf  
<http://louisville.edu/artsandsciences/idep/panama-program>
- [15] Academic Leadership Program - 2015-2016  
3\_7\_3\_fn15.pdf
- [16] Sponsored Programs Administration Office  
3\_7\_3\_fn16.pdf  
<http://louisville.edu/research/spa/training>
- [17] Research!Louisville  
3\_7\_3\_fn17.pdf  
<http://researchlouisville.org/abstract-poster-information/information-for-presenters>
- [18] Writing Center's Website  
3\_7\_3\_fn18.pdf  
<http://louisville.edu/writingcenter/faculty-folder>
- [19] University Libraries Website  
3\_7\_3\_fn19.pdf  
<http://louisville.edu/library>
- [20] Information Technology Online Training  
3\_7\_3\_fn20.pdf
- [21] Research Integrity Program Website  
3\_7\_3\_fn21.pdf  
<http://louisville.edu/research/integrity>
- [22] Examples of Faculty Professional Development in Academic Units  
3\_7\_3\_fn22.pdf
- [23] Funding for Faculty Professional Development by Academic Unit  
3\_7\_3\_fn23.pdf
- [24] Libraries Faculty External Professional Development  
3\_7\_3\_fn24.pdf
- [25] Ways Faculty Share Their Professional Development Experience  
3\_7\_3\_fn25.pdf
- [26] SIGS PLAN for GTAs  
3\_7\_3\_fn26.pdf
- [27] SIGS PLAN Seminars  
3\_7\_3\_fn27.pdf
- [28] Departmental Training for GTAs  
3\_7\_3\_fn28.pdf

### 3.7.4

#### Faculty: Academic freedom

The institution ensures adequate procedures for safeguarding and protecting academic freedom.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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” [1]. In particular, “Teachers are entitled to full freedom in research, publication, academic evaluation, and classroom expression.” Additionally, this section of *The Redbook* requires all members of the university community to be cognizant of and adhere to the responsibilities associated with academic freedom. *The Redbook* and the principle of academic freedom applies to all faculty, full-time or part-time.

The university’s Code of Conduct [2] states:

“Academic freedom is essential to achieving the University’s mission. Community members are expected to:

- promote academic freedom, including the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write as a public citizen without institutional restraint or discipline; and
- meet academic responsibilities: to seek and state the truth as they see it; to develop and maintain their scholarly competence; to foster and defend intellectual honesty, and freedom of inquiry and instruction; to respect those with differing views; to submit their knowledge and claims to peer review; to work together to foster the education of students; and to acknowledge when they are not speaking for the institution.”

This code also reflects the university’s commitment to protecting the academic freedom and freedom of expression of all members of the university community. Academic freedom and freedom of expression includes, but is not limited to, the expression of ideas, however controversial, in the classroom and residence hall and, in keeping with different responsibilities, in work places elsewhere in the university community.

Information on academic freedom can be found in the Faculty Handbook [3]. Faculty are informed about the academic freedom policy at new faculty orientation as part of a discussion on shared governance.

U of L’s Discriminatory Harassment Policy reflects U of L’s commitment to maintain a community that is free from harassment of any kind. This policy includes a statement about

the university's commitment to protect academic freedom and freedom of expression of all members of the university community [4].

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* [5]. The university Ombuds Office provides confidential, neutral, and informal dispute resolution [6]. The faculty grievance officer [7], working with the University Faculty Grievance Committee, oversees the grievance process. No faculty grievances related to academic freedom have been filed in the last five years.

## SUMMARY

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." Additionally, this section of *The Redbook* requires all members of the university community to be cognizant of and adhere to the responsibilities associated with academic freedom. Academic freedom and freedom of expression includes, but is not limited to, the expression of ideas, however controversial, in the classroom and residence hall and, in keeping with different responsibilities, in work places elsewhere in 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*.

[1] *The Redbook*, Section 2.5.1, Academic Policy-Statement of Academic Freedom  
3\_7\_4\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap2.html#SEC2.5.1>

[2] University Code of Conduct  
3\_7\_4\_fn02.pdf  
<http://louisville.edu/compliance/ico/code-1>

[3] Policy on Academic Freedom in Faculty Handbook  
3\_7\_4\_fn03.pdf  
<http://louisville.edu/compliance/ico/code-1/preserve-academic-freedom-and-meet-academic-responsibilities>

[4] UofL Discriminatory Harassment Policy  
3\_7\_4\_fn04.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Human%20Resources/Discriminatory%20Harassment.aspx>

[5] *The Redbook*, Section 4.4, Resolution of Faculty Disputes  
3\_7\_4\_fn05.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap4.html#4a4>

[6] Ombuds Office  
3\_7\_4\_fn06.pdf  
<http://louisville.edu/ombuds/about>

[7] Faculty Grievance Officer  
3\_7\_4\_fn07.pdf  
<http://louisville.edu/provost/what-we-do/grievance>

### 3.7.5

#### Faculty: Faculty role in governance

The institution publishes policies on the responsibility and authority of faculty in academic and governance matters.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) has guidelines that support the responsibility and authority of faculty in academic and governance matters. Faculty involvement and leadership is evident throughout the complex operational functions of the university.

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. Shared governance is a system based on the idea that authority and responsibility are shared among colleagues, some of whom are primarily faculty members and some of whom are primarily administrators [1].

The governance document for the university, *The Redbook*, is clear about the responsibility and authority of faculty, and this document is readily available to all faculty via the university website [2]. Section 3.3.2 of *The Redbook* 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].

The faculty members of each academic unit have enacted a set of bylaws and unit personnel policies that govern their unit and outline faculty responsibility [4]. The bylaws are approved by the president and Board of Trustees as provided in Section 3.1.3 of *The Redbook* [5] and address unit academic and governance policies and related actions [6]. The personnel policies address faculty responsibilities and evaluation.

The Faculty Senate has jurisdiction over educational policies not reserved for unit faculties [7], and it provides recommendations to the Board of Trustees regarding the establishment or termination of degree-granting programs. The senate addresses and makes recommendations on identified issues and responds to requests for consultation from the administration, the Board of Trustees, and others. As specified in KRS 164.821, faculty are formally represented on UofL's Board of Trustees by the chair of the Faculty Senate, who is a full voting member of the university's Board of Trustees [8]. As stated in section 3.4.2. of *The Redbook*, the Faculty Senate [9] is the representative faculty body of the University of Louisville responsible for continually reviewing university policies and documents that affect the faculty and making subsequent recommendations concerning these matters to the university administration.

The standing committees of the Faculty Senate are:

- Academic Programs Committee (APC) [10a]
- Committee on Committees and Credentials (CCC) [10b]



- Part-time Faculty Committee (PTF) [10c]
- Planning and Budget Committee (P&B) [10d]
- Redbook and Bylaws Committee (RB) [10e]
- Executive Committee (XC) [10f]

While academic unit faculty have control over their programs and curriculum, the Faculty Senate may state its disapproval of any action of the faculty that seriously affects the general interest of the university and may recommend appropriate action to the president as chief educational officer of the university.

In addition to the Faculty Senate, four other governance bodies or standing committees have some responsibility in academic matters: the Undergraduate Council, the General Education Curriculum Committee, the Graduate Council, and the Academic Program Review Committee. All four are composed primarily of faculty members.

The Undergraduate Council is a permanent, representative body of unit faculty, academic staff, and students/alumni and was established to consult on and coordinate responses to issues of university-wide concern in undergraduate studies [11]. The Undergraduate Council also works closely with the General Education Curriculum Committee, which has responsibility for the general education program [12].

The Graduate Council serves in an advisory capacity to the Dean of the School of Interdisciplinary and Graduate Studies (SIGS). The Graduate Council is charged with making recommendations for the development of operational guidelines and procedures for SIGS and overseeing the development of high quality interdisciplinary graduate programs [13].

The university-wide Academic Program Review Committee advises the provost to ensure broad uniformity in the process, goals, and constructive outcomes of the academic review process. The committee is comprised of six faculty members appointed annually by the provost (two drawn from the Undergraduate Council, two drawn from the Graduate Council, and two drawn from the Faculty Senate's academic programs committee, chosen in consultation with the Faculty Senate leadership), the vice president for research, the dean of the Graduate School, and the associate provost for undergraduate affairs [14].

Faculty in the academic units may serve in both academic and administrative functions, such as department chairs; associate deans for faculty affairs, student affairs, graduate studies, research, program directors, and center or institute directors. Faculty also serve on a number of administrative university-wide committees.

Faculty teaching in UofL's online [15] and offsite [16] programs have the same roles and responsibilities as those teaching in face-to-face programs.

## **SUMMARY**

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.

[1] UofL Shared Governance

3\_7\_5\_fn01.pdf

<http://louisville.edu/provost/what-we-do/SharedGovernance.pdf>

[2] *The Redbook*

3\_7\_5\_fn02.pdf

<http://louisville.edu/provost/redbook>

[3] *The Redbook*, Section 3.3.2, Jurisdiction and Purposes

3\_7\_5\_fn03.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[4] Unit Bylaws

3\_7\_5\_fn04.pdf

<http://louisville.edu/provost/faculty-personnel/unit>

[5] *The Redbook*, 3.1.3, Organizational Outlines and Bylaws of Units

3\_7\_5\_fn05.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.1.3>

[6] Unit Personnel Policies

3\_7\_5\_fn06.pdf

<http://louisville.edu/provost/faculty-personnel/unit>

[7] Faculty Senate

3\_7\_5\_fn07.pdf

<http://louisville.edu/facultysenate/>

[8] KRS 164.821 Board of Trustees of University of Louisville—Membership—Terms.

3\_7\_5\_fn08.pdf

[9] *The Redbook*, Section 3.4.2, The Faculty Senate

3\_7\_5\_fn09.pdf

<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.4.2>

[10] Standing Committees of the Faculty Senate

[10a] Academic Programs Committee

3\_7\_5\_fn10a.pdf

[10b] Committee on Committees and Credentials

3\_7\_5\_fn10b.pdf

[10c] Part-time Faculty Committee

3\_7\_5\_fn10c.pdf

<https://louisville.edu/facultysenate/committees/standing-committees/part-time-faculty-committee-ptfc/ptfc-rosters/ptfc-2016-2017>

[10d] Planning and Budget Committee

3\_7\_5\_fn10d.pdf

[10e] Redbook and Bylaws Committee  
3\_7\_5\_fn10e.pdf  
<https://louisville.edu/facultysenate/committees/standing-committees/redbook-committee/rb-rosters/the-redbook-committee-2016-2017>

[10f] Executive Committee  
3\_7\_5\_fn10f.pdf  
<https://louisville.edu/facultysenate/committees/standing-committees/executive-committee/rosters/xc-2016-2017>

[11] Undergraduate Council Policy  
3\_7\_5\_fn11.pdf  
[http://louisville.edu/provost/what-we-do/UGC\\_Charge.pdf](http://louisville.edu/provost/what-we-do/UGC_Charge.pdf)

[12] General Education Curriculum Committee  
3\_7\_5\_fn12.pdf  
<http://louisville.edu/provost/ger/gecc>

[13] Roles and Responsibilities of the Graduate Council, SIGS Bylaws 2.2  
3\_7\_5\_fn13.pdf  
<http://louisville.edu/graduate/office-of-the-dean/sigs-bylaws>

[14] Academic Program Review  
3\_7\_5\_fn14.pdf  
<http://louisville.edu/oapa/NewProgramReviewProcess.pdf>

[15] Online Education—Launch an Online Course  
3\_7\_5\_fn15.pdf  
<http://louisville.edu/delphi/resources/online-course>

[16] Off-site Opportunities  
3\_7\_5\_fn16.pdf

### 3.8.1

## Library and Other Learning Resources: Learning/information resources

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

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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. The mission of University Libraries is to "Transform relationships, collections, and spaces to become a nationally recognized model of user-focused, research library services" [1].

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 UofL Libraries system consists of the Dwight Anderson Music Library, Archives and Special Collections, the Brandeis Law Library, the Margaret M. Bridwell Art Library, the William F. Ekstrom Library, the Kornhauser Health Sciences Library, and the University Hospital Library. Each of these libraries through centralized collection development activities and at the individual library level purchases and provides collections specific to its discipline(s) and provides research support, access to and circulation of materials, and information literacy instruction. These individual collections and units are augmented by a full range of e-resources and virtual services provided collectively.

Attractive and user-friendly spaces [2] for study and research are available in all of the libraries, along with hours of operation appropriate to their users [3]. Research spaces and services include locked study carrels for faculty and graduate students, group study rooms, individual quiet areas, and a full-service café in the Ekstrom library. All libraries also offer reservable instructional and meeting spaces for library instruction and broader campus-sponsored activities [4] [5].

The 2006 addition to Ekstrom Library included an H. K. Systems installation of a robotic retrieval system (RRS) capable of storing a total of 1.2 million volumes in 8,000 square feet of space. The current capacity of the RRS is 600,000 volumes, with expansion potential to 1 million volumes. Although the RRS is located in Ekstrom and managed by Ekstrom staff, it stores underutilized materials for all of the libraries. The volumes are stored in bins mounted on racks that are accessed by a robotic arm. Items in the bins are searched by users through online discovery, and users can initiate retrieval online.

#### **William F. Ekstrom Library** (Belknap Campus)

The William F. Ekstrom Library is the largest library on the Belknap campus and supports the majority of the main campus programs [6]. Ekstrom provides collection support for the Schools of Arts and Sciences, Business, Education, Social Work, and Engineering. The library's collections include extensive print, online, and media resources.

Ekstrom library's main service points and collections are available between 7:30 a.m. – midnight weeknights during the semester, and the after-hours study area is open 24/7. Course reserves and interlibrary lending are services available to all faculty and students. Ekstrom also provides spaces for group and individual study, graduate research carrels, and instruction. Ekstrom makes a range of equipment available for users to support academic work, such as computers, copiers, printers, and scanners. The Research Assistance department provides in-depth research support.

Ekstrom partners with the Resources for Academic Achievement (REACH) Computer Lab, the Digital Media Suite (for creation and editing of images, sound, and video), and the University Writing Center to provide a range of student academic support services. See Comprehensive Standard 3.4.9 for more information on academic support services.

Ekstrom Library also provides spaces that may be reserved for library programming and for use by other campus units. The room types include a large auditorium, instructional labs, conference rooms, and a group media viewing room.

### **Dwight Anderson Memorial Music Library (Belknap Campus)**

The Dwight Anderson Memorial Music Library primarily supports the School of Music but is open to all university users and the community [7]. Since 1981, it has been located in the School of Music building. The collections are distributed over three floors, with some room for growth. The circulating collection contains more than 150,000 items, including more than 50,000 music scores, 35,000 books, and 20,000 sound recordings and videos. Special collections include the Jean Thomas Collection, the Isidore Philipp Archive, an early American sheet music collection, and the Ricasoli Collection of music manuscripts. The library also serves as a repository for materials related to the Grawemeyer Award for Music Composition. Regular hours during the semester are as follows: Monday – Thursday, 8:00 am - 9:00 pm; Friday, 8:00 am - 5:00 pm; Saturday, Noon - 5:00 pm; Sunday, 2:00 pm - 9:00 pm.

### **Louis D. Brandeis School of Law Library (Belknap Campus)**

The Louis D. Brandeis School of Law Library is administratively aligned with the law school rather than the rest of the library system in response to the American Bar Association (ABA) recommendations [8]. However, there is ongoing collaboration between the Law Library and the other libraries. The library contains approximately 425,000 volumes and microform volume equivalents, emphasizing primary and secondary resources in United States law. Regular hours for the Law Library during the semester are as follows: Monday – Thursday, 8:00 am – 11:00 pm; Friday, 8:00 am – 6:00 pm; Saturday, 9:00 am – 6:00 pm; and Sunday, 1:00 pm – 11:00 pm.

### **Margaret M. Bridwell Art Library (Belknap Campus)**

Located in Schneider Hall, the Margaret M. Bridwell Art Library [9] provides instruction and research services in the fine arts, architectural history, photography, ceramics, printmaking, fibers, graphic design, interior architecture, glassmaking, curatorial studies, and art education. The 90,000 item collection includes books, videos, and DVDs. The Art Library subscribes to 300+ current specialized periodicals. Special collections include artist's books, manuscript collections, and local and regional ephemeral collections. The Art Library provides access to major art, design, and architectural indices online, which provide electronic access to citations and/or full-text articles. Photocopying and image scanning equipment are available. Regular hours for the Art Library are as follows: Monday-Thursday,

8:00 am-9:00 pm; Friday, 8:00 am-5:00 pm; Saturday, Noon-5:00 pm; and Sunday, 1:00 pm-9:00 pm.

### **Kornhauser Health Sciences Library (Health Science Campus)**

Kornhauser Health Sciences Library provides hundreds of eBooks, online clinical information tools and thousands of online journals and is the largest health sciences library in the state [10]. As the oldest medical library west of the Alleghenies, Kornhauser holds countless rare books, artifacts, and archives that preserve the medical history of the region. The library renovated study spaces in 2014 to add group study rooms with glass writing walls and flat screen monitors that connect to student devices. Kornhauser also has new study spaces featuring natural light, large work surfaces, and expanded comfortable seating.

Kornhauser's service desk is staffed from 7:00 a.m. to midnight weekdays during the semester, but the facility remains open to students 24/7. The faculty and staff of Kornhauser Health Sciences Library provide library services under contract to the University Hospital Library and twenty-seven other hospitals in the KentuckyOne Health Care network [11].

### **Archives and Special Collections (Belknap Campus)**

Archives and Special Collections (ASC) is made up of four subunits: Digital Initiatives, the Photographic Archives, Rare Books, and the University Archives and Records Center [12]. Together, they house more than 2 million fine art and documentary history photographs, literary and historic manuscripts, university records, oral histories, maps, and rare books for use within the Archives and Special Collections Research Room on the lower level of Ekstrom Library. Their collections document life in the greater Louisville area, from business, cultural, and political history to the lives of Louisvillians from various walks of life. In addition, collections such as the Standard Oil of New Jersey photograph collection and William Marshall Bullitt collection of rare mathematics and astronomy document life and culture on a more global scale. The University Libraries Digital Collections provide online access to primary source materials, including photographs, maps, illuminated manuscripts, and oral histories. Regular hours for ASC are Monday through Friday, 8:00 a.m. to 5:00 p.m.

### **Appropriateness of Facilities**

To evaluate the appropriateness of the libraries facilities, the University Libraries has a Faculty Advisory Board [13] and a Student Advisory Board [14] (comprised of faculty and students from most disciplines) that advises the Dean and senior library leadership on issues related to services, programs, and spaces. As part of the University Libraries' Strategic Plan (2012-2020), the libraries recruited a user experience and assessment librarian whose primary responsibility is to engage in user assessment activities. This faculty member has undertaken a number of assessment initiatives.

The user assessment librarian completed a major evaluation in 2013-14 of the Ekstrom Library's first-floor space and services. The nearly sixty-page report [15] used a variety of assessment methods to understand user preferences and behaviors for services and spaces. This information was used to plan a major renovation of Ekstrom's first floor (east) and revision of Ekstrom's service model [16]. The Ekstrom renovation was completed in the fall of 2015. Similar assessment work was done prior to the 2014 renovations at Kornhauser Health Sciences Library.

## **UofL's Institutional Repository: ThinkIR**

ThinkIR is a digital archive of scholarly and artistic work launched by the University Libraries in partnership with other campus units [17]. The ThinkIR is a bepress Digital Commons repository that will serve as the open-access repository for the research of the university. Current resources (over 2,300 items) include graduate student dissertations and theses, and undergraduate honor theses. In the next phase, ThinkIR will offer faculty publications.

## **Libraries Technology**

The University Libraries Office of Libraries Technology (OLT) supports a variety of applications, hardware PCs, and peripherals to support the work of the libraries and to deliver appropriate services to users. OLT supports the libraries' management system, OCLC's Worldshare management System. OLT manages the systems that run and operate the Robotic Retrieval System (RRS). OLT also locally hosts and manages a virtual server array that stores and provides electronic access to the University Libraries digital collections. The libraries have nearly 8 terabytes of data stored locally.

Access to technology tools and a reliable computing infrastructure is an essential aspect of providing effective library services. Within the libraries, there are 283 public workstations, either desktop PCs or wireless laptops that are supported by OLT and loaned at various circulation desks for building use. All library workstations require a log-in for use. Networked printers (managed through university operations) and image scanners are also available for public use. All of the library buildings support wireless access to the network through a secure client. The libraries support five technology-equipped instructional labs. These rooms are reservable through online forms available on the University Libraries' main webpages.

## **Other Learning/Information Resources**

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 collections also compare favorably with those of other similar academic research institutions. UofL's libraries belong to the Association of Research Libraries (ARL) which includes the top 124 research libraries (both academic and non-academic) in the U.S.A. and Canada [18]. Among the 115 academic libraries in ARL, UofL ranked 93 overall in FY 2014 (the latest ARL published rankings) [19].

Collection relevance and appropriateness are also supported through well-defined collection development policies at the University Libraries level, for the individual libraries, and for selected collections within libraries such as government documents [20a] [20b] [20c] [20d] [20e] [20f] [20g] [20h] [20i]. Faculty, staff, and students of the university are engaged in the development of the collections by submitting requests through an online form [21], by working with the Collection Development Department (Ekstrom), and by working with library personnel in the specific libraries. Ekstrom Library has a highly developed liaison program through which librarians are assigned to all academic units and through which the Libraries actively seek faculty recommendations for the collections [22]. Faculty and students also provide feedback about the collections to library leadership through the Faculty Advisory Board and Library Student Advisory Board meetings.

Faculty, staff, and students also influence the selection and purchase of materials through a Demand Driven Acquisitions (DDA) program put in place in 2014, and through interlibrary loan (ILL) requests. The DDA program was developed with vendor assistance, and it loads

into the library's discovery service the bibliographic information for materials that fall within the scope of the university's programs. Users may initiate the purchase of materials when they access the item online and request to view it. During the 2014-15 FY, users initiated purchases of 1,339 books for Ekstrom Library through the DDA program. Similarly, when users request ILL materials that fall within the scope of the collections, those requests are frequently converted into purchase orders for acquisition of the items.

As new programs of the university are developed, the Office of the Provost requires a review from the Dean of Libraries evaluating whether additional library resources will be required to support the proposed program. Appropriate subject librarians review the proposed curricular change and assess current collection strengths and gaps using tools such as the Worldcat Collection Evaluation program. Librarians can evaluate UofL library holdings through comparisons with institutions offering similar programs and make appropriate recommendations. Once a program is approved, the library continues to monitor the holdings available in each discipline and to work with faculty in the discipline to ensure that the holdings remain at a level necessary to support each program.

Because programs change, the University Libraries engage in periodic evaluations of the collections that result in deaccessioning materials. The collection development policies provide guidelines for the deselection of materials that recognize programmatic changes, changes in formats and access, and condition of materials. During the 2014-15 FY, the University Libraries deaccessioned 9,906 titles (books and serials), for a total of 97,492 volumes.

### **Library Services and Learning/Information Resources**

The libraries offer the services expected of a research library system [23]. In delivering these services, the libraries are responsive to institutional goals and user needs through campus partnerships and an active user-assessment program. The library assessment team conducts regular evaluations of the unit's services, including benchmarking analyses and surveys of user perceptions. This information is used to improve performance and to maintain overall alignment with the university mission. In the 2012 University Libraries Biennial Benchmark Survey, 84 percent of all user categories ranked their satisfaction level as 7 or higher (on a 10 point scale with 10 being "excellent") for overall services. In the 2014 University Libraries Biennial Benchmark Survey for the same question 88 percent of all user categories ranked their satisfaction level as a 7 or higher [24].

Through the liaison program, most of the Ekstrom Library Research Assistance and Instruction faculty members serve one or more academic departments on issues related to collection building, information literacy skills development, and other service areas.

An overview of major services at the UofL Libraries follows:

- **Hours**--The general hours of the libraries have expanded in recent years based on requests from students and are extended even further during exam periods. Ekstrom library's after-hours study area is open 24/7. The hours for all of the libraries are prominently posted on the library website. In 2014, 62 percent of students responding to the benchmark survey indicated that they were either satisfied or very satisfied with the libraries' hours. Of the faculty responding to the survey, 76 percent were satisfied or very satisfied.
- **Reference/research assistance**--One-on-one research assistance is offered in each of the libraries, using a range of methods from walk-up consultation service to



more tailored services such as House Calls, which involves librarians from the Kornhauser library visiting faculty from the Health Sciences campus in their offices. The libraries also respond to research requests electronically (through email and chat) and over the telephone. More in-depth research assistance is available by appointment with a librarian who has knowledge of the research tools appropriate to the student's or faculty member's discipline. In 2014, 70 percent of student respondents either agreed or strongly agreed with the statement, "My class work and research were improved by using this library's reference services."

- **Interlibrary Loan (ILL)**--All members of the university community are eligible to use ILL. Users initiate their own loan requests online using appropriate links on the University Libraries' webpages [25].
- **Services to users with disabilities**--U of L library personnel help users with disabilities to access library materials, retrieve books and periodicals, make photocopies, and download or scan materials. The libraries also provide adaptive technology, such as Zoom Text screen magnification software and a Kurzweil scanner and reader [26].
- **Distance learning services**--Distance Learning Library Services (DLLS) [27] provides library services to UofL online and distance learners. The services include off-campus access to library assignments by course professors (electronic course reserves) and off-campus access to electronic databases of library resources for self-directed research. The office also provides delivery of library resources not available through online sources, including the retrieval and copying of items from the libraries' print collections or through ILL. These items are mailed or scanned and emailed to the users. Research and instruction assistance are provided through Ekstrom Library's Research Assistance and Instruction (RAI) unit. Research inquiries are directed to appropriate subject liaison librarians. Instructional support for online classes is provided through RAI's Online Learning Team which develops general online research instruction as requested by faculty for specific classes [28] [29]. PeopleSoft/Blackboard integration provides immediate access to these services for students enrolled in online courses. DLLS also provides eighteen-hour-per-day reference service via email and phone to students in distance education courses. During the 2014-15 academic year, 85 percent of student ratings of overall DLLS services were good or excellent [30].
- **Scholarly communication**--An endowed chair in scholarly communications works with individual faculty members in addressing copyright and scholarly communication issues on specific projects and leads discussions and presentations on these topics. As referenced above, in 2015 the University Libraries launched the ThinkIR (a digital archive of scholarly and artistic work) in partnership with other campus units.
- **Information Literacy Instruction**--The libraries conduct an active instructional program, which is described more fully in Comprehensive Standard 3.8.2.

The library website provides links to all of these and other available services. In addition, each of the libraries offers specialized services that are designed to meet the needs of their primary user groups. While there are organized and administered assessment programs for all of the university's libraries, individual libraries and units have locally designed and administered assessment activities to inform changes and improvements to facilities and services.

## SUMMARY

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. To evaluate the appropriateness of the libraries facilities, the University Libraries has a Faculty Advisory Board and a Student Advisory Board (comprised of faculty and students from most disciplines) that advise the Dean and senior library leadership on issues related to services, programs, and spaces. The University Libraries Office of Libraries Technology (OLT) supports a variety of applications, hardware PCs, and peripherals to support the work of the libraries and to deliver appropriate services to users. 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.

[1] University Libraries Strategic Plan, 2012-2020

3\_8\_1\_fn01.pdf

[http://louisville.edu/library/about/docs/Strategic\\_Plan\\_2012\\_2020.pdf](http://louisville.edu/library/about/docs/Strategic_Plan_2012_2020.pdf)

[2] University Library Size, Seating Capacity, and Other Resources

3\_8\_1\_fn02.pdf

[3] Detailed Table of Hours for Individual University Libraries, November 2015

3\_8\_1\_fn03.pdf

[http://louisville.edu/library/hours/2015\\_11.html](http://louisville.edu/library/hours/2015_11.html)

[4] University Libraries Room Reservations Home Page

3\_8\_1\_fn04.pdf

[5] Ekstrom Library Table of Reservable Spaces

3\_8\_1\_fn05.pdf

[6] William F. Ekstrom Library Webpage

3\_8\_1\_fn06.pdf

<http://louisville.edu/library/ekstrom/>

[7] Dwight Anderson Memorial Music Library Webpage

3\_8\_1\_fn07.pdf

<http://library.louisville.edu/music/home>

[8] Louis D. Brandeis School of Law Library Webpage

3\_8\_1\_fn08.pdf

<http://louisville.edu/law/library>

[9] Margaret M. Bridwell Art Library Webpage

3\_8\_1\_fn09.pdf

<http://louisville.edu/library/art/>

[10] Kornhauser Health Sciences Library Webpage

3\_8\_1\_fn10.pdf

<http://louisville.edu/library/kornhauser/>

[11] Virtual Library and the Hospital Libraries Webpage  
3\_8\_1\_fn11.pdf  
<http://louisville.edu/library/hospital/>

[12] Archives and Special Collections Webpage  
3\_8\_1\_fn12.pdf  
<http://louisville.edu/library/archives/>

[13] Library Faculty Advisory Board Roster 2015-16  
3\_8\_1\_fn13.pdf

[14] Library Student Advisory Board Roster 2015-16  
3\_8\_1\_fn14.pdf

[15] Libraries' Assessment Report  
3\_8\_1\_fn15.pdf  
[http://louisville.edu/library/ekstrom/reno/docs/1E\\_Assessment\\_Report.pdf](http://louisville.edu/library/ekstrom/reno/docs/1E_Assessment_Report.pdf)

[16] Ekstrom 1 East Renovation Project Website Opening Page  
3\_8\_1\_fn16.pdf  
<http://louisville.edu/library/ekstrom/reno/home>

[17] ThinkIR Opening Webpage  
3\_8\_1\_fn17.pdf  
<http://ir.library.louisville.edu/>

[18] Association of Research Libraries (ARL) Members  
3\_8\_1\_fn18.pdf

[19] ARL Library Data Tables 2013-14  
3\_8\_1\_fn19.pdf

[20] University Libraries Collection Development Policies

[20a] University Libraries Collection Development Policy  
3\_8\_1\_fn20a.pdf  
<http://louisville.edu/library/collection-development/general.html>

[20b] Dwight Anderson Memorial Music Library Collection Development Policy  
3\_8\_1\_fn20b.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/music.pdf>

[20c] Archives and Special Collections Development Policy  
3\_8\_1\_fn20c.pdf  
<http://louisville.edu/library/archives/collection>

[20d] Louis D. Brandeis School of Law Library Development Plan  
3\_8\_1\_fn20d.pdf

[20e] Margaret M. Bridwell Art Library Collection Development Policy  
3\_8\_1\_fn20e.pdf  
<http://louisville.edu/library/collection-development/art.html>

- [20f] Ekstrom Library Collection Development Policy  
3\_8\_1\_fn20f.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eks.pdf>
- [20g] Ekstrom Library Government Documents Collection Development Policy  
3\_8\_1\_fn20g.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eksgov.pdf>
- [20h] Ekstrom Library Mildred Miles Franks Reference Collection Development Policy  
3\_8\_1\_fn20h.pdf  
<http://louisville.edu/library/collection-development/office-of-collection-development/documents/eksref.pdf>
- [20i] Kornhauser Health Sciences Library Collection Development Policy  
3\_8\_1\_fn20i.pdf  
<http://louisville.edu/library/kornhauser/>
- [21] University Libraries Order Recommendation Form  
3\_8\_1\_fn21.pdf  
<http://louisville.edu/library/forms/order>
- [22] Ekstrom Library Research Assistance & Instruction with Liaison Assignments  
3\_8\_1\_fn22.pdf
- [23] University Libraries Online List of Services  
3\_8\_1\_fn23.pdf  
<http://louisville.edu/library/services/>
- [24] 2014 Benchmark Survey  
3\_8\_1\_fn24.pdf
- [25] Interlibrary Loan (ILL)  
3\_8\_1\_fn25pdf
- [26] University Libraries Special Services (for patrons with disabilities)  
3\_8\_1\_fn26.pdf  
<http://louisville.edu/library/services/special-services>
- [27] Library Service for Distance Education and Online Courses  
3\_8\_1\_fn27.pdf
- [28] Online Learning Modules  
3\_8\_1\_fn28.pdf  
<http://louisville.edu/library/ekstrom/research/learning-modules/>
- [29] Library Services for Distance Education and Online Courses  
3\_8\_1\_fn29.pdf  
<http://louisville.edu/library/ekstrom/research/distance/services>

[30] DLLS Evaluation Survey  
3\_8\_1\_fn30.pdf

### 3.8.2

#### Library and Other Learning Resources: Instruction of library use

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

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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." Moreover, in its current strategic plan, the Libraries explicitly address the importance of being "actively involved in the research, clinical, and student learning processes" (Goal 1, Strategy 2) [1]. This active involvement is accomplished through a variety of formal and informal instructional services, including:

- Class sessions, presentations, and workshops
- Research appointments/consultations
- Online guides, tutorials, and learning modules
- On-demand instruction at service desks and via phone, online chat, and e-mail
- Instructional design for select programs

The objective of these services is to foster information literacy among our users, as well as to "encourage critical thinking about information in all contexts and promote research as an evolving process of inquiry" [2]. The libraries define information literacy (according to the Association of College & Research Libraries (ACRL) *Information Literacy Competency Standards for Higher Education*) as "a set of abilities" that enable a person to "recognize when information is needed" and "locate, evaluate, and use effectively the needed information" [3]. UofL Libraries use the ACRL standards to inform the development and provision of instructional services, including learning outcomes for classes [4].

Instructional services are especially important at the graduate level, as students are expected to develop advanced competencies with independent research. On the University's Spring 2014 Survey of Graduating Master's and Doctoral Students (n = 250), students rated their ability to conduct independent research based on the preparation provided by UofL as 4.12 on a 5-point scale. The library contributes both directly and indirectly to this preparatory training, as detailed in this report. Likewise, the library also contributes to training undergraduates in a variety of information literacy areas. On the University's Spring 2014 Graduating Senior Survey (n = 522), students rated the preparation that UofL provided in "understanding written information" as 4.16 on a 5-point scale and "improving computer/information technology skills" as 3.73 on a 5-point scale.

Face-to-face and online instructional services for the Belknap Campus are coordinated primarily through Ekstrom Library's Research Assistance and Instruction (RAI) Department. Faculty, students, and staff can learn about and access services through the RAI website [5] and the University Libraries website [6]. Both websites feature prominent "Ask a Librarian"

links to address users' immediate needs by phone, chat, and e-mail, as well as forms and contact information to schedule classes, appointments, and other services. All services are available in person and online, and the RAI website includes a specific portal for online/distance users [7].

In addition to Ekstrom's RAI services, specialized instruction for relevant disciplines is available at the other libraries on Belknap Campus: Archives and Special Collections [8], the Dwight Anderson Music Library [9], the Louis D. Brandeis School of Law Library [10], and the Margaret M. Bridwell Art Library [11]. Each library maintains a website through which users can access instructional services. On the Health Sciences Campus, the Kornhauser Library provides instructional services for faculty, students, and staff in health sciences programs. Kornhauser's website provides information on accessing its instructional services [12].

### **Class Sessions, Presentations, and Workshops**

By request, University Libraries provides library and information literacy instruction through individual class sessions integrated into UofL courses. Faculty members can request sessions for their courses through the websites for each library. Along with traditional face-to-face classes, synchronous online instruction for distance courses is available and can be requested in the same manner [13]. Faculty teaching in international programs and off-site dual degree programs can request classes as well. All sessions are tailored to the objectives of the particular class and often incorporate active, hands-on learning with relevant information technology, including library databases.

According to data reported to the Association of College and Research Libraries (ARL), UofL librarians and archivists taught 22,936 participants in 1,037 class sessions in 2013-14 and 17,992 participants in 895 class sessions in 2014-15 (See Table 1). Participants included both undergraduate and graduate students.

**Table 1. University Libraries Class Sessions and Participants, 2009-2015\***

	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
<b>Class Sessions</b>	545	1,043	1,012	1,030	1,037	895
<b>Participants (Undergraduate and Graduate)</b>	9,373	12,611	19,572	19,788	22,936	17,992

\*Data Source: Internal data collected by University of Louisville Libraries for Association of College and Research Libraries (ARL) reporting requirements. Sessions and participants taught by the Louis D. Brandeis School of Law Library are not included in this data.

Classes are taught for numerous academic departments and programs across the institution. Trend data for Ekstrom Library, the main library on the Belknap Campus, show that the number of academic departments participating in library instruction classes nearly doubled between 2010 and 2014, from 18 departments to 34 departments.

Librarians at the Louis D. Brandeis School of Law Library teach a required one-credit legal research course as part of the first-year Law School curriculum. All law students take this course, and three of the librarians who teach it authored the textbook used, *Kentucky Legal Research*. Once a year, a law librarian also teaches a two-credit course in advanced legal research.

In addition to class sessions requested by professors, librarians and archivists also regularly offer specialized presentations and workshops on a variety of topics for faculty, students, and other groups. Highlights include:

- Librarians conduct professional development workshops in collaboration with UofL's Delphi Center for Teaching and Learning. These workshops increase awareness of library resources and help faculty integrate information literacy and critical thinking skills into course assignments. During the last five years, librarians have led workshops and given presentations for Delphi Center programs such as the Part-Time Faculty Institute, the "Dine and Discover" series, the "Delphi U" course for distance/online instructors, and the *i2a* Institute on Critical Thinking [14].
- Librarians conduct professional development workshops for graduate students as part of the School of Interdisciplinary and Graduate Studies PLAN series [15]. Workshops are typically offered once or twice a semester and include an introduction to information literacy and a class on advanced literature searching techniques.
- Ekstrom Library and Kornhauser Health Sciences Library provide regular instruction in EndNote citation management software, primarily to faculty and graduate students. The University has a site license for EndNote, software that enhances the research process by making it easier to compile citations and create formatted bibliographies. Each library offers classes approximately once per month. Librarians also regularly meet with patrons in person to provide EndNote training and answer questions. Online assistance with EndNote is also available [16].
- The Louis D. Brandeis School of Law Library regularly teaches sessions on writing legal research papers and provides guest lectures in a variety of law school courses. Two or three times per year, law librarians host training programs from database vendors for Law School faculty. The librarians also plan and present Continuing Legal Education (CLE) programs for the state and local bar associations on a yearly basis.
- The Dwight Anderson Music Library offers instruction sessions to specific music studios (i.e., all students who play a particular instrument). These sessions are instrument-specific in that they provide a detailed overview of library offerings and services related to the instrument.
- Several libraries provide information literacy and library instruction to community groups and organizations. Over the last three years, Archives and Special Collections has offered instructional programs and presentations to numerous schools, universities, civic groups, museums, clubs, and businesses. Examples include the Filson Historical Society, the Kentucky Center for African American Heritage, Girl Scouts, Metro Louisville, Kosair Charities, the Kentucky Historical Society, and the Sons and Daughters of the American Revolution. In addition, Ekstrom Library's Outreach Librarian collaborates with a wide variety of organizations (e.g., Jefferson County Public Schools, Simmons College, and Wayside Christian Mission) to promote information literacy and provide library instruction within the local and regional communities. The Louis D. Brandeis School of Law Library also provides instructional tours and orientations to the law magnet school of the Jefferson County Public School system.

Assessment of instruction focuses primarily on student and faculty perceptions of and satisfaction with program offerings. Data from the most recent Libraries-wide online survey conducted in 2014 show that two-thirds or more of responding undergraduate students,



graduate students, and faculty report being satisfied with “library instruction classes or assistance.” See Table 2.

**Table 2. Overall Satisfaction with Library Instruction Classes and Assistance, 2014\* [17]**

	Percentage Reporting Satisfaction	Number of Respondents (excluding those who answered “N/A”)
Undergraduate Students	68.5%	852
Graduate Students	70.0%	427
Faculty	74.9%	247

\*Data Source: University of Louisville Libraries Benchmark Survey, 2014

On the same 2014 survey, the percentage of respondents reporting that they were “very satisfied” with “library instruction classes or assistance” was 43 percent among undergraduates (up from 35 percent in 2012), 52 percent among graduate students (up from 47 percent in 2012), and 56 percent among faculty (up from 48 percent in 2012).

Ekstrom Library has developed additional assessment initiatives that provide a more nuanced view of student and faculty perceptions of library instruction. Every two years, faculty and graduate teaching assistants who have brought their classes to the library for instruction are surveyed regarding their experiences. Data from the 2014 survey (n = 57) show that 93 percent of respondents rate the overall quality of library and research instruction as good or excellent, with 72 percent rating it as excellent. No respondents rated the overall quality lower than 3 on a 5-point scale [18].

Assessment data are used to identify areas for program improvement, including ongoing updates to standard instructional content and potential professional development growth areas for instruction librarians. For example, a small number of comments on the most recent faculty survey in 2014 indicated that some librarians were not engaging enough in their teaching approach. In response, Ekstrom Library piloted a peer observation program to facilitate dialogue on teaching, pinpoint areas where individual librarians could improve, and increase accountability. This program will be implemented as a permanent part of the instruction program starting in Fall 2015.

In addition, assessment data and anecdotal evidence suggested that faculty were interested in expanded offerings in online instruction, including tutorials. Over the last five years, the Libraries has increased and enhanced its efforts with online instruction, covering online guides, tutorials, and learning modules.

### **Research Appointments/Consultations**

Library and information literacy instruction occurs during pre-scheduled research appointments. All University Libraries provide appointment services for students, faculty, staff, and community members. Services are available to online/distance students (including students in international programs and off-site dual degree programs) and are conducted via e-mail, phone, or online chat. Library users can request an appointment via individual library websites, as well as through the general “Ask a Librarian” webpage [19].

Research appointments provide an opportunity for in-depth instruction in the use of the library and its resources. In addition to appointments for general or subject-specific

research, Ekstrom Library and Kornhauser Library offer one-on-one instructional appointments focusing on EndNote citation management software. This software, which is popular with many researchers on the Belknap and Health Sciences campuses, facilitates the creation and management of bibliographic citations. As such, University Libraries' efforts with EndNote represent an indirect but significant contribution to faculty research activities.

In addition, librarians at Kornhauser Library are embedded in schools and departments on the Health Sciences Campus, where they attend clinical conferences, morning reports, journal clubs, grand rounds, and other activities. This embedded program provides opportunities for spontaneous instruction and consultation related to library resources and services, as librarians can work with faculty and residents at the point of need.

Over the review period, pre-scheduled research appointments offered by Ekstrom Library have more than doubled, from 50 in 2010-11 to 121 in 2013-14. Each semester, Ekstrom Library patrons who have participated in research appointments are surveyed regarding their experiences with the service. Respondents to this online survey include undergraduate students, graduate students, and faculty. Results are consistently very positive, with combined data from the most recent Fall 2014 and Spring 2015 surveys (n = 37) showing that:

- 73 percent *strongly agree* and 27 percent *agree* that the research appointment addressed concerns about the current research project;
- 76 percent *strongly agree* and 24 percent *agree* that the research appointment will help with future research projects;
- 89 percent *strongly agree* and 11 percent *agree* that the librarian was prepared and knowledgeable;
- 97 percent *strongly agree* or *agree* that they would recommend the research appointment service to others.

Qualitative comments from respondents have also been very positive. Example comments include:

- "The librarian worked side-by-side with me. She introduced me to new ways of searching and little 'tricks of the trade' that helped me develop better library and research skills."
- "I am now able to understand the databases in a way that I have never been able to before. I went from having five mediocre sources for my project to having 25 spot on, amazing sources." [20a] [20b] [20c] [20d]

### **Online Guides, Tutorials, and Learning Modules**

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 are especially useful in supporting a wide variety of distance education programs, including international programs and off-site, collaborative degree programs [21].

Librarians create and update guides for specific subject areas and collaborate with faculty to create guides for particular courses. Guides are primarily developed using LibGuides software and are accessible from a central website [22] and from individual links on various library webpages. Relevant subject guides are also accessible to students in Blackboard course shells, which feature a prominent link for "Library Research." As of 2014-15, there were more than 400 guides accessible on the University Libraries LibGuides website. According to LibGuides usage data, 2010-2014, the guides have been visited an average of 396,000 times per year [23].

Using LibGuides software and other technological tools, librarians also create tutorials that help online and distance users navigate library resources. For example, the University Libraries website includes prominent links to "How to Find" guides that explain how to locate specific types of sources, such as scholarly articles, dissertations, primary sources, videos, images, and more. More detailed information is available on the "Help" section of the website, which includes a variety of instructional guides focusing on skills such as evaluating sources, conducting literature reviews, and using EndNote citation management software [24]. Also of note, the "Critical Thinking and Academic Research" guide, which was developed to support the University's *i2a Critical Thinking Initiative* (Quality Enhancement Plan), has served as a useful digital tool for librarians in designing information literacy sessions that focus on critical thinking and in communicating with faculty and other stakeholders about the role of University Libraries in critical thinking instruction [25].

In addition to the guides and tutorials listed above, librarians create customized, interactive learning modules that incorporate information literacy instruction into particular UofL courses. Created primarily with SoftChalk software, these modules are designed in collaboration with teaching faculty and are embedded into Blackboard course shells. Faculty can find information about requesting modules and see examples of current modules on the web [26]. While this mode of instruction serves as a more flexible option for faculty who are unable to bring their classes in for face-to-face information literacy sessions, the modules can also be used in conjunction with face-to-face instruction. Ekstrom Library's Online Learning Team, consisting of three library faculty members and two professional staff, has principal responsibility for module design and promotion of this service. The team leader is the Online Teaching and Outreach Librarian, a position specifically dedicated to online instructional services. Student performance is assessed using questions and activities embedded in the modules.

Recent highlights from the Online Learning Team's activities include:

- **Critical Thinking and Information Evaluation:** This three-part module series has been integrated into several sections of introductory courses (English 102, Psychology 201, Public Health 101) and provides instruction in the critical evaluation of information sources. The modules incorporate aspects of the Paul-Elder Critical Thinking Framework, the foundation for the university's *i2a Critical Thinking Initiative* (QEP). In 2014-15, approximately 1,200 students completed this module series.
- **Biology 104:** This two-part module series on scientific information literacy has been integrated into multiple sections of the Biology 104 lab for non-majors. In 2014-15, 431 students completed this module series.
- **Business Campus Culture:** This module provides instruction in using business databases and evaluating information for first-year students in Business Campus Culture (CAMP 100). In 2014-15, 248 students completed this module.

Librarians at the Kornhauser Health Sciences Library have also been active in developing online content for specific departments in the Schools of Dentistry, Medicine, Nursing, and Public Health. For example, librarians have created custom online guides to support a new problem-based learning component that was added to the curriculum for first- and second-year medical students.

### **On-Demand Instruction**

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. Spontaneous instruction in the use of library resources often occurs at service desks, where teaching can be tailored to the patron’s particular needs and context.

Patrons can also obtain on-demand assistance through online channels. The “Ask a Librarian” webpage allows patrons to ask questions via e-mail and online chat. Online chat boxes (also called widgets) are accessible from numerous library webpages and within some subscription databases, thereby increasing the visibility of this service for online/distance patrons. These online options for on-demand assistance are also available to students in international and dual degree programs offered off-site.

Table 3 presents data on reference transactions conducted in person and by phone, e-mail, and online chat for 2009-2014. The Association of College and Research Libraries (ARL) defines a reference transaction as “an information contact that involves the knowledge, use, recommendations, interpretation, or instruction in the use or creation of one or more information sources by a member of the library staff.” In 2014-15, the Libraries conducted 23,630 total reference transactions.

**Table 3. University Libraries Reference Transactions, 2009-2014\***

	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
<b>In-Person</b>	23,511	18,425	18,311	13,762	17,338	12,195
<b>Phone</b>	13,515	13,528	10,782	8,681	7,197	6,399
<b>E-Mail</b>	22,000	27,458	25,339	22,407	8,225	4,099
<b>Online Chat</b>	n/a	n/a	n/a	1,076	55	937
<b>Total</b>	59,026	59,411	54,432	45,926	32,815	23,630

\*Data Source: Internal data collected by University of Louisville Libraries for Association of College and Research Libraries (ARL) reporting requirements. Online chat service was implemented in 2012-13.

### **Instructional Design for Select Programs**

Librarians have collaborated with faculty and staff in the programs below to design assignments and activities that advance information literacy outcomes. These activities and assignments are grounded in the ACRL *Information Literacy Competency Standards* and often emphasize aspects of the Paul-Elder Critical Thinking Framework. Highlights include:

- **Honors Library Experience:** Since 1997, librarians and archivists have worked with the Honors Program to incorporate information literacy instruction into the Honors 101 course for first-year students. Students participate in face-to-face library sessions to learn about primary and secondary research, and they complete a related assignment designed by librarians and archivists and tailored to a specific course theme. The assignment focuses on fostering critical information literacy and archival

literacy skills. Approximately 200 students participate each year in the Honors Library Experience.

