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OLGA S. PEERS ACADEMIC CENTER FOR STUDENT-ATHLETES (OPAC)

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Welcome to our Academic Support Team!

We are excited to have you be a part of our tutoring program. "The Tutorial Assistant Handbook" has been developed by the Olga S. Peers Academic Center for Student-Athletes to acquaint you with the important aspects of a successful tutoring program. It is our goal to familiarize you with some of the information that you will need to fulfill your responsibilities as part of the academic support team.

All new and returning tutors are required to read the tutor manual carefully. With your help, we will work to become one of the best academic support programs in the nation. We ask that you do your best to help our student-athletes reach their potential. Your skills as a tutor will greatly benefit the student-athletes who will be coming to you for assistance.

Tutors play an important role in the success of our student-athletes. This responsibility is both challenging and rewarding. You are a vital communication link between the Tutor Coordinator, the student-athlete's Academic Counselor and the student-athlete. It is important that you maintain an open dialogue regarding the student-athlete's progress.

Thank you for what you will do to aid our student-athletes and our program.

Go Cards,

Marvin Mitchell
Associate Athletic Director for Academic Services
Olga S. Peers Academic Center for Student-Athletes

OLGA S. PEERS ACADEMIC CENTER
FOR STUDENT-ATHLETES' STAFF

Marvin Mitchell, *Associate Athletic Director*
(502) 852-6006 mmitchell@louisville.edu

Bryan Hicks, *Assistant Athletic Director*
Football (502) 852-1446 BryanHicks@louisville.edu

Scott Sallade, *Director of Student Services*
Softball (502) 852-7913 sasall01@louisville.edu
W. Soccer, M. & W. Swimming, and Cardinal Degree Completion Program
(CDC)

Christine Jackson, *Associate Director of Academic Services*
Field Hockey (502) 852-7934 c.jackson@louisville.edu
M. Golf, W. Golf, Baseball, Volleyball, and Spirit Groups

Anthony Wright, *Assistant Director*
M. Basketball (502) 852-2786 a0wrig04@louisville.edu

Dawn Aulick, *Meredith-Dunn School Learning Specialist*
(502)852-4975 depowe@01@louisville.edu

Kellynn Wilson, *Academic Counselor*
M. Soccer (502) 852-8863 kawils02@louisville.edu
W. Basketball, and M. Tennis

Chris May, *Academic Counselor, Office Manager*
W. Tennis (502) 852-6006 chris.may@louisville.edu
M. & W. Cross Country, and M. & W. Track

Nicole Alderson, *Associate Academic Counselor, Tutorial Program Coordinator*
Rowing (502) 852-7109 ncalde01@louisville.edu
Lacrosse

Melissa Briery, *Graduate Assistant*
(502) 852-2457 mabrie01@louisville.edu

Tim Green, *Graduate Assistant*
(502) 852-7271 tlgree06@louisville.edu

Caroline Crafton, *Intern*
Football (502) 852-4750 cacraf01@louisville.edu

Caitlin Dance, *Intern, Tutoring Program Asst.*
(502) 852-1012 caitlin.dance@louisville.edu

Victoria Laemmel, *Intern*
Football (502)852-4750 velaem01@louisville.edu

JOB DESCRIPTION
TUTORIAL ASSISTANT

Job Summary:

Provide instructional support in academic content areas and study skill needs for student-athletes.

General Responsibilities:

1. Plan and implement weekly sessions with students to promote independent learning.
2. Identify and address study skill needs for students in the context of the tutorial session.
3. Prepare and submit accurate records of sessions with student-athletes within 24 hours of the tutoring session.
4. Maintain a high level of knowledge in academic area by prepping prior to your session to keep your skills in the subject matter sharp.
5. Know and comply with policies of Olga S. Peers Academic Center for Student-Athletes that govern the tutoring of student-athletes, particularly NCAA regulations.
6. Comply with the University's FERPA and Sexual Harassment guidelines.
7. Work with Academic Counselors and Staff to insure success of the student-athlete.
8. Additional duties assigned by Tutorial Coordinator.

Supervisor: Tutorial Coordinator

NCAA Regulations

A tutor must know and understand that student-athletes are subject to rules and regulations that might seem unusual, but are dictated by NCAA regulations. A basic rule of thumb is: no service or activity can be provided to a student-athlete that is not available to the general student body.

