

Brothers, Sheila C

From: Jones, Davy
Sent: Wednesday, March 03, 2010 3:53 PM
To: Brothers, Sheila C; Ray, Constance
Cc: Randall, David C; Swanson, Hollie; Anderson, Debra
Subject: RE: First Annual UK Substantive Change Policy Notification: SACS Requirement

David, Hollie, and Connie,

This "Substantive Change Policy Notification" (SCPN) document was created last year to comply with a SACS requirement that UK have a description of which parties make what decisions in various actions that change the organization of the University and its academic programs. Some of the kinds of decisions included are those of educational policy-making (under University Senate jurisdiction), while others are managerial policy-making that affects attainment of educational objectives.

This recent SCPN policy description was worked out into its final form by a close interaction between SACS-liaison Connie Ray and the Senate Rules and Elections Committee, before it was examined and endorsed by the Senate Council. The Rules and Elections Committee made sure that the SCPN document accurately reflects the decision-making role of the University Senate on matters of UK educational policy-making, and that it reflects the expectation (arising from the GRs) that the administration will seek University Senate advisement before making decisions on substantive changes in managerial areas.*

All of the kinds of substantive changes to educational policy included here in this SCPN policy description are already provided for in the University Senate Rules, with respect to how the changes will be proposed and processed into/through the Senate. The single new procedure that is required by this SACS-prodded SCPN document is that when the change in educational policy proposed that is so substantive that it is one of the changes listed in this SCPN document, then an advance 12 months notification must be transmitted through the SACS liaison (Connie Ray) to SACS.

Apparently, SACS also wants that all higher parties (Councils of the Senate) on the Senate-jurisdiction side, and all parties (Provost, Deans, Chairs) on the administrative-jurisdiction side, are to be reminded twice a year of the procedures reiterated in the SCPN document. I suggest that these reminders might be smoothly integrated into Senate processes by incorporating them at least into the annual beginning-of-the-academic-year orientation that the Senate Council Chair gives to the various Senate committees.

Finally, we should take additional note that this SCPN process **also requires a twice-yearly reminder by Connie Ray to the University administration of the requirement that the administration seek the advice of the University Senate prior**

to making substantive managerial changes in the University that affect attainment of educational objectives. To the extent that the Senate Council has been/will be pondering ways to increase administrative procurement of such Senate advice, such Senate Council discussions ought include how to leverage these SCPN expectations (*that will be inquired about during SACS accreditations*).

Davy Jones, Chair
Senate Rules and Elections Committee
cc: SREC

***Definition of "Shared Governance" in the Governing Regulations:**

G. Shared Governance

The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, **faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority.** Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals."

From: Ray, Constance

Sent: Thursday, February 25, 2010 1:17 PM

To: Adams, James; Anderson, Heidi Milia; Birdwhistell, Terry; Blackwell, Jeannine; Brennan, David A; Brothers, Sheila C; Gonzalez, Lori S; Jones, Barbara W; Kirschling, Jane; Kornbluh, Mark; LESTER, THOMAS W; Martin, Angie; McNamara, Patrick; Mullen, Michael D; O'Hair, Dan; O'Hair, Mary J; Perman, Jay A; Randall, David C; Shay, Robert; Smith, M S; Speaks, Michael A; Subbaswamy, Kumble; Sudharshan, Devanathan; Turner, Sharon P; Wyatt, Stephen W; Carvalho, Susan E; Yopp, John

Cc: Todd, Lee; Vaughn, Connie

Subject: First Annual UK Substantive Change Policy Notification: SACS Requirement

Importance: High

Dear Colleagues,

According to our new institutional [Substantive Change Policy](#) (AR 1:5), the SACS liaison will send out a call twice a year to remind appropriate individuals regarding the substantive change policy and to request notification of planned changes that may meet the substantive change definition. AR 1:5 specifically states,

"The Accreditation Liaison shall inform all responsible individuals at each level of the University (see Matrix in Appendix 1) of the SACS substantive change policy and the institutional substantive change policy on a biannual basis (August and February) and at the same time shall request notification of substantive changes in planning for the next 12-month period. The 12-month timeframe will provide a long-range outlook to ensure that notifications can be carried out six months prior to implementation of substantive change."

Attached is a brief training on substantive change. Please put it in “slide show” format to review. Slide show format is necessary to ensure that the links to supporting documents are activated.

In keeping with our institutional policy of informing all responsible individuals at each level of the University, I would like to ask the following individuals to forward this training presentation and request to the appropriate individuals as indicated:

1. Deans should forward to their associate/assistant deans, department chairs or directors, and faculty involved in academic degree program planning and changes.
2. Chairs of University Senate Councils (Undergraduate, Graduate, and Health Care) should forward to Council members.
3. University Senate Chair should forward to the Senate Council and/or Senate members, as deemed appropriate.
4. Central chief administrative officers should use their discretion in notifying additional individuals, after reviewing all the academic and administrative substantive change possibilities.

Each individual notified should review the training presentation in slide show format, study the matrix of recommendation and approval authority in AR 1:5, and then do the following:

- Those responsible for academic substantive change should report any planned change in the next 12 months to Associate Provost Jeannine Blackwell **no later than Friday, March 26.** All academic substantive change must be recognized as such in appropriate documents and must have recommendations and approvals as provided for in AR 1:5.
- Those responsible for administrative substantive change should report any planned change in the next 12 months to VP Connie Ray **no later than Friday, March 26.** All administrative substantive change must be recognized as such in appropriate documents and must have recommendations and approvals as provided for in AR 1:5.

Please note that compliance with the **UK** substantive change policy, which was developed to ensure compliance with the **SACS** substantive change policy, is a requirement for reaffirmation of SACS accreditation.

If you have questions or need additional information, please let me know. Thank you for your time and support.

Connie

Connie A. Ray, Ph.D.
Vice President for Institutional Effectiveness
University of Kentucky
202B Main Building
Lexington, KY 40506-0032
PH: (859) 257-6384
FAX: (859) 323-8688