- **Communications 111/112:** Since 2005, librarians have designed a research assignment and instruction session on evaluating information for students in Communications 111 and 112. The latest iteration of the assignment emphasizes a more nuanced and contextualized approach to information evaluation. Multiple course sections participate each year in this ongoing collaboration.
- **Biology 104:** In addition to the online information literacy modules discussed above, students in Biology 104 complete an in-class, librarian-designed exercise on evaluating scientific expertise. This is a new initiative for 2014-15, and more than 400 students have participated thus far.

## SUMMARY

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.

[1] University Libraries Strategic Plan, 2012-2020  
3\_8\_2\_fn01.pdf  
[https://louisville.edu/library/about/docs/Strategic\\_Plan\\_2012\\_2020.pdf](https://louisville.edu/library/about/docs/Strategic_Plan_2012_2020.pdf)

[2] Research Assistance and Instruction Mission Statement  
3\_8\_2\_fn02.pdf  
<http://louisville.edu/library/ekstrom/research/mission>

[3] ACRL Information Literacy Competency Standards for Higher Education  
3\_8\_2\_fn03.pdf  
<http://www.ala.org/acrl/standards/informationliteracycompetency>

[4] Research Assistance and Instruction (RAI) Outcomes and Assessment  
3\_8\_2\_fn04.pdf  
<http://louisville.edu/library/ekstrom/research/outcomes-and-assessment>

[5] Ekstrom Library Research Assistance and Instruction (RAI) Website  
3\_8\_2\_fn05.pdf  
<http://louisville.edu/library/ekstrom/research/>

[6] University Libraries Website  
3\_8\_2\_fn06.pdf  
<http://louisville.edu/library>

- [7] Library Services for Distance Education  
3\_8\_2\_fn07.pdf  
<http://louisville.edu/library/ekstrom/research/distance/>
- [8] Archives and Special Collections Website  
3\_8\_2\_fn08.pdf  
<http://louisville.edu/library/archives/>
- [9] Dwight Anderson Music Library Website  
3\_8\_2\_fn09.pdf  
<http://louisville.edu/library/music/>
- [10] Louis D. Brandeis Law Library Website  
3\_8\_2\_fn10.pdf  
<http://louisville.edu/law/library>
- [11] Margaret M. Bridwell Art Library Website  
3\_8\_2\_fn11.pdf  
<http://louisville.edu/library/art/>
- [12] Kornhauser Library Website  
3\_8\_2\_fn12.pdf  
<http://louisville.edu/library/kornhauser>
- [13] Online Instruction Request Form  
3\_8\_2\_fn13.pdf
- [14] Delphi Center List of Programs  
3\_8\_2\_fn14.pdf  
<http://louisville.edu/delphi/programs>
- [15] School of Interdisciplinary and Graduate Studies PLAN Website  
3\_8\_2\_fn15.pdf  
<http://louisville.edu/graduate/plan>
- [16] Online EndNote Assistance Website  
3\_8\_2\_fn16.pdf  
<http://louisville.libguides.com/endnote>
- [17] 2014 Libraries Benchmark Survey Data  
3\_8\_2\_fn17.pdf
- [18] Instructional Assessment Data  
3\_8\_2\_fn18.pdf
- [19] "Ask a Librarian" Website  
3\_8\_2\_fn19.pdf  
<http://louisville.edu/library/services/ask.html>
- [20] Libraries Survey Data

[20a] Survey of Instructors-Ekstrom Library-2014  
3\_8\_2\_fn29a.pdf

[20b] Research Appointment Survey-Ekstrom Library-Fall 2014  
3\_8\_2\_fn20b.pdf

[20c] Research Appointment Survey-Ekstrom Library-Spring 2015  
3\_8\_2\_fn20c.pdf

[20d] Survey of Students-Ekstrom Library-2014-15  
3\_8\_2\_fn20d.pdf

[21] Distance Education Program Listing  
3\_8\_2\_fn21.pdf  
<http://louisville.edu/library/ekstrom/research/programs-supported>

[22] University Libraries LibGuides Website  
3\_8\_2\_fn22.pdf  
<http://louisville.libguides.com/>

[23] LibGuides Usage Data  
3\_8\_2\_fn23.pdf

[24] University Libraries Help Information  
3\_8\_2\_fn24.pdf  
<http://louisville.edu/library/help/>

[25] Critical Thinking and Academic Research Website  
3\_8\_2\_fn25.pdf

[26] Online Learning Module Website with Linked Examples  
3\_8\_2\_fn26.pdf  
<http://louisville.edu/library/ekstrom/research/learning-modules/>

### 3.8.3

#### Library and Other Learning Resources: Qualified staff

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) Libraries system includes the Ekstrom Library, the Anderson Music Library, Archives and Special Collections, the Bridwell Art Library, the Brandeis Law Library, and the Kornhauser Health Sciences Library. The Law Library has a reporting line to the Law School rather than to the Dean of Libraries. All of the Law School Library's staffing information is included in this narrative to provide a complete representation of the library/information services available at UofL. University Libraries' operations are organized around the academic disciplines they support and the individual facilities are located in close proximity to the students and faculty they serve [1].

UofL is a member of the Association of Research Libraries (ARL) [2]. This select group of the 125 top research institutions in North America is an important benchmark for establishing appropriate and adequate staffing levels. In the 2013-2014 ARL Annual Statistics Survey, the University Libraries reported 55 FTE professional staff (library faculty and professional managers), 60 FTE support staff, and 30 FTE student assistants. Compared to other ARL libraries for the same reporting year, UofL Libraries ranked 94<sup>th</sup> of 115 for professional staff, 100<sup>th</sup> of 115 for support staff, and 78<sup>th</sup> of 113 for student assistants. The libraries ranked 99<sup>th</sup> of 115 in overall staffing levels [3] [4] [5] [6].

The Association of College and Research Libraries (ACRL), a division of the American Library Association, also provides comparative data that includes all types of academic libraries in the U.S. (as opposed to just ARL members). Table 1 compares UofL staffing to the median of all academic libraries at doctorate-granting institutions.

**Table 1. UofL Libraries Staffing Compared to Median for All Doctoral-Granting Institution Libraries**

Category	UofL	ACRL Median (Doctorate Granting Institutions)
All personnel	145	97
Faculty and Professional Managers	55	32.5
Support Staff	60	34
Student Assistants	30	23

A final metric frequently used to evaluate staffing levels for academic libraries is the Total Staff per 1000 FTE students as reported by the Integrated Postsecondary Education Data



System (IPEDS). Table 2 compares UofL to benchmark institutions that are also in the SACSCOC region.

**Table 2. UofL Libraries Staffing Compared to UofL’s SACSCOC Benchmark Institutions**

Institution	Total Staff/1000 Student FTE
University of North Carolina at Chapel Hill	15.71
University of South Carolina, Columbia	9.57
<b>University of Louisville</b>	<b>8.98</b>
University of Alabama at Birmingham	6.84
Virginia Commonwealth University	6.46
University of South Florida – Main Campus	4.97

Each of these comparative indicators demonstrate that UofL Libraries are sufficiently well staffed to provide effective library services to our users and to achieve our stated goals.

In addition to having sufficient numbers of librarians, support staff, and students, the Dean of Libraries has engaged the libraries leadership team in several initiatives to ensure that we have the right positions to achieve our mission. In 2013-2014, the university offered a Voluntary Separation Incentive Program to all employees within a seniority threshold. The libraries had 10 employees (faculty and staff) take advantage of the offer that year. As the positions were returned to the unit, the Dean required the individual library heads to develop a hiring plan that demonstrated how new hires would be focused on strategic objectives. This planning approach now incorporates all vacancies.

Each year, librarians at UofL develop an annual workplan that documents expectations for the year. The workplans are reviewed at all levels of administration to keep individual work assignments aligned with unit goals [7]. In 2015, the libraries also undertook an extensive review of all staff job factors for the same purpose, and a number of positions were revised in response to this review.

### **Qualifications of Faculty**

The University Libraries recruits nationally for all librarian positions using an inclusive review process that has been designed in accordance with the ACRL Statement on the Terminal Professional Degree for Academic Librarians [8] and Guidelines for the Screening and Appointment of Academic Librarians [9]. These processes have been successful in allowing the Libraries to hire very well qualified and talented individuals into vacant positions [10]. 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 Library faculty.

UofL Librarians hold faculty rank and are bound by the university’s performance standards for annual reviews, promotion, and tenure and periodic career review. See Comprehensive Standard 3.7.2 for information on faculty evaluation. These rigorous reviews throughout the career cycle require a high level of productivity and an ongoing requirement to enhance professional qualifications in order to meet performance standards. The largest percentage of effort in each librarian’s workplan is for operational duties; however, scholarship and service are also important components. A listing of recent libraries’ faculty scholarship

accomplishments demonstrates the faculty's commitment to building the knowledge base of the academic library community [11]. In addition, UofL librarians are highly engaged in campus governance and professional associations.

The libraries' administration supports professional growth through a mentoring program; travel funding for at least two trips each year; and in-house, peer-driven programs such as a journal club and a research review group. The campus provides opportunities for continuing education through the Delphi Center for Teaching and Learning, academic leadership programs sponsored by the Provost's Office, and the Human Resources (HR) Office. Libraries' faculty are expected to participate in ongoing professional development and must document their relevant activities in annual and promotion reviews [12].

### Qualifications of Staff

Hiring for staff positions is governed by university employment practices [13] [14]. Most of the staff in both classified (non-exempt, hourly) and professional (exempt, salary) positions require a combination of educational attainment and experience appropriate to the position requirements [15]. The requirements are designed to ensure the ability of the new employee to be successful in the position and are determined based on benchmarking with other positions at the university and other academic libraries across the U.S. The Association of Research Libraries maintains a Position Description Job Bank that facilitates this process [16]. The minimum requirements are provided in Table 3.

**Table 3. Minimum Requirements for Libraries Staff Positions**

Position	Minimum Requirements
Library Associate (Exempt)	BA plus 4 years related experience
Library Specialist (Non-exempt)	Associates Degree plus 3 years related experience
Library Assistant (Non-exempt)	1 year of college plus 2 years related experience
Library Technician (Non-exempt)	Specialized training and 1 year of related experience

Following a six-month probationary period, all staff are evaluated annually in accordance with university policy [17]. The current evaluation system establishes expected outcomes for each area of the job description, and performance is reviewed for alignment with the documented expectations.

Staff development opportunities are offered primarily through the Human Resources Office [18]. The university offers professional development programs designed to enhance performance and wellness. These programs are free and available to all staff. The university also sponsors a specialized 10-week program for new supervisors, and most new Libraries' supervisors attend this program. In addition, the university has also initiated a Provost Staff Leadership Academy for staff who are interested in advancing their leadership and collaboration skills. The program runs for the academic year and involves monthly guest lectures, a specialized mentoring program and a group project designed to address an existing university policy gap [19]. In addition, supervisors may request funding from the administration at any time for continuing education to address specific skills-based development.

## Service Quality

The University Libraries conduct a biennial survey of campus users to understand which library services they use and their perceptions of service quality. In response to the question, "Overall on a scale of 1 to 10, with 1 being poor and 10 being excellent, how would you rate UofL Libraries?," 83 percent to 85 percent of users rated the libraries at 7 or higher (see Table 4).

**Table 4. User Response to the Question, "Overall on a scale of 1 to 10, with 1 being poor and 10 being excellent, how would you rate UofL Libraries?" (Libraries 2014 Benchmark Survey)**

User Group	Rating of 7 or higher
Undergraduate Students – Belknap Campus	85% [20a]
Undergraduate Students – Health Sciences Campus	84% [20b]
Graduate Students – Belknap Campus	83% [20c]
Graduate Students – Health Sciences Campus	85% [20d]
Faculty – Belknap Campus	83% [20e]
Faculty – Health Sciences Campus	88% [20f]

## SUMMARY

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. In the 2013-2014 ARL Annual Statistics Survey, the University Libraries reported 55 FTE professional staff (library faculty and professional managers), 60 FTE support staff and 30 FTE student assistants. Compared to other ARL libraries for the same reporting year, UofL Libraries ranked 94<sup>th</sup> of 115 for professional staff, 100<sup>th</sup> of 115 for support staff, and 78<sup>th</sup> of 113 for student assistants. The libraries ranked 99<sup>th</sup> of 115 in overall staffing levels. Each of these comparative indicators demonstrate that 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. Based on the evidence provided, 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.

[1] University Libraries Organizational Chart  
3\_8\_3\_fn01.pdf  
<http://louisville.edu/library/hr/org/>

[2] Association of Research Libraries (ARL)  
3\_8\_3\_fn02a.pdf  
<http://www.arl.org/membership/list-of-arl-members>

[3] Professional Staff FTE, Rank Order Tables of University Libraries, Table 9  
3\_8\_3\_fn03.pdf  
<http://publications.arl.org/ARL-Statistics-2013-2014/59>

- [4] Support Staff FTE, Rank Order Tables of University Libraries, Table 10  
3\_8\_3\_fn04.pdf  
<http://publications.arl.org/ARL-Statistics-2013-2014/60>
- [5] ARL Ranked Lists for Institutions 2014  
3\_8\_3\_fn05.pdf  
Data was pulled from an ARL database that requires log in access
- [6] Total Staff FTE, Rank Order Tables of University Libraries, Table 11  
3\_8\_3\_fn06.pdf  
<http://publications.arl.org/ARL-Statistics-2013-2014/61>
- [7] UofL University Libraries Faculty Work Plans  
3\_8\_3\_fn07.pdf
- [8] ALA Statement on the Terminal Professional Degree for Academic Libraries  
3\_8\_3\_fn08.pdf  
<http://www.ala.org/acrl/standards/statementterminal>
- [9] ALA Guideline for the Screening and Appointment of Academic Librarians  
3\_8\_3\_fn09.pdf  
<http://www.ala.org/acrl/standards/screeningguide>
- [10] University Libraries Faculty Chart  
3\_8\_3\_fn10.pdf
- [11] University Libraries Faculty Presentations 2011-2015  
3\_8\_3\_fn11.pdf  
<http://louisville.edu/library/presentations>
- [12] University Libraries Sample Professional Development Activities (2014)  
3\_8\_3\_fn12.pdf
- [13] PER 2.01, Recruitment and Selection—Professional/Administrative and Classified Staff  
3\_8\_3\_fn13.pdf
- [14] PER 2.04, Employment Applications  
3\_8\_3\_fn14.pdf  
<http://louisville.edu/hr/policies/per204>
- [15] Human Resources, Library Associate Position Requirements  
3\_8\_3\_fn15.pdf  
<http://louisville.edu/hr/employment/comp/codes-and-specifications>
- [16] ARL Position Description Bank  
3\_8\_3\_fn16.pdf  
<http://www.arl.org/leadership-recruitment/arl-position-description-bank>
- [17] University Libraries Staff Evaluation Form  
3\_8\_3\_fn17.pdf

[18] UofL Human Resources Staff Development Opportunities  
3\_8\_3\_fn18.pdf  
<http://louisville.edu/hr/training>

[19] Provost's Staff Leadership Academy—Syllabus and Capstone Project  
3\_8\_3\_fn19.pdf

[20] University Libraries Benchmark Survey 2014

[20a] Undergraduates Students – Belknap  
3\_8\_3\_fn20a.pdf

[20b] Undergraduates Students – HSC  
3\_8\_3\_fn20b.pdf

[20c] Graduate Students – Belknap  
3\_8\_3\_fn20c.pdf

[20d] Graduate Students – HSC  
3\_8\_3\_fn20d.pdf

[20e] Faculty – Belknap Campus  
3\_8\_3\_fn20e.pdf

[20f] Faculty – HSC  
3\_8\_3\_fn20f.pdf

### 3.9.1

#### Student Affairs and Services: Student rights

The institution publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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.

UofL student rights and responsibilities are covered in Article 6.3, Section A of *The Redbook*, the university's governance document [1].

Each student has the responsibility to become acquainted with and shall follow all rules and regulations of the university and of the academic unit in which the student is enrolled. The official publications outlining the university rules applicable to students shall be accessible to all students, and the provisions therein shall be uniformly applied to the students affected.

The Office of the President in consultation with the Student, Staff, and Faculty Senates shall establish a Code of Student Rights and Responsibilities, which shall be transmitted to the Board of Trustees for its approval.

The UofL Code of Student Rights and Responsibilities [2] 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, and campus organizations. Section 1 of the Student Rights and Responsibilities says:

The Code of Student Rights and Responsibilities is set forth in writing in order to give students general notice of certain of their rights and responsibilities at the University of Louisville. Further rights and responsibilities are set forth in other University rules and policies, including the Code of Student Conduct, Residence Hall contracts, and academic unit bulletins. It is the students' responsibility to be aware of all University rules and policies; students should check with the Office for Student Life and with their academic units if they have any questions about the purposes or intent of these policies.

The Dean of Students Office regularly revises the Code of Student Conduct (generally each summer). In gathering information to determine any changes to the Code of Student Conduct, the Dean of Students Office utilizes Model Student Codes. Two key documents used in updating the student rights policies include the Model Student Conduct Code by Stoner and Lower [3] and the NCHERM Framework for a Code of Student Conduct [4].

The Code of Student Rights and Responsibilities is available online through the Dean of Students website [5], the Student Handbook [6], the *Undergraduate Catalog* [7], the *Graduate Catalog* [8], the School of Dentistry Student Handbook [9], School of Law Student

Handbook [10], and the School of Medicine Bulletin [11]. The Code is also linked from the Online Learning webpage [12].

As required by the *Higher Education Act of 2008*, the university has a dedicated centralized online resource for institutional information, which includes a link to the Student Rights and Responsibilities [13].

The Student Handbook outlines a number of policies, procedures, and services at the university. Included in the Student Handbook are the Student Rights and Responsibilities, Code of Student Conduct, the Student Sexual Misconduct Policy, the Non-Discrimination Policy, Student Grievance Officer information, Respect for Intellectual Property Rights, and other policies.

Each summer, prior to freshman orientation sessions, all Student Orientation Leaders are trained regarding operations of the Dean of Students office, including policies and procedures, Title IX, student rights and responsibilities, the Code of Student Conduct, and the student grievance process [14]. First-year students are informed about Title IX, student rights and responsibilities, the Code of Student Conduct, student sexual misconduct policies, and the student grievance process each year as part of the Dean of Students Orientation presentation at freshman orientation (attendance is mandatory for freshman) [15]. During the Freshman Orientation presentation, students are asked to sign a document acknowledging that they are responsible for adhering to the Code of Student Conduct and university policies [16].

All incoming undergraduate students are required to complete online courses called AlcoholEdu and Haven to educate students on alcohol use and prevention information for sexual assault [17]. AlcoholEdu and Haven programs use the latest prevention techniques and science-based research to educate students about the impact of alcohol and sexual assault. If students do not complete the online courses an academic hold will be placed on the student's account preventing future enrollment.

Transfer students are informed of student rights and responsibilities, Title IX, the Code of Student Conduct, student sexual misconduct policies, and the student grievance process through a presentation at a mandatory Transfer Orientation Session [18].

All students, including distance education students, receive weekly emails [19] with campus news and events. Each semester these emails remind students about student rights and responsibilities, Title IX, the Code of Student Conduct, student sexual misconduct policies, and the student grievance process and related campus policies such as ADA issues, non-discrimination, the Alcohol Policy, the Hazing Policy, the Academic Dishonesty Policy, the Computer Usage Policy, and other expectations [20].

To ensure the dissemination of accurate information, the UofL Dean of Students Office serves as a resource to the campus community on student rights and responsibilities, Title IX, the Code of Student Conduct, student sexual misconduct policies, and the student grievance process. The office trains and presents to other groups throughout the campus community that interact with students. The Dean of Students Office has presented to Resident Assistant Leaders, Peer Advisors, HSS 101 courses, Study Abroad students, CONECT Mentors, and Hall Directors. A sampling of some of these presentations is included [21] [22] [23] [24] [25].

In addition to written policies and procedures, the institution employs a Student Grievance Officer [26] and Student Advocate [27] specifically to assist students in understanding their

rights and responsibilities. Both the Student Grievance Officer and Student Advocate provide informal, neutral, and confidential assistance as a supplement to existing administrative or formal grievance procedures. These individuals make every attempt to assist individuals in resolving concerns.

All student rights and responsibilities violations/grievances are overseen by the UofL Student Grievance officer as outlined in the UofL *Redbook* [28]. The Student Grievance Office keeps electronic records of all student grievances. The student complaint procedures can be accessed online at the Dean of Students website [29]. Online students can access the student complaint procedures on the Online Programs website [30].

The Code of Student Conduct [31] is the university's policy regarding non-academic discipline of students and student organizations. Students have the responsibility to follow all regulations outlined in this policy. The primary purpose for the Code in the university setting is to respond to incidents of non-academic misconduct in a way that is developmentally sound and that creates an environment in which all members of the academic community can live, work, and learn together. The Code is designed to provide educational guidance to those wishing to develop into good citizens and, at the same time, to respond appropriately to behavior that may be inconsistent with university policies. Similar to the Code of Student Rights and Responsibilities, the Code of Student Conduct is available online on the Dean of Students website and is shared with first-year students during orientation and all students, including distance education students, via emails each semester. The Code of Student Conduct can also be accessed through various academic unit publications, websites, and programs.

The university has established a Student Sexual Misconduct Policy [32] to address cases of alleged sexual assault or sexual misconduct. The policy outlines options for all students, employees, university visitors, or third parties within the university community, regardless of sexual orientation or gender identity. Sexual misconduct offenses include but are not limited to: sexual harassment, sexually abusive contact, sexual exploitation, or stalking. Each summer the student sexual misconduct policy is reviewed by the Dean of Students Office utilizing national Title IX legislation and resources to ensure alignment with national best practices. Once the Dean of Students office completes the updates the student sexual misconduct policy is then shared with university legal counsel to approve the annual review.

The university mandates that all faculty include specific Title IX statements in every course syllabus each semester. To facilitate this requirement, the university provides a sample statement for use in course syllabi [33]. The university also includes this Title IX information on its Consumer Information website [34], as required by the *Higher Education Act of 2008*.

Additional student rights and responsibility documents include those related to ADA [35], Student Financial Responsibility [36], Student Athletes [37], Technology [38], and Housing [39].

## **SUMMARY**

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.

[1] *The Redbook*, Article 6.3, Section A

3\_9\_1\_fn01.pdf

<http://louisville.edu/provost/redbook/contents.html/chap6.html>

[2] Code of Student Rights and Responsibilities

3\_9\_1\_fn02.pdf

<http://louisville.edu/dos/students/studentrightsandresponsibilities>

[3] Model Student Code of Conduct

3\_9\_1\_fn03.pdf

[4] NCHERM Framework for Student Code of Conduct

3\_9\_1\_fn04.pdf

[5] Dean of Students—Code of Student Rights and Responsibilities

3\_9\_1\_fn05.pdf

<http://louisville.edu/dos/students/studentrightsandresponsibilities>

[6] *Student Handbook*

3\_9\_1\_fn06.pdf

<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-handbook>

[7] *Undergraduate Catalog*—Code of Student Rights and Responsibilities

3\_9\_1\_fn07.pdf

[http://louisville.edu/undergraduatedcatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=35](http://louisville.edu/undergraduatedcatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=35)

[8] *Graduate Catalog*—Code of Student Rights and Responsibilities

3\_9\_1\_fn08.pdf

<http://louisville.edu/graduatecatalog/code-of-student-conduct>

[9] School of Dentistry Online *Student Handbook*

3\_9\_1\_fn09.pdf

[10] School of Law *Student Handbook*

3\_9\_1\_fn10.pdf

<http://louisville.edu/law/student-services/handbooks>

[11] School of Medicine *Bulletin*

3\_9\_1\_fn11.pdf

[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)

[12] Online Learning

3\_9\_1\_fn12.pdf

<http://louisville.edu/online/current/student-services>

[13] Consumer Website for Institutional Information

3\_9\_1\_fn13.pdf

<http://louisville.edu/oapa/consumer-information>

- [14] Dean of Students Training for Student Orientation Leaders  
3\_9\_1\_fn14.pdf
- [15] Dean of Students Orientation Presentation  
3\_9\_1\_fn15.pdf
- [16] Freshman Orientation Student Rights and Responsibilities Signature Document  
3\_9\_1\_fn16.pdf
- [17] AlcoholEdu and Haven  
3\_9\_1\_fn17.pdf  
<http://louisville.edu/campushealth/alcoholedu-haven>
- [18] Transfer Student Orientation Presentation  
3\_9\_1\_fn18.pdf
- [19] Student News and Events Emails Website  
3\_9\_1\_fn19.pdf  
<http://louisville.edu/student/studentnews/>
- [20] Student EMAIL Code of Student Rights and Responsibilities  
3\_9\_1\_fn20.pdf  
<http://louisville.edu/student/studentnews/jan-15-2016/view>
- [21] Dean of Students Student Rights and Responsibilities Training for Resident Assistants  
3\_9\_1\_fn21.pdf
- [22] Dean of Students Student Rights and Responsibilities Training for Peer Advisors  
3\_9\_1\_fn22.pdf
- [23] Dean of Students Student Rights and Responsibilities Training for HSS 101 Classes  
3\_9\_1\_fn23.pdf
- [24] Dean of Students Student Rights and Responsibilities Training for CONECT Mentors  
3\_9\_1\_fn24.pdf
- [25] Dean of Students Student Rights and Responsibilities Training for Hall Directors and Residence Life Coordinators  
3\_9\_1\_fn25.pdf
- [26] Student Grievance Officer  
3\_9\_1\_fn26.pdf  
<http://louisville.edu/dos/help/studentgrievance>
- [27] Student Advocate  
3\_9\_1\_fn27.pdf  
<http://louisville.edu/dos/help/studentadvocate>
- [28] *Redbook* 6.8, Student Grievance Procedures  
3\_9\_1\_fn28.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#ART6.8>

[29] Student Complaint Procedures on Dean of Students Website  
3\_9\_1\_fn29.pdf  
<http://louisville.edu/dos/help/student-complaint-procedure>

[30] Complaint Procedures for Online Programs  
3\_9\_1\_fn30.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>

[31] Code of Student Conduct  
3\_9\_1\_fn31.pdf  
<http://louisville.edu/dos/students/codeofconduct>

[32] Student Sexual Misconduct Policy  
3\_9\_1\_fn32.pdf  
<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-sexual-misconduct-policy>

[33] Title IX Syllabi Statement of Faculty Resource Website  
3\_9\_1\_fn33.pdf  
<http://louisville.edu/delphi/resources/syllabus/samples>

[34] Consumer Information Website for Institutional Information  
3\_9\_1\_fn34.pdf  
<http://louisville.edu/oapa/consumer-information>

[35] ADA  
3\_9\_1\_fn35.pdf  
<https://louisville.edu/disability/students/responsibilities-of-students-faculty-drc>

[36] Statement of Student Financial Responsibility  
3\_9\_1\_fn36.pdf  
<http://louisville.edu/finance/bursar/sturesp>

[37] Student Athletes  
3\_9\_1\_fn37.pdf

[38] Technology Policies  
3\_9\_1\_fn38.pdf  
<http://louisville.edu/it/policies>

[39] Housing Policies  
3\_9\_1\_fn39.pdf

### 3.9.2

#### Student Affairs and Services: Student records

The institution protects the security, confidentiality, and integrity of student records and maintains security measures to protect and back up data.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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).

Student records, include, but are not limited to:

- academic records, such as enrollment/registration data, grades, degrees, awards & honors, credentials and other transcript data;
- admissions records;
- medical records;
- psychological and career counseling records;
- financial aid records;
- residence (housing) records;
- distance and continuing education records;
- student discipline records;
- university testing records;
- disability resource center records.

The Information Security Office (ISO) [1] administers the university's Information Security Program and serves as the university's resource for guidance on information security compliance. The ISO provides information security policies and standards, coordinates information security efforts and incident response, and provides risk assessments and user awareness and training to assist in maintaining regulatory compliance and to protect the confidentiality, integrity, and availability of university information assets.

ISO offers risk assessments to all departments at the university. Assessments focus on areas such as access controls, information management, business continuity, physical security, and regulatory requirements. Breaches are routed through the Information Security Incident Response protocol, which provides identification, assessment and mitigation of information security risks.

All training sessions, web pages, announcements, and printed materials produced by the Information Security Office refer to the university's Information Security policies and include references to the definition of sensitive data (which include student data and FERPA). New Information Security policies are announced through a campus-wide email list known as UofL Today. Awareness efforts are made throughout the year to ensure that employees are continuously reminded of their policy obligations via the ISO Listserv and posts on ISO's website.

Information Security policies are covered in the mandatory new employee orientation program. In addition to departmental/school-specific training, the ISO also offers open training sessions at both campuses to anyone who wants to attend. Information Security training is also included in new employee orientation.

## **FERPA**

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 [2], in the UofL catalogs (Undergraduate [3], Graduate [4], Medical [5], Law [6], and Dental [7]), and in the annual Registration Information Newspaper [8], among other appropriate student information materials. There is a link on the Registrar's Office homepage to FERPA information [9]. ULink, the university portal, has a FERPA link on the landing page as well as the Student and Faculty/Staff pages. From these various links, students can find instructions on how to restrict access to their Directory information. A student may request that their information not be used in any university directory. Directory information is not released for those students who request privacy of their contact information.

Student records in each unit/department are secured, and adherence to FERPA is mandated. Electronic records are protected in PeopleSoft by a security system that restricts access and maintenance of records to authorized personnel only. To receive access to student records in PeopleSoft, a user must submit a request [10].

Each unit/department has a security representative that is responsible for ensuring that proper security and confidentiality of student records are maintained. When computer accounts are assigned, each employee is required to agree to abide by an Online Statement of Responsibility [11], to review the guidelines for protecting student records, and to take and pass an online FERPA quiz [12].

To ensure that privacy guidelines are followed, the Director of Records and Registration annually asks offices dealing with student records to confirm if the current employees listed are still approved for student record access and have an educational need to know. When a staff member either leaves the university or takes a new position within the university, there is an automated process that removes all Student Records access until a new request for access is submitted.

## ***Health Insurance Protection and Accountability Act (HIPAA)***

The U.S. Health Insurance Protection and Accountability Act (HIPAA) [13] requires the protection and confidential handling of protected health information. University regulations require that units/departments store protected health information data according to HIPAA mandates. The UofL Privacy Office [14] has oversight responsibility for HIPAA compliance in the university clinics and departments assigned to UofL's healthcare services. HIPAA information can be found on the university's Campus Health Services [15] and the Counseling Center [16] homepages.

## ***Gramm-Leach-Bliley Act (GLBA)***

The Bursar's Office is the UofL administrative office responsible for ensuring the institutional compliance of the *Gramm-Leach-Bliley Act* (GLBA). Administered by the Federal Trade Commission, the GLBA requires financial institutions to ensure the security and

confidentiality of non-public personal information (NPI). UofL publishes a NPI safeguard policy electronically, and the policy is available for public review [17]. Faculty, administrators, and staff with access to NPI are trained in policies and procedures to maintain strict confidentiality of customer NPI.

UofL discloses information only as necessary to perform specific functions and responsibilities required to meet its academic and business mission. NPI is not provided to individuals or organizations where such information is not required to achieve its contracted objective. UofL contracts with service providers who are capable of maintaining and safeguarding customer information as required by GLBA. UofL utilizes appropriate safeguards to protect Personal and NPI such as but not limited to: network firewall, data encryption, user, password, and pin number protection, data back-up and redundancy. UofL administers an information risk assessment program to evaluate the current effectiveness of NPI safeguarding controls and procedures.

### **Digital Student Records (electronic access)**

Digital student records at UofL are housed in the university's Student Information System (PeopleSoft) and through third party software platforms. Student academic, admissions, financial aid, and financial account records are typically accessed through PeopleSoft. Some records are stored on a shared drive secured by IT through Active Directory and are accessible by permission.

Peoplesoft supports unique security requirements with single sign-on, data encryption, and security protocols. Access is through https internet connections, with users/groups limited to specific document access. Access to student records security roles and levels are granted and approved by security officers in the Offices of Admission [18], Financial Aid [19], Bursar [20], and Registrar [21].

When the Data Security Coordinator in each functional area receives notification that a request for student records access has been initiated, the employee is contacted and instructed to log into Blackboard and complete the Online Statement of Responsibility and pass the FERPA quiz. Once the employee has completed this process, the Data Security Coordinator works with the unit security representative to determine what roles and permissions are required for the employee to perform his or her duties. Upon completion, the appropriate forms are stored online and are retained in case of a security violation or problem.

In September 2015 Enrollment Management hired a Systems Analyst to monitor security, authentication, and access for the PeopleSoft Campus Solutions system. This step ensures further protection of student data. The Systems Analyst works closely with Enrollment Management security officers and the Office of Information Technology (especially the Security and Accounts Management Team) and also assists with monitoring third-party software.

### **Electronic Security and Protection of Records**

The Office of Information Technology has established a mandate on the use of full disk encryption for sensitive data in order to achieve compliance university-wide [22]. This effort is a result of emphasizing the importance of protecting confidential and sensitive information stored on all computer workstations, laptops, portable hard drives, flash drives, and similar devices through data encryption, encompassing all university-owned or personal devices used for storing, transferring, or transmitting confidential and sensitive information.

Numerous federal laws (HIPAA, HITECH, FERPA, PCI, etc.) require the protection of certain data and hold individuals and organizations responsible for protecting data from all unauthorized access, including theft or the loss of a device containing sensitive information. Implementing secure encryption is mandatory at UofL to provide the necessary protection. The Office of Information Technology (OIT) provides free full-disk encryption software for most desktops and laptops. The university's encryption licensing allows for this software to be placed on university-owned and privately owned computers.

The university has implemented several checks and balance policies and processes to ensure data security. The Information Technology office provides technical controls such as email encryption, hard disk encryption, removable storage encryption, file level encryption, VPN access, university firewall protection, centrally managed virus protection, managed Windows updates, URL filtering for email, IT data center physical security controls, PeopleSoft database encryption, and wireless security.

Additionally, end users are not allowed to externally access enterprise systems unless they utilize the university's VPN system. This includes all remote desktop access.

The university also provides technical tools used to securely wipe all electronic media. Media will not be accepted into the university's Surplus equipment inventory until users attest that proper wiping has been completed. All copiers provided through the university's IT Copier Management Program are set to automatically wipe all data every night, and copier hard drives are wiped again before the systems are taken off campus.

PeopleSoft data is backed up nightly to a tape library on Belknap Campus and then a copy is replicated to UofL's Disaster Recovery site in Sterling Forest, NY. The disaster recovery facility is run by IBM. Security is a high priority at the facility. Clients must make prearrangements to gain access, which is verified by both parties. UofL equipment is stored in a locked cabinet inside of a secured locked room. The room is monitored 24 hours a day, 7 days a week, by video surveillance.

UofL's facility is secured by key card access to the Data Center, and the computer cabinets are accessed with a key. The keys are kept in a box that requires key card access for tracking purposes. The Data Center is monitored 24 hours a day, 7 days a week, by video surveillance.

Data backups are tested regularly when refreshes are done to databases in our user and test environments. Customer restores of the H:\ and I:\ drives also test this data integrity on a regular basis. UofL restores images from the VMWare server backup to also check data backup.

All student records prior to 1982 have been scanned and stored digitally in OnBase. The physical records themselves are located in a keypad-entry-secured room in the Registrar's Office in locked file cabinets. OnBase is a document management system that interfaces with PeopleSoft, allowing access to student records stored using that software. It supports unique security requirements with single sign-on, data encryption, and security protocols. Access is through https internet connections and assigned users/groups identified for specific access to documents.

### Third-Party Software Vendors

The university has a variety of third-party software vendors that allow for the management of systems dealing with student records. These student records systems are maintained within various offices to address specific needs.

- **Clockwork:** The Clockwork database, designed for scheduling and data tracking of student services at universities and colleges, is utilized by UofL's Disability Resources Center. Clockwork employs single sign-on and allows administrators to organize users into groups and assign permissions to individuals or groups/roles to restrict access to specific student data.
- **EAB's Student Success Collaborative (SSC):** Access to SSC, a student success workflow software platform, is maintained by the Department of Undergraduate Advising Practices. UAP will not give access to the system until the person requesting access has completed and earned a passing score on the FERPA quiz. UAP conducts bi-yearly audits of all SSC users to ensure correct permissions.
- **MailChimp:** The Delphi Center has electronic student records in the cloud-based software, MailChimp, which it uses to send mass emails to online students informing them of the various student services available to them. MailChimp adheres to Safe Harbor Principles and annually certifies their agreement to EU/US and Swiss Safe Harbor Frameworks.
- **Maxient Conduct Manager:** The Office of the Dean of Students uses Maxient Conduct Manager database system to interface with PeopleSoft. Maxient allows for management of student conduct records in a central repository and is administered by the Dean of Students Office, with users in Campus House and University Police, along with other members of the Student Care Team. Maxient utilizes a 256-bit SSL connection, and role-based access control with case-based restrictions is in place. Campus-based authentication mechanisms are supported. Maxient Conduct Manager database is hosted in a secure data center. Automated encrypted backups occur.
- **Radius:** Radius is used by the Online Learning team in the Delphi Center to capture prospective student information from marketing campaigns. Information collected includes student name, address, email, phone number, program of interest, highest degree earned, military status, and GPA. A student's Peoplesoft ID number is stored for anyone who has applied to an online program. Access to the student records in Radius is controlled via personal user accounts, and passwords within Radius are managed by the Delphi Center for Teaching and Learning. Passwords are private and controlled by the individual.
- **Symplicity:** The Career Development Center employs the Symplicity database for student information necessary for the career development process (named CARDS Career Link). The Symplicity platform, used by many university career centers, ensures security, confidentiality, and integrity of student record data. The International Center also uses this software for study abroad students.
- **Titanium Schedule:** The Counseling Center uses Titanium Schedule, an electronic medical records (EMR) system that follows HIPAA standards and employs passwords, network traffic, hard drive, and data backup encryption protocols. Titanium allows for different levels of secure access, configured so practicum students can only access



files of their own clients, and support staff do not have access to progress notes that contain information about client therapy sessions.

- TutorTrac: Resources for Academic Achievement (REACH) utilizes TutorTrac by Redrock Software and requires all users that access student data to have a valid user name and password. Only staff who have completed FERPA training are allowed access to reporting tools to access these databases. Redrock Software uses the university's authentication protocol to allow users and students to log into the TutorTrac system. Student data is securely transmitted on the web via a SSL protocol, which also requires Lightweight Directory Access Protocol (LDAP) authentication. The SSL certificate is renewed every three years via IT services at UofL. There are no open email ports with TutorTrac.
- Microsoft SharePoint: Microsoft SharePoint is used university-wide for document storage and project management via an Internet browser. SharePoint uses SSL, but in addition, employs multi-stage approval processes that provide administrators with oversight into data access, so only those authorized by the owner can view or edit the pages and documents within.
- Blackboard: Blackboard is the online course management system used at UofL. Using a secure login and password, students and faculty are able to access courses via Blackboard. The Blackboard system authenticates against a secure central repository (LDAP) with the use of the unique User Identification provided by the university LDAP.
- Pyramid (formerly Blackboard Analytics) is software that provides data management and communication using PeopleSoft data. It uses the same authentication process and security protocol as Blackboard.

## **Physical Records**

The Registrar's Office is responsible for maintaining academic records for undergraduate and graduate students. These student records include applications, transcripts, test scores, letters of recommendation, residency information, and supporting documents. Access to student records is restricted to employees with legitimate educational interests. Employees who access records must be preauthorized to do so. Employees who have any access to physical records as part of their job responsibilities are also required to complete an Authorized Use Agreement and Statement of Responsibility form [23].

Physical student records such as grade changes/rosters and transcripts are stored in a secured records room in the Registrar's Office, with keypad access required for entry. File cabinets containing these records are locked. All other department heads within UofL ensure that physical student records with identifiable information in their area are kept secure in lockable file cabinets, offices, and appropriate, secure storage rooms.

University Archives has collections of student records in a secure room, locked at all times and accessible to limited personnel. Retention and destruction of all student records are governed by the university's records management program, which is administered by the University Archives and Records Center [24]. The director of the center is also the official custodian of UofL records. In this capacity, the director responds on behalf of the university to requests made under the *Kentucky Open Records Act* (KORA) [25]. Furthermore, UofL

officials may not destroy any education records if there is an outstanding request to inspect and review the records.

Retention and destruction of all student records follow guidelines governed by the university's records management program through University Archives and Records Center, as well as standards established by the Records and Retention Schedule drafted by the Kentucky Council on Postsecondary Education [26]. Financial Aid retains documents for three years, as dictated by federal guidelines [27].

## **SUMMARY**

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. The UofL Privacy Office has oversight responsibility for HIPAA compliance. The Bursar's Office is responsible for ensuring institutional compliance of the *Gramm-Leach-Bliley Act* (GLBA). The university has implemented several checks and balance policies and processes to ensure data security and uses a variety of third-party software vendors to manage systems dealing with student records.

[1] Information Security Officer  
3\_9\_2\_fn01.pdf  
<http://louisville.edu/security>

[2] Student Records Policy (FERPA)  
3\_9\_2\_fn02.pdf  
<http://louisville.edu/library/archives/university/ferpa>

[3] Undergraduate Catalog  
3\_9\_2\_fn03.pdf  
[http://louisville.edu/undergraduatedcatalog/versions/15\\_16\\_catalog.pdf](http://louisville.edu/undergraduatedcatalog/versions/15_16_catalog.pdf)

[4] Graduate Catalog  
3\_9\_2\_fn04.pdf

[5] Medical School Catalog  
3\_9\_2\_fn05.pdf

[6] Law School Catalog  
3\_9\_2\_fn06.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16>

[7] Dental School Bulletin  
3\_9\_2\_fn07.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)

- [8] Registration Information Newspaper  
3\_9\_2\_fn08.pdf
- [9] FERPA from Registration Information Page  
3\_9\_2\_fn09.pdf  
<http://louisville.edu/library/archives/university/stupriv/notfstud.html>
- [10] PeopleSoft Request Form through Information Technology  
3\_9\_2\_fn10.pdf
- [11] Authorized Use Agreement and Statement of Responsibility  
3\_9\_2\_fn11.pdf
- [12] Online FERPA Quiz  
3\_9\_2\_fn12.pdf
- [13] HIPAA Privacy Summary  
3\_9\_2\_fn13.pdf  
<http://www.hhs.gov/sites/default/files/privacysummary.pdf>
- [14] UofL Privacy Office Webpage  
3\_9\_2\_fn14.pdf  
<http://louisville.edu/privacy>
- [15] UofL Campus Health Services Webpage  
3\_9\_2\_fn15.pdf  
<http://louisville.edu/campushealth>
- [16] UofL Counseling Center Webpage  
3\_9\_2\_fn16.pdf  
<http://louisville.edu/counseling>
- [17] *Gramm Leach Bliley Act*, UofL Privacy Statement  
3\_9\_2\_fn17.pdf  
<http://louisville.edu/finance/bursar/privacy>
- [18] UofL Admissions Website  
3\_9\_2\_fn18.pdf  
<http://louisville.edu/admissions/>
- [19] UofL Financial Aid Website  
3\_9\_2\_fn19.pdf  
<http://louisville.edu/financialaid>
- [20] Bursar's Website  
3\_9\_2\_fn20.pdf  
<http://louisville.edu/finance/bursar/privacy>
- [21] UofL Registrar Website  
3\_9\_2\_fn21.pdf  
<http://louisville.edu/registrar>

[22] PGP Encryption Information

3\_9\_2\_fn22.pdf

<http://louisville.edu/it/departments/enterprise-security/information/pgp-encryption-information>

[23] Authorized Use Agreement and Statement of Responsibility

3\_9\_2\_fn23.pdf

[24] UofL Records Management

3\_9\_2\_fn24.pdf

<http://louisville.edu/library/archives/university/recmgmt>

[25] *Kentucky Open Records Act*

3\_9\_2\_fn25.pdf

<http://chfs.ky.gov/NR/rdonlyres/E274096D-076A-43FC-95FF-30DFEAE4B92C/0/DAILOpenRecordsInstructions.pdf>

[26] Council on Postsecondary Education Records Retention Schedule

3\_9\_2\_fn26.pdf

<http://kdla.ky.gov/records/recretentionschedules/Documents/State%20Records%20Schedules/kypostsecondaryed.PDF>

[27] Federal Financial Aid Retention Guidelines

3\_9\_2\_fn27.pdf

[http://www.ecfr.gov/cgi-bin/text-idx?SID=99a92c2ae3270d82aa4cd08105c55b45&mc=true&node=pt34.3.668&rgn=div5#se34.3.668\\_124](http://www.ecfr.gov/cgi-bin/text-idx?SID=99a92c2ae3270d82aa4cd08105c55b45&mc=true&node=pt34.3.668&rgn=div5#se34.3.668_124)

### 3.9.3

#### **Student Affairs and Services: Qualified staff**

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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville 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 also collaborates with Business Affairs in facility planning, student meal plans, and campus safety.

To address these responsibilities, the division provides a comprehensive range of programs and services related to campus programming and planning, as demonstrated in the Office of Student Affairs organizational chart [1].

While distance education students are provided access to a range of student services and academic resources through the Online Learning website [2], the Division of Student Affairs also provides a variety of services that are accessible online for all distance education students [3].

In addition, student services are also made available through many other programs and offices across campus, including academic units. Information on specific student support programs and services available at UofL can be found in Core Requirement 2.10.

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, including Campus Housing, Career Services, Counseling, Disabilities, Student Support Services, Student Involvement, Recreational Sports, Student Activities Center, Student Government, Fraternity and Sorority Life, Student Rights and Responsibilities, Dean of Students Office, Off-Campus Student Programs, Service and International Service Learning, Assessment and Planning, Parent and Family Relations, Student Grievance, and Student Advocacy. The level of staffing for the Division of Student Affairs is appropriate in regard to fulfilling the mission of the university.

The Division of Student Affairs utilizes a variety of methods of best practices to ensure departments are effectively and appropriately providing student services. Student Affairs departments assess their effectiveness on a yearly basis through producing an Annual Report that collects a variety of metric-based information as well as methods of assessment and satisfaction of programs and services [4] [5]. Student Affairs also engages in a

broader-level review process that involves assessing the department programs, services, and staff on a five-year cycle in one of two ways:

- By engaging a committee consisting of faculty, staff, and students or an outside reviewer to conduct a departmental self-assessment utilizing the CAS Professional Standards for Higher Education [6]. The Council for the Advancement of Standards in Higher Education (CAS), a consortium of professional associations in higher education, promotes the use of its professional standards for the development, assessment, and improvement of quality student learning, programs, and services. The CAS Standards also align with the national Professional Competency Areas for Student Affairs Practitioners, which were developed by the two governing Student Affairs professional organizations, ACPA (College Student Educators International) and NASPA (Student Affairs Administrators in Higher Education)
- By inviting a professional from outside the university with expertise in the department's professional area to perform a review of outcomes, programs, and services. These reports are utilized to develop departmental goals and objectives as well as to evaluate [7].

The external accrediting bodies for the School of Medicine, School of Dentistry, and Brandeis School of Law ensure that the student support staff are appropriate to serve the needs of the students enrolled in these programs.

### **Qualifications of Student Services Staff**

UofL student support staff members are recruited, selected, trained, and evaluated based on university-wide policies and procedures [8]. When recruiting staff, each position description outlines specific duties and responsibilities of the role and the required and preferred qualifications (both educational and professional experiences) [9]. Applicants are selected for each position based on their education, experience, qualifications, and references.

The varying levels of Student Affairs positions have baseline educational and experience requirements. As the positions increase in responsibility and title, typically the required education and experience also increase [10] [11] [12]. Some positions within Student Affairs require specific licensure and/or training for the role, such as counselors or psychiatrists, and those positions require position-specific credentials in order to perform the duties of the position [13].

The university offers an MEd [14] and PhD [15] in Counseling and Personnel Services with concentrations in College Student Personnel as well as an M.A. in Higher Education [16] and Ph.D. in Educational Leadership, Evaluation and Organizational Development [17]. Many UofL Student Services staff hold degrees from these program or are working on degrees in the programs. A number who hold terminal degrees also serve as adjunct instructors in the programs. Students from the College Student Personnel and Higher Education Administration programs participate in graduate assistantships and internships within UofL's Student Affairs division.

### **Student Services Staff Rosters**

The UofL student services staff rosters illustrate the level of education, experience, and professionalism of the university's student services staff.