Tutors must not provide the following services or aid:

- No supplies, like paper, pens, pencils, calculators or any other equipment can be given or loaned to a student-athlete.
- No typing can be done for student-athletes. This also includes entering data on a computer.
- No meal, tickets or anything that has a monetary value can be given to student-athletes.
- Materials may only be photocopied for a student-athlete free of charge in the Olga Peers Academic Center. A tutor may provide supplemental material from his/her sources to facilitate the tutoring process.

Tutors cannot write complete sentences on student-athletes' written papers, either on hard copy or computer. The tutor must ask the student open-ended questions as a means of editing written work. Minor marks can be made on a student-athlete's written or printed work. Help with editing papers is very time consuming and tedious for both the Tutor and the student. Extra care must be taken that the completed written work is exclusively the student's and does not constitute plagiarism.

Extra Benefits

An extra benefit is any special arrangement by an institutional staff member, or a representative of the institution's athletics interests, to provide a student-athlete or a student-athlete's relative or friend a benefit not expressly authorized by NCAA legislation. Receipt of a benefit by student-athletes or their relatives or friends is not a violation of NCAA legislation if it is demonstrated that the same benefit is generally available to the institution's students or their relatives or friends or to a particular segment of the student body, (i.e., foreign students, minority students) determined on a basis unrelated to athletic ability.

**University of Louisville
Academic Services for Athletics
Tutor Request Form**

Please provide all requested information.

Student Name:

Sport: (Choose one)

Confirm Sport: ** Intra-Office Request and
Confirmation

Student Phone Number:

Student E-Mail:

Course/Section:

Course Title:

Instructor:

Available Times:

Counselor:

Your complete email address:

Date Requested:

>00S<>Joe Kicker<>Soccer (Men's)<>Math 105<>555-555-5555<>03/03/2004<

Date Requested: 03/03/2004
Student's Name: Joe Kicker
Sport: Soccer (Men's)
Student's Phone Number: 502-555-5555
Student's E-Mail: soccerules@email.edu

Course / Section: Math 105
Course Title: Contemporary Math
Instructor: Holt

Available Times:
TR 1:00pm-2:00pm

Counselor: Derek Cowherd
Email: Derek.cowherd@louisville.edu

Appointment Day:
Appointment Time:
Tutor:
Beginning:

Guidelines for Tutorial Procedures

In the Beginning...

All student-athletes at the University of Louisville are given the opportunity to request a tutor for any class in which they are enrolled. Once a need is determined, the *student-athlete's counselor* will request a tutor using the web-based tutor request page (refer to page 5). The request is sent to a Service Account which is managed by the tutorial coordinator.

Each tutor is responsible for checking his or her email account at least one time daily for requests. The request includes: students name, sport, contact information, course requested for tutoring, available hours, and counselors information. The request is then sent to the appropriate tutor via email by the tutorial coordinator.

(Since students would like to start tutoring appointments as soon as possible, it is critical for tutors to respond promptly to requests so that appointments can begin within two (2) days of the initial request.)

Responding to the Request

The request is forwarded directly to the tutor using the email address provided by the tutor. When a request is received, the tutor should read the request and contact the student immediately by Email AND Phone to set up the first appointment. If the tutor feels he or she cannot satisfy the request, the tutor must reply to the original email immediately. Once the appointment has been set, the tutor must reply to the original request and fill out the four lines at the bottom inputting: the date, time, and location of the first appointment.

****If the student-athlete has not responded within 48 hours of being contacted, the tutor should reply to the original request notifying the tutorial coordinator of the student-athlete's inability to respond.**

Tutee Hours

Tutoring appointments should be scheduled for one hour per week per subject. If more time is needed on a particular subject, the tutorial coordinator or academic counselor must approve additional hours. Additionally, if a tutor works with three or more student-athletes in a given hour, he/she will be paid **double** their normal hourly wage. All groups must be approved by the Tutorial Coordinator or the students' counselors.

Before Tutoring

If a tutor has questions about the student or the course, he/she should review the student's information, syllabus, etc. and discuss the student's academic information with the Tutorial Coordinator or the student's counselor. The counselor may have progress reports from the faculty as well as diagnostic tests that may be helpful as the Tutor begins working with the student. Tutors should contact the Tutorial Coordinator if textbooks or other materials are needed to assist in tutoring. Remember to be on time for each session and do preparatory work before each session. This will set the tone for the sessions between Tutor and student-athlete.

Scheduling Appointments (Use Appointment Cards)

After the scheduled appointment, tutors should fill out an appointment card for the student-athlete indicating the time and location of the next appointment.

Approved Areas For Tutoring Sessions

Tutors and students can meet anywhere on campus in academically-oriented spaces, but it is preferred that the majority of meetings take place in the Olga S. Peers Academic Center or Ekstrom Library. **Tutoring appointments are not to take place in the tutor's home or the student-athletes' dorms, or apartments.**

During the Tutoring Session

The tutor and student should sign in at the front desk when they arrive at Academic Services for the appointment. At the beginning of each tutorial session, the Tutor should communicate what they plan to accomplish during the session. The tutor should also ask the student-athlete what he/she wants to accomplish during the session. Then develop the plan that is satisfactory to both the Tutor and student. During the first appointment the tutor should exchange email/phone numbers and make a copy of the course syllabus. The tutor should be aware of all upcoming tests and assignments. After the appointment the tutor should sign out at the front desk after filling out the tutor talk for the session. This allows the front desk to keep track of usage of the academic services we provide.

Always review the material learned in the previous sessions or section. Encourage the student to go back and show mastery of areas of study in the preceding lessons. To review and recall motivates most students to master each level before proceeding to the next. In guiding students through the learning process, tutors should consider using varying learning strategies. Remember to involve writing, reading and listening, in combination, for maximum results.

During Tutoring (continued...)

Tutors should be aware that there are four learning styles: visual, auditory, kinesthetic and tactile kinesthetic. Each learning style is as

unique as the student-athlete. If a student needs to **see** the information to retain it, he/she is a visual learner. If a student retains best by **hearing** information, he/she is an auditory learner. If a student learns best by **writing things down**, he/she is a tactile, kinesthetic learner. If a student learns best with **hands on** activities in which the **whole body** is involved, the student is a kinesthetic learner. The tutor should be aware of the learning style of the student and should teach skills with this learning style in mind.

After Tutoring

At the end of each session, make sure to schedule the next appointment, to make sure that each student-athlete leaves the session with a plan for additional study, and an **appointment card** for the next session. Remember, tutors and students should exchange phone numbers and/or e-mail addresses so they may contact each other as needed. ***TUTORS MUST FILL OUT A TUTOR TALK FORM WITHIN 24 HOURS OF THE TUTORING SESSION TO ENSURE THAT NO INFORMATION IS FORGOTTEN FROM THE SESSION.*** Tutors should note any information pertinent to the student's progress on the Tutor Talk Form. This form is the documentation needed for the student's academic counselor and also is directly linked to payment. The form can be accessed at:

<http://www.louisville.edu/athletics/academics/combinedtutorlra.html>

Each part of the Tutor Talk Form must be filled out to ensure payment for that session. This form is very important to the student's academic counselor, so take this task very seriously. The tutor should include all pertinent information in the Tutor Talk Form. Reported grades, analysis of what strategies were used, progress the student has made, the student's overall attitude, and study skills should all be included in this form.

The student-athlete's academic counselor and tutor coordinator immediately access the Tutor Talk forms after each session. If submitting this form within 24 hours is not possible, tutors should contact the tutorial coordinator or fill out a paper version which is located in the tutor room.

No Show Policy

Students are expected to come to each tutoring appointment prepared and on time. This information is critical in evaluating a student's progress. There is a place on the Tutor Talk Form to indicate these areas. There is also a section for students who fail to come to the appointment or calls late to cancel the appointment. Tutors are required to wait **30 minutes** to allow time for the student to show up, but tutors will be compensated for the time they waited for the student. Please indicate on the Tutor Talk Form which situation has occurred.

The No Show Policy is as follows:

Excused Absence

If a student-athlete calls OPAC to cancel a tutoring appointment by speaking to his/her counselor, Tutorial Coordinator or tutor at least two (2) hours before the appointment, this is considered an **excused absence**. Tutors will **not** be paid for a timely cancellation. Please reschedule the appointment.

Late Cancellation

If a student-athlete calls to cancel an appointment within the two (2) hour deadline, this appointment is considered a **late cancellation**. The Tutor should send in a Tutor Talk Form via the website indicating the late cancellation and the details of the cancellation, ie. time student called, circumstances, etc. The tutor will be paid for this time and should submit the missed session on their Time Sheet.