## Belknap Campus

- Athletics [18]
- Bursar's Office [19]
- Campus Health Services [20]
- Cardinal Card Office [21]
- Career Development Center [22]
- Counseling Center [23]
- Cultural Center [24]
- Dean of Students [25]
- Disability Resource Center [26]
- First Year Initiatives [27]
- Honors Program [28]
- Housing and Residence Life [29]
- Information Technology [30]
- International Center [31]
- Intramural and Recreational Sports [32]
- LGBT Center [33]
- Metropolitan College [34]
- McConnell Center [35]
- Muhammad Ali Institute for Peace and Justice [36]
- Office of Diversity [37]
- Office of Military and Veterans Services [38]
- Office of Vice Provost for Student Affairs [39]
- Registrar's Office [40]
- Resources for Academic Achievement (REACH) [41]
- Student Financial Aid Office [42]
- Student Involvement [43]
- Testing Services [44]
- TRIO Student Support Services [45]
- Women's Center [46]

Student services in academic units on the Belknap Campus include:

- Brandeis School of Law [47]
- College of Arts and Sciences [48]
- College of Business [49]
- College of Education and Human Development [50]
- Graduate School [51]
- Kent School of Social Work [52]
- School of Music [53]
- Speed School of Engineering [54]

## Health Sciences Campus

In addition to the student services provided to all UofL students, each of the academic units located on the Health Sciences campus provide a range of student support services, including academic support services, career service opportunities, counseling services, financial aid services, housing options, library services, student involvement opportunities, and more [55] [56] [57] [58].

- School of Dentistry [59]
- School of Medicine [60]
- School of Nursing [61]
- School of Public Health and Information Services [62]

No student services for credit-bearing programs are housed at the university's Shelby Campus.

### Off-site Programs

UofL also offers several off-site programs. Student services staff rosters are provided for these as well.

- European Business School (BS in Business Administration) [63]
- University of Louisville and University of Kentucky (Executive MBA) [64]
- Akademie Adolph Wirth Business School (Global MBA) [65]
- Fort Knox Extended Campus (BS in Organizational Leadership and Learning; MS in Human Resources and Organizational Development) [66]
- General Electric (MS in Mechanical Engineering; MS in Electrical Engineering) [67]
- Owensboro Medical Health System (BS in Nursing Owensboro) [68]
- Quality Leadership University—Panama (BA in Communication) [69]
- Quality Leadership University—Panama (Master of Engineering in Engineering Management) [70]
- School of Medicine Trover Campus (Medicine MD) [71]
- Western Kentucky University (BS in Electrical Engineering) [72]

### **Annual Staff Performance Appraisal**

All university staff members are evaluated annually based on their expected outcomes and accomplishments as outlined in their performance appraisal [73]. The Performance Evaluation process calls for supervisors to establish clear performance factors and goals, to monitor and coach the employee, and to provide an objective assessment of performance. The division of Student Affairs uses a modified version of the university's Human Resources performance review in order to add in specific Student Affairs core values connected to the division [74]. Specifically, Student Affairs added a section that provides the opportunity for staff to add feedback for every job factor connected to their role. This allows for personal career ownership and empowerment for the staff member. Program assessments and staff evaluations are used to update future program and individual goals and objectives.

### **Professional Development**

Human Resources at UofL is committed to providing tools and information that lead to measurable performance improvement, increased job satisfaction, personal development, and positive morale for faculty and staff [75] [76]. Every semester Human Resources coordinates professional development programs, trainings, and information that are free to any employee. The university also encourages all staff to continue their professional development through a number of programs and opportunities, including the Human Resources staff development offerings [77], a Tuition Remission program [78], a Lifelong Learning program [79], and departmental staff development programs that encourage attendance at state, regional, and national conferences and workshops. Many units make funds available for staff to participate in professional development activities. The UofL Division of Student Affairs encourages all staff to participate in professional development



opportunities both internally through campus options and externally through trainings, workshops, professional affiliations, and professional conference attendance.

The Student Affairs division offers an internal professional development component called the Professional Development Committee (PDC). The PDC works to empower and inspire student affairs professionals to know themselves, their positions, their fields, and their community [80]. The Student Affairs PDC was created to orient new staff members to the philosophical orientation of Student Affairs and the theoretical basis for student personnel work; advocate for resources to ensure uninterrupted development offerings; build a sense of team; recognize the exemplary accomplishments of staff members; and provide information and programming to enhance the operation/management of Student Affairs offices.

The PDC offers on-campus professional development workshops in the fall and spring for all division staff members and is also open to the entire campus community. The PDC also offers a variety of on-campus professional development throughout the year including Lunch and Learn seminars; Supervisor Training workshops; Classified Staff retreat to offer professional development for all classified staff; New Staff Workshop; Division-wide social events; Staff recognition programs; and a Social Justice Workshop series.

Student Affairs staff are encouraged to participate in the committee and its professional development offerings. Upcoming professional development events are shared via the PDC webpage, and materials from previous professional development events are also available on the PDC webpage [81]. The Division of Student Affairs also supports a high impact practice of hosting state, regional, and national conferences and training. The departments are encouraged to seek out opportunities to host the conferences both on campus and collaboratively with the city of Louisville. This intentional practice of hosting professional conferences and trainings increases professional opportunities afforded to our staff, graduate assistants, and graduate students in higher education programs at UofL.

The Division of Student Affairs is committed to a student-centered high impact practice of employing a wide variety of students in all departments. This intentional practice is designed to facilitate student growth and learning within the work setting. The division also utilizes an intentional assessment rubric named CLAWS that facilitates the utilization of the Paul-Elder critical thinking framework in the work of Student and Undergraduate Affairs to help staff more intentionally describe, foster, and assess the thinking skills they desire to see students demonstrate [82]. CLAWS was designed internally at UofL through a collaboration with the Division of Student Affairs and Institutional Research.

The office of Undergraduate Advising Practice (UAP) is charged by the provost to work collaboratively with the undergraduate academic units in promoting consistent and best practice in academic advising. This includes oversight of the university's professional development program for academic advisors. All undergraduate academic advisors have access to a UofL Advisor Reference Center that provides many tools and resources to facilitate a successful collaborative relationship between the advisor and the student [83].

To provide consistency of university advising practice, academic advisors participate in a university-wide comprehensive professional development program and receive a master advisor certification as part of the program.

All new professional undergraduate advisors must complete the Basic Advisor Resource Blackboard modules [84] within two weeks of start date. In order to have the office of Undergraduate Advising Practice submit a request for the Professional Advisor Role in

PeopleSoft and receive PeopleSoft training, new advisors must read the FERPA and note-taking information and pass the FERPA quiz with a minimum of 12/13 to pass. All other BAR quizzes must be completed before advisors receive their GradesFirst (the university's advising appointment and note-keeping system) access and training. Advisors continue to have access to the information in the BAR modules for reference.

All professional undergraduate advisors must complete the Master Advisor Certification (MAC) program within 18 months of their start date. The MAC allows advisors to be eligible for the Provost's Awards for Exemplary Advising. All advisors who receive MAC certification are required to attend at least four professional development events each year in order to be recertified [85].

In response to a need to better align with documentation and accountability of professional development opportunities, the Division of Student Affairs implemented a specific section in the 2015-2016 Department Annual Report that collects professional development activities completed by staff of every department [86]. Going forward, this list now has a standardized design and structure and will allow a compiled report of professional development activities of staff to be produced annually for the division.

## **SUMMARY**

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. Distance education students have access to a range of student services and academic resources through the Online Learning website and the Division of Student Affairs. The UofL student services staff rosters illustrate the level of education, experience, and professionalism of the university's student services staff.

[1] UofL Division of Student Affairs Organization Chart  
3\_9\_3\_fn01.pdf  
<http://louisville.edu/studentaffairs/vp-office/organizational-charts>

[2] UofL Online Learning Student Resources Website  
3\_9\_3\_fn02.pdf  
<http://louisville.edu/online/Student-Resources>

[3] UofL Division of Student Affairs Distance Education Student Services Website  
3\_9\_3\_fn03.pdf  
<http://louisville.edu/studentaffairs/students/distanceed>

[4] Student Affairs Annual Report—Career Development 2015-16  
3\_9\_3\_fn04.pdf

[5] Student Affairs Annual Report—Housing 2015-16  
3\_9\_3\_fn05.pdf

[6] Student Affairs CAS Review  
3\_9\_3\_fn06.pdf

[7] Student Affairs Department Review Example  
3\_9\_3\_fn07.pdf

[8] UofL Human Resources Recruitment and Selection Procedures Website  
3\_9\_3\_fn08.pdf

[9] Sample UofL Job Description  
3\_9\_3\_fn09.pdf

[10] Student Affairs Program Coordinator Job Description  
3\_9\_3\_fn10.pdf  
<http://louisville.edu/hr/employment/comp/codes-and-specifications/000698>

[11] Student Affairs Assistant Director Job Description  
3\_9\_3\_fn11.pdf  
<http://louisville.edu/hr/employment/comp/codes-and-specifications/000313>

[12] Student Affairs Director Job Description  
3\_9\_3\_fn12.pdf  
<http://louisville.edu/hr/employment/comp/codes-and-specifications/000087>

[13] Student Affairs Counselor Sr. Job Description  
3\_9\_3\_fn13.pdf  
<http://louisville.edu/hr/employment/comp/codes-and-specifications/001793>

[14] MEd in College Student Personnel Website  
3\_9\_3\_fn14.pdf  
<http://louisville.edu/education/degrees/med-cps-csp>

[15] Ph.D. in College Student Personnel Website  
3\_9\_3\_fn15.pdf  
<http://louisville.edu/education/degrees/phd-cps-csp>

[16] MA in Higher Education  
3\_9\_3fn16.pdf  
<http://louisville.edu/education/degrees/ma-he>

[17] Ph.D. in Education Leadership  
3\_9\_3fn017.pdf  
<http://louisville.edu/education/degrees/phd-elod/phd-elod-psa>

### **Student Services Staff Rosters—Belknap and Health Sciences Campuses**

[18] Athletics Student Services Staff Roster  
3\_9\_3\_fn18.pdf

[19] Bursar's Office Student Services Staff Roster  
3\_9\_3\_fn19.pdf

- [20] Campus Health Services Student Services Staff Roster  
3\_9\_3\_fn20.pdf
- [21] Cardinal Card Office Student Services Staff Roster  
3\_9\_3\_fn21.pdf
- [22] Career Development Center Student Services Staff Roster  
3\_9\_3\_fn22.pdf
- [23] Counseling Center Student Services Staff Roster  
3\_9\_3\_fn23.pdf
- [24] Cultural Center Student Services Staff Roster  
3\_9\_3\_fn24.pdf
- [25] Dean of Students Office Student Services Staff Roster  
3\_9\_3\_fn25.pdf
- [26] Disability Resource Center Student Services Staff Roster  
3\_9\_3\_fn26.pdf
- [27] First Year Initiatives Student Services Staff Roster  
3\_9\_3\_fn27.pdf
- [28] Honors Program Staff Roster  
3\_9\_3\_fn28.pdf
- [29] Housing and Residence Life Student Services Staff Roster  
3\_9\_3\_fn29pdf
- [30] Information Technology Student Services Staff Roster  
3\_9\_3\_fn30.pdf
- [31] International Center Student Services Staff Roster  
3\_9\_3\_fn31.pdf
- [32] Intramural and Recreational Sports Student Services Staff Roster  
3\_9\_3\_fn32.pdf
- [33] LGBT Center Student Services Staff Roster  
3\_9\_3\_fn33.pdf
- [34] Metropolitan College  
3\_9\_3\_fn34.pdf
- [35] McConnell Center Student Services Staff Roster  
3\_9\_3\_fn35.pdf
- [36] Muhammad Ali Institute for Peace and Justice Student Services Staff Roster  
3\_9\_3\_fn36.pdf
- [37] Office of Diversity Student Services Staff Roster  
3\_9\_3\_fn37.pdf

[38] Office of Military and Veterans Services Student Services Staff Roster  
3\_9\_3\_fn38.pdf

[39] Office of Vice Provost for Student Affairs Student Services Staff Roster  
3\_9\_3\_fn39.pdf

[40] Registrar's Office Student Services Staff Roster  
3\_9\_3\_fn40.pdf

[41] Resources for Academic Achievement (REACH) Student Services Staff Roster  
3\_9\_3\_fn41.pdf

[42] Student Financial Aid Office Student Services Staff Roster  
3\_9\_3\_fn42.pdf

[43] Student Involvement Student Services Staff Roster  
3\_9\_3\_fn43.pdf

[44] Testing Services Student Services Staff Roster  
3\_9\_3\_fn44.pdf

[45] TRIO Student Support Services Student Services Staff Roster  
3\_9\_3\_fn45.pdf

[46] Women's Center Student Services Staff Roster  
3\_9\_3\_fn46.pdf

### **Academic Unit Student Services Staff Rosters**

[47] Brandeis School of Law Student Services Staff Roster  
3\_9\_3\_fn47.pdf

[48] College of Arts and Sciences Student Services Staff Roster  
3\_9\_3\_fn48.pdf

[49] College of Business Student Services Staff Roster  
3\_9\_3\_fn49.pdf

[50] College of Education and Human Development Student Services Staff Roster  
3\_9\_3\_fn50.pdf

[51] School of Interdisciplinary and Graduate Studies Student Services Staff Roster  
3\_9\_3\_fn51.pdf

[52] Kent School of Social Work Student Services Staff Roster  
3\_9\_3\_fn52.pdf

[53] School of Music Student Services Staff Roster  
3\_9\_3\_fn53.pdf

[54] Speed School of Engineering Student Services Staff Roster  
3\_9\_3\_fn54.pdf

## **Health Sciences Campus Student Services Websites and Staff Rosters**

[55] UofL School of Dentistry Student Services Website  
3\_9\_3\_fn55.pdf  
<http://louisville.edu/dentistry/studentaffairs>

[56] UofL School of Medicine Student Services Website  
3\_9\_3\_fn56.pdf  
<http://louisville.edu/medicine/studentaffairs/student-services>

[57] UofL School of Nursing Student Services Website  
3\_9\_3\_fn57.pdf  
<http://louisville.edu/nursing/student-services>

[58] UofL School of Public Health and Information Student Services Website  
3\_9\_3\_fn58.pdf  
<http://louisville.edu/sphis/future-students/student-services>

[59] School of Dentistry Student Services Staff Roster  
3\_9\_3\_fn59.pdf

[60] School of Medicine Student Services Staff Roster  
3\_9\_3\_fn60.pdf

[61] School of Nursing Student Services Staff Roster  
3\_9\_3\_fn61.pdf

[62] School of Public Health and Information Services Student Services Staff Roster  
3\_9\_3\_fn62.pdf

## **Off-Site Programs Student Services Staff Rosters**

[63] European Business School (BS in Business Administration) Student Services Staff Roster  
3\_9\_3\_fn63.pdf

[64] University of Louisville and University of Kentucky (Executive MBA) Student Services Staff Roster  
3\_9\_3\_fn64.pdf

[65] Akademie Adolph Wurth Business School (Global MBA)  
3\_9\_3\_fn65.pdf

[66] Fort Knox Extended Campus (BS in Organizational Leadership and Learning; MS in Human Resources and Organizational Development) Student Services Staff Roster  
3\_9\_3\_fn66.pdf

[67] General Electric (MS in Mechanical Engineering; MS in Electrical Engineering) Student Services Staff Roster  
3\_9\_3\_fn67.pdf

- [68] Owensboro Medical Health System (BS in Nursing Owensboro) Student Services Staff Roster  
3\_9\_3\_fn68.pdf
- [69] Quality Leadership University—Panama (BA in Communication) Student Services Staff Roster  
3\_9\_3\_fn69.pdf
- [70] Quality Leadership University—Panama (Master of Engineering in Engineering Management) Student Services Staff Roster  
3\_9\_3\_fn70.pdf
- [71] School of Medicine Trover Campus (Medicine MD) Student Services Staff Roster  
3\_9\_3\_fn71.pdf
- [72] Western Kentucky University (BS in Electrical Engineering) Student Services Staff Roster  
3\_9\_3\_fn72.pdf
- [73] UofL Staff Performance Evaluation  
3\_9\_3\_fn73.pdf  
<http://louisville.edu/hr/employeerelations/performance-appraisal>
- [74] Division of Student Affairs Performance Evaluation  
3\_9\_3\_fn74.pdf
- [75] UofL HR Performance Evaluation Website  
3\_9\_3\_fn75.pdf  
<http://louisville.edu/hr/employeerelations/performance-appraisal>
- [76] UofL Human Resources Staff Development Training Opportunities Website  
3\_9\_3\_fn76.pdf  
<http://louisville.edu/hr/training>
- [77] UofL Human Resources Staff Development  
3\_9\_3\_fn77.pdf  
<http://louisville.edu/hr/policies/per701>
- [78] UofL Employee Tuition Remission Program Website  
3\_9\_3\_fn78.pdf  
<http://louisville.edu/hr/benefits/education>
- [79] UofL Lifelong Learning Program Delphi Center Website  
3\_9\_3\_fn79.pdf  
<http://louisville.edu/delphi>
- [80] Student Affairs Professional Development Committee  
3\_9\_3\_fn80.pdf  
<http://louisville.edu/studentaffairs/staff/professional-development-1>

[81] Calendar of Events on Student Affairs Professional Development Trainings Website  
3\_9\_3\_fn81.pdf  
<http://louisville.edu/studentaffairs/staff/professional-development-1/spring-agenda-2016-pdf>

[82] CLAWS Rubric  
3\_9\_3\_fn82.pdf

[83] UofL Advisor Reference Center Website  
3\_9\_3\_83.pdf  
<http://louisville.edu/advising/advisors>

[84] UofL Basic Advisor Resources  
3\_9\_3\_fn84.pdf  
<http://louisville.edu/advising/advisors>

[85] UofL Master Advisor Certification  
3\_9\_3\_fn85.pdf  
<http://louisville.edu/advising/advisors>

[86] Student Affairs Staff Professional Development Activities  
3\_9\_3\_fn86.pdf



### 3.10.1

#### Financial Resources: Financial stability

The institution's recent financial history demonstrates financial stability.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 [1].

UofL is a large, metropolitan, research university with an annual operating budget of more than \$1.2 billion each fiscal year (FY), as shown in Table 1.

**Table 1. Annual Operating Budget 2011-2012 to 2015-2016 (in thousands)**

Source	FY 2011-2012 Budget	FY 2012-2013 Budget	FY 2013-2014 Budget	FY 2014-2015 Budget	FY 2015-2016 Budget
General Funds	\$471,046	\$482,712	\$496,487	\$497,915	\$511,237
UofL Corporations	740,000	740,000	740,000	720,000	717,367
<b>Total Operating Budget</b>	<b>\$1,211,046</b>	<b>\$1,222,712</b>	<b>\$1,236,487</b>	<b>\$1,217,915</b>	<b>\$1,228,604</b>

#### Financial Statement Highlights

The university's financial reports include three financial statements: the Statements of Net Position; the Statements of Revenues, Expenses, and Changes in Net Position; and the Statements of Cash Flows. These financial statements have been prepared by university management in accordance with the Governmental Accounting Standards Board (GASB) principles.

The Statements of Net Position present the assets, deferred outflow of resources, liabilities, deferred inflow of resources, and net position of the university at a point in time. Net position (the difference between total assets, total liabilities, total deferred outflows of resources, and total deferred inflows of resources) provides a snapshot of the current financial condition of the university at the end of a fiscal year. The change in net position indicates whether the overall financial condition has improved or worsened during the year. Assets, liabilities, deferred outflows of resources and deferred inflows of resources are generally measured using current values. Pledges receivable with payment terms greater than one year are discounted. Capital assets are stated at historical cost less accumulated depreciation.

The Statements of Revenues, Expenses, and Changes in Net Position present the total revenues earned and expenses incurred by the university during the fiscal year(s). The statements depict the major revenue streams of the university and expense categories supported by that revenue. Changes in net position indicate an improvement or decline of the university's financial condition for the period of time illustrated.

The Statements of Cash Flows present cash inflows and outflows for each fiscal year. The statement reports major sources and uses of cash and assists with the assessment of the ability of the university to meet its obligations when due.

An important measure of financial stability for an organization is Net Position. There has been an upward trajectory in this measure beginning after fiscal year 2013 and continuing through the latest reporting period. Table 2 provides a summary of the university's audited financial statements for fiscal years 2012 through 2015 and a discussion of these important highlights follows.

**Table 2. Summary of Financial Highlights (in Thousands)**

	<b>2011-2012</b>	<b>2012-2013</b>	<b>2013-2014</b>	<b>2014-2015</b>
<b>Student Tuition (gross)</b>	\$248,378	\$264,726	\$281,856	\$293,544
Percent Change		6.58%	6.47%	4.15%
<b>State Appropriations</b>	\$156,114	\$144,066	\$147,256	\$140,744
Percent Change		-7.72%	2.21%	-4.42%
<b>Clinical Revenue</b>	\$195,903	\$193,212	\$227,858	\$252,407
Percent Change		-1.37%	17.93%	10.77%
<b>Transfers from UofL Foundation</b>	\$6,623	\$2,895	\$11,026	\$64,756
<b>Operating Expenses</b>	\$831,220	\$857,007	\$873,683	\$964,314
Percent Change		3.10%	1.95%	10.37%
<b>Change in Net Position</b>	(\$41,404)	(\$68,451)	(\$1,850)	\$12,773
<b>Net Position</b>	\$764,108	\$695,657	\$693,807	\$706,580
Percent Change		-8.96%	-0.27%	1.84%
<b>Restricted Nonexpendable Net Posit</b>	\$1,421	\$1,538	\$1,656	\$1,791
<b>Restricted Expendable Net Position</b>	\$88,728	\$83,255	\$75,927	\$80,099
<b>Unrestricted Net Position</b>	\$67,598	\$16,024	\$4,439	\$12,326
<b>Endowment Return</b>	-0.80%	10.80%	16.50%	-0.30%

## **Student Tuition (gross)**

Revenues from student tuition, including fees, increased \$45.2 million from FY 2012 to FY 2015. The additional revenue resulted from budgeted tuition rate increases providing \$31.1 million and increased enrollment and other fees providing \$14.1 million. The increases were offset by increased tuition discounts of \$18.2 million, due mainly to increased scholarships.

## **State Appropriations**

State appropriations declined \$15.3 million or 9.9 percent from FY 2012 to FY 2015. These reductions are largely offset by growth in tuition revenue, which has improved in part because of the popularity and growing demand of online courses. However, net tuition revenue remained flat from FY 2014 to FY 2015 as a result of increased tuition discounting.

## **Clinical Revenues**

During FY 2012, and continuing into FY 2013, the Health Science Center transitioned the 60 plus private physician practices into one umbrella organization, University of Louisville Physicians, Inc. The Health Science Center supported the transition by utilizing net assets generated in previous years. Since fiscal year 2014, the combined private physician practices efficiencies have contributed positively to the university. Another contributing factor to the decline in net position during FY 2012 was the implementation of an accounting standard to recognize service concession arrangements with an outside vendor of \$6.6 million.

Clinical revenues increased significantly in FY 2014 and FY 2015 due to support received from KentuckyOne Health and University of Louisville Physician's Inc. The university signed several operating agreements with KentuckyOne Health in November 2012 and began to realize benefits from the agreements in fiscal years 2014 and 2015. Additionally, as University of Louisville Physicians, Inc. began operating more efficiently with the merger of the 60+ faculty practice plans, the university was able to reduce outgoing support and receive academic program support from the clinical operations. Operating expenses were held relatively flat in fiscal year 2013 through fiscal year 2015 as expenses were cut to maintain break-even operations on all campuses.

## **Transfers from UofL Foundation (ULF)**

In fiscal year 2015, a change in the accounting procedures between the university and the ULF resulted in a significant increase in the transfers to the university. This change moved expenses related to gifts and endowments to the university's books from the ULF, accounting for 6.5 percent of the 10 percent increase in operating expenses in 2015.

## **Operating Expenses**

In addition to the increase in expenses related to the change in accounting of ULF transfers, increases in operating expenses from FY 2013 through FY 2015 can be attributed to a voluntary separation plan that generated expenses of \$18.0 million, expanding research infrastructure expenses of \$4.4 million, and expenses of \$8.1 million related to the academic affiliation agreement with KentuckyOne Health covering investment in certain strategic areas.

## **Change in Net Position**

The Management's Discussion and Analysis (MD&A) portion of the fiscal year 2015 consolidated annual financial report contains summarized financial data from fiscal years 2014-2015, 2013-2014, and 2012-2013, as well as variance explanations for the three years [2]. For fiscal 2015 net position increased \$12.8 million as compared to June 30, 2014. Gross tuition increased \$11.7 million, offset by scholarship discounts from the Foundation. Clinical services and practice plan revenue increased by \$24.5 million as a result of a \$10.0 million increase in Medicaid-related patient and intergovernmental transfers and due to revenue from the academic affiliation agreement with KentuckyOne Health of \$12.5 million.

The university implemented a voluntary separation incentive plan in spring 2013 resulting in \$18.0 million of additional expense during the year. However, this expense was offset with savings from redistributed employee positions in the following years. A one-time payment of \$10.0 million to exit the Big East conference also contributed to the 2013 decline in net position.

## **Gifts and Endowments**

University Advancement is the organizational unit responsible for development and fund raising for the university. It solicits, receives, and records gifts from donors. The ULF has been designated by the university to receive funds derived from gifts and other sources. The ULF is presented in the financial statements of the university as a discretely presented component unit, i.e., a separate entity not under the direct control of the university. As directed by its Board of Directors, the ULF transfers funds to the university in satisfaction of donor restrictions.

Endowment donations are invested immediately and intended to last in perpetuity. After the funds have been invested for one calendar year a portion of the income is available for use by university units based on the annual spending policy for endowments that is approved by the ULF Board of Directors. The ULF accounting department calculates the spending distribution and the amount is available to the units in July. This amount is communicated to the university and loaded into the budget system, which makes it available for spending. The university is reimbursed by the ULF as the budget is spent. Amounts that are not spent remain invested by the ULF at the end of the year. Gifts not designated for endowments are added to budgets and available for use immediately. The funds are held by the ULF for short-term investment until expended. Fundraising totals for the last three years as reported by University Advancement were \$237 million, \$234 million, and \$162 million for fiscal years 2015, 2014, and 2013 respectively. These numbers include pledges, outright gifts, matching funds, securities, gifts-in-kind, and bequests.

As of June 30, 2015 the total market value of endowment funds held at the ULF was \$796.9 million. The endowment consists of approximately 2,000 individual funds established for a variety of purposes. The endowment includes both donor-restricted endowment funds and funds designated by the board of directors to function as endowments (board-designated endowment funds). As indicated in Table 2, the annual return for the endowment fund was - 0.3 percent, 16.5 percent, and 10.8 percent in 2015, 2014 and 2013, respectively.

The ULF has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs and other purposes supported by its endowment while seeking to maintain the purchasing power of the endowment. The ULF has

a policy of appropriating for expenditure each year 5.5 percent of the endowment fund's average market value over the prior three years through the calendar year end preceding the year in which expenditure is planned. In establishing this policy, the ULF balances the long-term return on investments to determine the level of endowment expenditures required to support the university's goals and objectives. Recognizing that markets are volatile, the ULF will adjust the spending policy for a given year to mitigate adverse market performance on the level of support provided to the university. The ULF has adopted an investment objective whereby the average annual return over the long term should equal the rate of inflation (measured by the three-year moving average of the Gross Domestic Product [GDP] Deflator plus the average level of spending from the Combined Endowment Fund).

### Capital Assets/Debt

At the end of fiscal 2015, the university had outstanding \$255.9 million of bonds, leases, and notes payable (inclusive of discounts/premiums) compared to \$271.2 million and \$296.8 million in 2014 and 2013, respectively. The decreases represent normal pay down of long-term bonds and relatively small increases in capital and energy leases. Table 3 shows the long-term debt, net of discount, of the university at June 30, 2015, 2014, and 2013 (in thousands).

**Table 3. Bonds, Notes and Capital Leases (long-term debt in thousands)**

	<b>Interest Rate</b>	<b>Fiscal Year of Maturity</b>	<b>2015</b>	<b>2014</b>	<b>2013</b>
Consolidated Educational Building					
Revenue Bonds:					
Series M of 2003	1.50%	2016	\$ 1,955	\$ 4,180	\$ 8,770
Series P of 2005	3.7% to 4.0%	2025	2,605	2,815	3,020
Housing Systems Revenue Bonds:					
Series E of 2003	3.5%	2014	-	-	350
Series F of 2004	4.1% to 4.2%	2014	-	-	1,855
General Receipts Bonds:					
Series A of 2007	4.0%	2028	30,205	31,945	33,615
Series A of 2008	4.0% to 4.5%	2029	67,330	70,785	74,105
Series A of 2010	2.8% to 5.8%	2028	3,412	3,630	3,845
Series B of 2010	5.50%	2028	20,942	20,942	20,942
Series A of 2011	4.0% to 5.0%	2032	30,410	31,575	32,700
Series A of 2012	5.00%	2023	11,105	12,230	13,315
Metro Government Revenue					
Bonds:					
Series 2008 A	4.0% to 5.0%	2018	15,485	20,235	24,805
Series 2008 B	4.0% to 4.8%	2028	31,325	33,125	34,865
Notes payable	2.3% to 4.8%	2020	16,549	18,053	18,722
Energy leases	2.6% to 4.8%	2033	20,212	15,855	17,149
Capital lease obligations	2.7% to 3.7%	2020	357	1,142	3,416
Total long-term debt			251,892	266,512	291,474
Net unamortized premium			4,026	4,665	5,353
Long-term debt, net			<u>\$ 255,918</u>	<u>\$ 271,177</u>	<u>\$ 296,827</u>

The university's debt burden is very manageable, with interest expense representing less than 1.3 percent of total expenses for each of these fiscal years, as reflected in Table 4.

**Table 4. Interest Expense as a Percentage of Total Operating Expenses**

	<b>FY2013</b>	<b>FY2014</b>	<b>FY2015</b>
Operating Expenses	\$ 857,007	873,683	964,314
Interest Expense	\$ 10,996	10,939	11,136
Total Expenses	\$ 868,003	884,622	975,450
Interest % to total	1.27%	1.24%	1.14%

The university utilizes best practices in debt management through debt refinancing, defeasance, and energy leases, etc., to contain costs while at the same time maintaining a conservative posture.

Evidence of the university's financial stability is reflected in the audited financial statements for fiscal years 2015, 2014, and 2013 [3a] [3b] [3c], operating budgets for fiscal years 2015, 2014, and 2013 [4a] [4b] [4c], and bond ratings issued by Moody's and Standard and Poor's rating agencies [5a] [5b].

The university is rated Aa3 stable by Moody's and AA- by Standard and Poor's. According to Moody's, obligations rated Aa are judged to be of high quality and are subject to very low credit risk. Standard & Poor's stated in their February, 2016 Ratings Direct report: "We assessed UofL's enterprise profile as very strong, characterized by historically stable enrollment, and a good demand profile, as well as its strong research presence. We assessed UofL's financial profile as very strong, with consistent operating surpluses on a cash basis, although less consistent on a full-accrual basis, and a low pro forma maximum annual debt service (MADS) burden, offset by low available resources to debt for the rating category. Combined, we believe these credit factors lead to an indicative stand-alone credit profile of 'aa-' and a 'AA-' stable rating on the university's bonds."

## **SUMMARY**

The University of Louisville is in strong financial condition as documented by the audited financial statements, capital assets, and bond ratings. The 2015-16 audited financial statement and management letter won't be available until after the university's compliance certification report is submitted. As required, the university will submit these documents to SACSCOC as soon as they are available.

[1] Senior Vice President for Finance and Administration (SVPFA) Organizational Chart  
3\_10\_1\_fn01.pdf  
<http://louisville.edu/administration/orgchart.pdf>

[2] Management's Discussion and Analysis, Fiscal Year Ended June 30, 2015,  
3\_10\_1\_fn02.pdf

[3] Audited Financial Statements

[3a] UofL and Affiliated Corporations Audited Financial Statements, FY 2014-2015  
3\_10\_1\_fn3a.pdf

[3b] UofL and Affiliated Corporations Audited Financial Statements, FY 2013-2014  
3\_10\_1\_fn03b.pdf

[3c] UofL and Affiliated Corporations Audited Financial Statements, FY 2012-2013  
3\_10\_1\_fn03c.pdf

[4] UofL Annual Operating Budgets

[4a] UofL Annual Operating Budget FY 2014-2015  
3\_10\_1\_fn04a.pdf

[4b] UofL Annual Operating Budget FY 2013-14  
3\_10\_1\_fn04b.pdf

[4c] UofL Annual Operating Budget FY 2012-13  
3\_10\_1\_fn04c.pdf

[5] Bond Rating Reports

[5a] Moody's Ratings Report Feb 2016  
3\_10\_1\_fn05a.pdf

[5b] S&P Rating Report Feb 2016  
3\_10\_1\_fn05b.pdf

### 3.10.2

#### Financial Resources: Financial aid audits

The institution audits financial aid programs as required by federal and state regulations.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville (UofL) is in full compliance with regulations for federal and state audits required for its financial aid programs. UofL is currently authorized to participate in Title IV Federal Student Aid Programs in accordance with the federally required *Program Participation Agreement (PPA)* [1a], including the *PPA Addendum* for the Experimental Sites Initiative [1b] and *Eligibility and Certification Approval Report (ECAR)* [1c]. Recent correspondence from the U.S. Department of Education (DOE) acknowledges the approval of an addition to the PPA for an off-site program with the University of Kentucky and the UofL College of Business [1d].

The Student Financial Aid Office monitors and ensures compliance with federal and state regulations. The official policies and procedures governing student financial aid are available on the Student Financial Aid Office (SFAO) website [2]. The UofL student financial aid office disburses over \$180,000,000 dollars in federal and state aid annually [3].

UofL has consistently demonstrated the ability to use state and federal aid allocations fully, to award funds within the established rules and regulations for each program, and to be accountable for funds expended. The university participates in the federal Pell Grant, Federal Supplement Educational Opportunity Grant (FSEOG), Federal Work-Study Program (FWS), Federal Perkins Loan, and the Federal Direct Loan Program with Federal Student Aid, a branch of the U.S. Department of Education.

The state financial aid programs that the university participates in include the College Access Program (CAP) Grant, Kentucky Educational Excellence Scholarship (KEES), KHEAA Teacher Scholarship Program, Kentucky Coal Counties Scholarship, Kentucky National Guard, and Go Higher Grant. Kentucky Higher Education Assistance Authority (KHEAA) is authorized by the state of Kentucky to administer the state aid programs and to inspect school records. The last KHEAA program review was conducted in November 2002.

The university submits all federal financial aid reports in a timely fashion and receives annual allocations of Title IV Campus-Based Aid funds from the Department of Education. The Department of Education oversees the Federal Student Aid Programs to ensure they are administered properly. If it is deemed necessary, a program review is conducted to identify compliance problems and suggest corrective actions. A DOE program review covers many of the same areas as an A-133 audit but is not conducted annually. The law specifies that the Department gives priority in program reviews to schools that have a high cohort default rate or dollar volume of default, have a significant fluctuation in Pell Grant awards or Direct Loan volume that is not accounted for by changes in the programs, are reported to have deficiencies or financial aid problems by the appropriate state agency or accrediting agency, have high dropout rates, or if it is determined that the school may pose a significant risk of failing to comply with the administrative capabilities or financial responsibilities. In the last twenty years, the university has not had a full program review. A limited scope review was



completed in 2011 on the *Clery Act* regulations. The results have not been sent from the Department of Education to the university on the *Clery Act* review. The university has been told it could be five or more years before the results would be made available.

The university is on electronic transfer with the U.S. Department of Education for the receipt of federal funds and has not been obligated to post a letter of credit on behalf of the U.S. Department of Education or other financial regulatory agencies. The university has certified, in the application for Approval to Participate in the Federal Student Financial Aid Programs [4], that it is in full compliance with the program responsibilities outlined in Title IV of the 1998 and 2008 Higher Education amendments. The Secretary of Education has determined that the university satisfies the definition of an eligible institution and has established approval for institutional participation through December 31, 2016. The approval letter from the Department of Education, the Eligibility Certification Approval Report (ECAR) [5] and Program Participation Agreement (PPA) confirm the university's continuing eligibility [6].

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. For the fiscal year of 2014-2015 [7a] Crowe Horwath completed the audit of federal financial aid programs and expenditures. For fiscal years 2013-2014 [7b] and 2012-2013 [7c] the independent auditing firm of BKD, LLP completed audits of federal financial aid programs and expenditures.

For fiscal year 2012-2013, one finding was identified on the A-133 audit: "Federal regulations provide that the university is responsible for verifying adjusted gross income, U.S. income taxes paid, education credits, untaxed Individual Retirement Account distributions, untaxed pensions, individual retirement account deductions and payments, tax-exempt interest, income earned from work, household size, number in college, Supplemental Nutrition Assistance Program (SNAP), child support paid, high school completion status, student identity and statement of educational purpose information on the students' application for financial aid." It was found that the university did not update all students' aid application and award information for discrepancies between the aid applications and collect supporting documentation [8a].

As a result of the audit finding, a corrective action plan was put into place and the Student Financial Aid Office (SFAO) revamped both the 2012-2013 and the 2013-2014 verification procedures [8b] [8c]. The SFAO director responded to email correspondence from the department about the audit findings [8d]. The federal government's continued progression toward customized verification has resulted in the SFAO altering the document imaging workflow and data entry procedures. As of the 2013-2014 year, the PeopleSoft (PS) delivered financial aid verification pages, which resulted in some of the issues, are no longer being used. The student/parent data are reviewed directly on the Institutional Student Information Record (ISIR) page where the necessary verification corrections are made.

The following additional steps are now in place:

1. Retrain all staff each year on the verification form and the process for visual scanning and mark-up procedures.
2. Conduct a second review of the verification worksheets and associated ISIR corrections to ensure the error rate stays low.

For fiscal year 2013-2014, one material weakness was identified [9a]. "The University is required to submit to the Department of Education via the National Student Loan Database System (NSLDS) enrollment status changes for students that received a loan or Pell grant

and did not enroll or ceased to be enrolled on at least a half-time basis within required time frames." It was determined that the university did not notify the Department of Education regarding student enrollment changes within required time frames. Members of the Registrar's Office, the Office of Institutional Research and Planning, and the Office of Student Financial Aid determined that the schedule of enrollment reporting to the Clearinghouse must be revised to ensure students who drop to less than half-time, graduate, or withdraw are reported in time to be processed by the Clearinghouse and reported to NSLDS within 30 days. More communication between the various departments has been established to ensure that accurate, timely, and complete information is provided. In addition, in 2014-2015 the Financial Aid office developed additional reports to identify students with enrollment changes to compare with the data and correct if necessary before it is reported to NSLDS [9b].

The 2014-2015 A-133 Audit was completed with no findings [10a]. In addition to the A-133 Audit, the University Audit Services performed an internal audit of the financial aid office for fiscal year July 2011 through August 2012. The office received an excellent rating [10b].

Reviews of the annual Fiscal Operations Report and Application to Participate (FISAP) show that the reports were completed and filed within the required deadlines in accordance with federal law for reporting years: 2015-2016 [11a], 2014-2015 [11b] and 2013-2014 [11c]. The FISAP report for 2016-2017 will not be available before September 30, 2016.

## **SUMMARY**

UofL is in compliance with Comprehensive Standard 3.10.2. The university 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.

### [1] Program Participation Agreement (PPA)

[1a] Program Participation Agreement  
3\_10\_2\_fn01a.pdf

[1b] Addendum to PPA for Experimental Sites Initiative  
3\_10\_2\_fn01b.pdf

[1c] Eligibility Certification Approval Report (ECAR)  
3\_10\_2\_fn01c.pdf

[1d] Correspondence from the Department of Education to UofL  
3\_10\_2\_fn01d.pdf

### [2] Student Financial Aid Office (SFAO) Website 3\_10\_2\_fn02.pdf

### [3] Financial Aid Disbursement 2014, 2015, 2016 3\_10\_2\_fn03.pdf

[4] E-campus-based Funding  
3\_10\_2\_fn04.pdf

[5] Eligibility Certification Approval Report (ECAR)  
3\_10\_2\_fn05.pdf

[6] Program Participation Agreement (PPA)  
3\_10\_2\_fn06.pdf

[7] Financial Aid Audits

[7a] Crowe-Horwarth A-133 Audit Report for FY 2015  
3\_10\_2\_fn07a.pdf

[7b] BKD A-133 Audit Report for FY 2014  
3\_10\_2\_fn07b.pdf

[7c] BKD A-133 Audit Report for FY 2013  
3\_10\_2\_fn07c.pdf

[8] 2012-2013 Audit Findings

[8a] Response to A-133 Findings for FY 2013 (with corrected costs)  
3\_10\_2\_fn08a.pdf

[8b] Audit Action Plan Summary FY 2013  
3\_10\_2\_fn08b.pdf

[8c] Verification Audit Review FY 2013 (to correct findings)  
3\_10\_2\_fn08c.pdf

[8d] DOE correspondence to SAFO Director on Audit Finding  
3\_10\_2\_fn08d.pdf

[9] 2013-2014 Audit Findings

[9a] A-133 Audit Report Excerpt for FY 2014 (Material Weakness)  
3\_10\_2\_fn09a.pdf

[9b] SFAO Audit Response for FY 2014  
3\_10\_2\_fn09b.pdf

[10] 2014-2015 Audit Findings

[10a] A-133 Audit Report Excerpt for FY 2015  
3\_10\_2\_fn10a.pdf

[10b] UofL Audit Services Student Financial Aid Report  
3\_10\_2\_fn10b.pdf

[11] Fiscal Operation Report and Application to Participate (FISAP) Report

[11a] Fiscal Operation Report and Application to Participate (FISAP) Report 2015-2016

3\_10\_2\_fn11a.pdf

[11b] Fiscal Operation Report and Application to Participate (FISAP) Report 2014-2015

3\_10\_2\_fn11b.pdf

[11c] Fiscal Operation Report and Application to Participate (FISAP) Report 2013-2014

3\_10\_2\_fn11c.pdf

### 3.10.3

#### Financial Resources: Control of finances

The institution exercises appropriate control over all its financial resources.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

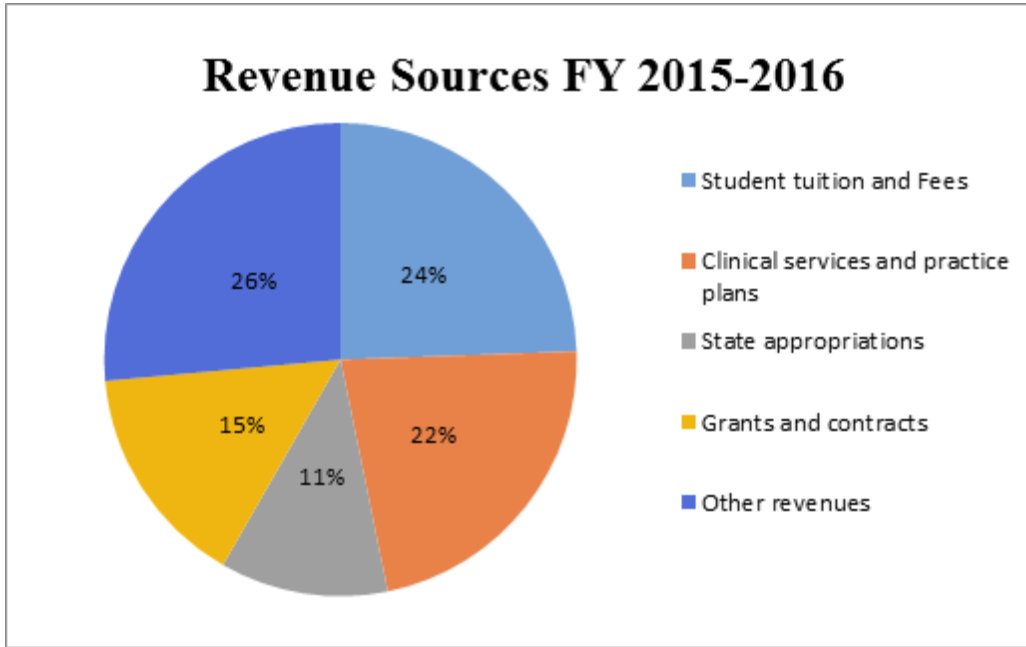
#### Narrative

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 [1]. *The Redbook* Section 2.1.2, says that the university president is the chief administrative and educational officer [2]. The president prepares annual operating budgets [3a] [3b] [3c] [3d] and recommends them to the Board of Trustees of the university after consultation with appropriate university units and their administrators. The president also recommends a biennial budget [4a] [4b] to the Kentucky Council on Postsecondary Education (CPE), with the approval of the Board of Trustees, and modifications of the budgets, as needed, to the Board of Trustees of the university. The Senior Vice President for Finance and Administration/Chief Financial Officer/Chief Operating Officer [5] reports directly to the president of the university and has oversight and managerial responsibility for all financial areas. The Executive Vice President and University Provost also reports to the president and oversees strategic planning and budgeting in addition to his academic duties [6].

#### Budget and Financial Planning

Since 1970, the university has employed some form of an incremental budgeting to develop its annual general fund operating budget. General funds include state appropriations, tuition revenue, and other funds that can be used for any unrestricted purpose. As a state institution, the university received \$139 million in net state general fund appropriations in FY 2015-16, which excluded state-funded debt service and state funds that are mandated by the state for specific purposes. Tuition revenues—the other primary component of the university's general fund—totaled \$300 million in the FY 2015-16 budget. Until FY 2008-09, the university received more of its funding from state appropriations than from student tuition. The recession of 2008 and 2009 contributed to that change as Kentucky and most other states reduced state appropriations to higher education in order to help balance their state budgets. Since that time, the university has received more of its revenues from tuition than from state appropriations. Many other public higher education institutions across the country experienced similar shifts in funding. Graph 1 shows proportion of state appropriations (11 percent) and tuition revenue (24 percent) for the university's total 2015-16 budget.

**Graph 1. Revenue Sources FY 2015-2016**



Other components of the total operating budget for the university—such as activities housed in the University of Louisville Research Foundation, University of Louisville Foundation, Inc., and the Athletic Association—are derived primarily using a “program budgeted” approach. This budgeting technique employs a projection of revenue for each activity offset by expenditures of a like amount.

An initiative currently underway is the design, development, and implementation of a new budget model for the university. The university has both a steering and working committee in place and is currently working with Huron Consulting group in a formal engagement to assist with this work [7]. The Huron Consulting Group presented an initial report in March 2016. This report provided detailed information on various budgeting models in place at various institutions. It also provided guidance on the items that must be decided on and agreed to before model development can begin. Huron’s second visit to campus was in July 2016, where they met with various campus stakeholders, steering committee, and multiple deans. The Budget Model working group has used Huron and their initial report to develop several straw man budget models. Huron’s final visit will be in September of 2016. At that time they will submit their final report, to include their recommendations on how to proceed with Model development.

The annual operating budget process begins with the initial phase of strategy development and base budget reconciliation across all university entities, including meeting with university constituencies, identifying university-wide budget issues, and determining and disseminating overall budget strategy to the university community [8]. The university’s budget development and financial planning process includes preparation and oversight of the university’s general fund, research, plant, and athletic budgets. The process includes the preparation and oversight of the budget for funds provided by UofL Foundation (ULF). The ULF has been designated by the university to receive funds derived from gifts and other sources, including funds held in trust. Funds collected by the ULF are included in the annual operating budget based on the approved spending policy. The spending policy

specifies the percentage of these gift and endowment funds that departments can use during the current fiscal year.

The final phase of the process includes preparation of unit budgets following published guidelines and procedures, balancing position-based budgets for personnel transactions, documenting revenue and expenditure projections, and solidifying budget decisions across the university. In turn, the president reviews the budget and forwards it to the university's Board of Trustees with recommendation for adoption. The Board of Trustees has final authority for approving all annual budgets.

### **Financial Systems Security and Reporting**

The university uses PeopleSoft as the enterprise financial system for general ledger, accounts payable, and procurement processing [9]. A system administrator implements the security roles approved by the functional owner of each area. Roles are designed to ensure proper segregation of duties for data entry and approval and are assigned in a manner consistent with maintaining that control. System access by central offices must be authorized by the functional owner of each area. System access by unit staff must be authorized by the primary financial officer for that unit.

Additionally, the university provides potential system users with policies relating to Information Security and Standards. Administration of the policies has been delegated to the Information Security Office, with every member of the campus community given responsibility for the security and protection of information [10]. Additional policies promulgated by the department cover standards relating to general systems usage, accounts and passwords, safety of computing devices, network service and website access, and data centers and facilities.

Policies enhancing financial control include an account reconciliation policy [11], segregation of duties policy [12], and other financial policies. University-level policies are posted to a policy library for easy access [13]. The account reconciliation policy includes a requirement to perform an analysis at the unit level of all programs with financial activity, using information provided by the enterprise financial system. The university uses the enterprise-wide financials system that is part of the Oracle PeopleSoft integrated enterprise resource planning (ERP) product group. The system includes purchasing, asset management, grants management, general ledger, sponsored programs billing, and accounts payable modules. The general ledger module is the trial balance of the university and includes all real accounts (assets, liabilities, revenue, expenses, and net assets) and nominal accounts (expenditures, revenues, and budgetary control account). The other modules maintain the functionality needed to process transactions that originate from operational areas and to post the transactions to the general ledger module. The capability to access budget and expense data is available through the financial system. Appropriate password controls have been implemented to restrict the ability to change the data and to allow access to the information necessary to monitor and reconcile financial transactions. Using the system access, the controller's office prepares quarterly and year-end financial statements in accordance with generally accepted accounting standards as set forth by the Governmental Accounting Standards Board (GASB).