If a student-athlete fails to come to an assigned appointment, the tutor should fill out a Tutor Talk Form immediately indicating there was a **no show** appointment. It is not the tutor's responsibility to excuse a student's no show. The tutorial coordinator or the academic counselor will make this decision.

The tutor coordinator will document any cancelled appointments or no shows initiated by a student or by the tutor. The tutor coordinator will also promptly notify the student and the tutor if he or she has been suspended from having two no shows or late cancellations. Academic counselors will monitor student appointments, including cancelled or rescheduled appointments. A Tutor should email the tutor coordinator if an appointment has changed.

Payroll Procedure

Payroll for all Tutors is processed on a monthly or bi-monthly basis. All tutors must turn in their time sheets on the dates indicated on a flyer each semester. Time sheets and due dates can be found on the wall in the Tutor Room along with other useful information. **Use a separate time sheet for each pay period.**

Late Time Sheet Forms may be processed for the next pay period. Payroll will hold them for the next pay period. **There will be no exceptions.** Time sheets cannot be faxed. Original time sheets must be submitted with the tutor's signature. Tutor Time Sheet Forms and the Tutor Talk Forms serve as checks and balances for payroll. For each hour a tutor writes on his/her time sheet, a Tutor Talk Form must be submitted. These two totals should be the same.

Changes to tax forms or direct deposit information should be completed as soon as possible and returned to the tutorial coordinator. Tutors cannot begin working with students until all forms have been completed and a background check has been completed by the state. If there are returning tutors, no Payroll Forms need to be submitted. If a tutor works elsewhere on campus or has International Status, special conditions in payroll may apply. Tutors should discuss this information with the tutorial coordinator.

Time Sheet Forms should include the student's name, the course that the student was tutored in, duration of the session, and the time at which the tutor met with the student. Tutors should include all information especially the **Tutor's Employee Identification Number.**

Checking your paycheck stub on your U-Link:

The University of Louisville provides each employee with an email account and a ULink service account to print your paystub. For questions concerning your userid, password, etc., please contact the IT helpdesk; (502) 852-7997.

You may access your Ulink account by visiting the following website:

www.ulink.louisville.edu

Steps to access your paycheck:

1. Enter your UserID (Ex. Abraham K. Person, akpers01)
2. Enter your password
3. Access the Faculty/Staff tab at the top of the page (In red)
4. Your "Paycheck" is under the "Personal Info" section (middle of page.)

Snow or Severe Weather Schedule

If the university declares classes are on a snow schedule or canceled due to impending severe weather, tutoring appointments for the day should be considered cancelled. Tutors should call their students to reschedule.

Personal Conduct Policy

Tutors are expected to conduct themselves in an appropriate, professional manner at all times with the students and staff at OPAC. Similarly, socializing with student-athletes outside of the office (i.e., attendance at private parties or social events) is strongly discouraged. **Dating or fraternizing with a student-athlete is prohibited.**

Following these same lines, tutors should feel comfortable with telling students that they cannot meet during certain times. The students and Tutors' schedules are both very busy at times. There are times when a tutor's and student's times will not match. Tutors should not feel uncomfortable about being unable to accommodate a student's schedule to meet. Please contact the tutorial coordinator if this conflict arises immediately.

Tutors are here to help students in the support of their course work. Tutors will **not** be doing the work for the student nor feel pressure from the student to be responsible for the grades the students receive. A tutor's job is to support the class work. It is the responsibility of the student to earn the grades in the classroom. Tutors are not evaluated by the grades their student's receive.



SITUATIONS AND STRATEGIES

In an effort to make the tutor's experience with the student-athlete more positive and to help in their role as a tutorial assistant, the following are several typical situations, which the tutor may face. Also included are a few suggested approaches to deal with these situations.

Situation #1

The student is passive and contributes little to the discussion.

Possible Reasons:

- The student may not have done the necessary preparations for the session.
- The student is insecure and does not believe he/she has anything valuable to contribute.
- The student may be experiencing mental or physical fatigue after practice.

Possible Approaches:

- Ask the student to work on the chalkboard or dry erase board to demonstrate what he/she knows.
- Try to elicit an active response from the student by asking open-ended questions. This ensures the Tutor is not carrying the weight of the discussion.
- Let the student demonstrate his/her knowledge of the subject by working a problem or explaining a concept.

<Insert picture here>

Situation #2:

The student-athlete wants the tutor to type or write a paper or complete an online assignment.

Possible Reasons:

- The student may not have a clear understanding of the function of the tutorial session or the program as a whole.
- The student may be in a panic; lazy or simply unwilling to do the work.