### **Procurement and Expenditures**

The university follows KRS 164A.560 [14], which authorizes public institutions of higher education and their affiliated corporations to perform the functions of acquisition of funds, accounting, purchasing, and capital construction. The department of purchasing derives its

authority to sign contracts on behalf of the university from the Board of Trustees and from the Boards of the affiliated corporations, as regulated by KRS 164A.560.

The UofL Purchasing Office has the responsibility for the procurement of all goods and services and for making the final determination of source of supply. These decisions are made in conjunction with the units, as appropriate. Purchasing also serves as the exclusive channel through which all bids and quotations are handled. Units, with prior approval from purchasing, may correspond with suppliers to solicit informal prices or in cases where technical details are necessary. The university uses a three-way match process for purchases made by purchase order in the enterprise system (PeopleSoft) to ensure that all requirements are met prior to the disbursement of funds.

The university's accounts payable function is located in the controller's office. This area is the gatekeeper of the vendor database and the processor of all university payment requests. All new vendors must provide an IRS W-9 form and complete a vendor survey. All foreign vendors must complete a W-8 form and complete a vendor survey. All vendors are verified in the IRS's taxpayer identification number matching system for any sanctions that would prohibit them from participating [15]. To ensure that vendors have not been prohibited from participating in federal programs, all new vendors are checked against databases maintained by various federal agencies. Vendors are also researched to ensure that conflicts of interest that could arise from ownership by a university employee (staff, faculty, or administration) are identified and managed [16a]. Ownership by the university in a vendor doing business with the university is managed under the institutional conflict of interest policy [16b]. The vendor database is regularly reviewed for potential duplicate entries to maintain the integrity of the system and to decrease potential for fraud.

The university processes payments via Automated Clearing House/Electronic Funds Transfer (ACH/EFT), checks, and accounts payable credit cards. Check stock is stored in a secured area with limited access, and electronic signatures are not added to check stock until they are printed during a payment cycle. The university uses payee positive pay via the bank to eliminate the occurrences of check fraud. Prior to processing a vendor electronic payment, all banking information is validated to guarantee the accuracy of the information.

The Procurement Card (ProCard) is the university's credit card [17] and must be used for purchasing certain goods costing less than \$2,500 if accepted by the vendor and not restricted by ProCard policies. The cardholder, reconciler, and approver must comply with the established policies, procedures, and responsibilities [18].

### **Capital Assets**

The university utilizes the PeopleSoft Asset Management module to track movable capital assets [19]. This is done pursuant with Kentucky Revised Statute 164A.575 [20], requiring that all equipment with a value of \$5,000 or greater is inventoried annually. The university's system includes a unique asset number that associates the location, purchase price, description, serial number, and model number with each particular asset.

Every unit has a designated individual who serves as the Departmental Inventory/Capital Asset Coordinator. This coordinator is responsible for annually verifying reports of inventory located within their respective areas of responsibility. The completed reports are to be completed annually no sooner than July 1 and no later than December 15. If inventory reports are not received by the annual deadline the area will be considered noncompliant and the vice president or dean of the noncompliant unit will be required to submit a corrective action plan.



Assets no longer needed are released to Inventory Control and sent to the Surplus Property Office [21]. Surplus equipment may be claimed by any other unit on campus free of charge. Equipment that is claimed by another unit is transferred in the PeopleSoft system. Any surplus equipment not claimed is offered for sale at periodic public auctions pursuant with surplus disposal requirements in Kentucky Revised Statute 45A.425 [22] and university policy [23].

### **Accounts Receivable**

The university bills various parties for services provided, including students. The university collects tuition, lab and activity fees, and housing fees from students. Departments on the HSC campus provide services to local healthcare providers and the Dental School houses dental practices that treat patients and clients, which produces receivables for the medical and other services rendered. Promises of gifts by donors creates receivable entries. Additionally, shared activities such as hosting of conferences and other joint events can potentially generate account receivables from partner organizations. Finally, the university engages in many contractual relationships for miscellaneous goods and services and also from a grants and sponsored programs standpoint. The university has adopted a policy for managing accounts receivable [24]. Central administrative departments are responsible for monitoring receivable collections. The Bursar's Office, see below, is responsible for collecting student receivables, the Executive Vice President for Health Affairs collects receivables due for providing medical services, Sponsored Programs Financial Administration is responsible for billing and collecting amounts from sponsors, and University Advancement bills and collects pledged receivables from donors.

### **Bursar**

The Bursar's primary area of responsibility is student financial transactions. The Bursar's Office is responsible for implementing/maintaining policies and guidelines for managing all student payments, collections, disbursements, and all other related financial transactions [25]. To promote accuracy, receipting policy and procedures, and the monitoring and validating of student accounts receivable records, each of which is developed to discourage fraudulent manipulation of the accounting records, the Bursar has developed the following internal control measures:

- A report listing accounts with balances due, including the due date (an account aging), is prepared. The past due accounts are reviewed monthly.
- An employee other than the cashier handles items disputed by account holders.
- A reconciliation of individual account balances to the control balance is performed monthly.
- Receipts and invoices are pre-numbered and all numbers accounted for daily.
- Payment of credit balances and adjustments from the student's account balance are processed by an employee who does not handle cash receipts.
- Efforts are made to collect all outstanding accounts.
- Billings are made to all account holders on a systematic basis.
- Accounts receivable write-offs are reviewed by the appropriate staff members and approved by the Bursar and/or Controller's office.
- Routine collection procedures are documented and utilized for past due balances of non-enrolled students.
- Financial student records held by the Bursar are audited annually by external auditors.

## **Contract Revenue**

The university has many sources of contractual revenue, including leases, commissions, utilities, maintenance work, etc. Non-medical contracts are maintained by contract administration staff, who receive copies of the contracts and are responsible for collecting payments. Many fees are fixed per contractual agreements, while others fluctuate based on the services provided. Contract administration is responsible for invoicing the vendors and verifying the payments. Funds are deposited and reconciled in accordance with university policy. The Office for the Executive Vice President for Health Affairs performs the same activity for contracts related to the provision of medical-related activities.

## **Internal Audit**

Audit Services is the university's independent internal audit unit [26]. The office performs regular risk-based and special audits of policies, procedures, and internal controls over business processes. The activities of Audit Services are authorized in the Audit Charter [27] that has been approved by the Board of Trustees' Audit Committee. The charter is reviewed annually and revised when necessary. All changes are approved by the Audit Committee. The Audit Charter gives the audit staff full access to departments, records, faculty, and staff necessary to perform internal audits. The annual audit plan [28] is developed through an annual risk assessment that focuses on five risk areas: financial impact, strategic impact, complexity, public exposure, and regulatory exposure.

Audit Services investigates all reports received from the university's hotline and from concerned staff, faculty, and administrators that have elements of fiscal misconduct under the authority of the university's fiscal misconduct policy [29]. Reports that have no fiscal misconduct allegations are routed to and investigated by the responsible units, such as Human Resources or University Counsel. Routine audit work will frequently identify indications of fiscal misconduct. When fiscal misconduct is discovered audit reports and supporting evidence are turned over to the Department of Public Safety and the University Counsel for further legal action. Stolen assets are normally recovered through the university's insurance. If the cases are successfully prosecuted, the courts will usually require restitution. Restitution for losses not covered by insurance is received and distributed by the Department of Public Safety.

## **Risk Management**

Risk Management [30] carries out various risk management functions for the university to reduce the probability of injury to people and financial loss to the university. Risk Management administers various insurance programs for the university, including general liability insurance, property insurance, automobile insurance, professional liability, and workers' compensation. As part of Risk Management's overall goal to safeguard the resources of the university, Risk Management works with the University of Louisville Police Department, the University Counsel's Office, and numerous other university departments to evaluate potential hazards, and to determine any mitigation opportunities.

## **External Audits**

The financial records are audited annually in accordance with Generally Accepted Accounting Standards (GAAS) by Crowe Horwath, a public accounting firm. Along with auditing the financial statements of the university and its affiliates, the external auditors evaluate the internal controls over financial activities. The results of the evaluation are communicated to the university and to the Audit and Finance Committees of the Board of Trustees in the form

of a management letter [31a] [31b] [31c]. These two BOT committees approve the results of the audit and any adjustments that the university does not agree to adopt. When control issues are identified, the university administration reviews the issue and identifies the cause of the problem. Corrective action is identified and is included in the issued management letter and labeled as the "Management's Response," which is also communicated to the Board of Trustee committees.

### **Cash and Investments**

Financial control of cash assets begins with receipt of any negotiable instrument throughout the university, including cash, checks, or credit card payments. The university has delegated the responsibility of establishing cash handling procedures to the Controller. This responsibility includes enforcing these policies and procedures, requiring establishment and maintenance of appropriate records, and performing periodic audits. The Controller's Office [32] also establishes and authorizes banking accounts to be used for university finances.

Additionally, the university adheres to guidelines for cash management utilizing petty cash funds, cash advances, and prepaid cards. These guidelines provide for the appropriate establishment, use, and accountability of such funds and procedures to encourage an effective administration and internal control of cash handling operations for the university. The guidelines include procedures to determine applicability of the use of a form of petty cash, authority and responsibility, sole custody, requirement for written departmental procedures, safekeeping of funds, operating guidelines for use of funds, use of petty cash requisition form, duties of petty cash custodian, overages, and shortages, and reconciliation of funds [33].

The Bursar's office serves as the central depository for cash and checks for all departments. All departmental receipts must be maintained on an electronic cash receipt/deposit handling log to ensure that receipts constituting any negotiable instrument are accounted for in providing an audit trail to timely cash posting to the enterprise system [34] [35].

Internally managed short-term funds are those funds for which use and disbursement are anticipated to occur within one to three years. The objective is to achieve and maintain a high degree of safety and liquidity and to maximize investment income based on investment strategies for: repurchase agreements, money market funds, mutual funds, United States Treasury bills, certificates of deposits, etc. All short-term investments are subject to documented limitations. The Short-Term Investment Policy is implemented in accordance with Kentucky regulations related to type and term of instruments purchased on behalf of the university [36]. The Controller's Office is responsible for the day-to-day management of the investment of short-term funds and will report to the board on the status of the funds when requested.

### **Gifts and Endowments**

University Advancement is the university's fundraising unit. It solicits, receives, and records gifts from donors. Endowment donations are invested immediately and intended to last in perpetuity. After the funds have been invested for one calendar year a portion of the income is available for use by university units based on the annual spending policy for endowments that is approved by the UofL Foundation's (ULF) Board of Directors. The ULF Accounting Department calculates the spending policy and the amount is available to the units in July. This amount is communicated to the university and loaded into the budget system, which makes it available for spending. The university is reimbursed by the

foundation as the budget is spent. Amounts that are not spent remain invested by the foundation at the end of the year.

Amounts received as gifts that have not been designated for endowments are added to departmental operating budgets. The increased budget is available for immediate use by the designated department. Controls over endowment spending are based on the set budget determined by the university's spending policy [37]. The enterprise budget and financial system is programmed to stop any expenditure that exceeds available budget. In addition, departments have information on the allowable use of endowment income and restricted use gifts. Expenditures are subject to independent audit to ensure compliance with donor agreements. The Office of Donor Relations creates and sends approximately 800 annual stewardship reports of financial information to endowment donors [38]. This includes approximately 100 unit prepared reports containing detailed spending information.

### **Sponsored Research and Grants Management**

Extramural support assists the university in fulfilling its mission of research, teaching, and service. The University of Louisville Research Foundation (ULRF) acts as the limited agent for the university and is responsible for complying with the sponsor's terms of agreement as well as various regulatory compliance requirements. The responsibilities of principal investigators/project directors, chairs, deans, the Office of the Executive Vice President for Research and Innovation, and the Office of the Senior Vice President for Finance and Administration related to financial management of awards are provided in chapter 6 of the university's Research Handbook [39]. The research and grants management policies, procedures, and guidelines align with the regulations promulgated by the federal Office of Management and Budget (OMB). In addition, external funding is administered in compliance with the specific terms and conditions of the sponsored award and with applicable state and local laws. In FY 2014-2015, UofL had over \$179 million in research and development expenditures, including \$68 million in expenditures financed by the federal government

### **Sponsored Research and Grants - Cash Management**

Responsibility for cash management in sponsored programs is shared between the Controller's Office and Sponsored Programs Administration (SPA) in the Office for the Executive Vice President for Research and Innovation (EVPRI). The university treasurer, part of the Controller's Office, is responsible for ensuring the cash needs of the university are met. SPA coordinates with the Treasurer regarding the letter of credit drawdowns to ensure activity is compliant and cash needs for sponsored programs are met. In addition, SPA receives notification of electronic and check payments received from sponsors and is responsible for reconciling cash to the bank statement. Responsibilities are separated by job function within SPA.

Sponsored Programs Administration is responsible for ensuring sponsor awards are accurately entered into the university's enterprise system (PeopleSoft), that budgets that agree with the award are established, and that the sponsors are accurately invoiced in compliance with the terms of the awards and with federal regulations as applicable [40].

PeopleSoft is programmed to prevent invoices from exceeding the costs posted to an award during the invoiced period. The system also prevents cumulative invoices from exceeding the award amount. Federal invoices are signed by the university fiscal officer as required by regulation. Collections are monitored by sponsored program accountants weekly using a

management report [41] and the Assistant Director monitors past due accounts monthly with an aged invoice report [42].

Costs are controlled through the PeopleSoft budget check system, which prevents purchases that exceed the budgeted amount in the system. In addition, SPA accountants review expenses and remove questionable items before issuing the final financial report [43]. A monitor in the Office of the EVPRI reviews the expenses posted to large or complex federal projects to ensure compliance with federal regulations.

### **Other Financial Resources**

The Health Sciences Center signed several agreements with KentuckyOne Health, including an Academic Affiliation Agreement, Lease Agreement, and Joint Operating Agreement in November 2012. Clinical revenues increased in FY 2014 and FY 2015 due to support received from KentuckyOne Health and University of Louisville Physician's Inc. During FY 2012, and continuing into FY 2013, the Health Science Center transitioned the 60 plus private physician practices into one umbrella organization, University of Louisville Physicians, Inc. The practice plans are required to transfer a portion of the profit to the University of Louisville Research Foundation, Inc. to support the academic mission of the School of Medicine. The consolidation into the University of Louisville Physicians, Inc. was initiated to allow the clinical practice plans to gain efficiencies from standardized billing, collection, and purchasing offices [44].

### **Instances of Fiscal Misconduct**

Between 2008 and 2015, UofL detected seven instances of fiscal misconduct that involved university employees. These occurrences were each uniquely different and were discovered in differing ways. Each occurrence was investigated by the university and reported to the appropriate external investigative authorities. The university investigations included validation of amounts involved and identification of the internal control breakdowns that allowed the misconduct to occur [45].

These instances of fiscal misconduct were primarily the result of inadequate financial controls and financial managers failing to verify work product and not complying with existing university policies and procedures. After each occurrence, the university began immediate corrective action to address internal control issues. These corrective actions were subsequently verified by the university's internal Audit Services staff.

In addition, the President formally informed the Board of Trustees after each occurrence. In 2014, the Board of Trustees Audit Committee took action to engage with an external audit firm to review the entire internal financial control environment. A formal Request for Proposal (RFP) process was completed and Strothman + Co was chosen to perform the work for the Board. The Strothman project resulted in seventeen recommendations, of which the university concurred with sixteen. Each of these recommendations required action by the university [46]. A plan to operationalize the recommendations is in process, and many of the recommendations and associated action plans have already been implemented [47]. The university and individual units, have strengthened policies over accounts receivable and cash handling; conducted training in fraud awareness, the fiscal misconduct policy, and the compliance hotline. A summary of university actions taken to address the consultant recommendations is provided [48].

Under the direction of the SVPFA, the operating and management of the university is undergoing significant reorganization.

## SUMMARY

Over the last four years, the university has strengthened its internal financial controls through redesigning many of its business policies and processes. Additionally, the university has improved system automation to include advanced electronic workflow and systematic edits. 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.

[1] *Redbook* 1.1.1, Board Adopts Annual Budget  
3\_10\_3\_fn01.pdf  
<http://louisville.edu/provost/redbook/chap1.html#SEC1.1.1>

[2] *Redbook* 2.1.2, Powers and Duties of the President  
3\_10\_3\_fn02.pdf  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.1.2>

[3] Annual Operating Budget

[3a] 2012-13 Operating Budget  
3\_10\_3\_fn03a.pdf

[3b] 2013-2014 Operating Budget  
3\_10\_3\_fn03b.pdf  
<http://louisville.edu/provost/budget/opuds/1314>

[3c] 2014-2015 Operating Budget  
3\_10\_3\_fn03c.pdf  
<http://louisville.edu/provost/budget/opuds/1415>

[3d] 2015-2016 Operating Budget  
3\_10\_3\_fn03d.pdf  
<http://louisville.edu/provost/budget/opuds/1516>

[4] UofL Biennial Budget Request to the State

[4a] State Budget Request 2014-16  
3\_10\_3\_fn04a.pdf

[4b] State Budget Request 2016-18  
3\_10\_3\_fn04b.pdf

[5] Senior Vice President for Finance and Administration  
3\_10\_3\_fn05.pdf  
<http://louisville.edu/financeandadministration/about>

[6] Executive Vice President and University Provost  
3\_10\_3\_fn06.pdf  
<http://louisville.edu/provost/planning/implementation-process>

[7] Huron Advisory Committee Report 7-20-2016  
3\_10\_3\_fn07.pdf

[8] Input into Budget Planning, Page 10 of 2016 Operating Budget  
3\_10\_3\_fn08.pdf  
<http://louisville.edu/provost/budget/opuds/1516/opbudbook1516.pdf>

[9] PeopleSoft Components and Reporting Lines  
3\_10\_3\_fn09.pdf

[10] Information Security Responsibility  
3\_10\_3\_fn10.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Information%20Technology/Information%20Security%20Responsibility.aspx>

[11] Account Reconciliations Policy/Procedure  
3\_10\_3\_fn11.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Account%20Reconciliations.aspx>

[12] Segregation of Duties Policy  
3\_10\_3\_fn12.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Segregation%20of%20Duties.aspx>

[13] Policy Library—Finance  
3\_10\_3\_fn13.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Forms/finance.aspx>

[14] KRS - Chapter 164A.560, Purchasing  
3\_10\_3\_fn14.pdf

[15] Sanction Checks Policy  
3\_10\_3\_fn15.pdf

[16] Conflict of Interest

[16a] COI Management Process Chart  
3\_10\_3\_fn16a.pdf  
<http://louisville.edu/conflictinterest/FAQs>

[16b] Addressing Potential Institutional Conflict of Interest Policy and Procedures  
3\_10\_3\_fn16b.pdf  
<http://louisville.edu/conflictinterest/policies>

[17] Procurement Card  
3\_10\_3\_fn17.pdf  
<http://louisville.edu/procard>

[18] Procurement Guidelines  
3\_10\_3\_fn18.pdf  
<http://louisville.edu/purchasing/procure-to-pay-guidelines/procure-to-pay-grid>

[19] PeopleSoft Asset Management Guidelines  
3\_10\_3\_fn19.pdf  
<http://louisville.edu/surplus/assetmanagement>

[20] KRS.164A.575  
3\_10\_3\_fn20.pdf

[21] Surplus Property Office  
3\_10\_3\_fn21.pdf  
<http://louisville.edu/surplus/policies/surplus>

[22] KRS.45A.425  
3\_10\_3\_fn22.pdf

[23] Disposal of Surplus Personal Property Policy  
3\_10\_3\_fn23.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Business%20Services/Disposal%20of%20Surplus%20Personal%20Property.aspx>

[24] Accounts Receivable  
3\_10\_3\_fn24.pdf

[25] Bursar's Office  
3\_10\_3\_fn25.pdf  
<http://louisville.edu/finance/bursar>

[26] Audit Services  
3\_10\_3\_fn26.pdf  
<http://louisville.edu/audit>

[27] UofL Audit Services Charter (As of July 1, 2013)  
3\_10\_3\_fn27.pdf  
<http://louisville.edu/audit/website-pdf-files/audit-services-charter>

[28] FY16 Audit Plan 4-14-2016  
3\_10\_3\_fn28.pdf

[29] Fiscal Misconduct Policy  
3\_10\_3\_fn29.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Administration/Fiscal%20Misconduct.aspx>

[30] Risk Management  
3\_10\_3\_fn30.pdf  
<http://louisville.edu/riskmanagement>

[31] Management Letters

[31a] 2014-2015 Management Letter  
3\_10\_3\_fn31a.pdf

[31b] 2013-2014 Management Letter  
3\_10\_3\_fn31b.pdf



[31c] 2012-2013 Management Letter  
3\_10\_3\_fn31c.pdf

[32] Controller's Office  
3\_10\_3\_fn32.pdf  
<http://louisville.edu/finance/controller/>

[33] Petty Cash Funds Policy  
3\_10\_3\_fn33.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Petty%20Cash%20Funds.aspx>

[34] Department Cash Controls Policy  
3\_10\_3\_fn34.pdf  
<http://louisville.edu/bursar/staffinfo/cashcontrolspolicy>

[35] Cash Receipt/Deposit Handling Log Policy  
3\_10\_3\_fn35.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Cash%20Receipt%20-%20Deposit%20Handling.aspx>

[36] Short Term Investments Guidelines  
3\_10\_3\_fn36.pdf  
<http://louisville.edu/finance/controller/treasurymgmt/shortterminvestment>

[37] 2014-2015 Endowment Spending Policy  
3\_10\_3\_fn37.pdf

[38] Annual Stewardship Report to Endowment Donors  
3\_10\_3\_fn38.pdf

[39] U of L Research Handbook, Chapter 6  
3\_10\_3\_fn39.pdf  
<https://louisville.edu/research/support/research-handbook/chapter-six-financial-management-of-awards>

[40] Example—Invoice for a Sponsored Program  
3\_10\_3\_fn40.pdf

[41] Weekly Management Report  
3\_10\_3\_fn41.pdf

[42] Account Receivables Aging Report  
3\_10\_3\_fn42.pdf

[43] Example—Final Financial Report (FFR)  
3\_10\_3\_fn43.pdf

[44] UofL Physicians (ULP)  
3\_10\_3\_fn44.pdf  
<http://www.uoflphysicians.com/>

[45] Instances of Fiscal Misconduct 2008-2015  
3\_10\_3\_fn45.pdf

[46] Strothman + Co., LLC Report  
3\_10\_3\_fn46.pdf

[47] Strothman Report Recommendations 5-13-15  
3\_10\_3\_fn47.pdf

[48] Summary of Strothman Recommendations  
3\_10\_3\_fn48.pdf

### 3.10.4

#### Financial Resources: Control of sponsored research/external funds

The institution maintains financial control over externally funded or sponsored research and programs.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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 [1]. UofL maintains detailed policies, procedures, and guidelines in the university's financial policy library [2] and in the UofL *Research Handbook* [3] for the administrative and financial management of externally funded and sponsored research programs. These policies, procedures, and guidelines align with the regulations promulgated by the OMB. In addition, external funding is administered in compliance with the specific terms and conditions of the sponsored award and with applicable state and local laws. In FY 2014-2015, UofL had over \$179 million in research and development expenditures, including \$68 million in expenditures financed by the federal government [4].

#### UofL Research Foundation (ULRF)

The University of Louisville Research Foundation (ULRF) is a non-profit corporation affiliated with the University of Louisville. The Research Foundation was established in 1989 for the purpose of promoting and supporting research projects, investigations, clinical operations, and other activities relating to the educational, scientific, literary, health care, and public service missions of the university. ULRF has three primary sources of revenues: 1) clinical services; 2) sponsored agreements; and 3) facilities and administrative (F&A) cost recoveries.

ULRF is directed and supervised through common management with the university. The university's president serves as President of the Research Foundation. All university trustees, together with the university's president, chief business officer, chief financial officer, chief academic officer, and chief research officer, comprise the Research Foundation's Board of Directors. The Executive Vice President for Research and Innovation (EVPRI) is responsible for developing the institutional research policies and procedures and coordinating and providing oversight of research, scholarship, and creative activity at the university [5].

#### Clinical Services

Of the \$462.2 million total Research Foundation budget for fiscal year (FY) 2015-2016, clinical services revenues total \$274.5 million, or fifty-eight percent. Clinical services revenues come from patient care and laboratories, including primary care, radiology, oncology, neonatal care, and cardiology. Clinical services revenues also include financial support from affiliated hospitals for clinical services, academic programs, and house staff (interns and residents). Table 1 shows the clinical total by unit.

**Table 1. Clinical Total by Unit**

<b>Clinical Total by Unit</b>	<b>Amount (\$)</b>	<b>Percent to Total</b>	<b>Number of Programs</b>
School of Medicine	244,851,433	89.2%	266
School of Dentistry	18,555,255	6.8%	29
School of Nursing	818,309	0.3%	2
Executive Vice President for Health Affairs	10,309,003	3.7%	16
<b>Total</b>	<b>274,534,000</b>	<b>100.0%</b>	<b>313</b>

Sponsored Agreements

Revenues from sponsored agreements (which are also referred to as grants and contracts) come from awards by government, for profit, and nonprofit entities to UofL faculty and researchers. For example, the National Institutes of Health recently awarded the university a \$3 million grant to help speed the commercialization of discoveries by UofL researchers. Grants and contracts are the second largest component of the ULRF budget, totaling \$164.6 million in FY 2015-16.

**Table 2. UofL Research Foundation Revenues by Source**

<b>University of Louisville Research Foundation, Inc. (Affiliated)</b>	<b>FY 2016 Budget</b>	<b>Percent of Total</b>
Clinical Operations	274,534,000	<b>59.4%</b>
Sponsored Agreements - Direct	164,617,000	<b>35.6%</b>
Sponsored Agreements - F&A	23,000,000	<b>5.0%</b>
<b>Total ULRF</b>	<b>462,151,000</b>	<b>100.0%</b>

Facilities and Administrative (F&A) Cost Recoveries

All grants and contracts allow for the recovery of central administrative and infrastructure costs associated with supporting faculty, researchers, and staff funded by the grants and contracts. The university's Facilities and Administrative cost recovery rate, or F&A rate, was 53 percent for FY 16. The F&A cost recoveries budgeted for FY 2016 was \$23 million. The university's negotiated agreement with the federal government for the F&A rate will increase to 54 percent for FY 2016-17.

**Financial Control**

The university has a comprehensive system of pre- and post-award management practices that promote and ensure compliance with the terms, conditions, and regulations that govern sponsored research and programs. This fully integrated system of pre- and post-award management is overseen by and reports to the Executive Vice President for Research and Innovation (EVPRI). The EVPRI publishes guidelines for the use of sponsored research funds

in the university's *Research Handbook* [6]. Chapter 1 of the *Research Handbook* outlines the roles and responsibilities for research, including those of the Principal Investigator, who is responsible for approving expenditures on sponsored research programs and ensuring that expenditures are reasonable, allocable, allowable, and consistent with sponsor and university policy [7]. The post-award management team under the EVPRI works with the university's Principal Investigator and others throughout the life of the sponsored award to ensure fiscal compliance.

Responsibility for pre-award administration at the university is distributed by sponsor type to three interconnected divisions under the EVPRI [8]:

- The Office of Sponsored Programs Administration (OSPA), Grants Division is responsible for the pre-award administration of projects and programs sponsored by governmental (federal, state, local) and private nonprofit entities.
- The Clinical Contracts Division is responsible for the pre-award administration of clinical research/trials sponsored by for-profit entities.
- The Office of Industry Engagement is responsible for the pre-award administration of nonclinical research projects and programs sponsored by for-profit entities. Each pre-award division has a team of professionals with expertise in administering agreements with the respective sponsor type.

The Senior Vice President for Finance and Administration (CFO/COO) is responsible for development and administration of university-wide financial policies and procedures, including those impacting externally funded and sponsored research programs. Important financial policies impacting sponsored research include policies on account reconciliation, payroll and expense transfers, and institutional base salary [9] [10] [11].

### **Pre-Award Administration and Control**

Pre-award administration of sponsored activities [12] includes the following:

- administrative and budgetary review and submission of research proposals to sponsors;
- review and negotiation of agreements to ensure conformance with federal, state, and local laws and with the policies of the university;
- review and application of appropriate indirect (facilities and administrative [F&A]) costs. Indirect costs are those costs incurred for a common or joint purpose benefitting more than one cost objective and are governed by a rate agreement with the U.S. Department of Health and Human Services [13];
- establishment of sponsored project accounts in the university's financial management system;
- non-fiscal post-award management of sponsored awards.

### **Post-Award Administration and Control**

Post-award administration of sponsored activities includes the following:

- oversight of expenditures to ensure that they are in compliance with applicable regulations, sponsor terms and conditions, and university policy;
- billing, recording, and collection of sponsored program revenues;
- preparation and timely submission of interim and final financial reports;
- coordination of personnel effort reporting in compliance with federal regulations.

Policies and guidelines governing the financial management of sponsored funds can be found in chapter 6 of the university's *Research Handbook* [14].

Responsibility for financial post-award administration resides with the OSPA, Finance Division, which includes a team of professionals with expertise in the financial accounting of sponsored research projects and programs. The OSPA, Finance Division works closely with each pre-award division, with the Controller's Office (under the Senior Vice President for Finance and Administration), and with the university's principal investigator throughout the life of the sponsored award to ensure financial control and fiscal compliance [15]. The pre-award and post-award divisions communicate with the principal investigator throughout the award period to collaborate and ensure that all appropriate reports (e.g., financial, invention, and equipment reports) are filed in a timely manner as required by the sponsor [16].

### **Cash Management**

Responsibility for cash management in sponsored research programs is shared between the Controller's Office and OSPA, Finance Division. The university Treasurer, part of the Controller's Office, is responsible for ensuring that the cash needs of the university are met. OSPA coordinates with the Treasurer regarding the letter of credit drawdowns to ensure activity is compliant and cash needs for sponsored programs are met. In addition, OSPA receives notification of electronic and check payments received from sponsors and is responsible for reconciling cash to the bank statement. Responsibilities are separated by job function within OSPA.

The Office of Sponsored Programs Administration is responsible for ensuring that sponsored awards are accurately entered into the university's enterprise system (PeopleSoft), budgets that agree with the award are established, and sponsors are accurately invoiced in compliance with the terms of the award and with federal regulations when applicable [17].

Most awards are cost reimbursable. PeopleSoft is programed to prevent invoices from exceeding the costs posted to an award during the invoiced period. The system also prevents cumulative invoices from exceeding the award amount. Federal invoices are signed by the university Fiscal Officer as required by regulation. Collections are monitored by sponsored program accountants weekly using a management report and the Assistant Director monitors past due accounts monthly with an aged invoice report [18].

Costs are controlled through the budget check system, which prevents purchases that exceed the award amount as entered in the system. In addition, OSPA accountants review expenses posted to the award prior to the final financial report [19] and will remove any questionable items. A monitor in the Office of the EVPRI reviews the expenses posted to large or complex federal projects to ensure compliance with federal regulations.

### **Additional Financial Functions Impacting Externally Funded/Sponsored Research Programs**

The Senior Vice President for Finance and Administration (CFO/COO) is responsible for the management of the university's budget, accounting, treasury, and financial reporting functions [20]. With respect to externally funded or sponsored research and programs, the offices under the CFO/COO hold the primary responsibility for the following:

- Development and administration of university-wide financial policies and procedures, including, but not limited to, financial systems and internal controls, treasury operations, purchasing, asset management, and approved service centers [21].
- Development and negotiation of the university's facilities and administrative (F&A) cost proposal as specified by the Department of Health and Human Services, the university's cognizant agency. The F&A cost proposal is prepared by the university in compliance with the cost pooling and allocation method as prescribed by the Uniform Guidance.
- Development and maintenance of a current disclosure statement (DS-2), which describes the university's cost accounting practices [22]. In accordance with the Uniform Guidance, the OMB requires institutions of higher education that receive aggregate federal awards totaling \$50 million or more to disclose cost accounting practices by filing a DS-2. An approved DS-2 signifies that the disclosed accounting practices are compliant with federal cost-accounting principles. UofL maintains cost-accounting practices in accordance with those disclosed in the DS-2 approved on September 8, 2005 and therefore is in compliance with the Uniform Guidance.
- Preparation of financial statements in conformity with governmental accounting standards. Annually an independent certified public accounting firm performs an audit in accordance with generally accepted auditing standards.
- Preparation and filing of an annual Schedule of Expenditures of Federal Awards (SEFA) in accordance with government auditing standards and as required by the Uniform Guidance.

UofL engages an independent external auditor to perform an annual audit of the SEFA. See UofL's single audits for FY 12 through FY 15 fiscal years [23a] [23b] [23c] [23d]. All findings identified in these reports have been resolved in a timely manner through corrective action plans that were implemented as confirmed and disclosed in the subsequent year. There were no *research* audit findings in FY14 or FY15 to address. The management letters from each audit of federal awards summarizes any findings and responses to the findings or corrective actions taken for FY12 through FY 15 [24a] [24b] [24c] [24d].

### **Office of Inspector General (OIG) Audits**

The university has participated in two audits conducted by the OIG. The OIG is a unit of the U.S. Department of Health and Human Services (DHHS). In 2004, the university received a grant for a \$7.3 million federal award to perform research under a proposal entitled "Nanowire Technology for Missile Defense." The project ended on June 30, 2009. The Office of Naval Research requested the OIG audit, which was completed between May 2012 and June 2013. The auditors initially recommended disallowance of \$1.5 million in costs claimed by the university through the UofL Research Foundation (ULRF). The ULRF appealed the government's decision to the Armed Services Board of Contracts Appeals and the matter was settled at a cost to the ULRF of \$360,000 [25].

In March 2013 the university president received a letter of engagement from the OIG notifying UofL of an audit of all DHHS awards [26]. The University of Louisville received \$114 million from the Department of Health and Human Services over a 2-year period from October 1, 2010, ending September 30, 2012. Their objective was to determine whether the university claimed selected costs charged directly to DHHS awards in accordance with federal regulations and applicable guidelines. The audit review was completed between April 2013 and November 2015. OIG has prepared a draft audit report to which the university has responded and is awaiting a response from the OIG.

Lessons learned from the recent audits are reflected in new measures implemented to better communicate the rules and monitor research administration activities. Since 2012, the EVPRI has implemented eleven new processes or actions designed to improve oversight of the university's research functions [27].

## SUMMARY

The primary responsibility for research administration lies with the Executive Vice President for Research and Innovation (EVPRI). The EVPRI works with the Senior Vice President for Finance and Administration to manage all financial transactions. These administrative units have the infrastructure necessary to support the university's successful sponsored research efforts and the work of the UofL Research Foundation. UofL maintains detailed policies, procedures, and guidelines in the university's financial policy library and in the UofL *Research Handbook* for the administrative and financial management of externally funded and sponsored research programs.

[1] Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)

3\_10\_4\_fn01.pdf

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

[2] Financial Policy Library

3\_10\_4\_fn02.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Forms/finance.aspx?RootFolder=%2fsites%2fpolicies%2flibrary%2fSitePages%2fFinance>

[3] *Research Handbook*

3\_10\_4\_fn03.pdf

<https://louisville.edu/research/support/research-handbook/toc>

[4] Fiscal Years 2011 through 2015 R&D Expenditures by Source of Funds

3\_10\_4\_fn04.pdf

[5] Executive Vice President for Research and Innovation, William M. Pierce, Ph.D., Curriculum Vitae

3\_10\_4\_fn05.pdf

<https://louisville.edu/research/about/william-m.-pierce-jr.-cv/>

[6] *Research Handbook*

3\_10\_4\_fn06.pdf

<https://louisville.edu/research/support/research-handbook/toc>

[7] *Research Handbook*, Chapter One: General Information

3\_10\_4\_fn07.pdf

<https://louisville.edu/research/support/research-handbook/chapter-one-general-information>

[8] Executive Vice President for Research and Innovation Organizational Chart

3\_10\_4\_fn08.pdf

<https://louisville.edu/research/about/evpri-organizational-chart/>



- [9] Account Reconciliation Policy  
3\_10\_4\_fn09.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Account%20Reconciliations.aspx>
- [10] Payroll and Other Expense Transfers Policy  
3\_10\_4\_fn10.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Finance/Payroll%20and%20Other%20Expense%20Transfers.aspx>
- [11] Institutional Base Salary Policy  
3\_10\_4\_fn11.pdf
- [12] Definition of Sponsored Activities  
3\_10\_4\_fn12.pdf  
<https://louisville.edu/research/spa/policies/definition-sponsoredactivities>
- [13] Facilities and Administrative (F&A) Rate Agreement  
3\_10\_4\_fn13.pdf  
<http://louisville.edu/research/common/fa-rate-agreement>
- [14] *Research Handbook*, Chapter Six: Financial Management of Awards  
3\_10\_4\_fn14.pdf  
<https://louisville.edu/research/support/research-handbook/chapter-six-financial-management-of-awards>
- [15] SPA Reporting Initiative  
3\_10\_4\_fn15.pdf
- [16] Compliance Reporting Control – Email Milestones  
3\_10\_4\_fn16.pdf
- [17] Example— ULRF Sponsored Programs Financial Administration Invoice  
3\_10\_4\_fn17.pdf
- [18] Example Aged Invoice Report  
3\_10\_4\_fn18.pdf
- [19] Example Final Financial Report  
3\_10\_4\_fn19.pdf
- [20] Senior Vice President for Finance and Administration Website  
3\_10\_4\_fn20.pdf  
<http://louisville.edu/financeandadministration/>
- [21] Service Center Policy  
3\_10\_4\_fn21.pdf
- [22] Cost Accounting Standards Board Disclosure Statement (DS-2)  
3\_10\_4\_fn22.pdf
- [23] Audit Reports and Schedule of Expenditures of Federal Awards

[23a] Single Audit Reports and the Schedule of Expenditures of Federal Awards for the Year Ended June 30, 2012  
3\_10\_4\_fn23a.pdf

[23b] Single Audit Reports and the Schedule of Expenditures of Federal Awards for the Year Ended June 30, 2013  
3\_10\_4\_fn23b.pdf  
<http://louisville.edu/finance/controller/univacct/finst/ula1332013>

[23c] Single Audit Reports and the Schedule of Expenditures of Federal Awards for the Year Ended June 30, 2014  
3\_10\_4\_fn23c.pdf  
<http://louisville.edu/finance/controller/univacct/finst/ula1332014>

[23d] Single Audit Reports and the Schedule of Expenditures of Federal Awards for the Year Ended June 30, 2015  
3\_10\_4\_fn23d.pdf  
<http://louisville.edu/finance/controller/univacct/finst/ula1332015>

[24] Audit Reports and Schedule of Expenditures of Federal Awards – Management Letters

[24a] FY 2012 Single Audit Reports and the Schedule of Expenditures of Federal Awards – Management Letter  
3\_10\_4\_fn24a.pdf

[24b] FY 2013 Single Audit Reports and the Schedule of Expenditures of Federal Awards – Management Letter  
3\_10\_4\_fn24b.pdf

[24c] FY 2014 Single Audit Reports and the Schedule of Expenditures of Federal Awards – Management Letter  
3\_10\_4\_fn24c.pdf

[24d] FY 2015 Single Audit Reports and the Schedule of Expenditures of Federal Awards – Management Letter  
3\_10\_4\_fn24d.pdf

[25] ULRF Settlement Agreement with the Office of Naval Research  
3\_10\_4\_fn25.pdf

[26] OIG Letter of Engagement for Audit of DHHS Research Grants  
3\_10\_4\_fn26.pdf

[27] Changes and Enhancements in the Management of Federal Awards at UofL Since September 30, 2012  
3\_10\_4\_fn27.pdf

### 3.11.1

#### **Physical Resources: Control of physical resources**

The institution exercises appropriate control over all its physical resources.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **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.

UofL is a publicly funded institution of higher education and consequently falls under the fiduciary control of the Commonwealth of Kentucky. As such, the university is held accountable to the Commonwealth on all matters, including those related to physical resources.

The Senior Vice President for Finance and Administration and Chief Operating Officer (CFO/COO) is responsible for the financial and physical resources operations, and reports directly to the university president [1]. The CFO/COO has recently implemented organizational changes that consolidate the departments of Physical Plant; University Planning, Design and Construction; and Environmental Health and Safety under the umbrella of Facilities Management. A new Associate Vice President for Facilities Management has been hired to lead these units going forward. The units reporting to this position control the operation and maintenance of all university physical resources to ensure that the needs of institutional programs, support services, and mission-related activities are met.

#### **Physical Plant**

The university employs over 400 skilled trade and maintenance staff in the Physical Plant organized by functional area [2] for the following types of regular operations: carpentry, painting, flooring, renovations, masonry, roofing, locksmith, HVAC (heating, ventilation, and air conditioning), steam and chilled water generation and distribution, data center cooling systems, ultralow temperature research refrigeration systems, building automation and energy management systems, laboratory pressurization and containment systems, power distribution systems, emergency generators, high efficiency indoor and outdoor lighting systems, facility access control systems, fire alarm and sprinkler systems, elevator maintenance, plumbing, high purity research water systems, general building maintenance, grounds and landscaping services, parking lot maintenance and snow removal, waste collection and removal activities, moving furniture and equipment, surplus collection and recycling, special events setup, housekeeping services, and physical plant engineering and administrative support.

Physical Plant has a process by which it ensures the hiring of qualified staff based upon the university's employment processes. Outsourced services such as architectural and engineering design, maintenance contracting, and construction contracting are sometimes needed to properly meet the needs of the growing and changing campuses. These services

are procured by the Office of Contracting and Procurement Services (CAPS) and are managed by the department of facilities management.

In 2007 the Commonwealth of Kentucky procured the firm of Vanderweil Facility Advisors, Inc. (VFA) [3] to assess the conditions of state public university buildings. The condition assessment study covered 79 percent of UofL buildings and 57 percent of gross square footage [4]. The study determined that the Facility Condition Index (FCI) was 31 percent as compared to the target national benchmark FCI of 18 percent. FCI is defined as capital renewal cost over replacement cost. The information in the VFA report is used to determine priorities for capital renewal, deferred maintenance, and renovation projects.

In fiscal year 2014-2015, Physical Plant completed 21,523 corrective work orders and 22,515 preventative maintenance work orders for a total of 44,038 work orders to maintain university facilities. Routine work orders and preventative maintenance are accomplished through a prescriptive use of a work order management system (Maximo). Each weekly, monthly, quarterly, and annual preventative maintenance work order describes maintenance items that must be accomplished to keep equipment in good working order and fulfill code-required life safety inspections and testing. Work orders are received from campus departments via Maximo online request, phone, email, or facsimile.

The Maximo work order management system provides an opportunity to obtain customer service feedback through surveys. When Physical Plant completes a renovation project in excess of \$100,000, a close-out meeting is scheduled with University Planning, Design and Construction (UPDC) and the project stakeholders to complete a post mortem [5]. The stakeholders are also asked to complete a questionnaire to evaluate the project [6]. The document includes questions about the project schedule, quality, and budget. The results of the surveys are reported to the Physical Plant business office and are discussed with supervisors and staff at various departmental meetings.

### **University Planning, Design and Construction**

UofL has adopted administrative regulations regarding capital construction that allow for the implementation of Kentucky House Bill 622, referred to as the University Management Bill [7]. The bill delegates authority from the Commonwealth to the university for the management of its own capital projects. UPDC is charged with capital construction oversight and management. The UPDC staff all have specific qualifications that allow them to support or provide design and construction oversight [8].

UPDC follows the university's capital construction policies and procedures [9] as it carries out capital improvements. UPDC also works closely with the Office of Contracting and Procurement Services (CAPS) to ensure compliance with state procurement codes related to contracting with professional design consultants, vendors, and construction firms for university capital improvements.

Historically the university has used the building inventory network (BIN) system to track and monitor its physical facilities but has recently completed a migration to ARCHIBUS software (already in use on the Health Sciences Campus) to track and report this data [10]. The university has implemented three modules: space management and planning, leased property reporting and management, and clean building. The new ARCHIBUS software enhances the university's ability to track and report space by linking space database information (including buildings, rooms, and land holdings) to AutoCAD record drawings. The added features of the new software enhance preparation and accuracy of space information for annual and periodic reporting to the Kentucky Council on Postsecondary

Education (CPE), Kentucky Division of Real Properties, National Science Foundation (NSF), and other executive agencies of state and federal governments. The completed building, room, and land files are submitted once a year to CPE and to state government and include additions, deletions, or other changes since the previous submission. The system also facilitates the university's space management and reporting needs internally.

As the final step of the three-year process of transitioning to the ARCHIBUS software program, the university recently completed a verification of the system's data files by a comprehensive field survey and verification of space assignment and use with the appropriate academic and administrative units. The data collected was used to update the university's data prior to making the system fully operational. The data will be maintained to reflect the most accurate information available.

The building, room, and land record files are updated regularly and reflect the status of the inventory as of the most current fall semester. The completed building, room, and land files are submitted once a year to state government and include additions, deletions, or other changes since the previous submission.

Each building file contains the following information: institution ID number, campus ID number, building number, building name, ownership code, construction year, acquisition year, original cost, estimated building replacement cost, net assignable square feet, gross square feet, major renovation year, major renovation cost, reconstruction year, reconstruction cost, date of inventory, date the record was updated, building condition, and department occupying the space.

The room file contains the following information: institution ID number, campus ID number, building number, room number and suffix, space assignment category, room square feet, room use, student station type, actual number of stations for rooms, date of inventory, and date the room record was updated.

The land file contains the following information: institution ID number, name of property, city in which the property is located, ownership code, date of inventory, campus ID number, number of acres, the county in which the property is located, and the date the record was last updated.

Physical Plant generally performs renovations under \$200,000 and UPDC manages the larger projects. Renovations are performed when units have a need and available funding or when university administration has prioritized and funded the improvements. The capital renewal list compiled by the Physical Plant is reviewed by the senior leadership team, and priorities are set based on the annual university operating budget of \$1 million specifically set aside for deferred maintenance projects [11]. Other capital renewal and renovation projects are also funded by a distribution of year-end surplus funds.

Over the course of a five-year cycle (2010-2015), the university has spent \$121,640,873 on deferred maintenance, resulting in an average annual expenditure of \$24,640,873. The university has been able to accommodate a significant amount of capital renewal needs through the budgeted use of energy savings performance contracts (ESPC), insurance proceeds for natural disasters, and renovation projects funded by university departments. With a replacement value of \$2,703,776,768 for facilities at UofL, this deferred maintenance expenditure represents 9.11 percent of the replacement value. The National Association of College and University Business Officers/Association of Physical Plant Administrators (NACUBO/APPA) standards recommend capital renewal investments in the amount of 1.5 percent to 3.0 percent of the replacement value depending on building type. The

University's Strategic Planning Scorecard [12] has a goal of budgeting 2.0 percent of replacement value of facilities for capital renewal by 2020.

The university prioritizes capital equipment and maintenance needs, and the critical ones are addressed first. Through the capital planning and budget request process, the university consistently requests additional funding from the Commonwealth of Kentucky to cover the deferred maintenance shortfall. The annual Physical Plant budget for all the main and extended campus buildings and grounds is \$27,829,000, which includes labor costs. Utility costs were \$20,466,000 for FY 2016. These operational and maintenance expenditures have helped to ensure that the campus facilities are continually being maintained and improved in order to remain in good condition.

### **Contract Administration and Procurement Services**

The Office of Contracting and Procurement Services (CAPS) is charged with ensuring compliance with the Kentucky Model Procurement Code [13] for the purchase of resources, personal services contracting, and construction contracting. The procurement of supplies, equipment, services, and construction, as well as managing the central receiving, stockroom, inventory control, and surplus property, is coordinated by the Purchasing Department, which also handles bids and quotations for university projects [14].

The Office of Inventory Control/Surplus Property (OIC/SP) maintains up-to-date records of any university property having an original cost of \$1,000 or more and provides reports for state and federal compliance requirements. This information is also used as the university's official book of record for insurance purposes. Inventory control also stores, protects, and disposes of unusable university property in compliance with state statutes [15]. Kentucky state law requires the university to conduct periodic audits of inventory, including fixed assets [16]. To comply with this statute, university departments complete an annual inventory of fixed assets. Fixed assets are defined as durable goods with an original cost of \$5,000 or more.

To perform the inventory, representatives designated by the department compare the current fixed assets report to the actual assets on-site to verify locations and note any discrepancies or changes. The department administrator approves the verified report and returns it to OIC/SP. OIC/SP staff reconciles the returned inventory reports to the fixed asset records database to ensure that departments have accounted for all assets and to make any noted location, department, or status changes. Follow-ups are made with any departments that fail to complete an annual inventory by December 15, escalating if necessary until all capital asset inventory reports are submitted. If necessary, OIC/SP staff contacts department staff to clarify and investigate noted changes as well as request documentation to support removal of an asset from the fixed asset database. If during the inventory discrepancies are discovered, OIC/SP works with the department until there is a determination as to what happened with the equipment.

OIC/SP is also responsible for asset disposal and as such is required to evaluate all surplus property. University departments report surplus items to the OIC/SP inventory control coordinator, and the property is picked up, stored in a central warehouse, and made available to other departments on campus on a no-charge basis. In alignment with state statute, the university disposes of surplus items no longer required for the operation of the university by public auction or by sealed-bid.

## **Risk Management**

The Office of Risk Management (RM) administers various insurance programs for the university, including general liability insurance, property insurance, automobile insurance, professional liability, and workers' compensation [17], to reduce the probability of financial loss to the university. RM works with the UofL Police Department, Office of the Vice President for Strategy and General Counsel, and numerous other university units to evaluate potential hazards and safeguard the resources of the university. Some examples of recommendations that have been made by the office to mitigate risk include: a Minors on Campus policy, cyber-liability insurance, the use of participation and release forms, a Tenants and Users liability insurance policy for special events on campus, a lab use agreement for use by minors and non-university employees or students, and a Red Barn usage agreement for individuals or groups using the Red Barn, a multipurpose facility that provides services and programs to faculty, staff, and students.

The university insures property through the Commonwealth of Kentucky State Fire and Tornado Fund. All university buildings are insured at the state insurance replacement cost value. The university performs monthly loss control surveys of sections of university campuses, along with quarterly reviews by the university's general liability insurance carrier loss control representative. There is also an annual cluster inspection conducted of the university's high value buildings. Inspections are coordinated through the RM, Physical Plant, and Athletics. Upon completion of the loss control surveys and annual cluster inspection, the insurance carriers assess the university's liability and property risk. When the assessment process is concluded, any recommendations are forwarded to RM and any recommendations are submitted to the appropriate campus departments.

RM, UPDC, Inventory Control, and Contract Administration meet quarterly to review the university's buildings and contents information and to discuss any changes/issues in the university's buildings and contents for all properties owned, leased, or under management agreement. The goal is to assure that data from each department's systems are in sync.

### **Physical Control over Campuses and Properties**

Each campus site or property has an assigned administrator authorized to ensure that proper control is attained and to carry out university policies and procedures. A listing of the campuses/sites with the authorized administrators is as follows:

- Belknap - Executive Vice President and University Provost
- HSC – Executive Vice President for Health Affairs
- Shelby Campus – Executive Vice President and University Provost

The university has other off-site locations where program faculty or university units are responsible for providing oversight for the utilization of off-campus space [18]. The university also employs the services of outsourced contractors for food services and bookstore services. With multiple sites across campus, these contractors are an integral part of the services delivered to campus. Each site is required to have managers that report to a contracting firm director. The contracting firm director then reports to the Associate Vice President for Business Services.

### **Planning for Future Physical Resource Needs**

The university has multiple processes that allow for the planning of future resource needs. The Campus Master Plans [19] [20] [21] draw from the broad goals of the university

mission and define a framework to guide physical plant and space utilization on campus. The Campus Master Plans outline a system consistent with the university's mission and strategic plans for land acquisition, space utilization, facility locations, parking, vehicular traffic, pedestrian circulation, campus services, utilities, landscaping, and signage. The Campus Master Plans are updated periodically by consultants that work with UPDC and include input from the president, vice presidents, deans, trustees, and community members. The plans are approved by the president and Board of Trustees prior to adoption.

The Six-Year Capital Plan [22] is updated and submitted to the Commonwealth of Kentucky biennially. The Six-Year Capital Plan complements the strategic and Master Plans in that they all focus on the inclusion of capital renewal, major maintenance, and other construction benefiting the university. The most recent Six-Year Capital Plan was completed in November of 2015. This two-year cycle of capital needs evaluation allows the academic deans and administrative heads to provide information about their current facility needs and to determine the appropriateness and sufficiency of the facilities they utilize for their departments and programs.

## **SUMMARY**

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. Physical Plant has a process by which it ensures the hiring of qualified staff based upon the university's employment processes. In fiscal year 2014-2015, Physical Plant completed 21,523 corrective work orders and 22,515 preventative maintenance work orders for a total of 44,038 work orders to maintain university facilities. The university has multiple processes that allow for the planning of future resource needs. The Campus Master Plans draw from the broad goals of the university mission and define a framework to guide physical plant and space utilization on campus.

[1] Senior Vice President for Finance and Administration Organizational  
3\_11\_1\_fn01.pdf  
<http://louisville.edu/finance/vpfinance/svpfaorgchart>

[2] Physical Plant Organizational Chart  
3\_11\_1\_fn02.pdf  
<http://louisville.edu/physicalplant/files/org-chart>

[3] Vanderweil Facility Advisors Website  
3\_11\_1\_fn03.pdf  
<http://www.vfa.com/>

[4] Vanderweil Facility Advisors Report  
3\_11\_1\_fn04.pdf

[5] Physical Plant Renovation Job Completion Survey  
3\_11\_1\_fn05.pdf



- [6] Physical Plant Questionnaire  
3\_11\_1\_fn06.pdf  
<http://louisville.edu/physicalplant/feedback>
- [7] Kentucky House Bill 622  
3\_11\_1\_fn07.pdf
- [8] Planning Design and Construction Professional Staff  
3\_11\_1\_fn08.pdf  
<http://louisville.edu/updc/professional-staff>
- [9] Capital Construction Policies and Procedures  
3\_11\_1\_fn09.pdf  
<http://louisville.edu/updc/design-and-construction-standards>
- [10] Archibus  
3\_11\_1\_fn10.pdf  
<http://www.archibus.com/>
- [11] FY15 Capital Renewal Projects  
2\_11\_2\_fn11.pdf
- [12] University's Strategic Planning Scorecard  
3\_11\_1\_fn12.pdf  
<http://louisville.edu/president/news-items/uofl-strategic-plan-2020-scorecard-2011>
- [13] Kentucky Model Procurement Code (KRS 45A.045)  
3\_11\_1\_fn13.pdf
- [14] Purchasing Web Page  
3\_11\_1\_fn14.pdf  
<http://louisville.edu/purchasing/aboutdepartment>
- [15] KRS Statue 164A.575 and 45A.425 Surplus Property  
3\_11\_1\_fn15.pdf
- [16] Asset Management  
3\_11\_1\_fn16.pdf  
<http://louisville.edu/surplus/assetmanagement>
- [17] Risk Management Webpage  
3\_11\_1\_fn17.pdf  
<http://louisville.edu/riskmanagement>
- [18] Off Site Locations  
3\_11\_1\_fn18.pdf
- [19] HSC Master Plan  
3\_11\_1\_fn19.pdf  
<http://louisville.edu/updc/master-planning/health-sciences-campus-master-plan>

[20] Belknap Master Plan  
3\_11\_1\_fn20.pdf  
<http://louisville.edu/updc/master-planning/board-of-trustees-presentation>

[21] Shelby Master Plan  
3\_11\_1\_fn21.pdf

[22] 2016-2020 Capital Plan  
3\_11\_1\_fn22.pdf

### 3.11.2

#### Physical Resources: Institutional environment

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

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community. The university has numerous units that contribute to maintaining a safe environment.

#### Campus Safety

Physical Plant is the campus unit 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. Physical Plant employs a Safety Manager who is required to have OSHA training and other safety-related certifications. The Safety Manager works closely with the UofL Department of Environmental Health and Safety (DEHS) to ensure current training is provided to the Physical Plant staff. This training includes personal protective equipment (PPE), safe operations of tool and equipment, working in extreme weather conditions, blood-borne pathogens, spill prevention, hazardous communications, asbestos awareness, and other occupational safety-related subjects. All new hires are required to complete a safety orientation course. Physical Plant outsources some projects, and all contractors that work on campus are required to meet state and federal safety requirements and to provide certificates of training as specified in the contracts.

#### University Police

The university maintains its own Police Department (ULPD) [1] and provides protection to UofL's Physical Plant and all campus communities. ULPD maintains a staff of uniformed officers, communication officers, patrol officers, and security escorts. The department has police officers, security officers, and cadets assigned to bike and foot patrol, which promotes more personal interaction with the university community.

The university police department is a member of the Kentucky Association of Chiefs of Police [2]. The department works closely with other local law enforcement agencies, particularly the Louisville Metro Police, in areas of emergency response and crowd control. Public safety also manages the following campus safety programs:

- Motorist Assistance [3]
- Student Escort [4]
- K-9 drug interdiction [5]
- Rape Aggressive Defense Training (RAD) [6]
- Crime Prevention [7]
- Enhanced and Safety Patrolled Campus Walking Path (L-Trail) [8]

Pursuant to state law KRS 164.9481, also cited as the *Michael Minger Act* of 2000 [9] [10], and federal law 20 USCA 1092 [f] [2000] & [Supp. 2005], cited as the *Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act* [11] [12] [13], the university must disclose campus crime statistics and campus security policies. This information is included on the University Police's website and is disseminated through Crime Alerts on the university's internal website. The Clery information is also made available on the president's webpage each year [14].

## **Emergency Operations**

The university has an emergency operations center (EOC) and an emergency operations plan (EOP) [15] that describes the emergency procedures to be followed in response to an earthquake, tornado, or other natural or man-made disaster. The university also has a multi-modal emergency notification system that is used to communicate to the entire campus community [16].

Building Emergency Action plans are in place for all buildings on all campuses and available to ensure the highest and most appropriate response and actions in support of the campus communities. This plan is written from a university model plan and then reviewed and approved as the building's official plan by a certified emergency manager. The plans are tested and reviewed annually. An example of a building emergency plan is provided [17]. General emergency instructions are also provided online [18]. To date, over 5,000 of these emergency booklets have been distributed to UofL faculty and staff. The university has implemented RAVE, an emergency phone application that can be downloaded for free. The university has evacuation plans in the event of a disaster [19].

Each year the university leadership participates in a simulated emergency exercise. This is an internally developed tabletop exercise where university leaders are confronted with a realistic emergency situation or multiple situations. After the exercise is completed, an assessment is made to determine strengths and weaknesses encountered. This information is used to modify policy and procedures, if warranted [20]. The university also has an Emergency Planning Committee consisting of individuals throughout the institution. This committee reviews plans, procedures, and incidents to improve the preparedness of the university. Notes are maintained of each meeting documenting the issues and how they are addressed [21].

The university is also a National Weather Service "StormReady" university. UofL was the sixth institution in the nation to achieve this certification, which is awarded for meeting specific criteria to ensure that the university is ready for severe thunderstorms and tornados. Every university building has weather radios available for both weather warnings and announcements concerning civil emergencies. In addition, the campuses are completely covered by outdoor warning sirens that are activated for weather and civil emergencies. The university has also received federal grant money to improve its disaster resistance and to protect its largest sporting venue, Papa John's Cardinal Stadium. A portion of the Disaster Resistant University funding has been used to develop a webpage for promoting disaster preparedness and mitigation at UofL [22].

## **Occupational and Environmental Health and Safety**

The Department of Environmental Health and Safety [23] assists the university community in its teaching, research, and public service mission by promoting a safe and healthy environment for faculty, staff, students, and visitors. The primary responsibility of the department is to provide environmental, health, and safety services to the university

community through technical and regulatory compliance assistance, assistance to inspectors for auditing purposes, information and training programs, consulting services, and periodic auditing of environmental, health, and safety practices.

The Department of Environmental Health and Safety provides and updates various safety program documents and other environmental health and safety manuals for use by university personnel, including the Disposal Guide [24], Radioactive Material Users Guide [25], Human Use Radiation Safety Manual [26], Hazard Communication Program [27], Chemical Hygiene Plan [28], Respiratory Protection Plan [29], and a Model Exposure Control Plan for Bloodborne Pathogens [30]. The department adheres to the reporting requirements of local, state, and federal agencies on matters such as hazardous materials incidents and injury and illness reports on employees for OSHA and worker's compensation.

The environmental operations and hazardous materials (EOHM) [31] unit manages and implements multiple key programs that ensure health and safety as well as regulatory compliance. EOHM also offers a variety of environmental services to the university community, including hazardous waste management as well as disposal and emergency response.

The industrial hygiene [32] unit evaluates potential health hazards in the workplace environment and recommends control methods when significant hazards are identified. Training programs are provided, and periodic inspections to ensure safety and compliance are performed. This unit also manages asbestos abatement activities and coordinates several university programs required by OSHA regulations.

The radiation safety office (RSO) [33] administers the radiation safety program for the university and also serves as administrator of the university's radiation safety committee. This unit implements the policies established by the university radiation safety committee and is licensed by the Kentucky radiation control branch. Training, inspections, security supervision, and radiation exposure compliance are all facets of the program that are provided and supervised by this office.

The biological safety office [34] provides guidance throughout all university research laboratories and clinical areas that involve recombinant DNA (rDNA) and biohazardous agents. The biological safety office also serves as administrator of the university's institutional bio-safety committee (IBC). The IBC reviews all university applications involving bio-hazardous agents and rDNA molecules requiring approval according to current governmental regulatory agencies and ensures the safety of laboratory personnel as well as of the environment and general public.

In mid-September of 2014, UofL received a letter from NIH asking us to investigate 3 allegations of potential violations of the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines) for failure to timely report the incidents. As a result of an internal investigation, in early October we submitted three self-reports and a corrective action plan that included the development of procedures for investigating and reporting potential violations of the NIH Guidelines. The NIH accepted our self-reports and corrective action plan and closed the matter in May 2015.

The UofL Human Subjects Protection Program earned reaccreditation by the Association for the Accreditation of Human Research Protection Programs in 2016 [35]. The UofL Human Subjects Protection Program Office (HSPPO) was awarded full accreditation for the maximum period allowed, five years. HSPPO was the first such program in Kentucky accredited by the association when it received its original accreditation in 2005. To earn

accreditation, organizations must provide tangible evidence through policies, procedures, and practices of their commitment to scientifically and ethically sound research and to continuous improvement.

William M. Pierce Jr., PhD, executive vice president for research and innovation stated that "Accreditation by the Association for the Accreditation of Human Research Protection Programs means that people who volunteer to participate in research studies are assured that the highest standards of professionalism are maintained."

### **Campus Health Services**

The institution provides student support programs, services, and activities consistent with its mission and that promote student learning and enhance the development of its students. UofL Campus Health Services (CHS) [36] provides medical, psychiatric, health promotion, and sexual assault advocacy services to the university community. The health services offices for medical, psychiatric, and administrative areas are located at the Cardinal Station office complex on Belknap Campus and in the UofL Healthcare Outpatient Center at Health Sciences Center (HSC), and have a combined total of 20,000 visits annually.

The CHS is funded by student health fees and insurance. All students are required to pay a primary care health fee if they do not have health insurance. Services provided include evaluation and treatment of acute and/or chronic illnesses, allergy injections, travel medicine, occupational exposures including blood-borne pathogens, physical examinations, contraceptive management, immunizations, suturing, intravenous fluids and psychiatric visits. All faculty, staff, and students receive free annual flu vaccination. Psychiatric services are provided based on a prorated fee across all students taking more than 6 hours. Currently the student health insurance plan is rated as an American College Health Association (ACA) platinum plan and provides coverage throughout the United States as well as international travel medical coverage.

Beginning the fall of 2014, the university implemented a mandatory immunization requirement for all incoming freshman, including routine immunizations as well as tuberculosis screening as recommended by the American College Health Association. This was in response to the increased number of students living on campus.

The Health Promotion unit of CHS [37] is responsible for providing programming to the campus community, which currently includes cooking classes, HIV and STD screenings, yoga classes, exercise fit testing, sexual health programming, etc. The Health Promotion Unit maintains a kiosk in the student recreational center lobby. In fall 2014, the university implemented a new requirement for all incoming freshmen to complete an online alcohol education program called AlcoholEdu, which has been shown to reduce alcohol-related incidents. The university also included Title IX Sexual Assault training in conjunction with the AlcoholEdu program. Beginning fall of 2015, the university implemented a program to disseminate information and provide training about Title IX compliance to the entire university community [38].

### **Housing and Residence Life**

To address the University's 2020 Plan strategic goal of increasing retention and graduation rates, the university has improved the campus environment and residential services to students. Additional housing has allowed more students to live on campus, and studies have shown that students who live on campus during their first year of college will be retained and graduate at an almost 15 percent higher rate than those who don't. Beginning

fall 2012, all first-year students under the age of 21 are required to live in on-campus housing unless approved for an exemption. The goal of this requirement is to help first-year students make strong connections to the academic environment through intentional programming and mentoring, as well as to foster focused participation in campus events, services, and support.

While increasing residential beds for residents, Campus Housing has also increased its collaboration with campus partners to provide the best client services for routine events and emergency situations. Several of the residence halls under the Campus Housing program are on the two-pipe heating/cooling system. Due to the age of the buildings, heating/cooling system, and exhaust systems, mold and mildew has emerged as an issue for some of the residence halls. A multi-level approach has been implemented to address the issue. Campus Housing, working with the Department of Environmental Health and Safety, created an educational marketing message for the residents utilizing the Cardinal 3 C's: Cleaning, Climate, and Communication. In addition, in collaboration with Physical Plant several halls have been provided mobile dehumidifiers during the spring and summer. Monitors installed in the halls communicate to Physical Plant the humidity temperatures. Carpet has been removed from the common areas and replaced with a luxury vinyl tile to reduce the ability for moisture to be held in the flooring. Also, since issues of mold will often emerge when a building is not occupied, the Campus Housing facilities team and conference services work together for weekly monitoring to ensure the optimum level of air flow.

### **Intramural and Recreational Sports**

Intramural and recreational sports facilities [39] [40] are located on both the Belknap (two sites) and Health Sciences campuses. New sports clubs [41] are frequently formed, and at least nineteen recognized sports clubs currently exist. They include various martial arts (e.g., Aikido, Kempo Karate, and Tae Kwon Do), team sports (e.g., ice hockey, rugby, lacrosse), individual sports (e.g., badminton, fencing) and recreational sports (e.g., gaming). Some thirty-three different intramural sports activities are offered, ranging from league play (e.g., flag football, basketball, soccer) to individual competition (e.g., racquetball, "turkey trot" road race, horseshoes) in twenty different sports. During the 2013-14 academic year, these activities attracted 8,497 participants, including faculty, staff, and students.

The department opened the new Student Recreation Center in October 2013. During its first year of operation, over 401,000 visits were made to the center, representing over 15,000 different students, faculty, and staff. Since the opening of the new facility, intramural sports has achieved record numbers of participants in every indoor activity and many outdoor activities.

### **Employee Health and Wellness Initiatives**

The university promotes the health and wellness of its faculty and staff through a number of organized programs and initiatives, including health risk and fitness assessments and interventions; an employee assistance program; a staff development and wellness initiative; an employee-based wellness center; and disease management as part of the employee health plan.

The Get Healthy Now [42] program offers employees the opportunity to participate in a health management program in conjunction with their overall health insurance benefit. Employees opt into Get Healthy Now by completing an online health risk

assessment (provided by a third-party vendor) every year during benefits open enrollment. Employees also have the option to work with a dedicated health coach (by telephone or through a secure message board) throughout the calendar year to maintain/improve their health status. For participation in the program, employees receive a \$40 per month (\$480 annually) health premium incentive. Initially, 50 percent of the benefit-eligible employees participated in Get Healthy Now. Participation rates have steadily grown, with over 75 percent currently participating in the employee wellness program.

Primary goals of the Get Healthy Now program are to 1) nurture a culture of health; 2) incentivize and engage employees as part of total rewards; 3) contain health care costs; and 4) slow the increase in overall cost of coverage. A return on investment analysis [43] based on claims data showed health risks decreased in five areas, including depression and stress. The university's health insurance program saw a \$4.3 million in reduced claims spending from October 2007 to October 2011 with a benefit cost ratio of 7:1.

UofL protects its physical and human capital by the application of various risk management techniques and functions and the purchase of insurance to mitigate and transfer that risk. The Risk Management Department [44] administers the commercial insurance program for the university. The insurance coverage that the university carries [45] is adequate and protects the university's assets from financial loss should problems arise. This office also carries out risk management functions for the university to reduce the probability of injury to people and damage to university property.

The employee assistance program [46] is outsourced to a local firm, the Human Development Company (HDC). Services are available to both employees and their family members and include employee counseling, training, mediation, wellness, and management consultation for intervention and prevention of problems in the workplace. They also include short-term problem-solving and/or referrals within forty-eight hours of a call, supervisor training, employee orientation, unlimited telephone consultations, drug and alcohol policy development and support services, violence in workplace policy development and support services, conflict management, critical incident stress debriefing, mental health referrals and case management, community resource referrals and case management, and quarterly follow-up with frequent clinical reviews.

## **SUMMARY**

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. The university has an emergency operations center (EOC) and an emergency operations plan (EOP) that describes the emergency procedures to be followed in response to an earthquake, tornado, or other natural or man-made disaster. Building Emergency Action plans are in place for all buildings on all campuses and available to ensure the highest and most appropriate response and actions in support of the campus communities. The Department of Environmental Health and Safety assists the university community in its teaching, research, and public service missions by promoting a safe and healthy environment for faculty, staff, students, and visitors. The university promotes the health and wellness of its faculty and staff through a number of organized programs and initiatives. UofL protects its physical and



human capital by the application of various risk management techniques and functions and the purchase of insurance to mitigate and transfer that risk.

[1] Department of Public Safety Website

3\_11\_2\_fn01.pdf

<http://louisville.edu/police/>

[2] Kentucky Association of Chiefs of Police

3\_11\_2\_fn02.pdf

<http://www.kypolicechiefs.org/>

[3] Motorist Assistance Program

3\_11\_2\_fn03.pdf

<http://louisville.edu/parking/parking-information/motorist-assistance>

[4] Student Escort

3\_11\_2\_fn04.pdf

<http://louisville.edu/police/services/services/#-span-style--height-----em---university-police-escorts--span->

[5] Canine Unit

3\_11\_2\_fn05.pdf

[6] Rape Aggressive Defense Training (RAD)

3.11.2\_fn06.pdf

[7] Crime Prevention

3\_11\_2\_fn07.pdf

[8] L Trail

3\_11\_2\_fn08.pdf

<http://louisville.edu/cardsafety/>

[9] *Michael Minger Act* Report 2014

3\_11\_2\_fn09.pdf

[10] *Michael Minger Act* Report 2015

3\_11\_2\_fn10.pdf

[11] Clery Annual Security and Fire Safety Report 2014

3\_11\_2\_fn11.pdf

[12] Clery Annual Security and Fire Safety Report 2015

3\_11\_2\_fn12.pdf

[13] Executive Overview of 2015 Clery Annual Security and Fire Safety Report

3\_11\_2\_fn13.pdf

[14] Annual Security and Fire Safety Report 2015 on President's Website

3\_11\_2\_fn14.pdf

<http://louisville.edu/president/>

- [15] Emergency Operations Center Plan  
3\_11\_2\_fn15.pdf  
<http://louisville.edu/dehs/emergency/doc/cepdoc/emergency-operation-plan-pdf>
- [16] Emergency Notification System  
3\_11\_2\_fn16.pdf  
<http://louisville.edu/dehs/emergency/emergency-notification>
- [17] Building Emergency Plan Example—Lutz Hall  
3\_11\_2\_fn17.pdf
- [18] Emergency Procedures  
3\_11\_2\_fn18.pdf  
<http://louisville.edu/dehs/emergency/emergency-procedures>
- [19] Evacuation Plan  
3\_11\_2\_fn19.pdf  
<http://louisville.edu/dehs/emergency/belknap-evacuation>
- [20] University of Louisville after Action Report  
3\_11\_2\_fn20.pdf
- [21] Emergency Planning Work Group Meeting Notes  
3\_11\_2\_fn21.pdf
- [22] Preparing You for Emergencies  
3\_11\_2\_fn22.pdf  
<http://louisville.edu/dehs/emergency/preparing-you>
- [23] DEHS Webpage  
3\_11\_2\_fn23.pdf  
<http://louisville.edu/dehs>
- [24] Waste Disposal Guide  
3\_11\_2\_fn24.pdf  
<http://louisville.edu/dehs/waste-program/guide>
- [25] Radioactive Material Users Guide  
3\_11\_2\_fn25.pdf
- [26] Human Use Radiation Safety Manual  
3\_11\_2\_fn26.pdf  
<http://louisville.edu/dehs/rad-safety/doc/human-use-safety-manual-pdf>
- [27] Hazardous Communication Program  
3\_11\_2\_fn27.pdf  
<http://louisville.edu/dehs/ohs/Documents/asbestos/u-of-l-hazcom-program-document-pdf>
- [28] Chemical Hygiene Plan Procedures  
3\_11\_2\_fn28.pdf  
<http://louisville.edu/dehs/ohs/chp>

- [29] Respiratory Protection Plan  
3\_11\_2\_fn29.pdf  
<http://louisville.edu/dehs/ohs/respiratory-protection>
- [30] Bloodborne Pathogens Program  
3\_11\_2\_fn30.pdf  
<http://louisville.edu/dehs/biosafety/bbp>
- [31] Environmental Operations and Hazardous Materials  
3\_11\_2\_fn31.pdf  
<http://louisville.edu/dehs/emergency/hazardous-material-emergencies>
- [32] Industrial Hygiene  
3\_11\_2\_fn32.pdf  
<http://louisville.edu/dehs/ohs>
- [33] Radiation Safety Office  
3\_11\_2\_fn33.pdf  
<http://louisville.edu/dehs/rad-safety>
- [34] Biological Safety  
3\_11\_2\_fn34.pdf  
<http://louisville.edu/dehs/biosafety>
- [35] Association for the Accreditation of Human Research Protection Programs  
3\_11\_2\_fn35.pdf  
<http://www.aahrpp.org/learn/find-an-accredited-organization>
- [36] Campus Health Services  
3\_11\_2\_fn36.pdf  
<http://louisville.edu/campushealth>
- [37] Health Promotion Unit  
3\_11\_2\_fn37.pdf  
<http://louisville.edu/healthpromotion>
- [38] Title IX  
3\_11\_2\_fn38.pdf  
<http://louisville.edu/hr/employeerelations/title-ix>
- [39] Intramural and Recreational Sports  
3\_11\_2\_fn39.pdf  
<http://louisville.edu/intramurals>
- [40] Sports Facilities  
3\_11\_2\_fn40.pdf  
<http://louisville.edu/intramurals/facilities>
- [41] Sports Clubs  
3\_11\_2\_fn41.pdf  
<http://louisville.edu/intramurals/sports-clubs>

[42] Get Healthy Now  
3\_11\_2\_fn42.pdf  
<http://louisville.edu/gethealthynow>

[43] Return on Investment  
3\_11\_2\_fn43.pdf

[44] Risk Management  
3\_11\_2\_fn44.pdf  
<http://louisville.edu/riskmanagement>

[45] Insurance  
3\_11\_2\_fn45.pdf  
<http://louisville.edu/riskmanagement/insurance>

[46] Employee Assistance Program  
3\_11\_2\_fn46.pdf  
<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Human%20Resources/Employee%20Assistance%20Program.aspx>

### 3.11.3

#### Physical Resources: Physical facilities

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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.

UofL is a state-supported metropolitan university located in Kentucky's largest metropolitan area and consists of three campuses. The 409-acre Belknap Campus houses eight of the university's twelve colleges and schools along with a child-care center. The 62-acre Health Sciences Center is situated in downtown Louisville's medical complex and houses the university's health-related schools (Medicine, Nursing, Dentistry, and Public Health). The 235-acre Shelby Campus, located in eastern Jefferson County, houses the National Crime Prevention Institute, the Delphi Center for Teaching and Learning Unit for Continuing and Professional Education, and the Center for Predictive Medicine.

A campus map tour has been developed to provide an online view for each of the three campuses and their related buildings. Each building view includes a picture, construction year, square footage, primary use, and description of its function [1].

The Belknap Campus has over four 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.

UofL health sciences operations include the university hospital, a Level 1 trauma center, the James Graham Brown Cancer Center, and community-based clinics. The School of Public Health and Information Sciences facility is in close proximity to the Louisville Metro Department of Public Health and Wellness (LMPHW) and has a collaborative agreement with LMPHW that enhances its community-focused mission.

The Shelby Campus is located in eastern Jefferson County and houses the National Crime Prevention Institute; the Delphi Center for Teaching and Learning Unit for Continuing and Professional Education; and the Center for Predictive Medicine, a \$44 million facility that contains one of the National Institute of Health's thirteen regional BL-3 biosafety labs.

Fifty percent or more of traditional undergraduate and graduate program offerings are available at the following locations:

- Fort Knox Army Base, Fort Knox, KY [2a]
- School of Medicine Trover Campus, Madisonville, KY [2b]
- Quality Leadership University, Panama [2c]

- Owensboro Medical Health Systems, Owensboro, KY [2d]
- General Electric, Louisville, KY [2e]
- European Business School, Ooetrich-Winkel, Germany [2f]
- Akademie Worth Business School, Germany [2g]

The adequacy of space is considered as each consortial agreement is negotiated, and agreements are only undertaken with those partners who can provide the appropriate space [3]. Any partnerships with schools holding SACSCOC accreditation were assumed to have the appropriate space as judged by the program faculty (Western Kentucky University, University of Kentucky Gatton College of Business and Economics—joint degree, UK/UL Social Work degree).

The university's strategic plan [4] provides guidance in setting the academic, research, student life, and infrastructure needs of the institution. The university's master plans [5] [6] [7] are routinely updated to anticipate the physical growth of the institution's three campuses. The institution is planning to update all of the master plans during 2016.

### **Physical Facilities Management**

The Senior Vice President for Finance and Administration and Chief Operating Officer (CFO/COO) has responsibility for overseeing the development, construction, and, ultimately, the maintenance of all physical assets of the university [8]. The office also is responsible for maintaining and improving the grounds and buildings of the physical plant; overseeing the updates and administration of the university facilities' master plans; administering and continually improving operating procedures for managing and maintaining plant assets, undeveloped real estate, inventory of moveable equipment, and disposal, salvage or demolition of equipment as needed; managing the university's purchasing needs, including interests in real property, contractual services, renewals of all types, supplies and materials, equipment and services; and administering under the statutory authority granted to the university all capital construction contracts and renovation projects, including the hiring of architects, engineers, and other consultants.

The University Planning, Design, and Construction (UPDC) [9] provides guidance in matters of physical facilities planning, master planning acquisitions, and building design and campus exterior features. This department also manages university capital construction and renovation projects, including architectural and engineering selection, facilities programming, design, bidding, construction, equipment, furnishings, and operational start-up. The department is responsible for preparing cost estimates and ancillary information for all capital improvements for the agency's Six-Year Capital Plan and biennial budget requests. Additionally, the unit provides in-house design services for minor building renovations and furnishing projects, along with maintaining the university's buildings and land inventory database. UPDC also does scheduling for the general purpose classrooms (not unit specific) on the Belknap Campus.

The Physical Plant office [10] has oversight of the operating budgets for the university's maintenance and operations. The university's expenditures for operations and maintenance for FY 2016 were \$27,829,000. The university's expenditures for utilities for FY 2016 were \$20,466,000, which includes all three campuses (Belknap, Health Sciences, and Shelby campuses).

The assignment and reallocation of space are administrated and approved by the Provost [11] for the Belknap and Shelby campuses and by the Executive Vice President for Health Affairs [12] for the Health Science Campus, with the input of administrative and academic

representatives to ensure compliance with the university's strategic plan priorities. The University Planning, Design and Construction office is responsible for tracking space utilization, scheduling general education classrooms, and reserving these facilities for other academic and non-academic use on the Belknap Campus. Health Sciences Center staff have this responsibility at HSC. The university tracks the utilization of general instructional classrooms using Resource 25 software and Archibus in order to analyze usage and manage the effective use of space. Current operating strategies and tools include conducting classroom condition surveys, scheduling general use classrooms, and applying scheduling policies. These strategies and tools allow the university to conduct analysis of current space usage in order to identify inefficiencies and to determine the necessary course of action.

The university is actively engaged in expanding sustainability initiatives as stated in the 2020 Plan, the university's strategic plan. These initiatives include promoting an environmentally friendly campus through responsible construction practices; single stream, chemical, and other recycling programs; "green" purchasing policies; public transportation use; and responsible energy management practices. Since the university established sustainability initiatives and policies, the institution has received four LEED Gold designations, five LEED Silver designations, and currently has two buildings pending certification as LEED Silver facilities [13]. The university is currently in its third phase of an energy saving performance contract. The first two totaled \$45.5 million and included infrastructure upgrades in 88 buildings with \$10.3 million in guaranteed annual savings. The current \$5.2 million project is expected to save an additional \$450,000 annually. Additionally, the university received a STARS gold rating for its sustainability efforts in 2016 from the Association for the Advancement of Sustainability in Higher Education (AASHE) [14]. This is a higher rating than any other state institution in Kentucky and put UofL in the top tier of STARS rated schools [15]. The scope and depth of sustainability initiatives at UofL are documented on the university's website [16].

### **Campus Planning and Capital Construction**

The university maintains a master plan for each of its three campuses. The most recent updates completed on the plans for Belknap Campus were in 2009, Health Sciences Campus in 2006, and Shelby Campus in 2009. These updates incorporated the university's intention to achieve dynamic growth while demonstrating a commitment to sustainability through Brownfield Reclamation (on Belknap Campus, over 280 acres of abandoned or unused industrial and commercial land has been redeveloped and repurposed) [17], responsible construction practices, chemical recycling, facilitating the use of public transportation, responsible energy management practices, recycling programs, enhancing the campus landscape, and making the campuses more pedestrian friendly.

As a complement to the strategic and master plans, UofL conducts an informal facility condition assessment of all buildings and exterior campus areas approximately every two years. This assessment becomes the basis for inclusion of projects in the capital renewal, major maintenance, and life safety portions of the larger six-year agency capital plan [18]. A key component of this review is the assessment of classrooms and laboratories, teaching and research, and facility conditions. The assessment is used to select projects for inclusion in the overall capital plan and to prioritize projects in order to provide the highest potential for increased utilization, to foster gains in academic performance, and to increase research productivity, all of which contribute to overall student and faculty satisfaction with institutional facilities and infrastructure.

Since 2010, the university has constructed several buildings that have helped meet the needs of the growing campus [19]. The university master plans have been instrumental in

providing organization and guidance in the expansion and placement of housing, parking, and athletic facilities on the Belknap campus and the expansion and placement of biomedical research, patient care, teaching facilities, and adequate parking on the Health Science Campus.

The University of Louisville Foundation (ULF) is developing several projects that are expected to bring in revenue to support the university. The ShelbyHurst Research and Office Park development involves all but 28 acres of the more than 232 acres that comprise UofL's Shelby Campus. The 20-acre academic core and the 8-acre Center for Predictive Medicine (CPM) site are reserved for academic purposes. The university is only responsible for maintaining and operating the academic core, and the foundation handles the rest.

The ULF is also developing the J.D. Nichols Campus for Innovation and Entrepreneurship adjacent to the Health Science Campus. This new construction will house multiple facilities in close proximity to expedite collaboration and shared expertise among researchers and companies. The ULF currently operates and maintains the following buildings on the J.D. Nichols Campus:

- Atria Support Center at The Nucleus, a 180,000 square foot, eight story building offering state of the art adaptable spaces consisting of dry labs and office space.
- The iHub, a co-working and co-meeting space for very early stage companies
- The TechCenter, offering flexible space and competitive lease options to those looking for wet and dry laboratory and office space in a more intimate setting. A shared laboratory, incubator services, including a data center, and several conference rooms are available to tenants.

The Belknap Engineering and Applied Sciences Research Park will be constructed on 39 acres just south of Belknap Campus. The road system and utility infrastructure for the park has recently been completed. The ULF will be responsible for maintaining this property.

The intent of these three foundation projects is to bring in partners who will contract with university research and academic units to advance the university, its students, and researchers.

In 2015, the new Student Recreational Center opened, complementing the ongoing development. The 128,000 gross square feet facility features recreational sports programs along with lifestyle educational activities serving needs of both residential and commuting students by providing multi-functional space for informal recreation, competitive intramural sports, fitness classes, and life wellness programs, along with space for a variety of university sports clubs. The facility was constructed using agency bonds, which are supported by a student fee endorsed by the student body.

## **Capital Renewal**

The UofL Physical Plant unit provides routine and preventative maintenance. The types of services provided by Physical Plant include carpentry, custodial, electrical, flooring, grounds, HVAC, painting, plumbing, and roofing. UofL staff can report needed preventative maintenance by directly contacting physical plant's work control office or by completing an online web form [20]. Physical Plant utilizes the MAXIMO system, which allows for the assignment of work order numbers, the tracking of related charges, and the billing of departments for requested jobs.



Capital renewal and renovation funding are received from a distribution of year-end central surplus funds and from funding in the physical plant operating budget. This funding has helped the university address items on the deferred maintenance list [21].

The university has completed \$46.2 million in guaranteed performance contracts with Siemens Industry, Inc., for all three campuses. These projects included energy efficiency facility improvements in 88 buildings that will generate \$64 million of guaranteed savings over the 14+ year term.

- Performance Contract Phase 1 (Belknap Campus) established a contracted, guaranteed yearly dollar savings of \$2.3 million.
- Performance Contract Phase 2 (HSC Campus, Shelby Campus, and additional Belknap Campus items) established a contracted, guaranteed yearly dollar savings for the amount of \$2.0 million.

The university is currently working on phase III, a \$5.2 million project that is expected to save an additional \$400,000 annually.

To date, based upon the most recent Measurement and Verification Report for the year 2013, Phase 1 [22] (three full years of experience) and Phase 2 (one full year of experience) combined have realized the university \$12.9 million in savings over the contracted guarantee of \$10.3 million. The performance contract project has helped to address a large portion of the backlog of needed capital renewal and has made our campus much more efficient. Since 2009, the university estimates it spent approximately \$121.6 million on capital renewal. This was accomplished through renovations, performance contracting, and the Physical Plant budget.

A six-year deferred maintenance plan [23] is in place that helps give direction in budgeting and project planning. The university has also developed a hybrid affiliation program to partner with privately owned and managed apartment communities on the edge of campus. The partnership has allowed the university to provide standards for the private communities in construction, staffing, and student care, as well as partnering the housing professional staff with managers in order to provide a connection to campus. These new communities have allowed UofL to make available an additional 2,700 beds in modern apartment communities that provide independent living environments for upper-class students. In 1999, UofL had approximately 1,958 beds available for students who wanted to live in campus housing. These new communities have increased that capacity for fall 2016 to 6,296 beds available both on and off campus for UofL students. Other services such as an expanded and improved dining program on campus, increased service hours in the library and other areas, and redesigned student space on campus have provided support for the residential campus environment.

## **Technology Resources**

Information Technology (IT) supports and enhances the learning, teaching, research, and service goals of the university through customer-focused technology resources [24]. Information Technology is comprised of 122 employees working in five teams: Research Computing and Communications, Digital Media Production, IT Infrastructure, Technology Support Services, and VPIT Support. IT maintains, secures, and supports the cyberinfrastructure and digital storage resources for the UofL community. As well, IT maintains the operational, administrative, and learning technology applications for the university.

The university has built an extensive data network, including a 40Gbps campus backbone network and a high-speed inter-campus fiber network providing access to university applications and the Internet. This technology supports distance education, the university's learning spaces, web services, and enterprise applications. The university has multiple high-speed Internet access points, including Internet service through private circuits and the Kentucky Regional Optical Network (KyRON) and is a member of the Internet2 network. All Internet traffic is protected by campus firewalls and sophisticated intrusion detection systems.

Wireless coverage is available in 100 percent of university classrooms and instructional spaces on Belknap, Shelby, and HSC campuses through 2300 wireless access points. The wireless network uses 802.11n access points, which provide data rates at up to 150Mbps. All wireless access points are dual band capable, operating in both the 2.4 GHz and 5.0 GHz radio spectrum, and are capable of providing less interference and more bandwidth to user devices. Auditoriums and areas where large numbers of students gather are engineered to maintain availability of service for a large number of devices. The wireless service provides students with encrypted access to keep their personal information secure. An open visitor wireless service is available for parents and guests.

Central IT supports one public computing center facility: iTech Zone, located in the lower level of the Miller Information Technology Center (MITC) on Belknap Campus, contains thirty-six computers, several collaborative workspaces, one pay-for-print station, and one scanner. IT also provides support to faculty, staff, and students by phone, email, and Live Chat through the IT HelpDesk and in-person in iTech Connect [25]. IT also provides discounted or free software through the iTech Xpress technology store for faculty, staff, and students. In addition, many administrative and academic units maintain computing centers with general oversight by the Information Technology Office.

The following software systems are used to support the university's mission related to educational programs, services, and other activities: PeopleSoft, College Net 25 Live, Blackboard Learning Management System, Archibus, Campus Card, Blackboard Analytics, Explorance Blue Survey, Cardmail, and Plone web services.

PeopleSoft is the primary university management system for student records, human resources, and financials. Through College Net 25 Live faculty and staff can view available space to find open days or times to add courses or to have one-time events. The Blackboard Learning Management System facilitates the sharing of course-level information and makes instructional materials accessible by faculty, students, and other authorized users both on and off campus. Archibus is currently the space management system used by the university.

The campus card system provides students with a versatile card that functions both as an ID, library card, and door access card and holds funds that can be used for meal plans, printing, and other purchases. Blackboard Analytics provides data and dashboard analytics that are used by the institution to promote student success. Explorance Blue Survey is used for online class evaluations and general student surveys. CardMail is the student email system based on Microsoft Office 365. Plone is the platform that supports the university website.

The most recent accreditation review for our School of Medicine cited some concerns with facilities. The concerns related to lecture hall capacity and equipment functioning, adequacy of small group teaching rooms, availability of study space, and temperature control in certain areas. The university responded with a significant renovation to the existing

instructional building that which addressed the specific concerns [26]. The School of Medicine renovation created premier interactive learning spaces. This newly renovated space is used for peer-led facilitated learning, using the students own devices, tablets or computers, to share educational materials at tables, and to enhance learning materials projected around the room by the faculty facilitator. Additionally, there are twelve break-out rooms per floor, all of which can be interacted with from the central learning spaces. Hands-on training in the use of all available technologies is given by the members of the School of Medicine Academic Technology Office during first-year orientation. A similar hands on, interactive training on the specific technologies they will use during their clinical years takes place for rising third-year medical students before they begin their clinical rotations.

## **SUMMARY**

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 four 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.

The university's strategic plan provides guidance in setting the academic, research, student life, and infrastructure needs of the institution. The Senior Vice President for Finance and Administration and Chief Operating Officer (CFO/COO) has responsibility for overseeing the development, construction, and, ultimately, the maintenance of all physical assets of the university. The University Planning, Design, and Construction (UPDC) provides guidance in matters of physical facilities planning, master planning acquisitions, and building design and campus exterior features. The Physical Plant office has oversight of the operating budgets for the university's maintenance and operations. The university maintains a master plan for each of its three campuses. The UofL Physical Plant unit provides routine and preventative maintenance. Information Technology (IT) supports and enhances the learning, teaching, research, and service goals of the university through customer-focused technology resources. The university has built an extensive data network, including a 40Gbps campus backbone network and a high-speed inter-campus fiber network providing access to university applications and the Internet.

[1] Campus Map Tour  
3\_11\_3\_fn01.pdf  
<http://louisville.edu/campustour>

[2] Off-campus Locations

[2a] Fort Knox Army Base  
3\_11\_3\_fn02a.pdf

[2b] School of Medicine Trover Campus  
3\_11\_3\_fn02b.pdf

[2c] Quality Leadership University – Panama  
3\_11\_3\_fn02c.pdf

[2d] Owensboro Medical Health Systems  
3\_11\_3\_fn02d.pdf

- [2e] General Electric Louisville  
3\_11\_3\_fn02e.pdf
- [2f] European Business School Ooetrich-Winkel Germany  
3\_11\_3\_fn02f.pdf
- [2g] Akademie Worth Business School Germany  
3\_11\_3\_fn02g.pdf
- [3] UofL Consortial Agreements Table  
3\_11\_3\_fn03.pdf
- [4] 2020 Plan  
3\_11\_3\_fn04.pdf  
<http://louisville.edu/president/vision2020.pdf>
- [5] Belknap Master Plan  
3\_11\_3\_fn05.pdf  
<http://louisville.edu/updc/master-planning/board-of-trustees-presentation>
- [6] Health Sciences Campus Master Plan 2006  
3\_11\_3\_fn06.pdf
- [7] Shelby Campus Master Plan 2009  
3\_11\_3\_fn07.pdf
- [8] Senior Vice President and Chief Executive Officer Org Chart  
3\_11\_3\_fn08.pdf  
<http://louisville.edu/finance/vpfinance/svpfaorgchart>
- [9] Department of Planning, Design, and Construction (UPDC)  
3\_11\_3\_fn09.pdf  
<http://louisville.edu/updc>
- [10] Physical Plant  
3\_11\_3\_fn10.pdf  
<http://louisville.edu/physicalplant>
- [11] Provost Webpage  
3\_11\_3\_fn11.pdf  
<http://louisville.edu/provost/>
- [12] Vice President for Health Affairs Webpage  
3\_11\_3\_fn12.pdf  
<http://louisville.edu/hsc/evpha>
- [13] LEED  
3\_11\_3\_fn13.pdf  
<http://www.usgbc.org/leed>
- [14] Association for the Advancement of Sustainability in Higher Education Webpage  
3\_11\_3\_fn14.pdf  
<http://www.aashe.org/>

[15] STARS Summary  
3\_11\_3\_fn15.pdf

[16] UofL's Sustainability Webpage  
3\_11\_3\_fn16.pdf  
<http://louisville.edu/sustainability>

[17] Brownfield Map  
3\_11\_3\_fn17.pdf

[18] 2016-2022 Agency Capital Plan  
3\_11\_3\_fn18.pdf

[19] Construction Since 2010  
3\_11\_3\_fn19.pdf

[20] Online Preventative Maintenance Form  
3\_11\_3\_fn20.pdf  
<http://louisville.edu/physicalplant/files/preventative-maintenance>

[21] Deferred Maintenance List  
3\_11\_3\_fn21.pdf

[22] Measurement and Verification Report Phase 1  
3\_11\_3\_fn22.pdf

[23] Deferred Maintenance List  
3\_11\_3\_fn23.pdf

[24] Information Technology Organization  
3\_11\_3\_fn24.pdf

[25] iTech Connect Webpage  
3\_11\_3\_fn25.pdf  
<http://louisville.edu/it/departments/consulting/itech-connect/itech-connect/>

[26] Medicine Accreditation Response  
3\_11\_3\_fn26.pdf

### 3.12.1

#### Substantive change

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.")

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville is in compliance with Comprehensive Standard 3.12.1 based upon its complete history of notifications to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) regarding substantive changes. The university has an institutional Substantive Change Policy [1] and an accreditation liaison who is responsible for following the substantive change policy and notifying the Commission on Colleges of any changes and, as necessary, seeking advance approval of significant program changes. It is also the responsibility of the accreditation liaison to keep the institution informed of any changes in the substantive change policy. The University of Louisville SACSCOC Substantive Change Policy is posted on the university substantive change webpage [2].

The Office of the Executive Vice President and University Provost (via the accreditation liaison) distributes (electronic and paper) the *University of Louisville Substantive Change Policy and Procedures* statement to the academic deans annually. Each dean sends the accreditation liaison an email to confirm receipt of the policy and acknowledges the need to share the policy with unit faculty [3]. A listing of all substantive change reports and their resolutions (since the last reaffirmation review in 2007) is available on the university's website [4]. The university substantive change policy was submitted to SACSCOC on April 15, 2013 and was approved by the SACSCOC Board of Trustees at their June 2013 meeting [5] [6a] [6b] [7a] [7b] [8a] [8b] [8c] [8d].

The university has consistently reported online programs to SACSCOC. Recent correspondence (6.15.2015) from the SACSCOC Director of Substantive Change, Dr. Sarah Armstrong, indicates that: *"University of Louisville was approved to offer 50% or more of a program's credits online on December 5, 1997. Once approved for online delivery, an institution may offer any approved program online without the need for additional notification or approval"* [9].

To better coordinate the program approval process and determine what additional external reports are required earlier in the overall process, in 2013, the accreditation liaison established a Letter of Intent (LOI) process [10]. The LOI is used to inform the campus leadership of new program proposals and to request a review of the proposal by the Provost Office. All LOI submissions are reviewed by a committee of the provost senior staff, and a recommendation is submitted to the university provost for approval, denial, or amendments before new program requests can proceed to the pre-proposal phase [11].

For new program approvals [12], the SACSCOC substantive change report may be required in addition to the university's and the Kentucky Council on Postsecondary Education's (CPE) approval processes. All new program proposals are tracked by the accreditation liaison so

that the SACSCOC substantive change policy can be discussed and applied at the beginning of the institutional and CPE approval processes [13]. The Kentucky Council on Postsecondary Education (CPE) also requires institutions to report any planned program expansion over a three-year period. This additional scrutiny assists with determining what types of substantive change reports may be needed.