Possible Approaches:

- **NEVER** do or type the student's assignments; instead try to help the student feel capable of doing the work him/herself. Ask questions to determine the area of the assignment that is confusing to the student and help clarify. Brainstorm ideas.
- Explain the tutorial, NCAA and university policies that prohibit the tutor or anyone else from doing the work for the student and the results or repercussions of such action.
- Have the student make a plan of attack to complete the assignments.
- If a tutor ever feels pressured by the student to do his/her work, refer the matter **immediately** to the tutorial coordinator or the student's counselor.

Situation #3:

The student continually wants to talk about personal problems rather than do school work.

Possible Reasons:

- Discussing personal problems is a way of avoiding academic work.
- Because of lack of confidence academically, the student is more comfortable with social interaction. This social interaction allows the student to avoid exposing what he/she perceives as a shortcoming.

Possible Approaches:

- While it is important to develop a working relationship with students, tutors should avoid becoming the student's counselor. It is best to refer them to their counselor for further assistance.
- If the student continues to bring up personal matters, go over the purpose of a tutorial session and set specific goals. The student should leave the tutorial session with some feeling of academic success.

Situation # 4:

The student won't take responsibility for his/her grades and blames tutor for grades.

Possible Reasons:

- Student won't take responsibility.

Possible Approaches:

- The tutor and the student must determine objective and viable reasons for the grades and explore what the student can do to improve this academic situation. The ultimate responsibility for learning is with the student. The tutor is responsible for knowing the material and being able to convey it to the student in a way comparable to the student's learning style. **Tutors should not feel guilty if a student does not do as well as anticipated.**

Situation #5:

The student is consistently late or absent from the tutoring session.

Possible Reasons:

- The student does not feel he/she needs tutoring and has been pushed into requesting a tutor by his/her coach, academic counselor or parents.
- The student has personal responsibilities which interfere with his/her academic work.
- The student does not value the privilege of receiving tutoring.

Possible Approaches:

- Discuss the problem with the student. Remind him/her that tardiness and poor attendance on his/her part is not acceptable.
- Students who consistently exhibit this behavior should be referred to the tutorial coordinator or the academic counselor. Students who are chronically late may lose tutorial privileges.
- Tutors should document this on the Tutor Talk Form and discuss with the tutorial coordinator.



Situation #6:

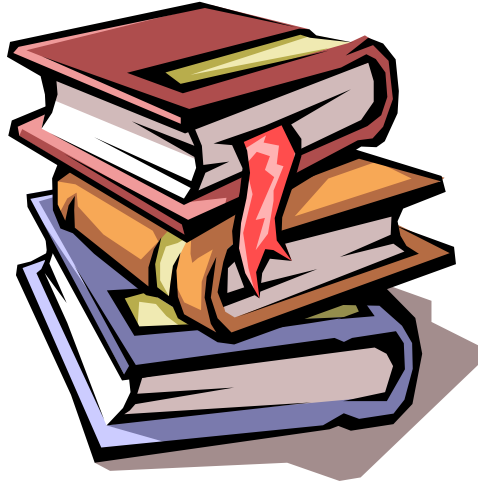
The student does not do homework regularly.

Possible Reasons:

- The student may not be interested in the course material.
- The student does not understand the importance of homework assignments. Poor study habits may also play a role in the student's lack of preparation.
- Social or personal matters may distract the student.

Possible Approaches:

- Go over all homework assignments carefully so student understands what he/she has to do.
- Discuss the value of homework and reinforce material already learned.
- Help student to develop a time management schedules and schedule in homework time.
- Explain the policy of a tutoring no show for unprepared students.
- Tutor should note that a student's failure to complete homework assignments may be tied in to his/her Objective Based Study Hall requirements and must be documented in the Tutor Talk Form.



*Olga S. Peers
Academic Center
for Student
Athletes*



TUTOR TALK Form

This form must be submitted within 24 hours of the session. Type your information in all fields that apply. Type your text information over "xx" in any field you need.

Select form: TutorTalk Form

Date of Appointment:

Appointment Time: AM PM

Student:(last name first)

TUTOR:(last name first)

TUTOR EMAIL ADDRESS (Complete):

Sport: (Choose One) Managers select your team. **(Required)**

Confirm Sport: Managers select your team. **(Required)**

1. No Show? Yes
2. Late Cancellation Yes

Explain:

Note time of contact. AM PM

Date

3. Did the student bring:
Textbooks? Yes No
Course Notes? Yes No
Syllabi, disks, papers, etc.? Yes No

4. On Time? Yes No

How Late?