Other types of substantive change are determined through memorandum of agreement (MOA) or understanding (MOU) documents that must be signed by the Provost. These MOA/MOU documents specify any arrangements for currently approved programs to be offered at off-campus or even international locations. A database of all MOA/MOUs, as well as clinical affiliation agreements, is maintained by the accreditation liaison. These agreements are reviewed by the accreditation liaison and the legal counsel office prior to the final signature of the Provost. This review process allows the accreditation liaison to determine what type of report or if any report to SACSCOC is required.

## **SUMMARY**

The university 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.

[1] UofL Substantive Change Policy

3\_12\_1\_fn01.pdf

[http://louisville.edu/oapa/substantive-change-1/ul\\_sacs-sub.-change-policy](http://louisville.edu/oapa/substantive-change-1/ul_sacs-sub.-change-policy)

[2] UofL Substantive Change Webpage

3\_12\_1\_fn02.pdf

<http://louisville.edu/oapa/substantive-change>

[3] Annual Email from Provost to Deans about *Substantive Change Policy and Procedures*

3\_12\_1\_fn03.pdf

[4] Substantive Change Report Since 2007

3\_12\_1\_fn04.pdf

<http://louisville.edu/oapa/substantive-change-1/recent-sub.-change-reports-to-sacs>

[5] SACSCOC Letter approving UofL Substantive Change Policy

3\_12\_1\_fn05.pdf

[6] Substantive Changes: International Program

[6a] Letter Informing SACS of International Program

3\_12\_1\_fn06a.pdf

[6b] Letter of SACS Approval of International Program

3\_12\_1\_fn05b.pdf

[7] Substantive Changes: Online Law

[7a] Letter Informing SACS of Online Law

3\_12\_1\_fn07a.pdf Letter Informing SACS of Online Law

[7b] Letter of SACS Approval of Online Law  
3\_12\_1\_fn07b.pdf Letter of SACS Approval of Online Law

[8] Substantive Changes: Competency-Based Education

[8a] Letter Informing SACS of Participation in Competency-Based Education Initiative  
3\_12\_1\_fn08a.pdf

[8b] Letter of SACS Approval of Participation in Competency-Based Education Initiative  
3\_12\_1\_fn08b.pdf

[8c] Letter Informing SACS of OLL  
3\_12\_1\_fn08c.pdf

[8d] Letter of SACS Approval of OLL  
3\_12\_1\_fn08d.pdf

[9] New Online Certificate at the University of Louisville  
3\_12\_1\_fn09.pdf

[10] Letter of Intent Process  
3\_12\_1\_fn10.pdf  
<http://louisville.edu/oapa/program-approval/loi-new-programs>

[11] Academic Program Development Process  
3\_12\_1\_fn11.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[12] CPE New Academic Program Approval Policies and Procedures  
3\_12\_1\_fn12.pdf

[13] New Program Tracking Report  
3\_12\_1\_fn13.pdf  
<http://louisville.edu/oapa/NewProgramProposalsUofLTrackingForm201213.xlsx>



### **3.13**

#### **Policy Compliance**

The institution complies with the policies of the Commission on Colleges.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville (UofL) is in compliance with Comprehensive Standard 3.13 based upon the responses to:

- 3.13.1
- 3.13.2
- 3.13.3
- 3.13.4a

Comprehensive Standards 3.13.4b, 3.13.5a, and 3.13.5b are not applicable to UofL.

### 3.13.1

#### Policy Compliance: 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.

#### Judgment

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 [1] with 26 agencies. Ten of the agencies are recognized by the Department of Education [2] [3].

1. American Bar Association, Council of the Section of Legal Education and Admissions to the Bar
2. American Dental Association, Commission on Dental Accreditation
3. American Psychological Association, Commission on Accreditation
4. American Speech-Language-Hearing Association, Council on Academic Accreditation in Audiology and Speech-Language Pathology
5. Commission on Collegiate Nursing Education
6. Council on Education for Public Health
7. Liaison Committee on Medical Education
8. National Association of Schools of Music, Commission on Accreditation
9. National Association of Schools of Theatre, Commission on Accreditation
10. National Council for Accreditation of Teacher Education

All but one of the programs accredited by DOE-recognized agencies are in good standing with their respective discipline-specific accrediting bodies. The Council on Academic Accreditation in Audiology and Speech-Language Pathology of the American Speech-Language-Hearing Association (CAA) changed the accreditation status of the UofL clinical doctoral program in Audiology (Au.D.) to Accredited - On Probation. At the meeting of the CAA conducted in February 2016, the Program in Audiology was found to be in partial compliance for Standard 5.3: Program completion rate threshold [4] [5]. UofL notified SACS of this change in status on April 28, 2016 [6] [7].

The "About the University of Louisville" webpage contains the university's mission statement [8], as well as information on campuses, colleges and schools, history, organization, profile, and accreditations, among other items. To ensure reporting consistency of university information, the university accreditation liaison reviews program accreditation applications and reports before they are submitted to the accrediting body. The Provost Office for Academic Planning and Accountability is responsible for all updates of the accreditation schedule and regular dissemination of information to the university community. The university accreditation liaison maintains updated lists and status of the university's program accreditations and serves as a resource to programs working on accreditation. All programs have described the university in consistent terms in their accreditation self-studies tailored to the requirements of the individual agencies [9].

Information about the university's SACS accreditation and program accreditations is available on the UofL webpage [10].

## **SUMMARY**

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.

[1] External Accreditation by Program

3\_13\_1\_fn01.pdf

<http://louisville.edu/accreditation>

[2] UofL Programs Accredited by DOE Recognized Agencies

3\_13\_1\_fn02.pdf

[3] U.S. DOE Report for the University of Louisville – Recognized Accreditors

3\_13\_1\_fn03.pdf

<http://ope.ed.gov/accreditation/InstAccrDetails.aspx?756e697469643d3131373831322663616d70757349643d30267264743d31302f31342f3230313520323a34363a353120504d>

[4] Clinical Doctoral Program in Audiology—Probation Decision Letter

3\_13\_1\_fn04.pdf

[5] Council on Academic Accreditation in Audiology and Speech-Language Pathology—

Annual Report Review

3\_13\_1\_fn05.pdf

[6] UofL Notification to SACS Regarding Audiology Probation

3\_13\_1\_fn06.pdf

[7] SACS Letter in Response to Notification of Audiology Probation

3\_13\_1\_fn07.pdf

[8] University Mission

3\_13\_1\_fn08.pdf

<http://louisville.edu/about/>

[9] Summary of Descriptions of the University Provided to Program Accrediting Bodies

3\_13\_1\_fn09.pdf

[10] UofL Institutional Accreditation Website  
3\_13\_1\_fn10.pdf  
<http://louisville.edu/accreditation>

### 3.13.2

#### **Policy Compliance: Collaborative Academic Arrangements: Policy and Procedures**

**Applicable Policy Statement.** Member institutions are responsible for notifying and providing SACSCOC with signed final copies of agreements governing their collaborative academic arrangements (as defined in this policy). These arrangements must address the requirements set forth in the collaborative academic arrangements policy and procedures. For all such arrangements, SACSCOC-accredited institutions assume responsibility for (1) the integrity of the collaborative academic arrangements, (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 collaborative academic arrangements (as defined in this policy) that included signed final copies of the agreements. 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.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville (UofL) ensures 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. These expectations are outlined in the UofL Substantive Change Policy [1] and Consortial Agreement Policy [2].

UofL provides updates to SACSCOC following the guidelines for consortial agreements. A list of SACS-Approved Substantive Changes since 2007 is available online [3]. Any collaborative arrangements involving an off-site location are also documented on the university's public disclosure page [4]. The university has several consortial agreements that are discussed in detail in the Comprehensive Standard 3.4.7 [5].

Six academic programs are offered as joint or dual degrees. See Table 1.

**Table 1. Joint or Dual Degrees**

<b>Consortial Degree(s)</b>	<b>Degree Type</b>	<b>Partner Institution</b>	<b>Program Accreditor</b>	<b>Academic Unit</b>	<b>Year of Approval by SACSCOC</b>
Bachelor of Science in Business [6a]	Dual	European Business School (Germany)	EQUIS – equivalent to AACSB	College of Business	2013
Executive Master of Business Administration (E-MBA) [6b]	Joint	University of Kentucky	AACSB	College of Business	2013
Ph.D. in Social Work [6c]	Joint	University of Kentucky	CSWE	Kent School of Social Work	2010
Juris Doctor/ Master of Divinity – <i>new MOA signed 2-2016</i> [6d]	Dual	Louisville Seminary	ABA	Brandeis School of Law	1969
M.S.S.W. in Social Work/ Master of Divinity – <i>new MOA signed 4-2016</i> [6e]	Dual	Louisville Seminary	CSWE	Kent School of Social Work	1969
B.S. in Electrical Engineering [6f]	Joint	Western Kentucky University	ABET, Inc.	Speed School of Engineering	2001

As described in Core Requirement 2.7.4, the university works with other accredited institutions through contracts or consortia that provide student options for completing degree programs. Agreements may also be established with non-higher education organizations to offer UofL degrees. The university also participates in group consortia or academic partnerships that do not result in a joint or dual award. However, each of these agreements extend the reach of the university’s academic programs off-site, including international locations.

The university has an extensive review and approval process for all agreements that requires academic unit, university legal counsel, and university provost approval prior to implementation [7]. All six of the joint/dual degrees are housed in units that have external program-level accreditation guidelines to consider when developing these types of agreements. As relevant, an agreement will be considered “pending approval” if permission from SACSCOC or other external agencies is required. After approval and implementation, regular program evaluations are completed by the faculty or program directors with oversight for each agreement. This process helps to ensure the quality and integrity of each degree offering [8a] [8b] [8c] [8d]. Older arrangements such as the 1969 agreements with the Louisville Seminary have been updated to reflect current program evaluation expectations that require annual faculty reviews.

Because the programs are joint or dual, credit hour sharing or divisions are addressed when developing the agreement. The university assumes responsibility for the quality of the credits recorded on the UofL transcript, as well as compliance with any accrediting requirements.

## **SUMMARY**

The University of Louisville 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.

[1] UofL Substantive Change Policy  
3\_13\_2\_fn01.pdf  
<http://louisville.edu/oapa/substantive-change>

[2] UofL Consortial Agreement Policy  
3\_13\_2\_fn02.pdf

[3] SACS Approved Substantive Changes since the 2007 SACS Reaffirmation  
3\_13\_2\_fn03.pdf  
<http://louisville.edu/oapa/2017-sacs-general-information/sacs-approved-substantive-changes>

[4] UofL's Public Disclosure Page  
3\_13\_2\_fn04.pdf  
<http://louisville.edu/oapa/public-disclosure-of-student-achievement>

[5] Joint and Dual Awards Report: 2015-16  
3\_13\_2\_fn05.pdf

[6] Joint or Dual Academic Awards

[6a] Bachelor of Science in Business - European Business School (Germany)  
3\_13\_2\_fn06a.pdf

[6b] Executive Master of Business Administration (E-MBA)—University of Kentucky  
3\_13\_2\_fn06b.pdf

[6c] Ph.D. in Social Work—University of Kentucky  
3\_13\_2\_fn06c.pdf

[6d] Juris Doctor / Master of Divinity—Louisville Seminary  
3\_13\_2\_fn06d.pdf

[6e] M.S.S.W. in Social Work / Master of Divinity—Louisville Seminary  
3\_13\_2\_fn06e.pdf

[6f] B.S. in Electrical Engineering—Western Kentucky University  
3\_13\_2\_fn06f.pdf

[7] Memorandum of Agreement Review and Approval Process  
3\_13\_2\_fn07.pdf

[8] Joint or Dual Academic Awards - Program Evaluation

[8a] Bachelor of Science in Business—European Business School (Germany)  
3\_13\_2\_fn08a.pdf

[8b] Executive Master of Business Administration (E-MBA)—University of Kentucky  
3\_13\_2\_fn08b.pdf

[8c] Ph.D. in Social Work—University of Kentucky  
3\_13\_2\_fn08c.pdf

[8d] B.S. in Electrical Engineering—Western Kentucky University  
3\_13\_2\_fn08d.pdf



### 3.13.3

## Policy Compliance: 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 Federal Requirement 4.5, the institution should provide a copy of its student complaint policy or policies and, for each policy, an example of how the institution follows it through resolution of the complaint. (An institution may have several policies adapted to student services, academics, etc.)

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.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville (UofL) has reasonable, fairly administered, and well-publicized policies and procedures governing student complaints.

### Student Complaints

The university policies and procedures for student academic and nonacademic grievances require that each unit follow *The Redbook* 6.8.1 (the university's governance document) [1]. Generally most complaints are handled through informal discussions. Each office that is responsible for handling student complaints is also responsible for maintaining the records of the action taken and when the issue was resolved.

The university has a Student Advocate [2] to assist students who need help and don't know where to find it. The Student Advocate reports to the Dean of Students rather than to an individual school, college, or unit because issues in which students need help often cross those boundaries. The Student Advocate serves all students at UofL.

A Student Grievance Officer [3], nominated by the student senate and appointed by the university president, is available to assist students throughout with grievance. The Student Grievance Officer reports to the Dean of Students within the Division of Student Affairs and serves all students at UofL in a wide variety of academic and nonacademic issues. The officer's role is to inform students of their rights and to assist them with the informal process and any formal hearing or meetings that may take place.

The Student Advocate and the Student Grievance Officer both refer and respond to student complaints submitted in writing, via email, or through the web form. Complaints received through the Student Advocate and Student Grievance Officer are directed to appropriate university or unit offices and logged into the Maxient Database for follow-up. Most complaints are resolved informally through discussions or email correspondence in the units.

Off-campus students, including online students, have the same access to the student complaint process as on-site students [4].

### **Dissemination of Complaint Policies and Procedures**

Information about the university's student complaint procedure [5] and an online complaint form [6] are available on the Dean of Students (DOS) website. The DOS regularly circulates information describing the process to students and units [7] [8] [9].

UofL publishes policies and procedures concerning student complaints and grievances in *The Redbook* 6.8 [10], in the *Undergraduate* [11] and *Graduate Catalogs* [12] and in the *Student Handbook* [13]. The online learning website informs off-campus students about the student complaint process, and advisors in the Delphi Center are also available to assist [14]. The professional schools of Dentistry [15] [16], Law [17], and Medicine [18] [19] provide complaint and grievance information in their individual Student Bulletins and/or on the program website.

### **Contents of the Complaint Log**

The complaint log contains information about the date of the complaint and how it was received, the name of the departmental contact, a description of the complaint, the resolution, the date resolved, and any additional comments.

### **Grievance/Complaint Process**

1. The Office of the Vice Provost for Student Affairs (VPSA) coordinates the centralized process for the collection, dissemination, and logging of student complaints.
2. Each academic and administrative unit has an assigned representative to coordinate the student complaint process.
3. The Student Advocate coordinates the centralized complaint process with the academic and/or administrative unit representatives.
4. Written complaints are initiated using UofL's online complaint form [20] or through informal contact with the unit.
5. Any complaints received through the centralized university web form are recorded and tracked by the Student Advocate in the university's complaint log.
6. The Student Advocate distributes complaints received through the online web form electronically to the appropriate academic and/or administrative unit representative for action.
7. Complaints received by units directly are electronically forwarded to the Student Advocate, or, if the complaint is resolved in the unit, the unit representative logs the complaint and resolution into the central database.

8. After resolution of any complaint, the student advocate or unit representative electronically records the resolution in the central database.

### **Maintenance of the Complaint Log**

The Office of the Dean of Students (DOS) [21], in the Office of the Vice Provost for Student Affairs (VPSA), is responsible for the maintenance of the university's record of student complaints. The complaint log is archived in the Maxient Database, which provides a central repository for student conduct and related records. Any related correspondence resulting from the complaint process resides in the office that resolved the complaint. Records of formal grievance procedures are retained permanently following the university's records retention policy [22].

As required by the SACSCOC Principles of Accreditation, the Student Complaint Log will be made available to the on-site visit team.

### **SUMMARY**

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 or the unit representative records complaints into the university's centralized complaint database. The complaint record includes dates, description of the complaint, contact information, and resolution. Information on complaint procedures is made available to students and the university community on the web, in catalogs and other documents, and in regular electronic communication.

[1] *The Redbook*, Section 6.8.1, Student Grievance Procedures  
3\_13\_3\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#ART6.8>

[2] Student Advocate  
3\_13\_3\_fn02.pdf  
<http://louisville.edu/studentadvocate/>

[3] Student Grievance Officer  
3\_13\_3\_fn03.pdf  
<http://louisville.edu/dos/help/studentgrievance>

[4] Online Learning Student Complaint Procedure  
3\_13\_3\_fn04.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>

[5] Dean of Students, Student Complaint Procedures Website  
3\_13\_3\_fn05.pdf  
<http://louisville.edu/dos/help/student-complaint-procedure>

[6] Student Complaint Webform  
3\_13\_3\_fn06.pdf  
<http://louisville.edu/student/form/studentcomplaintform/>

[7] Student News Email Circulated to All Students Regarding Student Complaint Policy and Procedures  
3\_13\_3\_fn07.pdf

[8] Communication Regarding Student Complaint Policy and Procedures to Unit Deans  
3\_13\_3\_fn08.pdf

[9] Roster of Unit Contacts Maintained by the Dean of Students Office  
3\_13\_3\_fn09.pdf

[10] *The Redbook*, Article 6.8, Student Grievance Procedures  
3\_13\_3\_fn10.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#SEC6.8.1>

[11] *Undergraduate Catalog*  
3\_13\_3\_fn11.pdf  
[http://louisville.edu/undergraduatedcatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=118](http://louisville.edu/undergraduatedcatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=118)

[12] *Graduate Catalog*  
3\_13\_3\_fn12.pdf  
<http://louisville.edu/graduatecatalog/graduate-student-academic-grievance-procedure>

[13] *Student Handbook*  
3\_13\_3\_fn13.pdf  
<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-handbook>

[14] Online Learning Student Complaint Procedure  
3\_13\_3\_fn14.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>

[15] Dental School Complaint Information Webpage  
3\_13\_3\_fn15.pdf

[16] Dental School Grievance Information, Page 48 from Dental School *Bulletin*  
3\_13\_3\_fn16.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)

[17] Law School Academic Grievance Procedure, Pages 33-36 from Law School Handbook  
3\_13\_3\_fn17.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16>

[18] Medical School Student Complaint Process, Page 27 from Medical School *Bulletin*  
3\_13\_3\_fn18.pdf  
[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)

[19] Medical School Student Grievance Information, Page 34-36 from Medical School *Bulletin*  
3\_13\_3\_fn19.pdf  
[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)

[20] On-line Student Complaint Form  
3\_13\_3\_fn20.pdf  
<http://louisville.edu/student/form/studentcomplaintform/>

[21] Office of the Dean of Students

3\_13\_3\_fn21.pdf

<http://louisville.edu/dos/help/student-complaint-procedure>

[22] University Record Retention Policy

3\_13\_3\_fn22.pdf

<http://louisville.edu/library/archives/university/recmgmt/recordsRetention.html>

### 3.13.4.a

## Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports

**Applicable Policy Statements.** An institution includes a review of its distance learning programs in the Compliance Certification.

**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 its distance and correspondence education programs and courses.

### Judgment

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. UofL has been offering online education since 2001. An assessment of UofL's compliance with standards that apply to online and distance education programs and courses is incorporated throughout the report, reflecting the philosophy and practice that compliance to the standards is the same, regardless of delivery method of the courses or programs. UofL does not offer correspondence courses or programs.

UofL online [1] and off-site [2] 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. Many faculty who teach on-site courses also teach online and off-site courses. The same university and unit student support services are available to online and off-site students.

Additionally, in response to the provisions of the *Higher Education Reauthorization Act of 2008*, the university is actively working state by state to achieve compliance with the licensing and/or authorization regulations associated with online programs and any institutional activities that establish physical presence outside of Kentucky. The Delphi Center for Teaching and Learning is working with academic units university-wide to address this regulatory concern. To date, UofL is authorized or exempt in 47 states and Washington, D.C., for most of its online programs, with 39 of those states approved for all of UofL's online programs. In response to public disclosure requirements the university has posted information online about all off-site offerings [3].

An overview of the specific standards in the compliance certification report that cover the practices related to distance education is provided below:

**2.4: Institutional mission - 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.**

The university's mission is inclusive of online and distance education and does not differentiate based on the delivery mode or location of the education. All online and off-site

programs at UofL are consistent with UofL’s mission. As part of any new program approval process and as part of the program review process distance education programs must indicate how they relate to the institution’s mission and goals.

**2.5: Institutional effectiveness – 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.**

The university’s strategic planning process is tied to institutional scorecards that measure progress in teaching, research, and service goals. The goals are inclusive of online and distance education.

**2.7.1: Program length – 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 hours or its equivalent unit.**

No differentiation exists between on-site, off-site, or online programs. Each distance and online education program meets or exceeds the required minimum number of hours for its degree level as stated in this standard. UofL offers 18 online programs: 5 bachelor degrees, 8 master’s degrees, 3 graduate certificates, and 2 graduate endorsements in education (see Table 1 for the required credit hours for each program).

**Table 1. UofL Online Programs**

<b>Program</b>	<b>Level</b>	<b>Degree/ Credential</b>	<b>Credit Hours</b>
Communication	Undergraduate	B.A.	121
Communication	Undergraduate	B.S.	121
Criminal Justice	Undergraduate	B.S.	121
Organizational Leadership and Learning	Undergraduate	B.S.	123
RN to Bachelor of Science in Nursing	Undergraduate	B.S.N.	120
Civil Engineering	Graduate	M.S.	30
Computer Science	Graduate	M.S.	30
Criminal Justice	Graduate	M.S.	36
Engineering Management	Graduate	M.Eng.	30
Higher Education Administration	Graduate	M.A.	36
Human Resources and Organization Development	Graduate	M.S.	33
Social Work	Graduate	M.S.	30 or 60
Special Education	Graduate	M.Ed.	33-42
Autism and Applied Behavior Analysis	Graduate	Certificate	18
Data Mining	Graduate	Certificate	18
Network and Information Security	Graduate	Certificate	12
Classroom Reading Endorsement (P-12)	Graduate	Endorsement	18
Instructional Technology Endorsement (P-12)	Graduate	Endorsement	12

**2.7.2: Program content – 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.**

UofL follows the same approval process for new off-site and online programs as for on-site programs. Online and off-site offerings are embedded within the departmental curricular structure and are viewed as alternative delivery methods that maintain the coherent course of study of the on-site program. Decisions regarding delivery of instruction and faculty assignments are made by the academic units offering the program.

Developing a new online or off-site program or converting an existing campus-based program to an online or off-site format is a pedagogically driven decision. Working with their college and department, the faculty use their experience as educators and their knowledge in their field to form the pedagogical basis for the program in accordance with the university's *Redbook*, which states, "Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to the admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit."

Online and off-site programs at UofL are reviewed as part of the regular review process for all programs at UofL. The programs are approved by the faculty and administration, and learning outcomes have been established and are regularly evaluated. Proposals for new degree programs are reviewed and approved by the unit faculty/dean, Faculty Senate, Provost Office, and Kentucky Council on Postsecondary Education before they are recommended to the Board of Trustees. Student learning outcomes assessment for online programs is conducted using the same process and template as all program outcomes assessment.

**2.7.3: General education – In each undergraduate degree program, the institution requires the successful completion of a general education component at the collegiate level that (1) is 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.**

Online and off-site undergraduate programs are held to the same general education requirements as on-site programs [4]. All general education courses are available online, as well as a variety of other undergraduate electives, so students are able to take all of their first two years of undergraduate study online. UofL general education instruction is also offered at a variety of off-campus locations. Online and face-to-face instructional options either on- or off-campus provide students multiple opportunities to complete their general education requirements.



**2.8: Faculty – 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.**

Online and off-site courses, like traditional on-site courses, may be taught by full-time or part-time faculty or graduate teaching assistants, all at the program's discretion. All UofL courses (whether on-campus, off-site, or online) are taught by faculty who are appropriately credentialed. All faculty are held to the same academic qualifications. All programs must demonstrate adequate faculty resources, and projections of estimated student and faculty headcounts are required for any proposed programs.

Online classes are embedded within the departmental curricular structure and are viewed as an equivalent delivery method when compared to face-to-face instruction. Existing online or off-site programs undergo the same program review process as on-site programs.

**2.9: Learning resources and services – 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.**

All of UofL's students, including online and off-site students, have access to the library collections and services, including real-time access to librarians using the "Ask a Librarian" live chat feature, phone, or email. Online students and faculty can receive research assistance by scheduling a virtual research appointment, locate and retrieve items from UofL's library or another university's library collection, and gain remote access to the library's electronic databases and journals. Students in online and distance education courses may request materials to be scanned, or, for those living in the United States, physically mailed to them.

Faculty teaching online or living at a distance may access the library's distance learning services in a variety of ways. They may request an electronic course guide reserve, which allows faculty to have course guides tailored for what works best for his or her students, such as linking to a full text article or book chapter. Librarians create custom webpages that include links to databases and other information to help online and distance students find sources for their research and learning. In addition, librarians will collaborate with instructors to design custom online learning modules embedded within Blackboard that train students on how to research. Faculty members who would like their online students to have direct exposure to library instruction can schedule an online session taught by a librarian, who will tailor instruction to assignments and provide online students opportunities for hands-on learning.

**2.10: Student support services – 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.**

Students enrolled in online and off-site programs have adequate access to a range of services appropriate to support them. All prospective and currently enrolled students at UofL are sent the Online Learning Course Demo, which provides students with a space to learn and interact with Blackboard, UofL's course management system, and to learn about successful strategies for learning online. Undergraduate students are required to attend an online orientation that introduces the basic services and resources available to them. Units

offering graduate programs and distance learning instruction develop their own orientation programs that provide this information.

The Delphi Center has three distinct but collaborative units to support faculty and students engaged with distance education: Online Learning, Instructional Design and Technology, and Blackboard. The Delphi Center manages the Online Learning website for the university, which lists the student services available to online and off-site students and provides links to appropriate contacts [5].

At the start of each semester, the Delphi Center emails all students enrolled in online courses information about the support services available, along with links to these services (such as the Online Course Demo, the Virtual Writing Center, online course tutoring through Resources for Academic Achievement [REACH]), library, IT contact information, and the Online Learners support page in Blackboard. Students may access online services for quick access to the schedule of classes, unofficial transcripts, class schedules, semester grades, and account information. For more extensive services, including registration, address/phone number maintenance, and checks for holds on their records, students can log on to ULink, the university portal. Students in off-site locations are informed about these services through orientations or staff support provided at the specific location.

All distance and online learning students have access via email, phone or online to UofL's bookstore, career development center, advising, disability services, and veteran services. Technical support is provided by IT, allowing students to email, call, or use live chat to get help. Support is available seven days a week from 6 a.m. to 10 p.m. Monday through Thursday, with slightly reduced hours Friday through Sunday.

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.

Students in fully online programs are provided comparable and specific student services such as library, advising, registration, counseling, disability support services, virtual tutoring, virtual career services, online writing center assistance, and more through phone, email, and other methods of communication to ensure that online student needs are supported.

The Division of Student Affairs launched an initiative in 2015 to connect to all students, including distance education students, in multiple formats to allow students to access some services from its departments any time and from anywhere. In order to eliminate the barriers of distance from campus the division made a commitment that all departments in the division would work toward creating programs and services that could be accessed online. The Division of Student Affairs launched a website that is prominently featured on the division home page that serves as a centralized hub for the various programs and services each department identified as an opportunity to link online [6].

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

Off-site programs are discussed in 3.4.7. In negotiating Memoranda of Agreement UofL program faculty determine the adequacy of the off-campus space at each location.

### **3.3.1.1: Educational Programs, to include student learning outcomes - The institution identifies expected outcomes, assesses the extent to which it achieves**

**those outcomes, and provides evidence of improvement based on the analysis of the results in educational programs to include student learning outcomes.**

Student learning outcomes (SLO) assessment is conducted in the same way for all programs at UofL. At its proposal stage, each degree program indicates the student learning outcomes and identifies measures to be used to assess student learning, and an annual reporting process documents progress in achieving goals. Additionally, programs are now asked to disaggregate SLO results for online education or distance learning sites.

**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)**

Online and distance education programs follow the same new program development, proposal, and approval process as on-site programs. Per Section 3.3.2 of *The Redbook*, academic authority for creating new degree programs rests with the appropriate academic unit. All proposals for new online degree and certificate 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 unit faculty and dean, the university's Provost Office, and the Faculty Senate before they are recommended to the Board of Trustees for approval. Kentucky Council on Postsecondary Education (CPE) grants final approval for all new academic programs in Kentucky.

**3.4.4: The institution has a defined and published policy for evaluating, awarding, and accepting credit for transfer, experiential learning, 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.**

UofL has defined and published policies for evaluating, awarding, and accepting credit for transfer, experiential learning, and advanced placement. UofL has five online undergraduate degrees that are mostly geared toward adult and transfer students. Though students can take all of their general education courses online, the online undergraduate degree programs are designed for students to transfer in their lower division coursework.

UofL is guided in its transfer policy by the General Education Transfer Policy developed in 1996 by the Kentucky Council on Postsecondary Education (CPE) and revised in 2004 to facilitate the transfer of credits between public colleges and universities in Kentucky. The policy was further revised in 2010 with passage of House Bill 160, which coordinates the transfer of general education courses across the state of Kentucky for all public two-year and four-year institutions. The transfer of "block" general education courses is mandated so that students may transfer within the state of Kentucky with limited obstructions to degree completion. UofL's Undergraduate Catalog describes the specific requirements and credits awarded for transferring courses. The Office of Admissions also provides the university's undergraduate transfer credit policy on the web.

UofL has eight online graduate degree programs, all of which accept transfer credit that adheres to the university's policy on transfer credit for graduate programs. General policies for accepting transfer students and credit for course transfer at the graduate level are defined in the Graduate Catalog. Six earned graduate credit hours may be transferred from

an accredited graduate school. Up to six additional transfer hours may be petitioned, provided that these additional hours are not credits earned by extension, thesis, or practicum and provided that the residency requirement of 24 semester hours is maintained by the addition of UofL credits to the total program. The director of the graduate program in which the student is seeking additional graduate work evaluates the course work being considered for transfer to ensure it is comparable to the UofL course work.

UofL does not have online professional programs.

**3.4.5: Academic Policies - 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 for online programs are the same policies that govern all academic programs for the institution. *The Redbook* is the basic governance document of the University of Louisville and is available online. *The Redbook*, Chapter 3 addresses the organization and governance of academic programs. Any policies and procedures related to academic programs, including online programs, must be consistent with *The Redbook*. *The Redbook* specifies that unit faculty maintain legislative power over curriculum and academic policies, consistent with those of the university.

The Undergraduate and Graduate catalogs include information about online programs and courses available to students, as well as the academic and administrative policies that pertain to all students, which includes online and distance students.

Policies for undergraduate students, which also apply to online students, are published on the web in the *Undergraduate Student Handbook*. Each semester, information about the *Undergraduate Student Handbook* is sent to students in the Student Weekly News, which online students also receive. A link to the online *Student Handbook* is also found in the *Undergraduate Catalog*. The School of Interdisciplinary and Graduate Studies publishes an online *Graduate Student Handbook* that was developed in conjunction with the deans and associate deans of the academic units.

Faculty for online and off-site courses also have access to academic and classroom policies in the online *Faculty Handbook*. This faculty resource reviews policies for undergraduate and graduate education, general education, and classroom policies and provides links to campus-wide resources on matters of academic policy.

**3.4.6: Practices for awarding credit - 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.**

Distance and online courses at UofL must be approved using the same process as on-campus courses. Faculty are responsible for the initial recommendation of credit hours for a course – a practice that adheres to *The Redbook*, which guarantees to each unit's faculty general legislative powers over all matters pertaining to the unit's curricula and instruction. Once proposed by the faculty member, online and off-site courses must be approved at the program, department, unit, and university levels using the Course Inventory File – Curriculum Request (CIF) [7]. Because the delivery mode is determined at the section level, the CIF does not specify the delivery mode. The number of contact hours per semester is indicated on the CIF and is verified by the Provost Office according to the university's policy for awarding of course credit [8]. This policy, which is applicable to undergraduate,

graduate, and professional programs, states that one credit hour of lecture, discussion, or seminar requires at least 50 contact minutes per week during a regular semester. A regular semester (fall/spring terms) at the university is based on a standard of fourteen (14) weeks. Courses offered entirely through distance education or other alternate methods must offer opportunities for a comparable amount of contact with the instructor to comply with the credit hour policy.

In fall 2016, UofL will offer its first competency-based education program (BS in Organizational Leadership and Learning, Healthcare Leadership). This competency-based education design is structured under a self-paced, course/credit based format arranged into single credit courses designed around learning experiences by competencies.

**3.4.7: The institution ensures the quality of educational programs and courses offered through consortial 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.**

The university has several academic programs that are offered off-site under contracts such as memoranda of agreement/understanding or articulation agreements [9]. All consortial agreements must be approved by the academic unit and be signed by the University Provost. These agreements include joint, dual, and collaborative degrees that are managed through the responsible academic units, and the program faculty are responsible for providing oversight and administration of the program in accordance with *The Redbook*, Section 3.3.2.

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 [10]. The Vice Provost for Diversity and International Affairs has been delegated the approval and signature authority for all international agreements. The Office of the University Provost coordinates the review and approval of all other agreements with the responsible academic unit.

Consortial relationships fall into three categories – degrees, partnerships, and group consortiums or contract delivery. In order to ensure the quality of all consortia relationships or contractual agreements directly related to educational programs or courses, such offerings are regularly evaluated by the deans and department chairs per the language of the agreement. Each agreement is prioritized by the dean based on the unit's mission and authorized by the university provost to ensure university mission alignment. Any agreements covering student internships, study abroad, transfer/articulation, and clinical training are not discussed in this 3.4.7 compliance report as directed by the SACSCOC Resource Manual. The university's accreditation liaison coordinates the submission of relevant agreements to SACSCOC as required by Comprehensive Standard 3.12.1.

The university also has collaborative partnerships with academic institutions and non-academic partners, such as the engineering degrees offered at the General Electric (GE) Plant in Louisville, Kentucky. Two engineering degrees are taught at that location to GE employees, and the Speed School of Engineering faculty provide the necessary oversight for the program.

**3.4.9: The institution provides appropriate academic support services.**

Students in online and off-site programs and courses have the same access to academic support services as students in on-campus programs.

The Delphi Center for Teaching and Learning is the central unit on campus that connects students and faculty with academic support services for online learning. The Delphi Center partners with the academic and administrative support units on campus to ensure online students have access to comparable support services. Faculty can work directly with the Delphi Center to receive faculty development, online course development, and training support.

Academic units partner with the Delphi Center when planning their online programs. During the planning process, the Delphi Center provides guidance regarding standards, expectations, and best practice for student support and success and informs the academic units what support services are available for both students and faculty.

Enrolled online students receive emails throughout the semester informing them of the support services available, such as the Virtual Writing Center, virtual tutoring through REACH, and the virtual library services. The Delphi Center also sends emails to faculty teaching online each term so they are aware of the services available to their students and encourages them to add the information to their online course in Blackboard and to their syllabus. Each online course shell in Blackboard has a "University Resources" button that includes information and links to these resources so students have access to them in each course. Similarly, all students enrolled in an online course have access to an Online Learners tab in Blackboard where they can also access these services along with the academic calendar and online course demo.

Prospective online students are made aware of the support services available when speaking to the enrollment counselors at the Delphi Center and by reviewing the UofL Online Learning website. They also receive access to an "online course demo" that allows both prospective and online students to engage in a sample online course and ask questions. This demo is sent to currently enrolled students at the start of each term.

Faculty can work directly with the Instructional Design and Technology team in the Delphi Center to receive faculty development, online course development, and training support. The faculty support services are designed to meet the following goals: 1) Provide principles and tools for faculty to create effective, interactive, and stimulating online/blended courses; 2) Introduce faculty to ways to design, develop, deliver and assess online/blended courses; and 3) Provide technical support and troubleshooting for online/blended courses.

**3.4.11: Qualified academic coordinators - 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.**

All academic programs at UofL, including online and off-campus programs, are coordinated by either a program coordinator or a department chair within the field of the degree being offered. 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. The academic units at the university define "field" as a specialized area of knowledge and related scholarship and instructional practices. Individuals who are specialists in a given field have specialized training and/or educational or other related experiential experiences that qualify them to teach their assigned courses.

Program coordinator rosters are available under the full Comprehensive Standard 3.4.11 report.

**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.**

All students enrolled in online and off-site programs and courses have access to Blackboard, the university's course management system, where online courses are held. Students log in using the same credentials they use for accessing Ulink and email, making it easy for students to authenticate and access their course.

Students and faculty in all units use computers, the internet, and special software applications. The university provides a variety of resources for students, including e-mail, computing facilities, access to training, technology support, and discounted software. Off-site and online faculty have convenient access to Blackboard, and usage is increasing each semester. Blackboard provides additional resources and both face-to-face and online training for faculty. ULink is the student's online portal to register for classes, manage their accounts, view their transcript, and more. All students are provided with a Microsoft Office 365 account (CardMail), which includes email, SharePoint, and Lync instant messaging, as well as free access to the full Microsoft Office suite of products and a 50 GB OneDrive.

Faculty who teach online can partner with the Delphi Center for Teaching and Learning to learn the technology and best practices for teaching online. Delphi U, Delphi U Online, Survivors Guide for Teaching Online, Instructional Resources, and other online resources are available to faculty. Training ranges from one-on-one consultation to workshops on specific instructional technologies, such as iClicker and SoftChalk, and how to use them effectively.

Faculty have the option of making their courses real-time (synchronous) or offering synchronous course sessions using Blackboard Collaborate, an online conferencing tool that allows faculty members to share video, audio, presentations and screen sharing. The Delphi Center offers customized Collaborate training for faculty and also can be on-call for support if there is an issue that the faculty member cannot address.

IT provides support to faculty and students by phone, email, and Live Chat through the IT HelpDesk. Discounted or free software is available to faculty, staff, and students through the iTech Xpress technology store. Online and off-campus faculty and students may purchase software online. Students may also download Office 365 Pro Plus for free and employees can participate in Microsoft's Home Use program for a nominal fee.

In support of distance education the university has built an extensive data network, including a 40Gbps campus backbone network and a high-speed inter-campus fiber network providing access to university applications and the Internet. The university has multiple high-speed Internet access points, including Internet service through private circuits and the Kentucky Regional Optical Network (KyRON). UofL is a member of the Internet2 network. All Internet traffic is protected by campus firewalls and sophisticated intrusion detection systems.

**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.**

All requirements for UofL's undergraduate programs are published online in the *Undergraduate Catalog*, which is updated annually. The UofL Online website also publishes the degree requirements of online programs in partnership with the academic units offering the online degrees.

Requirements for off-site programs are the same as those for on-site programs. Online undergraduate program and general education requirements follow the commonly accepted standards and practices for degree programs. All online programs adhere to the same policies and procedures as the campus-based degrees, and all online baccalaureate degrees require at least 120 credit hours. Academic authority for online undergraduate degrees rests with the appropriate academic unit. New online program proposals follow the same process as the campus-based program proposals and are developed by the faculty in the discipline, ensuring the appropriate sequence of courses and other requirements necessary to ensure students are qualified and knowledgeable in their fields upon graduation.

**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.**

At least 25 percent of the course hours in each online or off-site baccalaureate-level program are taught by faculty members who hold an appropriate terminal degree.

**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.**

Requirements for UofL's graduate programs are published online in the *Graduate Catalog*, which is updated annually. UofL has 13 online graduate programs – 8 master's degrees, 3 graduate certificates, and 2 teaching endorsements. The UofL Online Programs website also publishes program requirements in partnership with the academic units offering the online degrees.

Off-site and online graduate programs have the same requirements as their on-site counterparts and follow commonly accepted standards and practices for degree programs. All online programs adhere to the same policies and procedures as campus-based degrees for defining and monitoring requirements for graduate programs, for identifying and assessing student learning outcomes, and for conducting academic program reviews.

**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. (Faculty Competence)**

The faculty credentialing process is the same for online and off-site program faculty as for on-site faculty. See Comprehensive Standard 3.7.1.

**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)**



Per chapter 4 of *The Redbook*, the university's governance document, all faculty are evaluated on an annual basis:

All part-time, term, probationary, and tenured faculty must be reviewed in writing annually. Unit personnel documents shall specify the process of annual review, which shall be consistent with *The Redbook* and the Minimum Guidelines. Copies of the evaluations are maintained in the Office of the Dean in each unit.

Faculty teaching off-site or online are subject to the same evaluation standards as those teaching in on-site programs.

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

The university's Delphi Center for Teaching and Learning offers a wide range of faculty development programs and services, including online offerings. The Delphi Center keeps faculty informed of their activities through monthly faculty emails, targeted email promotions, UofL Today daily email announcements promoting workshops, and word-of-mouth outreach. In addition, the Delphi Center offers a variety of faculty development options for faculty to learn to teach online. Faculty teaching in off-site locations are either permanent faculty that travel to that location from the sponsoring UofL unit or are local part-time faculty hired to teach courses. Faculty for these programs have access to the same professional development opportunities as those teaching on-site.

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

The UofL Library provides access to its services and resources for faculty and students at a distance. The services include off-campus access to library assignments by course professors (electronic course reserves) and off-campus access to electronic databases of library resources for self-directed research. The Library also provides delivery of library resources not available through online sources, including the retrieval and copying of items from the libraries' print collections or through Interlibrary Loan (ILL). These items are mailed or scanned and emailed to the users. Research and instruction assistance are provided through Ekstrom Library's Research Assistance and Instruction (RAI) unit. Research inquiries are directed to appropriate subject liaison librarians. Instructional support for online classes is provided through RAI's Online Learning Team, which develops general online research instruction and for specific classes as requested by faculty.

PeopleSoft/Blackboard integration provides immediate access to these services for students enrolled in online courses. Students enrolled in distance courses can access the reference services via email and phone eighteen hours per day. The Library and Delphi Center for Teaching and Learning meet semi-annually to discuss needs and opportunities to enhance the services available to online faculty and students. In 2015, the Delphi Center began promoting the library services and resources to online faculty and students by sending emails with links to the Library's website devoted to distance learning services [11].

New online and off-site programs follow the same approval process as on-campus programs. The new program approval template requires a description of the library resources and instructional equipment available to support the program. An evaluation of library holdings and additional library resources needed is required to support the proposed program. Appropriate subject librarians review the proposed program and assess current collection strengths and gaps.

### **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.**

The provision of library and information literacy instruction to students, faculty, and staff in on-site, off-site, and online settings is a key component of UofL Libraries' mission to "meet the information, research, and service needs of a diverse population." On-site, off-site, and online instructional services for the Belknap Campus are coordinated primarily through Ekstrom Library's Research Assistance and Instruction (RAI) Department. Faculty, students, and staff can learn about and access services through the RAI website and the University Libraries website. Both websites feature prominent "Ask a Librarian" links to address users' immediate needs by phone, chat, and e-mail, as well as forms and contact information to schedule classes, appointments, and other services. All services are available in person and online, and the RAI website includes a specific portal for online/distance users.

University Libraries provides library and information literacy instruction through individual class sessions integrated into UofL courses by request. Faculty members can request sessions for their courses through the websites for each library. Along with traditional face-to-face classes, synchronous online instruction for distance courses is available and can be requested. Faculty teaching in international programs and off-site dual degree programs can request classes as well.

In addition to class sessions requested by professors, librarians present at Delphi U, the faculty development program for faculty who are learning to teach online, and also provide online assistance with EndNote, a software tool that helps compile citations and create formatted bibliographies for student and faculty research.

Library and information literacy instruction and services are available to online/distance students (including students in international programs and off-site dual degree programs) and are conducted via e-mail, phone, or online chat. Library users can request an appointment via individual library websites, as well as the general "Ask a Librarian" webpage.

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 are especially useful in supporting a wide variety of distance education programs, including international programs and off-site, collaborative degree programs.

Librarians create and update guides for specific subject areas and collaborate with faculty to create guides for particular courses, which are accessible from a central website and from individual links on various library webpages. Relevant subject guides are also accessible to students in Blackboard course shells, which feature a prominent link for "Library Research."

Using LibGuides software and other technological tools, librarians also create tutorials that help online and distance users navigate library resources. For example, the University Libraries website includes prominent links to "How to Find" guides that explain how to locate specific types of sources, such as scholarly articles, dissertations, primary sources, videos, images, and more.

In addition to the guides and tutorials listed above, librarians create customized, interactive learning modules that incorporate information literacy instruction into particular UofL

courses. Faculty can find information about requesting modules and see examples of current modules on the web. Ekstrom Library's Online Learning Team, consisting of three library faculty members and two professional staff, has principal responsibility for module design and promotion of this service. The team leader is the Online Teaching and Outreach Librarian, a position specifically dedicated to online instructional services. Student performance is assessed using questions and activities embedded in the modules.

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

UofL's statement of student rights and responsibilities is published online in several locations. Online and off-site students are informed of the UofL Code of Student Rights and Responsibilities and the Code of Student Conduct in several ways. All students, including distance education students, receive weekly emails with campus news and events. Each semester these emails remind students about the Code of Student Rights and Responsibilities, the Code of Student Conduct and related campus policies, and expectations. In addition, the Code of Student Rights and Responsibilities and Code of Student Conduct can be found online through the UofL Online Programs website, Dean of Students website, the Student Handbook, the *Undergraduate Catalog*, and the *Graduate Catalog*.

All student rights and responsibilities violations/grievances are overseen by the Student Grievance Officer following the policies of *The Redbook*. The Student Grievance Officer keeps electronic records of all student grievances. Online and off-site students follow the same process as campus-based students and work with the Student Grievance Officer as needed. The UofL Online Learning website, the Dean of Students website, and the Consumer Information website provide information about the complaint process for online, distance, and out-of-state students and include a listing of the other higher education agencies for filing complaints.

**3.9.2: The institution protects the security, confidentiality, and integrity of student records and maintains special security measures to protect and back up data.**

The University of Louisville (UofL) protects the security, confidentiality, and integrity of its student records, including those of online and off-site students, in compliance with the *Family Educational Rights to Privacy Act* (FERPA). Students are notified annually of their FERPA rights. UofL's "Notification of Students' Privacy Rights under FERPA" is published on the university's website, in the UofL catalogs (Undergraduate, Graduate, Medical, Law, and Dental), and in the annual Registration Information Newspaper, among other appropriate student information materials. There is a link on the Registrar's Office homepage to FERPA information. ULink, the university portal, has a FERPA link on the landing page as well as the Student and Faculty/Staff pages. Electronic records are protected in PeopleSoft by a security system that restricts access and maintenance of records to authorized personnel only. To receive access to student records in PeopleSoft, a user must submit a request.

To ensure that privacy guidelines are followed, the Director of Records and Registration annually asks offices dealing with student records to confirm if the current employees listed are still approved for student record access and have an educational need to know.

**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.**

The University of Louisville (UofL) operates and maintains off-campus physical facilities that appropriately serve the needs of its educational programs, support services, and other activities.

Fifty percent or more of traditional undergraduate and graduate program offerings are available at the following locations:

- Fort Knox Army Base, Fort Knox, KY
- School of Medicine Trover Campus, Madisonville, KY
- Quality Leadership University, Panama
- Owensboro Medical Health Systems, Owensboro, KY
- General Electric, Louisville, KY
- European Business School, Ooetrich-Winkel, Germany
- Akademie Worth Business School, Germany

The adequacy of space is considered as each consortial agreement is negotiated, and agreements are only undertaken with those partners who can provide the appropriate space. Any partnerships with schools holding SACSCOC accreditation were assumed to have the appropriate space as judged by the program faculty (Western Kentucky University, University of Kentucky Gatton College of Business and Economics—joint degree, UK/UL Social Work degree).

#### **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.**

Development, approval, and review of distance and online programs follow the same procedures and policies as the campus-based programs at UofL. All online and off-site programs adhere to the university's new program development, proposal, approval, and review process. The Delphi Center for Teaching and Learning partners with the academic and support units on campus to ensure that the unique needs of online learners are being met.

The proposed curriculum of the program is reviewed at the program, department, unit, and provost level to ensure that it is consistent with commonly accepted practices in higher education. In addition to unit- and university-level approval, the proposed program must be approved by the Kentucky Council on Postsecondary Education (CPE). The CPE approval process is designed "to promote program quality and to assure any program expansion serves to support the objectives of the university's strategic plan and the academic mission of the sponsoring unit." After the approval of a new program the faculty communicate and coordinate revisions to the program curriculum through the units' and university's curriculum processes.

All degree programs (certificate, undergraduate, graduate, and professional, including online and off-site programs) also undergo regular academic program review every ten years using a template designed by CPE. In the review, programs are asked to review and compare their current curriculum with the previous curriculum. Additionally, programs report on their progress toward promoting the goals of the institution and the program's mission, goals, and student learning outcomes. Programs also complete a five-year progress report that follows up on their program's plan for improvement submitted in the ten-year review.

#### **4.3: The institution makes available to students and the public current academic calendars, grading policies, and refund policies.**

Online and off-site programs and courses follow the same schedule as on-campus programs.

The university publishes academic calendars a year in advance, with the current and following year available online. Information is available on the university homepage, under the academics tabs for students, future students, faculty, and staff. Calendars are published online for undergraduates, graduate students, and students in professional programs and are in the Undergraduate and Graduate Catalogs. Grading policies are published in the online Undergraduate and Graduate Catalogs. Refund policies, including specific drop dates and pro-rated costs, are available on the Bursar's Office webpage. The refund policy for Atypical Course Schedules is published on the Registrar's website, and the class meeting dates are in the Schedule of Classes and course syllabi along with the grading policy.

Links to the calendars, catalogs, and Bursar are all made available on the UofL Online Learning site as well as in the Online Learners tab in Blackboard. All students enrolled in online courses automatically have access to the Online Learners tab.

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

The University of Louisville offers programs that are appropriate in length and that follow accepted practices in higher education. All new degree programs (including online and off-site programs) are developed by faculty in the discipline using a CPE template and are then reviewed and approved by faculty, administrators, and governing bodies at multiple levels of the university following the KY Council on Postsecondary Education New Program Approval guidelines and the university's curriculum process. To determine program length, program faculty consider the requirements of similar programs at other institutions, accrediting body requirements, state and federal guidelines, and the necessary content and experiences students need to be well prepared in their fields. Online and distance degree and certificate programs follow the same development and approval processes as the face-to-face on-campus programs.

The five undergraduate online degree programs are from 120-123 credit hours. The eight graduate online degree programs range from 30 to 60 credit hours. The Master of Science in Social Work has a 30-hour and a 60-hour track, depending on whether the student's bachelor degree is in Social Work. This requirement adheres to the professional accreditation body's requirements for Social Work programs.

There are three online graduate post-baccalaureate certificates that range in length from 12 to 18 credit hours.

#### **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.**

The Office of the Vice President for Student Affairs (VPSA) coordinates a centralized process for collection, dissemination, and logging of student complaints. The Dean of Students (DOS) office manages the student complaint and grievance process, including complaints from online and off-campus students, who may file complaints via the online form, phone, email or mail using the contact information found on the DOS website.

The UofL student grievance policy and process are detailed in *The Redbook*, Section 6.8.1, and applies to both undergraduate and graduate online and off-campus

students. Generally, most complaints are handled through informal discussions. Students not satisfied with the informal outcomes may proceed with the formal process for either nonacademic or academic grievances.

In addition to the UofL Online Learning website, UofL publishes policies and procedures concerning student complaints and grievances in the *Undergraduate* and *Graduate Catalogs* and in the *Student Handbook*.

The university employs a full-time Student Advocate, who is trained in mediation, to assist students with concerns or complaints. The role of the Student Advocate is to advocate for the student as they work through existing policies and procedures.

A Student Grievance Officer, nominated by the student senate and appointed by the university president, assists students throughout the grievance process and aids students with a wide variety of academic and nonacademic issues. The role of the Student Grievance Officer is to inform students of their rights and to assist them with the informal process and any formal hearing or meetings that may take place.

Academic and non-academic grievances for online and off-campus students adhere to the same procedures as those for campus-based students. Policies and procedures for handling student complaints regarding nonacademic misconduct such as discrimination, harassment, and sexual assault are outlined in the Code of Student Conduct.

#### **4.6: Recruitment materials and presentations accurately represent the institution's practices and policies.**

The Delphi Center for Teaching and Learning is the central unit on campus responsible for promoting the UofL Online Learning brand and individual online programs. All materials adhere to the university's brand guidelines and accurately represent UofL's practices and policies. The Delphi Center frequently attends the Office of Communication and Marketing (OCM) training sessions to ensure they stay in compliance and are consistent with the UofL brand and communication policies. Recruitment materials for online learning are developed in partnership with the academic units and approved by OCM as necessary. All press releases are submitted through OCM.

The UofL Online Learning website lists all online programs, admission requirements, tuition and fee information, program length, student support services and links to student service and support units on campus, such as the Schedule of Courses and the Office of Financial Aid. The site also includes an extensive page regarding state authorization regulations and informs students in which states UofL is approved to operate. The Online Learning team in the Delphi Center has a marketing manager who develops annual marketing plans for the general brand as well as individual marketing plans that include paid digital and print advertising, social media, print materials such as brochures, and radio.

#### **4.7: The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended.**

The Student Financial Aid Office is responsible for processing and disbursing federal, state, and institutional aid for undergraduate, graduate, and professional students. All students, regardless of location (on-campus, off-campus and online), are served by this office. In addition, the Student Financial Aid Office monitors compliance with federal and state regulations. The university 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 to assure administrative responsibility and appropriate cash management capabilities.

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

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

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 and off-site learning system and to verify the identity of enrolled students. UofL issues all students, faculty, and staff unique and secure user identifications (ID) and passwords when they are admitted (students) or hired (faculty and staff).

UofL has written procedures in place for protecting the security, confidentiality, and integrity of all of its student records. Student privacy rights and information management are governed by adherence to the *Family Educational Rights and Privacy Act* (FERPA). Electronic records are protected in PeopleSoft by a security system that restricts maintenance and update access to authorized personnel (faculty and staff) only.

Students enrolled in online and off-site courses are not assessed additional charges for verification of student identity. In general, UofL uses the course schedule to communicate any additional fees (such as lab fees) or charges to students. Additionally, if any course requires a proctored exam, students are notified that fees may apply upon registration for the course.

## **SUMMARY**

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 is the same, regardless of delivery method of the courses or programs. UofL's 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.

- [1] UofL Online Programs  
3\_13\_4a\_fn01.pdf  
<http://louisville.edu/online/programs>
- [2] UofL Off-site Programs  
3\_13\_4a\_fn02.pdf
- [3] UofL Public Disclosure Webpage  
3\_13\_4a\_fn03.pdf  
<http://louisville.edu/oapa/public-disclosure-of-student-achievement>
- [4] General Education Program  
3\_13\_4a\_fn04.pdf  
<http://louisville.edu/provost/ger/>
- [5] Online Learning Website  
3\_13\_4a\_fn05.pdf  
<http://louisville.edu/online/>
- [6] Student Affairs Online Student Services  
3\_13\_4a\_fn06.pdf  
<http://louisville.edu/studentaffairs/students/distanced>
- [7] Course Inventory File (CIF)  
3\_13\_4a\_fn07.pdf  
<http://louisville.edu/oapa/institutional-research-and-planning/resources/course-inventory-form-cif>
- [8] Credit Hour Policy  
3\_13\_4a\_fn08.pdf  
<http://louisville.edu/oapa/credit-hour-definition-and-policy>
- [9] Off-Site Programs  
3\_13\_4a\_fn09.pdf
- [10] MOA Flowchart  
3\_13\_4a\_fn10.pdf
- [11] Distance Library Learning Website  
3\_13\_4a\_fn11.pdf  
<http://louisville.edu/library/ekstrom/research/distance/services>



### 3.13.4.b

#### **Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports**

**Applicable Policy Statements.** 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 within that system.

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

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville (UofL) is not part of a system. This standard does not apply to UofL.

### 3.13.5.a

#### **Policy Compliance: Separate Accreditation for Units of a Member Institution**

**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.

#### **Judgment**

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### **Narrative**

The University of Louisville does not have any branch campuses.

### 3.13.5.b

#### **Policy Compliance: Separate Accreditation for Units of a Member Institution**

**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.***

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **Narrative**

The University of Louisville does not have branch campuses or extended units.

### 3.14.1

#### **Representation of status with the Commission: Publication of accreditation status**

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.

#### **Judgment**

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### **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.

UofL's official publication of accreditation status is readily available on the university's Office of Academic Planning & Accountability (OAPA) website and presented as follows [1]:

The University of Louisville is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award associate, bachelor, master, specialist, doctoral, and first-professional degrees (D.M.D., J.D., M.D.). Individuals who wish to contact the Commission on Colleges regarding the accreditation status of the university may write the Commission at 1866 Southern Lane, Decatur, Georgia 30033-4097, or call (404) 679-4500.

SACSCOC should be contacted only for accreditation-related reasons. The UofL accreditation liaison should be consulted before any inquiries are made to SACSCOC. Contact the Office of Academic Planning & Accountability with any questions at (502) 852-6169.

This information can also be accessed from the university's opening webpage [2].

Units who wish to reference the university's SACSCOC accreditation are encouraged to link to the official university statement above. As well, the university has established guidelines for units to use when referencing the university's SACSCOC accreditation on their unit and program webpages [3].

The university also publishes accreditation information in the following locations:

- UofL Institutional Accreditation Webpage [4]
- UofL Online Learning Webpage [5]
- *Undergraduate Catalog 2016 – 2017* [6]
- *Graduate Catalog 2015 – 2016* [7]

## SUMMARY

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 above. As well, the university has established guidelines for units to use when referencing the university's SACSCOC accreditation on their unit and program webpages. The university also publishes accreditation information on its website, its online learning webpage, and in the undergraduate and graduate catalogs.

[1] About UofL Institutional and Professional Accreditation  
3\_14\_1\_fn01.pdf  
<http://louisville.edu/accreditation>

[2] Accreditation Link, University of Louisville Homepage  
3\_14\_1\_fn02.pdf  
<http://louisville.edu>

[3] UofL Accreditation Webpage Publication Policy  
3\_14\_1\_fn03.pdf

[4] UofL Institutional Accreditation  
3\_14\_1\_fn04.pdf  
<http://louisville.edu/oapa/accreditation-academic-programs-1/accreditation>

[5] UofL Online Learning,  
3\_14\_1\_fn05.pdf  
<http://louisville.edu/online/About-Us/accreditation-info>

[6] *Undergraduate Catalog 2016 – 2017*—Accreditation Status  
3\_14\_1\_fn06.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf)

[7] *Graduate Catalog 2016 – 2017*—Accreditation Status  
3\_14\_1\_fn07.pdf  
<https://louisville.edu/graduatecatalog/institutional-accreditation-and-membership>

## 4.1

### Student achievement

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.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville's (UofL) mission states the institution's intent to pursue "excellence and inclusiveness in its work to educate and serve the community" [1].

Goals 1.1 – 1.3 of the 2020 Plan, the university's strategic plan [2], define the performance metrics associated with educational excellence. Institutional progress on these performance metrics is monitored by the 2020 Plan University Scorecard [3]. When assessing student achievement, UofL considers the number of degrees awarded annually and the six-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.

#### Commitment to Student Achievement

UofL's commitment to student achievement is evidenced by processes that have been developed and implemented to collect, analyze, and use data from the entire academic lifespan of students at the university. From pre-enrollment variables to feedback collected from alumni, UofL uses student data deliberately to measure student achievement, set student achievement metric goals, and gauge the success of student-focused/intentional programming when compared to similar institutions.

#### Entering Student Profile

UofL has made deliberate efforts to align the academic profile of the incoming student population with the university's mission. In 2000, UofL's entering student population consisted of 2,241 students with an average high school GPA of 3.2 and an average ACT composite score of 22.2. In 2015, UofL's entering student population consisted of 2,708 students with an average high school GPA of 3.7 and an average ACT composite score of 25.5. UofL's focused efforts on recruiting have yielded a 20.8 percent increase in the size of the incoming student class, with a 15.6 percent increase in the average high school GPA and a 3.3 percentage point increase in the average ACT composite score.

Additionally, the originating geographical locations of UofL's incoming student population have shifted from 2000 to 2015. In 2000, 52 percent of the incoming student population resided in Jefferson County, Kentucky (the same county where UofL is located) at the time of admission to UofL. This percentage has decreased to 37 percent in 2015. In 2000, 33 percent of the incoming student population resided in Kentucky counties outside of Jefferson County at the time of admission to UofL. This percentage has increased to 45 percent in 2015 [4]. The institutional focus on our entering student profile has been one of the key

factors in the increase in our fall-to-fall retention and 6-year graduation rates. Table 1 details a subset of the first-time student profile for fall 2010 through fall 2015.

**Table 1. Abbreviated First-time Student Profile for Fall 2000, Fall 2010 through Fall 2015 (full-time, baccalaureate degree-seeking students)**

Year	Student Count	Average High School GPA	Average ACT	Jefferson County	Other Kentucky Counties
2000	2,241	3.2	22.2	52%	33%
2010	2,512	3.5	24.4	39%	44%
2011	2,511	3.5	24.7	37%	47%
2012	2,654	3.5	25.0	40%	43%
2013	2,805	3.5	25.2	38%	46%
2014	2,830	3.6	25.3	41%	41%
2015	2,708	3.7	25.5	37%	45%

### Retention and Six-year Graduation Rates

UofL's 1988 entering Graduation Rate Survey (GRS) cohort had a six-year graduation rate of 29.8 percent. The entering 2009 GRS cohort had a six-year graduation rate of 52.9 percent. UofL's six-year graduation rate has increased by 23.1 percentage points over the past 21 years [5] [6]. The university remains committed to increasing the six-year graduation rate to those rates achieved by other doctoral/research institutions, as evidenced by the established metric of the 2020 Plan. Additionally, UofL participates in the Consortium for Student Retention Data Exchange at the University of Oklahoma. This consortium "consists of 2-year and 4-year institutions dedicated to student achievement through sharing data, knowledge, and innovation" [7]. As a result of our participation, UofL has access to student retention/persistence data and six-year graduation rates as well as several key demographic variables of entering student cohorts at comparable universities.

### At-Risk Students

While aligning the profile of our incoming students with the university's mission has significantly contributed to the increase in our six-year graduation rate, UofL is mindful that a vital factor in student achievement is deliberate programming to identify and assist students who are at-risk academically. Currently, UofL has several initiatives in place that provide academic and non-academic support to first-year students.

The Office of First Year Initiatives was created in 2009 to provide incoming students with skills needed to be successful in the college environment [8]. From Welcome Week activities to mentoring programs, FYI reaches out to all incoming students to encourage active

campus engagement. Furthermore, in 2010, staff in the Office of Institutional Research and Planning, working collaboratively with the Office of Institutional Effectiveness, the Office of Undergraduate Affairs, and the Office of Student Affairs, developed a statistical model to identify factors that can be used to predict first-year retention. Input variables were purposely restricted to data collected either at the time of initial application for admission to the institution or after the first semester of enrollment. The goal of this predictive model was to identify proactively at-risk students during the first semester of enrollment, thus affording academic advisors an opportunity to implement intrusive advising strategies. The model provided statistical evidence of the strong, positive association between student retention and successful course completion or GPA, a key measure of student achievement.

Last year, for the first time in over 20 years, UofL's six-year graduation rate declined. The entering 2008 cohort's six-year graduation rate was 53.6 percent compared to the six-year graduation rate of 52.9 percent for the entering 2009 cohort. Because of the institutional commitment to student success, UofL joined the Education Advisory Board's Student Success Collaborative (EAB SSC) in late fall 2015. EAB's Student Success Collaborative (SSC) combines technology, consulting, and best practice research to help colleges and universities use data to improve retention and graduation rates. Additionally, a full-time, professional staff member was hired as a Student Success Coordinator within the Office of Undergraduate Affairs to provide outreach support for at-risk students in UofL's GRS cohort.

### **Course Completion Rates**

Course completion rates for undergraduate and graduate courses by academic unit from fall 2013 through fall 2015 have remained relatively constant. Table 2 reflects course completion rates from fall 2013, fall 2014, and fall 2015 to illustrate a three-year trend. An analysis of course completion rates for fall 2013 through fall 2015 indicates that the overall average completion rate for all students is approximately 87.7 percent. During this same period, the course completion rate was 85.9 percent for undergraduate students and 94.1 percent for graduate students.

UofL continues to strive toward increasing course completion rates in addition to other metrics of student achievement by offering extensive support services to students through a variety of programs. The Resources for Academic Achievement (REACH) program offers a variety of resources to students, including tutoring for most 100-level, 200-level, and some 300-level undergraduate courses in all majors, mathematics and computer tutoring, and course-specific supplemental instruction and learning assistance. REACH also provides mentoring opportunities, and seminars that cover topics of student success and a variety of online resources [9].

In addition to REACH, UofL also provides academic and nonacademic support services through the university's Writing Center and the university's Career Development Center [10] [11]. The Writing Center provides resources to students at all academic levels that can be used to complement/supplement classroom instruction. Specific services are available to students writing dissertations for completion of their doctoral degree. The Career Development Center provides resources to students, faculty/staff, and alumni. These services include mentoring networks, assistance writing résumés, workshops for interviewing skills, and assistance on applications for graduate school. The university feels that the breadth of services provided by REACH, the Writing Center, and the Career Development Center has contributed to both the increase in the six-year graduation rate and the increase of degrees conferred by UofL over the past several academic years.



**Table 2. Trend Percentage of Graduate and Undergraduate Courses Completed for Fall 2013, Fall 2014, and Fall 2015**

Unit*	Graduate Courses			Undergraduate Courses			Overall		
	Fall 2013	Fall 2014	Fall 2015	Fall 2013	Fall 2014	Fall 2015	Fall 2013	Fall 2014	Fall 2015
College of Arts and Sciences	91.3	90.2	91.5	84.7	84.8	85.3	85.1	85.2	85.7
College of Business	98.6	98.2	98.5	89.0	88.9	88.8	91.1	90.8	90.8
College of Education and Human Development	94.4	94.8	94.3	92.9	92.0	91.5	93.3	92.8	92.2
J.B. Speed School of Engineering	95.1	94.6	92.6	85.5	87.3	83.4	87.8	89.1	85.6
Kent School of Social Work	93.5	94.3	92.4	96.9	95.3	96.1	94.5	94.5	93.4
School of Public Health and Information Sciences	93.8	92.3	95.1	79.1	94.1	92.7	91.9	92.9	94.0
School of Dentistry (Dental Hygiene)				99.8	99.2	98.2	99.8	99.2	98.2
School of Music	96.8	97.1	97.8	83.2	83.9	84.5	85.2	85.6	86.4
School of Nursing	96.1	98.0	99.8	95.4	97.0	97.1	95.5	97.2	97.6
<b>Overall University</b>	<b>94.3</b>	<b>94.1</b>	<b>94.1</b>	<b>86.4</b>	<b>86.6</b>	<b>86.7</b>	<b>87.6</b>	<b>87.7</b>	<b>87.8</b>

\*This analysis excludes the School of Medicine, School of Law, School of Dentistry professional courses, remedial courses (which are non-degree), and international courses. Professional school courses are relevant only to those degree programs and cannot be generalized between the three disciplines – Law, Medicine, and Dentistry. International course completions were excluded because those courses are taught based on varying instructional periods (compressed terms, different start and end dates that are dictated by each Memorandum of Agreement, not the university’s course scheduling process).

### Degrees Conferred

UofL has seen improvement in its number of doctoral graduates, which remains a continued priority in keeping with the university’s mission of being a premier metropolitan research

institution. The total number of degrees conferred in academic year 2014-2015 was 4,938 (see Table 3). 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.

**Table 3. Degrees\* Conferred in Academic Years 2010-2011, 2011-2012, 2012-2013, 2013- 2014, 2014-2015**

Academic year	Baccalaureate degrees	Certificates	Master's degrees	Doctoral- Professional degrees	Doctoral – Research degrees	Total
2010-2011	2,618	182	1,333	371	163	4,686
2011-2012	2,702	196	1,439	361	188	4,897
2012-2013	2,731	172	1,379	375	140	4,825
2013-2014	2,821	177	1,242	394	162	4,815
2014-2015	2,832	162	1,352	395	172	4,938
<b>5-yr % change</b>	8.2%	-11.0%	1.4%	6.5%	5.5%	5.4%

\* Associate degree data are: 19 in 2010-2011, 11 in 2011-2012, 28 in 2012-2013, 19 in 2013-2014, and 25 in 2014-2015. Specialist degrees are included in the Master's degree counts.

Source: UofL's official degree census file.

### National and State Licensing Examinations

UofL gathers student pass rate data for discipline-based licensure examinations in audiology, dentistry, education, engineering, law, medicine, nursing, social work, and speech pathology. The collection of licensure and certification information is decentralized, and it is the responsibility of the academic unit to assess student performance. Pass rate data are used as part of the academic units' internal strategic planning and discipline-specific accreditation reporting. Table 4a and Table 4b detail the past three years of UofL, national, and state pass rates for academic units. The availability of state and national pass rates is reported by each academic unit. UofL students perform at or above the state pass rate and above national pass rates.

**Table 4a. Select UofL, State and National Licensing Examination Pass Rates**

Academic unit	Exam	2012-2013 Pass rates			2013-2014 Pass rates			2014-2015 Pass rates		
		UofL	National	State	UofL	National	State	UofL	National	State
School of Social Work	Clinical Social Worker Exam	80%	72%	not available	74%	71%	not available	not available	not available	not available
JB Speed School of Engineering	Fundamentals of Eng Exam	76%	62%	not available	64%	73%	not available	78%	73%	not available
School of Dentistry	National Board Dental Exam, Part II	92%	94%	not applicable	94%	93%	not applicable	not available	not available	not available
School of Law	Kentucky Bar Exam	83%	82%	67%	82%	81%	78%	not available	not available	not available
School of Nursing - Louisville	National Council Licensure Examination	93%	92%	94%	90%	85%	92%	89%	85%	91%
School of Nursing – Owensboro	National Council Licensure Examination	84%	92%	94%	76%	85%	92%	86%	85%	91%
School of Medicine (Clinical Skills)	US Medical Licensing Exam– Step 2	96%	98%	not available	93%	96%	not available	97%	96%	not available
School of Medicine (Clinical Knowledge)	US Medical Licensing Exam– Step 2	98%	98%	not available	98%	97%	not available	98%	95%	not available
Department of Communicative Disorders	Speech Pathology	100%	not available	not available	100%	not available	not available	not available	not available	not available

**Table 4b. State and National Licensing Examination Pass Rates for the College of Education and Human Development (CEHD)**

Academic unit	Exam	2012-2013 Pass rates			2013-2014 Pass rates			2014-2015 Pass rates		
		UofL	National	State	UofL	National	State	UofL	National	State
College of Education and Human Development	Praxis Traditional Certification <sup>1,2</sup>	97%	not available	95%	94%	not available	92%	91%	not available	93%
College of Education and Human Development	Praxis Alternate Certification	100%	not available	99%	100%	not available	99%	100%	not available	100%
College of Education and Human Development	Kentucky Principal Test <sup>1</sup>	84%	not applicable	86%	92%	not applicable	95%	100%	not applicable	96%
College of Education and Human Development	School Leadership Licensure Assessment <sup>1</sup>	94%	not available	95%	88%	not available	96%	100%	not available	96%

<sup>1</sup>Students are not required to pass these exams as a condition of graduation from the CEHD.

<sup>2</sup>Scores include the results for students receiving the teacher certification in speech and communications disorders (Audiology).

Additionally, the School of Public Health and Information Sciences has begun collecting data from students taking the Certified Public Health exam since the school was accredited in 2007. The content of the Certified Public Health exam is based on the core Masters of Public Health competencies developed by the Association of Schools of Public Health Education Committee. However, students taking the exam in any particular year self-select and therefore do not constitute a reliable, representative sample of those eligible to take the exam. The School of Public Health and Information Sciences will continue to seek ways to increase the number of students taking this exam in future years as it is a standard assessment instrument that demonstrates a student's mastery of the core knowledge of public health.

### **Job Placement Rates**

The university understands the importance of tracking students' job placement and routinely administers three surveys related to undergraduate and graduate students' school and employment plans after graduation:

#### ***Graduating Student Surveys (GSS)***

Each semester since fall 2009 and fall 2013, undergraduate and graduate students who have submitted a degree application by the deadline are sent an invitation to complete the Graduating Student online survey [12] [13]. The goal of this survey is to gather exit information from graduating students about their experiences at UofL and their educational and work plans post-graduation. Respondents are asked about their perception of and satisfaction with their time at UofL, including academic preparation, experience in major, academic support services and facilities, other student services and programs, student activities, and their plans following graduation.

#### ***Graduation Card Initiative***

At commencement the graduation name cards are used to gather information about graduating students' post-graduation plans. All students carry a name card during the commencement ceremony to ensure that the students stand in correct order and to guide the announcer in the pronunciation of the graduates' names. A brief survey [14] asking only about post-graduate employment and educational plans is printed on the reverse side of the card. Staff coordinators at the ceremony direct students to complete the survey, ensuring a consistently high response rate.

#### ***Recent Graduate Surveys***

In summer 2014 and spring 2016, the Office of Institutional Effectiveness (IE) surveyed undergraduate [15] and graduate [16] students who graduated during the 2011-12 or 2012-13 academic year and the 2013-14 or 2014-15 academic year. This survey is intended to be an assessment of the quality and effectiveness of UofL's academic programs and services and students' career and job placement post-graduation. Questions are asked pertaining to students' overall college experience at UofL; their school/college, department, and major; their perceived impact of earning their degree; and their current employment and educational status.

In combination, these surveys provide useful information in regard to graduate school and employment activities about students' *initial* post-graduate plans (Graduating Student Survey), their more *solidified intentions* at the time of graduation (Graduation Card Initiative), and their *actual* experiences post-graduation (Recent Graduate Survey). Public

Disclosure reports on job placement are created for undergraduate [17] [18] [19] and graduate [20] [21] [22] students for the 2013-14, 2014-15, and 2015-16 academic years.

### ***Additional Reporting***

These job placement data are used to provide employment information to publications such as *U.S. News & World Report* [23] and *The Princeton Review* [24] so that potential students will have access to accurate information about the educational and career benefits associated with earning a degree from UofL.

Additionally, IE has partnered with the Career Development Center [25], and these data have been combined with other information collected through a third party vendor, HEPdata [26], and the National Student Clearinghouse to further track students' employment and educational outcomes after graduation.

UofL has also recently begun work with Equifax on a pilot project [27]. By leveraging existing job verification relationships driven by a national database with records from over 5,700 employers, UofL can get a dynamic picture of graduate outcomes over time by program, degree type, etc. With rising costs, oversight bodies, and publications, students and families increasingly require evidence of the expected return on investment of a college degree. Information gleaned from this project has the potential to help students make wise decisions about university and major choice. Beyond the pilot project, there are plans to partner with University Advancement and Alumni Affairs to do an in-depth assessment of outcomes for individual programs, to use the data for Academic Program Review, and to help University Advising and the Career Development Center use the data in their work with students.

To further supplement job placement data, academic units utilize different methods to assess employer satisfaction with skill levels and competencies of university graduates. These methods include: direct survey of local employers; advisory boards; internship evaluations; public service placement data; and focus groups. For example, the College of Education and Human Development, School of Medicine, and School of Nursing send employers satisfaction surveys to gather feedback. Advisory boards provide feedback to the College of Arts and Sciences, College of Business, and the School of Nursing. The College of Business also uses internship evaluations as a method of assessing employer satisfaction. UofL's School of Law relies on data from public service placements that are a graduation requirement for students. These data are used as anecdotal evidence that UofL graduates are meeting the workplace competencies established by our major local employers.

### **Fulbright Awards**

Since 2003 the UofL has produced student Fulbright awardees. The Fulbright program is sponsored by the U.S. Department of State's Bureau of Educational and Cultural Affairs and promotes cultural exchanges with more than 140 countries. The prize is one of the most prestigious in academia. The university has had 89 winners since 2003—more than all other Kentucky institutions combined. There were 14 Fulbright student scholars in both 2010 and 2011 and 10 Fulbright winners for the 2015-2016 academic year. The Fulbright organization recognized UofL as one of the nation's top institutions for producing student Fulbright awardees during the 2015-2016 academic year. UofL also has earned a spot on the top producers list for the 14 Fulbright student scholars in both 2010 and 2011.

## SUMMARY

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 six-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 six-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.

[1] UofL's Mission Statement

4\_1\_fn01.pdf

<http://louisville.edu/about/>

[2] *2020 Plan: Making It Happen*

4\_1\_fn02.pdf

<http://louisville.edu/president/the-2020-plan>

[3] University Scorecard

4\_1\_fn03.pdf

<http://louisville.edu/provost/planning/scorecards>

[4] First-time Student Profile Analysis

4\_1\_fn04.pdf

<http://louisville.edu/oapa/institutional-research-and-planning/docs/first-time-student-profile-trend-analysis-2000-2015>

[5] Historical Six-year Graduation Rates:

4\_1\_fn05.pdf

[6] Retention/Persistence Rates

4\_1\_fn06.pdf

[7] The Consortium for Student Retention Data Exchange (CSRDE)

4\_1\_fn07.pdf

<http://csrde.ou.edu/web/consortium.html>

[8] The Office of First Year Initiatives

4\_1\_fn08.pdf

<http://louisville.edu/firstyear/>

[9] Resources for Academic Achievement (REACH)

4\_1\_fn09.pdf

<http://www.reach.louisville.edu/>

- [10] Writing Center  
4\_1\_fn10.pdf  
<http://louisville.edu/writingcenter>
- [11] Career Development Center  
4\_1\_fn11.pdf  
<http://louisville.edu/career>
- [12] Graduating Undergrad Student Survey Instrument – Spring 2016  
4\_1\_fn12.pdf
- [13] Graduating Grad Student Survey Instrument – Spring 2016  
4\_1\_fn13.pdf
- [14] Graduation Card Initiative Survey Fall 2015  
4\_1\_fn14.pdf
- [15] 2016 Recent Graduate Instrument- Undergraduate  
4\_1\_fn15.pdf
- [16] 2016 Recent Graduate Instrument- Graduate  
4\_1\_fn16.pdf
- [17] Public Disclosure – Undergraduate Students – 2013-14  
4\_1\_fn17.pdf
- [18] Public Disclosure – Undergraduate Students – 2014-15  
4\_1\_fn18.pdf
- [19] Public Disclosure – Undergraduate Students – 2015-16  
4\_1\_fn19.pdf
- [20] Public Disclosure – Graduate Students – 2013-14  
4\_1\_fn20.pdf
- [21] Public Disclosure – Graduate Students – 2014-15  
4\_1\_fn21.pdf
- [22] Public Disclosure – Graduate Students – 2015-16  
4\_1\_fn22.pdf
- [23] *U.S. News & World Report*  
4\_1\_fn23.pdf
- [24] *The Princeton Review*  
4\_1\_fn24.pdf  
<http://www.princetonreview.com/schools/1023514/college/university-louisville>
- [25] Career Development Center  
4\_1\_fn25.pdf  
<https://louisville.edu/career/>

[26] HEPdata  
4\_1\_fn26.pdf  
<https://hepdata.com/employer-verification/>

[27] Equifax Air Presentation, pages 7-9  
4\_1\_fn27.pdf



## 4.2

### Program curriculum

The institution's curriculum is directly related and appropriate to the mission and goals of the institution and the diplomas, certificates, or degrees awarded.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville maintains a curriculum that is related to and appropriate to its mission [1], goals, and the diplomas, certificates, and degrees it awards. The university's mission statement is as follows:

The University of Louisville pursues excellence and inclusiveness in its work to educate and serve its community through:

1. teaching diverse undergraduate, graduate, and professional students in order to develop engaged citizens, leaders, and scholars,
2. practicing and applying research, scholarship and creative activity, and
3. providing engaged service and outreach that improve the quality of life for local and global communities.

The University is committed to achieving preeminence as a nationally recognized metropolitan research university.

The University of Louisville, is authorized by Kentucky Revised Statute (KRS) 164.815 [2] and the Council on Postsecondary Education to provide associate and baccalaureate degree programs; master's degree programs; specialists degrees above the master's degree level; doctoral degree programs; joint doctoral programs in cooperation with other public institutions of higher education; certificates; and professional degree programs, including medicine, dentistry, law.

The university offers one associate degree program, twenty-five certificate programs, sixty-six baccalaureate degree programs, seventy-five master's degree programs, one specialist program, thirty-six doctoral degree programs, and three first-professional degree programs [3]. UofL also offers online programs [4] and off-site programs [5]. Program requirements and curricula for all undergraduate and graduate degree programs (including online programs) are available online in the *Undergraduate Catalog* [6] and *Graduate Catalog* [7].

As is outlined in Section 3.3.2 of *The Redbook* (the university's governance document), faculty in their respective units are responsible for the development and revision of their curriculum [8]. Online and off-site programs and coursework are held to the same quality standards for program objectives, student learning outcomes, curriculum, and resource capability as any program offered by the academic unit in a traditional classroom format.

In order to ensure that all programs (undergraduate, graduate, professional, and certificate; whether face-to-face or online) are consistent with UofL's mission, the university follows protocols for proposing new courses and new programs. The new academic program development process [9] follows Kentucky Council on Postsecondary Education (CPE)

guidelines and procedures [10] and involves initiation of the proposed new program by faculty in the discipline, followed by review and approval by faculty and administrators at multiple levels. The program approval process uses program proposal templates that are specific to the degree level (certificate [11a], undergraduate [11b], masters [11c], and doctoral [11d]) provided by CPE. The CPE approval process is designed "to promote program quality and to assure any program expansion serves to support the objectives of the university's strategic plan and the academic mission of the sponsoring unit."

The proposed curriculum of the new program is reviewed at the program, department, unit, and provost level to ensure that it is consistent with commonly accepted practices in higher education. In addition to unit- and university-level approval, the proposed program must be approved by CPE. Before CPE approval, the proposed program is posted to the CPE website, which provides an opportunity for other institutions to review and provide comment.

Faculty explain in the program proposal the relation of the new program to the university's mission and strategic plan. The program proposal template contains the following language: "A program will adhere to the role and scope of the institution as set forth in its mission statement and as complemented by the institution's strategic plan." The proposal must list the program's objectives that deal with the specific institutional needs the program addresses; explain how the proposed program relates to the institutional mission and strategic plan; and explain how the proposed program addresses the state's postsecondary education strategic agenda [12] and furthers the statewide implementation plan [13]. Assessment and outcome measures are also established for the program as part of the proposal.

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. Each program's proposed curriculum receives 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, and other university committees as appropriate. New programs must also be approved by the university's Board of Trustees [14]. If required, new programs are also reported to SACS as a substantive change. New online and off-site programs undergo the same rigorous approval process as campus-based programs.

After the approval of a new program the faculty communicate and coordinate revisions to the program curriculum through the university's curriculum processes [15] [16].

In order to assess the effectiveness of program curriculum, since 1999 department faculty have been required to establish student learning outcomes for each degree program. Each program completes an annual Student Learning Outcomes Report (SLO) [17] [18] in which the program analyzes program data aligned with each identified student learning outcome and makes plans for improvement of student learning over the next year. During the SLO process, the program also reviews its mission, goals, and outcomes in relation to the mission of the university, unit, program, and discipline. In 2011, programs were asked to provide in their SLO reports a program mission statement and to explain the relation of the program to the university's mission [19] [20]. More recently programs have been asked to indicate that online and off-site programs reflect the on-campus curriculum and learning outcomes.

All degree programs (certificate, undergraduate, graduate, and professional, including online and off-site programs) also undergo regular academic program review [21] every ten

years using a template designed by CPE [22]. Programs are asked to review and compare their current curriculum with its previous curriculum. Additionally, programs report on their progress toward promoting the goals of the institution and the program's mission, goals, and student learning outcomes. Programs also complete a five-year progress report that follows up on their program's plan for improvement submitted in the ten-year review [23].

In addition to these internal program assessments, many degree programs participate in periodic, independent, external accreditation review (including the professional programs of law, medicine, and dentistry) [24]. These programs' respective accrediting bodies have rigorous standards on academic excellence and established curriculum standards that must be met to receive accreditation. Also, many programs have state or national licensure examinations that students must complete for successful entrance into the profession. These additional measures ensure continued attention to maintaining program and curricular standards appropriate to the degrees awarded.

Within undergraduate degree programs, students must complete a minimum of 34 credit hours in general education coursework in addition to the specific program course requirements. General Education courses [25] are designed to enhance students' basic skills in the content areas of: Arts and Humanities, Mathematics, Oral Communication, Social and Behavioral Sciences, Natural Sciences, and Written Communication. Students are also to acquire a competency in Cultural Diversity through work in the content areas. The general education program was initially approved by the university faculty, and responsibility for it lies with the General Education Curriculum Committee [26], which includes representatives from all of the undergraduate units. This group is in charge of the assessment of student learning in approved high-level competencies, which is used for future planning within the general education program.

## **SUMMARY**

The University of Louisville 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.

[1] UofL Mission  
4\_2\_fn01.pdf  
<http://louisville.edu/about>

[2] Kentucky Revised Statute 164.815  
4\_2\_fn02.pdf

[3] UofL Inventory of Degree Programs  
4\_2\_fn03.pdf

[4] Delphi Center's Online Programs  
4\_2\_fn04.pdf  
<http://louisville.edu/online/admissions>

[5] Off-site Programs  
4\_2\_fn05.pdf

[6] *Undergraduate Catalog*, Program Curriculum, pages 296-859  
4\_2\_fn06.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true)

[7] *Graduate Catalog*  
4\_2\_fn07.pdf  
<http://louisville.edu/graduatecatalog/toc>

[8] *The Redbook*, Section 3.3.2, Jurisdiction and Purposes  
4\_2\_fn08.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap3.html#SEC3.3.2>

[9] New Academic Program Development Process  
4\_2\_fn09.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[10] KY CPE New Academic Programs Policy and Procedures  
4\_2\_fn10.pdf

[11] New Academic Proposal Templates

[11a] New Certificate Program Proposal Template  
4\_2\_fn11a.pdf

[11b] New Undergraduate Programs Proposal Template  
4\_2\_fn11b.pdf

[11c] New Master's Programs Proposal Template  
4\_2\_fn11c.pdf

[11d] Doctoral Programs Proposal Template  
4\_2\_fn11d.pdf

[12] Kentucky Postsecondary Education Strategic Agenda Website  
4\_2\_fn12.pdf

[13] Statewide Implementation Plan Website  
4\_2\_fn13.pdf

[14] Academic Program Development Process  
4\_2\_fn14.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[15] Curriculum and Course Development — Office of Academic Planning Website  
4\_2\_fn15.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development>

- [16] Course Inventory File – Curriculum Request  
4\_2\_fn16.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/c.i.f-form>
- [17] SLO Report--Instructions for Undergraduate Programs  
4\_2\_fn17.pdf  
[http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report\\_undergraduate-instructions\\_sept-2015-v2](http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report_undergraduate-instructions_sept-2015-v2)
- [18] SLO Report --Instructions for Graduate and Professional Programs  
4\_2\_fn18.pdf  
[http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report\\_graduate\\_professional-instructions\\_sept-2015-1](http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-annual-report_graduate_professional-instructions_sept-2015-1)
- [19] SLO Report--Template for Undergraduate Programs  
4\_2\_fn19.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-report-template-for-undergraduate-programs>
- [20] SLO Report--Template for Graduate and Professional Programs  
4\_2\_fn20.pdf  
<http://louisville.edu/oapa/institutional-effectiveness-1/resources-templates-presentations/2014-15-slo-report-template-for-graduate-programs>
- [21] UofL Academic Program Review Process  
4\_2\_fn21.pdf  
<http://louisville.edu/oapa/NewProgramReviewProcess.pdf>
- [22] KY CPE Academic Program Review Template  
4\_2\_fn22.pdf
- [23] Academic Program Review - Fifth Year Progress Report Template  
4\_2\_fn23.pdf
- [24] UofL Program Accreditation  
4\_2\_fn24.pdf  
<http://louisville.edu/oapa/data-files/accreditation/univeristy-accreditation-schedule>
- [25] UofL General Education Program and Courses  
4\_2\_fn25.pdf  
<http://louisville.edu/provost/ger/ger-preface>
- [26] General Education Curriculum Committee  
4\_2\_fn26.pdf  
<http://louisville.edu/provost/ger/gecc/ge-comm>

## 4.3

### Publication of policies

The institution makes available to students and the public current academic calendars, grading policies, and refund policies.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville 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 as described below.

Academic Calendars: 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 [1].

The academic calendar is also published in the online *Undergraduate* [2] and *Graduate Catalogs* [3].

As well, calendars are available on the Registrar's website [4] [5].

Grading Policies: Grading policies are published in the online *Undergraduate* [6] and *Graduate* [7] *Catalogs* and in professional schools' handbooks and bulletins [8] [9] [10] [11] [12], also available online. The university requires that each syllabus contain the grading policy for the course [13].

Refund Policies: Refund policies, including specific drop dates and pro-rated costs, are available on the Bursar's Office webpage [14] [15].

The university publishes information on refunds for courses that follow atypical duration schedules on the Registrar's website [16].

#### SUMMARY

UofL makes current academic calendars, grading policies, and refund policies available to students and the public through student catalogs and the internet.

[1] University Calendar  
4\_3\_fn01.pdf  
<http://louisville.edu/calendars/academic/>

[2] Academic Calendar in the *UofL Undergraduate Catalog*, pages 47-51  
4\_3\_fn02.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=47](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=47)

- [3] Academic Calendar in the *UofL Graduate Catalog*, pages 40-41  
4\_3\_fn03.pdf
- [4] Calendars on the Registrar's Website  
4\_3\_fn04.pdf  
<http://louisville.edu/registrar/calendars>
- [5] Academic Calendars and other Schedules on the Registrar's Website  
4\_3\_fn05.pdf  
<http://louisville.edu/registrar/calendars-1>
- [6] Grading Policy in the *UofL Undergraduate Catalog*, pages 168-69  
4\_3\_fn06.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=168](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=168)
- [7] Grading Policies in the *UofL Graduate Catalog*  
4\_3\_fn07.pdf  
<http://louisville.edu/graduatecatalog/grades-and-grading-policies>
- [8] Grading Policies in the Dental School Bulletin, pages 43-46  
4\_3\_fn08.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)
- [9] Grading Policies in the Dental Hygiene Student Handbook  
4\_3\_fn09.pdf
- [10] Grading Policies in the DMD Student Handbook  
4\_3\_fn10.pdf
- [11] Grading Policies in the Medical School Bulletin  
4\_3\_fn11.pdf  
<http://louisville.edu/medicine/studentaffairs/student-services/2015-2017-medicine-bulletin>
- [12] Grading Policies in the Law Student Handbook, pages 34-35  
4\_3\_fn12.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16-new>
- [13] Sample Syllabus with Grading Policy  
4\_3\_fn13.pdf
- [14] Bursar's Office Webpage:  
4\_3\_fn14.pdf  
<http://louisville.edu/bursar/tuitionfee>
- [15] Bursar's Refund Timeline  
4\_3\_fn15.pdf  
<http://louisville.edu/registrar/calendars/fall-semester-calendars.html>
- [16] Refunds for Summer Courses and Course of Atypical Duration  
4\_3\_fn 16.pdf  
<http://louisville.edu/registrar/calendars/atypical-duration-schedule.html>

## 4.4

### Program length

Program length is appropriate for each of the institution's educational programs.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Narrative

The University of Louisville offers programs that are appropriate in length and that follow accepted practices in higher education. The university 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 [1]. The university also offers online and distance programs [2] at the undergraduate and graduate levels [3]. Program length for each program offered can be seen in the UofL Inventory of degree program. Online and distance programs are held to the same standards for program length as traditional, on-campus programs.

All new degree programs are developed by faculty in the discipline using a Kentucky Council on Postsecondary Education (CPE) template [4a] [4b] [4c] [4d] and are reviewed and approved by faculty, administrators, and governing bodies at multiple levels of the university following the CPE guidelines [5] and the university's Academic Program Development Process [6].

To determine program length, program faculty consider the requirements of similar programs at other institutions, accrediting body requirements, state and federal guidelines, and the necessary content and experiences students need to be well prepared in their fields. For accredited programs, the number of required credit hours follows the norms established by the accrediting body [7].

### Undergraduate

UofL undergraduate programs are consistent with standard practice in higher education and for individual disciplines. KRS 164.2951 sets a minimum of 120 semester credit hours for baccalaureate degrees [8]. UofL undergraduate programs range from 121 to 141 semester hours, with the greatest number of hours required for engineering, computer information systems, and music degrees. Each of these variances are required by the accrediting agencies and standards for these disciplines. The associate degree in paralegal studies requires 63 to 66 semester credit hours, which is within the typical range for associate degree programs. The *Undergraduate Catalog* [9] provides a complete listing of all undergraduate degrees (including online programs) with requirements and minimum credit hours.

### Graduate

The *Graduate Catalog* [10] lists specific requirements for UofL graduate degrees. A minimum total of 30 semester hours of graduate credit is required for master's degrees, with some programs requiring additional hours. These requirements fall within the norms of higher education and the individual disciplines. Examples of degrees that require more than



a minimum 30 credit hours are the Master of Education in Counseling and Personnel Services [11] and the Master of Science in Social Work [12] degrees, which require 48 to 60 credit hours. These degree programs require more hours due to national and state certification board requirements. Doctoral programs also vary in length depending on the program and the availability of a master's degree. It is customary to consider the equivalent of three years of full-time graduate study as the minimum for the PHD. The *Graduate Catalog* [13] provides a complete listing of all graduate degrees (including online programs).

### **Professional School Degrees**

Each of UofL's professional school degrees is nationally accredited, and the required number of hours are consistent with the national standards for these degrees. The Brandeis School of Law JD degree program requires students to complete 90 semester hours of graduate-level credit [14]. The School of Dentistry DMD degree program requires a minimum of 197.5 credit hours [15]. The School of Medicine MD degree program requires a minimum of 183 credit hours [16].

### **Other Programs with Variation in Program Length**

The university also offers thirteen accelerated programs [17]. An accelerated program refers to the use of courses, credit for prior learning, and/or other methods to allow students to complete the program in less than the usual amount of time (CPE). Some examples of accelerated degrees include students who pursue a master's degree while completing their baccalaureate degree; a five-year degree program that results in the granting of both a bachelor's and a master's degree; and other academic offerings such as 3+3 degrees and credit for prior learning degree completion programs.

Within the Speed School of Engineering, each of the seven departments offers a fully accredited Bachelor of Science degree requiring from 133 to 137 semester credit hours, depending upon the discipline, and a Master's of Engineering (M.Eng) degree in the named discipline, requiring from 30 to 32 credit hours beyond the BS degree of the same name [18]. The distinction between the M.Eng degree and the Master of Science (MS) degree is that the M.Eng. degree follows immediately after the BS degree, and the BS and M.Eng together constitute the accredited M.Eng. program. The Master's degree programs in engineering, according to ABET [19] accreditation standards, require one year of advanced study in the same areas that comprise the BS engineering programs, which include mathematics, science, engineering science, and engineering design. The MS is a stand-alone degree offered to students who have a BS from an accredited program and want to earn a graduate degree.

Program length of existing academic programs is examined during the university's Academic Program Review process, which is overseen by a university-wide committee and CPE. All academic programs undergo program review every 10 years [20], with a follow-up on the program's Plan for Improvement in five years [21].

### **SUMMARY**

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.

[1] Inventory of Degree Programs  
4\_4\_fn01.pdf

[2] Online Programs  
4\_4\_fn02.pdf  
<http://louisville.edu/online/programs>

[3] Inventory of Degree Programs  
4\_4\_fn03.pdf

[4] New Program Approval Templates  
<http://louisville.edu/oapa/academic-program-approval-process-new-proposals>

[4a] New Program Approval Template-Undergraduate  
4\_4\_fn04a.pdf

[4b] New Program Approval Template-Masters  
4\_4\_fn04b.pdf

[4c] New Program Approval Template-Doctorate  
4\_4\_fn04c.pdf

[4d] New Program Approval Template-Certificates  
4\_4\_fn04d.pdf

[5] CPE New Program Approval Policy and Guidelines  
4\_4\_fn05.pdf

[6] UofL Academic Program Development Process  
4\_4\_fn06.pdf  
<http://louisville.edu/oapa/program-approval/academicprogramdevelopmentprocess.pdf>

[7] UofL Program Accreditations  
4\_4\_fn07.pdf  
<http://louisville.edu/accreditation>

[8] KRS 164.2951, Minimum Credit Hours for Undergraduate Programs  
4\_4\_fn08.pdf

[9] *UofL Undergraduate Catalog*  
4\_4\_fn09.pdf  
<http://louisville.edu/undergraduatecatalog/>

[10] *UofL Graduate Catalog*  
4\_4\_fn10.pdf  
<http://louisville.edu/graduatecatalog>

[11] Masters of Education in Counseling and Personnel Services (ECPY)  
4\_4\_fn11.pdf  
<http://louisville.edu/graduatecatalog/degree-programs/degree-programs-by-school/ge-college-of-education-and-human-development/master-of-education-in-counseling-and-personnel-services>

- [12] Master of Science in Social Work (MSSW)  
4\_4\_fn12.pdf  
<http://louisville.edu/kent/academics/master-of-science-in-social-work>
- [13] List of Graduate Degree Programs  
4\_4\_fn13.pdf  
<http://louisville.edu/graduatecatalog/degree-programs/graduate-degree-programs>
- [14] JD in Law on Brandeis School of Law Website  
4\_4\_fn14.pdf  
<http://louisville.edu/law/academics/degree-programs/jd-program>
- [15] DMD in Dentistry Program Requirements on Dental School Website  
4\_4\_fn15.pdf  
<http://louisville.edu/dentistry/degrees/dmd/d.m.d.-program>
- [16] MD in Medicine Program Requirements on Medical School Website  
4\_4\_fn16.pdf  
<http://louisville.edu/medicine/admissions/files/2017-2018-curriculum-information>
- [17] UofL Accelerated Programs  
4\_4\_fn17.pdf  
<http://louisville.edu/oapa/curriculum-and-course-development-1/MultipleDegreeDefinitionsfinal9.2.2015.pdf>
- [18] J.B. Speed School of Engineering Degree Programs  
4\_4\_fn18.pdf  
<http://louisville.edu/speed/academics/programs/MEng>
- [19] Engineering Accreditation  
4\_4\_fn19.pdf  
<http://louisville.edu/speed/academics/programs/MEng>
- [20] Academic Program Review Ten-Year Template  
4\_4\_fn20.pdf  
<http://louisville.edu/oapa/NewProgramReviewTemplate.pdf>
- [21] Academic Program Review Five-Year Template  
4\_4\_fn21.pdf  
<http://louisville.edu/oapa/program-review/program-review-template-5-year-progress-report/view>

## 4.5

### Student complaints

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."*)

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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*, Section 6.8 [1] and apply to both undergraduate, graduate, and professional degree students. The university grievance policy suggests that students first seek to have their concerns resolved through informal discussions and through administrative channels before proceeding to the formal grievance process. If the student is not satisfied with the informal outcomes he or she may proceed with the formal process for either nonacademic or academic grievances.

Off-campus students, including online students, have the same access to the student complaint process. The processes for resolving online student complaints are the same as for on-campus students, although follow-up may be conducted via phone as opposed to in person, unless the student requests an in-person meeting [2].

#### Dissemination of Student Complaint and Grievance Information

UofL publishes policies and procedures concerning student complaints and grievances in *The Redbook*, Section 6.8 [3], in the *Undergraduate* [4] and *Graduate Catalogs* [5], and in the *Student Handbook* [6]. The online learning website informs off-campus students about the student complaint process, and advisors in the Delphi Center are also available to assist [7]. The professional schools of Dentistry [8] [9], Law [10], and Medicine [11] [12] provide complaint and grievance information in their individual Student Bulletins and/or on the program website.

*The Higher Education Opportunity Act of 2008* (H.R. 4137) was signed into law on August 14, 2008. This law mandates that the university provide students and other interested parties with a significant amount of institutional information on a variety of topics designed to better inform the general public and students enrolled at the institution. This consumer information can be found on the university website and contains information on the complaint/grievance processes [13].

Information about the university's student complaint procedure [14] and an online complaint form [15] are available on the Dean of Students (DOS) website. The DOS regularly circulates information describing the process to all students and units [16] [17] [18].

State and federal regulations mandate processes for complaints of students residing outside of Kentucky. These students are encouraged to follow the institution's procedure for student complaints. If the issue cannot be resolved within the university, out-of-state students may contact their own state's higher education agency to seek resolution. Contact information for other states is available on the Online Learning website [19].

Students, as well as the rest of the university community, are widely informed of their rights and responsibilities through Title IX. Students are educated about Title IX in a number of ways, including orientation sessions, first-year seminar classes, and composition classes. A member of the DOS team who also serves as a member of the Title IX reporter team is responsible for delivering information sessions to students, where they are informed of the definition and inclusion of Title IX, the process for reporting, and support mechanisms available [20]. Information about Title IX can be found online in a number of locations, including the Prevention, Education and Advocacy on Campus (PEACC) website [21].

### **Student Complaint Procedures**

The Office of the Vice Provost for Student Affairs (VPSA) coordinates a centralized process for collection, dissemination, and logging of student complaints [22]. A webform for submitting complaints is available online [23], and complaints are maintained as the university's official log. Walk-in or telephone complaints are referred to the appropriate university offices or services.

Complaints are usually reported initially to the offices, units, or divisions providing services. Each academic and administrative office has a designated liaison who serves as the contact person for the DOS office [24]. These unit liaisons respond and log resolutions and communicate complaint resolutions to the DOS office on a semi-regular basis. Complaints are respected and honored, and no reprisals or retaliation are to be invoked against any student for processing, in good faith, a complaint, either on an informal or formal basis, or for participating in any way in the complaint procedures. Every attempt is made to resolve complaints informally and at the lowest level possible.

The university employs a full-time Student Advocate [25] who is trained in mediation to assist students with concerns or complaints. The role of the Student Advocate is to advocate for the student as they work through existing policies and procedures. The Student Advocate reports to the DOS in the office of the VPSA.

A Student Grievance Officer [26], nominated by the Student Senate and appointed by the university president, assists students throughout the grievance process and aids students with a wide variety of academic and nonacademic issues. The role of the Student Grievance Officer is to inform students of their rights and to assist them with the informal process and any formal hearing or meetings that may take place. The Student Grievance Officer reports to the DOS.

The Student Advocate and the Student Grievance Officer both refer and respond to student complaints submitted in writing, via email, or through the web form. Complaints received through the Student Advocate and Student Grievance Officer are directed to appropriate university or unit offices and logged in the database for follow-up. Most complaints are resolved informally through discussions or email correspondence in the units.

## **Academic Grievance Process**

Academic Grievance procedures are designed to provide fair means of dealing with student complaints regarding a specific action or decision made by faculty. Students who believe they have been treated unfairly, discriminated against, or have had their rights abridged may initiate a grievance [27]. Academic grievances are initially addressed by the individual school or college where the grievance is alleged to have occurred [28a] [28b].

The student academic grievance policy calls for each school or college to establish a Unit Academic Grievance Committee to hear student concerns [29]. If an academic grievance filed by a student cannot be settled by informal means, then the grievance is handled by the grievance committee. This committee determines whether the claim of grievance merits hearing and is then responsible for forming a recommendation to the dean of the college. The dean's office in each school or college is responsible for maintaining written records of the academic grievance and its process until the grievance is resolved.

If a student appeals the committee's decision, the appeal is sent to the University Student Academic Grievance Committee [30]. In cases where two or more units are involved, the University Student Grievance Committee may have original jurisdiction, in which case the written record is to be maintained by the Office of the President.

## **Nonacademic Grievances**

Students with nonacademic grievances are directed to the DOS, who is charged with establishing a Nonacademic Grievance Committee to hear formal student grievances [31]. This committee makes a recommendation to the VPSA, who makes the final determination on the student grievance. Any party who is unsatisfied by the decision of the vice provost may appeal to the University Student Grievance Committee.

Examples of complaint procedures and resolutions are provided for academic [32a] [32b] [32c] [32d] and nonacademic [33a] [33b] [33c] [33d] complaints.

## **Other University Policies Related to Student Complaint Processes**

Policies and procedures for handling student complaints regarding nonacademic misconduct such as discrimination, harassment, and sexual assault are outlined in the Code of Student Conduct. Section 10 of the Code lists prohibited behaviors [34]. Students who experience those behaviors may contact the DOS office to file a complaint. Complaint procedures are covered in Section 11 of the Code [35]. Anyone wishing to report an incident of nonacademic misconduct submits a report in writing to the DOS office, which will determine whether any action should be taken in response to the reported incident.

For the instances when the complaint process is not successful, a formal grievance process is in place [36]. Students who choose to resolve complaints still have the right to pursue a formal grievance. All submissions are kept confidential to the extent possible given the need to investigate the complaint, maintain campus safety, and comply with federal, state, or local mandates.

## **Maintenance of Complaint Log**

The office of the DOS [37], in the office of the VPSA, is responsible for the maintenance of the university's record of student complaints. Any complaints received through the centralized university web form are recorded and tracked by the Student Advocate in the

university's complaint log, which is stored in the DOS office. The complaint log contains information about the date of the complaint and how it was received, the name of the departmental contact, a description of the complaint, the resolution, the date resolved, and any additional comments.

The log is archived in the Maxient Database, which provides a central repository for student conduct and related records. Any related correspondence resulting from the complaint process resides in the office that resolved the complaint. Records of formal grievance procedures are retained permanently following the university's records retention policy [38].

As required by the SACSCOC Principles of Accreditation, the Student Complaint Log will be made available to the on-site visit team.

## SUMMARY

The University of Louisville (UofL) has adequate procedures for addressing written student complaints and follows those procedures when resolving complaints. The UofL student grievance policy and process are detailed in *The Redbook*, Section 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 *Student Handbook*. The online learning website informs off-campus students about the student complaint process. The professional schools of Dentistry, Law, and Medicine provide complaint and grievance information in their individual Student Bulletins. The Office of the Dean of Students (DOS), in the Office of the Vice Provost for Student Affairs (VPSA), is responsible for the maintenance and storage of the university's record of student complaints. The complaint log contains information about the date of the complaint and how it was received, the name of the departmental contact, a description of the complaint, the resolution, the date resolved, and any additional comments.

[1] *The Redbook*, Article 6.8, Student Academic Grievance  
4\_5\_fn01.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#ART6.8>

[2] Online Learning Student Complaint Procedure  
4\_5\_fn02.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>

[3] *The Redbook*, Article 6.8, Student Academic Grievance  
4\_5\_fn03.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#ART6.8>

[4] Student Complaint and Grievance, pp 118-20 in *Undergraduate Catalog*  
4\_5\_fn04.pdf  
[http://louisville.edu/undergraduatecatalog/versions/16\\_17\\_catalog.pdf#pagemode=bookmarks&toolbar=true&page=118](http://louisville.edu/undergraduatecatalog/versions/16_17_catalog.pdf#pagemode=bookmarks&toolbar=true&page=118)

[5] Student Complaint and Grievance Information in the *Graduate Student Catalog*  
4\_5\_fn05.pdf  
<http://louisville.edu/graduatecatalog/graduate-student-academic-grievance-procedure>

- [6] Student Complaint and Grievance Information in the *Student Handbook*  
4\_5\_fn06.pdf  
<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-handbook>
- [7] Online Learning Student Complaint Procedure  
4\_5\_fn07.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>
- [8] Dental School Complaint Information on Webpage  
4\_5\_fn08.pdf
- [9] Dental School Grievance Information, Page 48 from Dental School *Bulletin*  
4\_5\_fn09.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)
- [10] Law School Academic Grievance Procedure, pp33-36 from Law School Handbook  
4\_5\_fn10.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16>
- [11] Medical School Student Complaint Process, Page 27 from Medical School *Bulletin*  
4\_5\_fn11.pdf  
[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)
- [12] Medical School Student Grievance Information, pp 34-36 from Medical School *Bulletin*  
4\_5\_fn12.pdf  
[http://louisville.edu/medicine/studentaffairs/student-services/Bulletin\\_Final.pdf](http://louisville.edu/medicine/studentaffairs/student-services/Bulletin_Final.pdf)
- [13] Consumer Information Page, Grievance Links  
4\_5\_fn13.pdf  
<http://louisville.edu/oapa/consumer-information>
- [14] Dean of Students, Student Complaint Procedures Website  
4\_5\_fn14.pdf  
<http://louisville.edu/dos/help/student-complaint-procedure>
- [15] Student Complaint Webform  
4\_5\_fn15.pdf  
<http://louisville.edu/student/form/studentcomplaintform/>
- [16] Student News Email Circulated to All Students Regarding Student Complaint Policy and Procedures  
4\_5\_fn16.pdf
- [17] Communication Regarding Student Complaint Policy and Procedures to Unit Deans  
4\_5\_fn17.pdf
- [18] Roster of Unit Contacts Maintained by the Dean of Students Office  
4\_5\_fn18.pdf
- [19] Other States' Contact Information on the UofL Online Learning Webpage  
4\_5\_fn19.pdf  
<http://louisville.edu/online/current/student-complaint-procedure>



- [20] Title IX Mandatory Reporting Guidelines  
4\_5\_fn20.pdf  
<http://louisville.edu/hr/itemsofinterest/title-ix-and-clery-act-mandatory-reporting-guidelines-1>
- [21] Title IX Information on PEACC Website  
4\_5\_fn21.pdf  
<http://louisville.edu/peacc/policies/title-ix>
- [22] Office of the Vice Provost for Student Affairs  
4\_5\_fn22.pdf
- [23] Student Complaint Webform  
4\_5\_fn23.pdf  
<http://louisville.edu/student/form/studentcomplaintform/>
- [24] Unit Liaisons for Student Complaints  
4\_5\_fn24.pdf
- [25] Student Advocate  
4\_5\_fn25.pdf  
<http://louisville.edu/dos/help/studentadvocate/>
- [26] Student Grievance Officer  
4\_5\_fn26.pdf  
<http://louisville.edu/dos/help/studentgrievance>
- [27] Academic Grievance Procedures  
4\_5\_fn27.pdf  
<http://louisville.edu/dos/students/studentpoliciesandprocedures/student-handbook/student-handbook/#academicgrievanceprocedure>
- [28] Examples of Unit Academic Grievance Policies
- [28a] College of Education and Human Development Academic Grievance Policy  
4\_5\_fn28a.pdf  
<http://louisville.edu/education/Student-Academic-Grievance-Procedures.pdf>
- [28b] Law School Academic Grievance Policy  
4\_5\_fn28b.pdf
- [29] *The Redbook*, Section 6.8.3, Academic Grievance Procedure  
4\_5\_fn29.pdf  
<http://louisville.edu/provost/redbook/chap6.html/chap6.html#SEC6.8.3>
- [30] *The Redbook*, Section 6.8.9, University Student Grievance Committee  
4\_5\_fn30.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#SEC6.8.9>
- [31] Nonacademic Grievance Procedures  
4\_5\_fn31.pdf

[32] Examples of Academic Student Complaints

[32a] Assessment Practicum Dispute  
4\_5\_fn32a.pdf

[32b] Software Compatibility  
4\_5\_fn32b.pdf

[32c] Independent Study  
4\_5\_fn32c.pdf

[32d] Grade  
4\_5\_fn32d.pdf

[33] Examples of Nonacademic Student Complaints

[33a] Severe Weather Policy  
4\_5\_fn33a.pdf

[33b] Campus Bus Schedule  
4\_5\_fn33b.pdf

[33c] Administrative Hold on Registration  
4\_5\_fn33c.pdf

[33d] Meal Plan  
4\_5\_fn33d.pdf

[34] Code of Student Conduct, Section 10  
4\_5\_fn34.pdf  
<http://louisville.edu/dos/students/codeofconduct>

[35] Code of Student Conduct, Section 11  
4\_5\_fn35.pdf  
<http://louisville.edu/dos/students/codeofconduct>

[36] *The Redbook*, Section 6.8.12, Formal Procedure  
4\_5\_fn36.pdf  
<http://louisville.edu/provost/redbook/contents.html/chap6.html#SEC6.8.12>

[37] Office of the Dean of Students  
4\_5\_fn37.pdf  
<http://louisville.edu/dos/help/student-complaint-procedure>

[38] University Records Retention Policy  
4\_5\_fn38.pdf  
<http://louisville.edu/library/archives/university/recmgmt/recordsRetention.html>

## 4.6

### Recruitment materials

Recruitment materials and presentations accurately represent the institution's practices and policies.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Narrative

The University of Louisville's recruitment and promotional materials accurately represent diverse practices and policies of a vibrant and diverse metropolitan research university. Printed and web-based recruitment materials are designed to reach prospective undergraduate, graduate, and professional students through direct marketing, videos, university websites, recruitment events, various social media, presentations, and one-on-one meetings.

Recruitment materials are created and distributed by the Office of Admissions [1], the School of Interdisciplinary and Graduate Studies [2], or individual academic units and the professional schools. In addition, the university's Office of Communication and Marketing (OCM) [3] coordinates the distribution of news and marketing materials designed to enhance the image of the university. Many videos produced by OCM are used at recruitment events [4]. The Office of Online Learning in the Delphi Center [5] partners with academic units and the Office of Admissions to promote online programs, adhering to the university's standards and guidelines.

The UofL branding policy [6] guides the development of uniform and professional published materials produced by university units. Communication materials are subject to review by OCM. This process works to ensure compliance with the university branding policy and the accuracy of information provided. A university-wide social media policy is also in place for faculty, staff, and students participating in social media for and on behalf of the university [7]. The policy covers university expectations, best practices, and general resource information on social media sites. These measures apply to official recruitment materials and promote the creation of publications that speak with one "institutional voice" and that are consistent with university policies, procedures, and mission.

#### Undergraduate Recruitment

Undergraduate recruitment is coordinated by the Office of Admissions. Recruiters are responsible for high schools, college fairs, and on- and off-campus recruitment events. Recruiters receive training throughout the academic year to ensure that they are up to date with university programs, policies, and procedures.

Major recruitment materials used by UofL undergraduate admissions include:

- Freshman Viewbook [8a]
- Freshman financial aid and scholarship brochure [8b]
- Application for Admission [8c]
- Campus Visit Video [8d]
- Website, including online application [8e]

- Numerous social media channels: Facebook [8f], Twitter [8g], Flickr [8h], Pinterest [8i], Instagram [8j], and YouTube [8k]
- Transfer and Adult Viewbook [8l]
- Transfer and Adult financial aid brochure [8m]

The Office of Admissions develops and maintains the materials used for undergraduate student recruitment in conjunction with the individual schools and colleges, including the Honors Program. These materials are reviewed on an annual basis for accuracy, consistency with the university strategic mission, and consistency with the university brand.

The Honors Program [8n], and Housing and Dining Services [8o] work with the Office of Admissions to create customized recruitment materials. Program of study sheets [8p] [8q] [8r] are also created for each major for use at various recruitment events. The Office of Admissions works with academic units and support offices to revise these recruitment materials annually.

### **Targeted Populations Recruitment**

Specific materials or websites are also developed for target populations such as Guaranteed Entrance Programs [8s], International Students [8t], Veterans, [8u], Diversity [8v], and JCTC ULtra students [8w].

### **Graduate School Recruitment**

The School of Interdisciplinary and Graduate Studies (SIGS) develops and maintains the materials used for graduate student recruitment in conjunction with the individual schools and colleges. The UofL Branding and Social Media policies also apply to SIGS, which provides degree program information and recruitment information on its university website [9]. SIGS also uses a variety of printed materials.

### **Professional Schools Recruitment**

The professional schools of Medicine [10], Law [11], and Dentistry [12] provide recruitment materials for prospective students. In addition, professional school staff host many in-person visits and participate in community and school events.

### **Online Learning Recruitment**

The Office of Online Learning [13] produces specialized recruitment materials for undergraduate and graduate students. These materials include printed brochures and online materials [13a] [13b] [13c]. Online programs have a specific marketing plan and strategy designed to fit their needs and target audience.

### **Other Information Resources**

The university *Undergraduate Catalog* [14] is updated annually by the Registrar's office to ensure information is accurate and up to date. A contact person in each academic unit is responsible for providing catalog updates. This process begins each January, and a new undergraduate catalog is posted online in May of each year. The university's *Graduate Catalog* [15] is updated annually by SIGS to ensure accurate and up-to-date information. A contact person in each academic unit is responsible for providing catalog updates. This process begins each May, and a new graduate catalog is posted online in July of each year.

Recruitment materials accessed by the public through web-based systems such as the Integrated Postsecondary Education Data System College Navigator [16] and the Voluntary System of Accountability [17] are reviewed annually for accuracy.

The UofL Online Learning site includes an extensive page regarding state authorization regulations and informs students in which states UofL is approved to operate. Students who request information about online programs from states where UofL is not authorized are informed of the restrictions and are no longer recruited until UofL becomes authorized in that state.

## **SUMMARY**

The University of Louisville 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.

[1] Office of Admissions

4\_6\_fn01.pdf

<http://louisville.edu/admissions/>

[2] School of Interdisciplinary and Graduate Studies

4\_6\_fn02.pdf

<http://louisville.edu/graduate/>

[3] Office of Communications and Marketing

4\_6\_fn03.pdf

<http://louisville.edu/ocm/>

[4] OCM Recruitment Video[W2]

4\_6\_fn04.pdf

<https://www.youtube.com/watch?v=PVDMS1w694Y>

[5] Delphi Center Office of Online Learning

4\_6\_fn05.pdf

<http://louisville.edu/online/admissions>

[6] Brand Graphics Policy

4\_6\_fn05.pdf

<http://louisville.edu/brand/>

[7] Social Media Policy

4\_6\_fn06.pdf

[8] Office of Admissions Undergraduate Recruitment materials

[8a] Freshman Viewbook

4\_6\_fn08a.pdf General Recruitment Brochure

[8b] Freshman Financial Aid and Scholarship Brochure

4\_6\_fn08b.pdf

[8c] Application for Admission  
4\_6\_fn08c.pdf

[8d] Campus Visit Video[W3]  
4\_6\_fn08d.pdf

[8e] Admissions Website (including online application)  
4\_6\_fn08e.pdf

[8f] Facebook  
4\_6\_fn08f.pdf

[8g] Twitter  
4\_6\_fn08g.pdf

[8h] Flickr  
4\_6\_fn08h.pdf

[8i] Pinterest  
4\_6\_fn08i.pdf

[8j] Instagram  
4\_6\_fn08j.pdf

[8k] YouTube  
4\_6\_fn08k.pdf

[8l] Transfer Viewbook  
4\_6\_fn08l.pdf

[8m] Transfer Financial Aid Brochure  
4\_6\_fn08m.pdf

[8n] Honors Program Brochure  
4\_6\_fn08n.pdf

[8o] Housing Office and Dining Services  
4\_6\_fn08o.pdf

[8p] Biology Program of Study Sheet  
4\_6\_fn08p.pdf

[8q] History Program of Study Sheet  
4\_6\_fn08q.pdf

[8r] Economics Program of Study Sheet  
4\_6\_fn08r.pdf

[8s] Guaranteed Entrance Bookmark  
4\_6\_fn08s.pdf

- [8t] International Students  
4\_6\_fn08t.pdf  
<http://louisville.edu/admissions/apply/international>
- [8u] Veterans  
4\_6\_fn08u.pdf
- [8v] Diversity Booklet  
4\_6\_fn08v.pdf
- [8w] Ultra Flyer  
4\_6\_fn08w.pdf
- [9] School of Interdisciplinary Studies Viewbook  
4\_6\_fn09.pdf
- [10] School of Medicine Admissions Policies and Procedures  
4\_6\_fn10a.pdf
- [11] Brandeis School of Law Recruitment Materials  
4\_6\_fn11.pdf
- [12] School of Dentistry  
4\_6\_fn12.pdf
- [13] Office of Online Learning
- [13a] Online Learning Website  
4\_6\_fn13a.pdf
- [13b] Recruitment General Viewbook  
4\_6\_fn13b.pdf
- [13c] Online Learning RN-BSN  
4\_6\_fn13c.pdf
- [14] Undergraduate Catalog  
4\_6\_fn14.pdf  
<http://louisville.edu/undergraduatecatalog>
- [15] Graduate Catalog  
4\_6\_fn15.pdf  
<http://louisville.edu/graduatecatalog>
- [16] NCES College Navigator  
4\_6\_fn16.pdf  
<http://nces.ed.gov/collegenavigator/?q=University+of+Louisville&s=KY&id=157289>
- [17] Voluntary System of Accountability (College Portrait)  
4\_6\_fn17.pdf  
<http://www.collegeportraits.org/KY/UofL>

## 4.7

### Title IV program responsibilities

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.)

#### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### Narrative

The University of Louisville (UofL) is in full compliance with its program responsibilities under Title IV Higher Education as amended. UofL has consistently demonstrated the ability to use state and federal aid allocations fully, to award funds within the established rules and regulations for each program, and to be accountable for funds expended. The university is currently authorized to participate in Title IV Federal Student Aid Programs in accordance with the federally required *Program Participation Agreement (PPA)* [1a], including the *PPA Addendum* [1b] and an active *Eligibility and Certification Approval Report (ECAR)* [1c].

UofL has a comprehensive Student Financial Aid Office that is responsible for processing and disbursing federal, state, and institutional aid for undergraduate, graduate, and professional students. All on-campus, off-campus, and online students are served by this office. In addition, the Student Financial Aid Office monitors compliance with federal and state regulations. The official policies and procedures governing student financial aid are available on the Student Financial Aid Office (SFAO) website [2].

A review of the Fiscal Operations Report and Application to Participate (FISAP) shows that the reports were completed and filed within the required deadlines in accordance with federal law for reporting years: 2015-2016 [3], 2014-2015 [4], 2013-2014 [5], and 2012-2013 [6]. The Student Financial Aid Office regularly disseminates information about the federal funds received by the university to the university community such as the offices of the Bursar, Grant and Contracts Administration, and Enrollment Management [7] [8] [9]. The award levels for all federal aid programs are updated annually and accessible online by students and the public [10].

The Higher Education Opportunity Act (HEA) was enacted on August 14, 2008, and reauthorizes the *Higher Education Act of 1965* and makes a number of changes to programs authorized under the HEA, authorizes new programs, and makes changes to other laws. As a result, each postsecondary institution in the United States that participates in Title IV student aid programs must post a net price calculator on its website that uses institutional data to provide estimated net price information to current and prospective students and their families based on a student's individual circumstances. UofL displays the net price calculator as required on its website [11a] [11b]. Other consumer information includes the university's student loan default rate, which is 7.4 percent as of the latest report of September, 2015 [12a]. This information is also publicly available online through the NCES College Navigator website [12b]. UofL's default rate has decreased from 9.7 percent in 2010 to 7.4 percent in 2012 and has remained at that rate through 2015.



The HEA of 2008 also states that federal student aid funds may not be used to hire a registered lobbyist or to pay any person or entity for securing an earmark. Schools receiving FSA funds must certify compliance with these requirements, and each year on the Fiscal Operations Report and Application to Participate (FISAP) the University President must sign Section B Certification and Warning stating that the university adheres to this requirement [13].

The costs of textbooks and the international standard book number (ISBN) must be disclosed to students. The university bookstore displays each textbook price and ISBN by course through a form on their website [14a]. The book information link is displayed on the online schedule of courses when a student registers for class and will allow them to access the ISBN website [14b].

Section 488 of the HEA sets additional requirements for consumer information that includes fire safety, distribution of copyrighted materials, information about the student body, policies on vaccination requirements of the university and additional campus safety requirements. The university consumer information website contains the required HEA items plus other information of interest to the university community [15]. The Student Financial Aid Office (SFAO) also has a consumer information page specific to that topic [16].

## **SUMMARY**

The university 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.

[1] UofL *Program Participation Agreement (PPA)*, including the *PPA Addendum* and an active *Eligibility and Certification Approval Report (ECAR)*  
<http://www.ifap.ed.gov/FSANewSchoolGuide/attachments/NSGCh1ProgRequirements.pdf>

[1a] Program Participation Agreement  
4\_7\_fn01a.pdf

[1b] Addendum to PPA for Experimental Sites Initiative  
4\_7\_fn01b.pdf

[1c] Eligibility and Certification Approval Report (ECAR)  
4\_7\_fn01c.pdf

[2] Student Financial Aid Office  
4\_7\_fn02.pdf  
<http://louisville.edu/financialaid/>

[3] Fiscal Operations Report and Application to Participate (FISAP) 2015-2016  
4\_7\_fn03.pdf

[4] Fiscal Operations Report and Application to Participate (FISAP) 2014-2015  
4\_7\_fn04.pdf

[5] Fiscal Operations Report and Application to Participate (FISAP) 2013-2014  
4\_7\_fn05.pdf

[6] Fiscal Operations Report and Application to Participate (FISAP) 2012-2013  
4\_7\_fn06.pdf

[7] Dissemination of Campus Based Funding Levels 2013-14  
4\_7\_fn07.pdf

[8] Dissemination of Campus Based Funding Levels 2014-15  
4\_7\_fn08.pdf

[9] Dissemination of Campus Based Funding Levels 2015-16  
4\_7\_fn09.pdf

[10] Federal Aid Award Programs – Section 5  
4\_7\_fn10.pdf

[11] Net Price Calculator on UofL's Website

[11a] UofL Net Price Calculator  
4\_7\_fn11a.pdf  
<https://louisville.studentaidcalculator.com/survey.aspx>

[11b] SFAO Net Price Calculator  
4\_7\_fn11b.pdf  
<http://louisville.edu/financialaid/net-price-calculator-1>

[12] UofL Student Loan Default Rate

[12a] UofL FY 2012 Three-year Official Cohort Default Rate Notification Letter  
4\_7\_fn12a.pdf

[12b] College Navigator, UofL Student Loan Default Rate  
4\_7\_fn12b.pdf  
<https://nces.ed.gov/collegenavigator/?q=University+of+Louisville&s=KY&id=157289>

[13] Section B Certification and Warning from the Fiscal Operations Report and Application to Participate (FISAP) Signed by UofL President  
4\_7\_fn13.pdf

[14] ISBN Requirement

[14a] ISBN Display of Textbook Price  
4\_7\_fn14a.pdf

[14b] Schedule of Courses Book Information  
4\_7\_fn14b.pdf  
<http://htmlaccess.louisville.edu/CrseCatalog/crseDescription.cfm?crseid=004501&career=UGRD&term=4168&section=03&location=BELKNAP>

[15] UofL Consumer Information Page  
4\_7\_fn15.pdf  
<http://louisville.edu/oapa/consumer-information>

[16] Student Financial Aid Office Consumer Information  
4\_7\_fn16.pdf  
<http://louisville.edu/financialaid/consumer-information>

### 4.8.1

## Verification of Student Identity in Distance or Correspondence Education

An institution that offers distance or correspondence education demonstrates that the student who registers in a distance or correspondence education course or program is the same student who participates in and completed 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.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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 UofL has 18 online programs [1] and 12 off-site programs [2]. 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.

UofL issues all students unique and secure user identifications (ID) and passwords when they are admitted as students. Users must change their password after initial activation of their account using specific criteria to create a strong password. Every 180 days, all users with university accounts must reset their password following the same strength requirements [3]. In addition, users must set "Challenge Questions" to allow for password recovery. Challenge questions allow the end user to select from a list of questions and provide a personal answer that only they know. Three questions and corresponding answers are required for password recovery. The use of challenge questions not only expedites the user getting back online, but it also adds an additional layer of security. Previous passwords can never be reused.

Using this secure login and password, students and faculty are able to access online courses via Blackboard (a course management system) as well as library and other university services. Students log into Blackboard [4] using their assigned student ID number to interact with their course instructor and to submit course assignments. The Blackboard system authenticates against a secure central repository (Lightweight Directory Access Protocol [LDAP]) with the use of the unique user identification (ID) provided by the university. All faculty, staff, and students have a unique numeric ID in a central database that allows specific access to the university's student, financial, and human resources management system (PeopleSoft). This numeric ID is used in conjunction with the User ID to ensure appropriate access to Blackboard, by verifying an individual's status (active/enrolled or not) based on the course and term of enrollment. As the courses are established each term, the system checks the numeric IDs to ensure they match the student's course registration. This process ensures that the Blackboard course information and grade book are secure and private. Faculty can use the Blackboard system as their class roster for tracking attendance, completion of course assignments, and posting grades.

All faculty, staff, and students have access to Blackboard as long as their university account status is active. A Blackboard shell is automatically created for each course section each term, and, because Blackboard is integrated with PeopleSoft (UofL's Student Information System), enrollment in courses occurs automatically, reflecting current official enrollment status. This integration ensures enrollment in the two systems is always synchronized. The User ID and password also verify identity each time the student uses an email account, library services, and other online resources or takes an online examination.

Some UofL programs and courses, such as the MS in Social Work, MS in Human Resources and Organization Development, and MEd in Special Education, hold synchronous class sessions via Blackboard Collaborate, a web-conferencing tool. These sessions are housed within Blackboard and require students to login to Blackboard using their secure login. These sessions allow for face-to-face interaction between students and faculty members. Kent School of Social Work has a mandatory orientation for all online program students, where students take part in online live discussions with Kent School Deans and Administrative staff, and faculty.

Some courses require students in distance education courses to take a proctored exam or give a proctored presentation. When a course requires a proctored exam or presentation, UofL's Testing Services Office provides proctoring services [5]. All students taking exams at the Testing Services Office must present photo identification at the time of the exam to ensure the student taking the exam is the correct student. Students at a distance who cannot come to UofL's Testing Services Office may use a proctor convenient to their location upon the faculty member's approval of the proctor [6]. Faculty members can arrange for remote proctoring sessions using a software called Tegrity [7], which is integrated with Blackboard. The software provides a photograph of the student's identification card as well as a recording of all exam session data, including video, audio, and keystroke information, and prevents pausing or re-taking on the part of the student.

Speed School of Engineering faculty who require proctored exams for their online courses provide the proctor with instructions for proctoring the exam as well as for verifying the student's identity [8]. The student is required to submit a statement signed by the proctor indicating the proctor verified the identity of the student.

The university requires students to follow university's policies regarding security, plagiarism, and other forms of academic dishonesty. When students receive their email account, they receive an email from Information Technology that says, "Please ensure that you are familiar with the University's policies and standards located at <http://security.louisville.edu/PolStds>. Use of this account indicates the acceptance by you of these policies and standards, changes or modifications" [9].

The UofL Student Code of Conduct [10] applies to all students regardless of location and addresses the misuse of electronic resources. In addition, the UofL Student Rights and Responsibilities document outlines for students the definition of academic dishonesty, which includes "Sending a substitute to take one's examination, test, or quiz" and "Conducting research or preparing work for another student, or allowing others to conduct one's research or prepare one's work" [11].

## **SUMMARY**

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.

[1] UofL Online Programs

4\_8\_1\_fn01.pdf

<http://louisville.edu/online/programs>

[2] UofL Off-Site Locations

4\_8\_1\_fn02.pdf

[3] UofL Password Policy

4\_8\_1\_fn03.pdf

<http://louisville.edu/security/policies/iso-policies/iso-ps008-passwords>

[4] UofL Blackboard Login

4\_8\_1\_fn04.pdf

[https://blackboard.louisville.edu/webapps/portal/execute/tabs/tabAction?tab\\_tab\\_group\\_id=\\_23\\_1](https://blackboard.louisville.edu/webapps/portal/execute/tabs/tabAction?tab_tab_group_id=_23_1)

[5] Testing Services

4\_8\_1\_fn05.pdf

<http://louisville.edu/testing/exam-proctoring>

[6] Proctored Exam

4\_8\_1\_fn06.pdf

<http://louisville.edu/online/current/proctoring>

[7] Tegrity Remote Proctoring

4\_8\_1\_fn07.pdf

<http://www.mhhe.com/tegrity/products/remote-proctoring.html>

[8] Speed School of Engineering Distance Proctor Exam Form

4\_8\_1\_fn08.pdf

[9] University's Information Security Office Policies Regarding Security

4\_8\_1\_fn09.pdf

<http://louisville.edu/security/policies/iso-policies>

[10] UofL Student Code of Conduct

4\_8\_1\_fn10.pdf

<http://louisville.edu/dos/students/codeofconduct>

[11] UofL Student Rights and Responsibilities, Sections 5 and 6

4\_8\_1\_fn11.pdf

<http://louisville.edu/dos/students/studentrightsandresponsibilities>

## 4.8.2

### Written Procedure for Distance and Correspondence Education Student's Privacy

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

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### 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. The majority of these records are located in the university's electronic management system (PeopleSoft) and are maintained by various offices on campus. Information Security, Information Technology, the Institutional Compliance Office, and University Counsel work in conjunction with subject matter experts from various units to provide guidance to the university regarding compliance with specific legal requirements, such as HIPAA, FERPA, and the USA Patriot Act [1]. University administration has implemented internal controls to ensure that the university is in compliance, such as restricting access to university systems and data to only those individuals approved by the system owners. Audit Services tests the controls with varying frequency to obtain reasonable assurance that the controls are operating effectively and efficiently.

Access to student records (electronic and paper versions) is governed by adherence to the federal *Family Educational Rights and Privacy Act* (FERPA) [2]. Students are notified of their FERPA rights in several ways. The director of the University Archives and Records Center [3] 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 [4], in the UofL Undergraduate Catalog [5] and the Graduate Catalog [6], Medical School Bulletin [7], Law School Student Handbook [8], and Dental School Bulletin [9]), and on the Registrar's website for annual registration information [10]. University directory information is not released for those students who request privacy of their contact information. FERPA notification is applicable to on-campus, off-campus, and online students [11].

Electronic records are protected in PeopleSoft by a security system that restricts maintenance and update access to authorized personnel only. To receive access to student records in PeopleSoft, a user (with supervisor or unit approval) must submit the request to and be granted access by the Office of Information Technology (IT). All university faculty and staff members with access to student records (electronic and paper versions) are required to complete the "Authorized Use Agreement and Statement of Responsibility for Employee Access to Student Information Systems" form [12]. By signing and submitting the form, the staff member attests that he/she will ensure the security and privacy of student records. All academic and administrative departments work in conjunction with the

FERPA compliance officer [13] to ensure that guidelines for protecting student records are published and enforced.

Audit Services performs routine audits in academic and student administration areas using a risk-based approach. The routine audit procedures include reviewing security procedures over sensitive information, including student records. In addition, Audit Services provides consulting and serves as internal control advisors for enterprise system upgrades and implementations [14]. The Department of Audit Services and Institutional Compliance includes Audit Services, which provides internal audit, advisory, consulting and investigatory services, and the Office of Information Security and Institutional Compliance, which houses the Privacy Office (HIPAA compliance). The Information Security Office [15] oversees security policies, standards, assessments, and university-wide security awareness. The Information Security Officer (ISO) coordinates information security efforts and activities across the university, including information security strategies, and coordination of security efforts related to patient, provider, employee and other confidential business information [16a] [16b] [16c] [16d] [16e].

UofL also has an information risk assessment program to evaluate the current effectiveness of Non-Public Personal Information (NPI) safeguarding controls and procedures. The Gramm-Leach-Bliley Act (GLBA) of 1999 enforced by the Federal Trade Commission requires financial institutions to ensure the security and confidentiality of Non-Public Personal Information. Examples of areas that have significant non-public personal information are: Human Resources, Information Technology, Admissions, Registrar, Bursar's Office, Controller's Office, Financial Aid, Metropolitan College, Public Safety, Student Services, and University Relations. The university's NPI privacy statement and compliance monitoring is coordinated by the Bursar's Office [17]. The university's administrative processes are comprehensive in scope and ensure compliance with this federal requirement.

## **SUMMARY**

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). Audit Services performs routine audits in academic and student administration areas using a risk-based approach. The routine audit procedures include reviewing security procedures over sensitive information, including student records. UofL also has an information risk assessment program to evaluate the current effectiveness of Non-Public Personal Information (NPI) safeguarding controls and procedures.

[1] Information Security Office  
4\_8\_2\_fn01.pdf  
<http://louisville.edu/security>

[2] *Family Educational Rights and Privacy Act* (FERPA)  
4\_8\_2\_fn02.pdf  
<http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>



- [3] University Archives and Records Center  
4\_8\_2\_fn03.pdf  
<http://louisville.edu/library/archives/university/stupriv>
- [4] UofL's "Notification of Students' Privacy Rights under FERPA" on University Website  
4\_8\_2\_fn04.pdf  
<http://louisville.edu/library/archives/university/stupriv/notfstud.html>
- [5] UofL's Notification of Students' Privacy Rights under FERPA" in the Undergraduate Catalog  
4\_8\_2\_fn05.pdf  
[http://louisville.edu/undergraduatecatalog/versions/15\\_16\\_catalog.pdf](http://louisville.edu/undergraduatecatalog/versions/15_16_catalog.pdf)
- [6] UofL's "Notification of Students' Privacy Rights under FERPA" in the Graduate Catalog  
4\_8\_2\_fn06.pdf  
[http://louisville.edu/graduatecatalog/toc#University\\_Policies\\_and\\_Procedures](http://louisville.edu/graduatecatalog/toc#University_Policies_and_Procedures)
- [7] Medical School Catalog  
4\_8\_2\_fn07.pdf  
<http://louisville.edu/medicine/studentaffairs/student-services>
- [8] Law School Catalog  
4\_8\_2\_fn08.pdf  
<http://louisville.edu/law/student-services/handbooks/student-handbook-2015-16>
- [9] Dental School Bulletin  
4\_8\_2\_f fn09.pdf  
[http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy\\_of\\_20152016Bulletin.pdf](http://louisville.edu/dentistry/academicaffairs/ulsd-bulletin-1/copy_of_20152016Bulletin.pdf)
- [10] UofL FERPA Notification on Registrar's site  
4\_8\_2\_fn10.pdf  
<http://louisville.edu/registrar/registration-information>
- [11] UofL FERPA Includes Distance Education Students  
4\_8\_2\_fn11.pdf  
<http://louisville.edu/library/archives/university/stupriv/guidpriv.html>
- [12] Authorized Use Agreement and Statement of Responsibility for Employee Access to Student Information Systems Form  
4\_8\_2\_fn12.pdf
- [13] FERPA Compliance Officer  
4\_8\_2\_fn13.pdf  
<http://louisville.edu/library/archives/university/stupriv/>
- [14] UofL Audit Process  
4\_8\_2\_fn14.pdf  
<http://louisville.edu/audit/audit-preparation>
- [15] Information Security Office  
4\_8\_2\_fn15.pdf  
<http://louisville.edu/security>

[16] Security Efforts

[16a] ISO Data and Security Policies - Workstation and Computing Device Security  
4\_8\_2\_fn16a.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Information%20Technology/Workstation%20and%20Computing%20Devices.aspx>

[16b] ISO Data and Security Policies - User Account and Acceptable Use

4\_8\_2\_fn16b.pdf

<http://louisville.edu/security/policies/iso-policies/iso-ps007-user-accounts-and-acceptable-use/>

[16c] ISO Data and Security Policies - Passwords

4\_8\_2\_fn16c.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Information%20Technology/Passwords.aspx>

[16d] Protection from Malicious Software

4\_8\_2\_fn16d.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Information%20Technology/Protection%20from%20Malicious%20Software.aspx>

[16e] Encryption of Data Policy

4\_8\_2\_fn16e.pdf

<https://sharepoint.louisville.edu/sites/policies/library/SitePages/Information%20Technology/Encryption%20of%20Data.aspx>

[17] Bursar's Office Privacy Statement

4\_8\_2\_fn17.pdf

<http://louisville.edu/bursar/privacy>

### 4.8.3

## Written Procedure for Projected Additional Student Charges

An institution that offers distance or correspondence education 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.

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### 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 [1] and listed in the online Schedule of Classes. [2]

UofL uses the Schedule of Classes to communicate any additional fees (such as lab fees) or other charges to students. Registration for classes at UofL is an electronic process, and bills are generated based on the student's course selections [3]. Therefore, if any course requires a proctored exam or has other associated fees students are notified upon registration for the class. The Schedule of Classes indicates that a proctor, if needed, may charge the student a fee [4].

If a faculty member or department requires in-person proctored exams, the University's Testing Services Office [5] provides proctoring services. The cost is \$20 for a one-hour exam, and an additional \$10 per hour fee for exams that are longer than one hour, with a maximum of \$50 per exams lasting four or more hours. All students using the proctoring services at the Testing Services Office must provide proof of identity by showing a photo identification card. Students who cannot use UofL's Testing Services Office to take their exam may find another proctor and have it approved by their faculty member [6].

### SUMMARY

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.

[1] University Tuition and Fees  
4\_8\_3\_fn01.pdf  
<http://louisville.edu/bursar/tuitionfee>

[2] Schedule of Classes

4\_8\_3\_fn02.pdf

<http://htmlaccess.louisville.edu/classSchedule/setupSearchClassSchedule.cfm>

[3] Registration Process

4\_8\_3\_fn03.pdf

<http://louisville.edu/registrar/registration-information/newprocess.html>

[4] Proctoring Fee Notice (page 2)

4\_8\_3\_fn04.pdf

<http://louisville.edu/registrar/registration-information/esc.html>

[5] University Testing Services Office

4\_8\_3\_fn05.pdf

<http://louisville.edu/testing/exam-proctoring>

[6] Face-to-Face Proctoring

4\_8\_3\_fn06.pdf

<http://louisville.edu/online/faculty/proctoring/face-to-face-proctoring>

## 4.9

### Definition of Credit Hours

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 Commission policy "Credit Hours."*)

### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

### Narrative

The University of Louisville's (UofL) policies and procedures for determining the credit hours awarded for courses and programs conform 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. Academic units with external accreditation requirements [1] have the flexibility to make policy adjustments based on best practices in that discipline with the approval of the University Provost.

All courses at the University of Louisville follow uniform standards for determining the amount of credit awarded. The university's credit hour policy [2], approved by the University Provost in December 2011, provides the standards for in-class and for out-of-class instructional activities. One-credit hour of lecture, discussion, or seminar requires at least 50 contact minutes per week during a regular semester (as allowed by SACS and consistent with the federal recognition of the Carnegie Unit definition [3]). Courses offered entirely or partially through distance education or other alternate methods must offer opportunities for a comparable amount of contact with the instructor [4].

During shorter terms, the number of hours per week increases, but the total number of contact hours per course remains the same. In some cases, additional contact hours may be required to meet the expectations of a given field and/or the needs of a course (e.g., laboratory sections, activity courses). The only courses for which less instructor contact is acceptable are courses in which there is a focus on independent learning, including internships, independent studies, directed readings, and various culminating experiences. However, even in these cases, an instructor is assigned to the course and regular contact between the instructor and each student is expected.

The initial credit hour recommendation is made by the faculty in the discipline, which ensures consistency with the norms of the discipline (this includes all coursework, internships, independent studies, and practicums). When a new course is being created or adjustments made to existing courses the program faculty in the academic unit submit a Course Inventory File (CIF) form, which is reviewed by the unit curriculum committee and processed through the university's course approval process [5]. The instructions that accompany the CIF provide the details of the university's credit hour policy and definitions of type of activity/contact hour expectations [6]. The CIF contains fields for minimum and maximum credit hours and type of activity/number of contact hours per semester. All aspects of the course, including the assigned credit hours, are reviewed at all levels in the curriculum process. If the number of assigned credit hours is not consistent with UofL's policy for assigning credit, then the course creation is not approved until the hours are

consistent with university policy. Courses offered through distance learning are approved in the same manner as other courses [7].

To address the needs of its diverse student body, UofL has an academic calendar policy based on a standard of 14 weeks (fall/spring terms). In alignment with SACSCOC guidelines, the university's calendar structure requires the establishment of valid, assessable course learning outcomes for each course (which are stated in the syllabus of each course section) [8] and the inclusion of the expectations for out-of-class instructional activities in course descriptions and syllabi [9]. Department chairs and deans are responsible for monitoring and enforcing these requirements for the courses and sections in their units.

The undergraduate and graduate academic calendars are provided on the university website [10]. The university operates on a year-round calendar based on the following schedule of standard terms and their length:

**Fall** – 70 meeting days

**Spring** – 70 meeting days

**Summer** terms (I, II, III, and 10 week) must provide sufficient instructional days to provide the required contact hours. If there is a final exam, it must be given on the added final exam day.

Summer I – 15 meeting days + Final Exam day (if giving a final)

Summer II – 25 meeting days + Final Exam day (if giving a final)

Summer III – 25 meeting days + Final Exam day (if giving a final)

Ten week term – 50 meeting days + Final Exam day (if giving a final)

## **SUMMARY**

The University of Louisville's (UofL) policies and procedures for determining the credit hours awarded for courses and programs conform 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. The university's credit hour policy provides the standards for in-class and for out-of-class instructional activities. One-credit hour of lecture, discussion, or seminar requires at least 50 contact minutes per week during a regular semester (as allowed by SACS and consistent with the federal recognition of the Carnegie Unit definition. Courses offered entirely or partially through distance education or other alternate methods must offer opportunities for a comparable amount of contact with the instructor.

[1] External Accreditation by Program

4\_9\_fn01.pdf

<http://louisville.edu/accreditation>

[2] Credit Hour Policy

4\_9\_fn02.pdf

<http://louisville.edu/oapa/credit-hour-definition-and-policy>

[3] Carnegie Unit Definition  
4\_9\_fn03.pdf

[4] Online Course Instructional Design  
4\_9\_fn04.pdf  
<http://louisville.edu/delphi/resources/onlinecourse>

[5] Curriculum Approval Flowchart  
4\_9\_5\_fn05.pdf

[6] Course Inventory File (CIF) – Curriculum Request  
4\_9\_fn06.pdf  
<https://louisville.edu/oapa/curriculum-and-course-development-1/RevisedCIFForm20120925CUE.pdf>

[7] Creating an Online Course  
4\_9\_fn07.pdf

[8] Sample Syllabus Showing Course Learning Outcomes  
4\_9\_fn08pdf

[9] Sample Expectations for Out-of-Class Instructional Activities in Course Descriptions  
4\_9\_fn09.pdf

[10] Academic Calendar – Undergraduate and Graduate  
4\_9\_fn10.pdf  
<http://louisville.edu/calendars/academic/undergrad-grad>