5. How long was the appointment?
6. Please comment on this appointment and include all applicable information, ie upcoming assignments, reported grades, attitude, study skill needs and recommendations. You must hit "enter" at the end of each line in order to format (print) the report correctly.

Subject/Course title?
Example: Chemistry 101 or CHEM 101

Begin comments here.

7. **Next Appointment (date and time):**

Date of Next Appointment:

Time of Next Appointment: AM PM

8. **What is your education?** Undergraduate or BA/BS
 Graduate (Masters or Post-Bac)

04sp<>Runner, Fast<>Cross Country/Track (Women's)<>MATH
112<>Tutor, Fabulous<
>2<>03/01/04<>12.00<
>><03/08/04><2>
<pm>

Form submitting: TutorTalk Form
Appointment Time: 2 AM/PM? pm
Date of Appointment: 03/01/04

Student: Runner, Fast
Sport: Cross Country/Track (Women's)
TUTOR: Tutor, Fabulous
TUTOR EMAIL: tutorsrus@email.edu

No Show?
Late Cancellation?
Did student contact you?
Note date and time of contact. xx:xx AM/PM? date mm/dd/yy
Did the student bring: Textbooks? yes Course Notes? yes Syllabi, disks,
papers, etc.? yes

On time? yes
How Late? XX min
How long was the appointment? 1hrs xx min

Please comment on this appointment and include all applicable
information, ie upcoming assignments, reported grades,
attitude, study skill needs and recommendations. You must hit "enter"
at the end of each line in order to format (print) the report correctly.

Subject/Course title: MATH 112

Comments: We worked on her homework problems. She needs to
memorize her unit circle values. Also, she is beginning to get into trig
identities. She'll need a lot of practice with these because she is simply
going through the motions with me without any understanding.

Next Appointment (Date and Time):
Next Appointment Date: 03/08/04
Next Appt Time: 2 AM/PM? pm

Payrate: 12.00

Rules of Appropriate Dress

While there is not a dress code for our department for tutors, appropriate dress is requested at all times. Dress that distracts the student-athletes from working affectively in our office is considered inappropriate. Examples are: revealing halter tops, cutoff T-shirts or A-shirts (a.k.a. Wife-beaters), extremely short mini-skirts. Additionally, the tutor may end a session or request that the student-athlete change clothing as to not distract as well.

Tutorial Assistant Disciplinary Procedures

Tutor No Show Policy

Tutors who miss tutoring appointments without reason, cancel tutoring appointments less than 2 hours before the scheduled start time or arrive consistently late will be subject to the actions listed below:

| | |
|-------------------------|--|
| 1 st Offense | Written or Verbal Warning |
| 2 nd Offense | Possible termination; meeting with Associate Athletic Director/Tutor Coordinator |

Termination of Employment

Employment termination may result for the following reasons:

1. Failure to uphold the job duties and policies outlined in the handbook.
2. Failure to follow the rules, regulations and procedures of the OPAC office.
3. Deficient academic record.
4. Failure to keep tutoring appointments.
5. Violation of the Family Education Rights and Privacy Act.
6. Violation of University policies regarding academic honesty.
7. Failure to arrive for tutoring appointments on time.
8. Violation of NCAA rules and regulations.

Techniques for Tutoring

Paraphrase

To paraphrase, the tutor restates what the student says to let the student know that he/she is being heard. Likewise, having the student paraphrase a concept will help the tutor gauge how well the student understands it. Paraphrasing will either help make a concept clearer or it will demonstrate that more study or review is necessary.

Demonstration

A demonstration may be verbal, but is most often activity-based and serves to show how a particular task is completed or a problem is solved. Demonstrations are often used in labs to introduce students to a new procedure. In tutoring, demonstrations can help students grasp an abstract idea by providing a student with a concrete example of how one arrives at the conclusion. Students should be able to apply this information to problems of the same kind. Students can demonstrate their proficiency to the tutor.

Writing or Diagramming

Chalkboards or dry erase boards provide a large area in which to dramatize information. A visual learner responds exceptionally well to this technique. Allowing the student-athlete to use the board ensures that he/she is actively involved in the learning process. It also serves, as a check of the students' understanding of that particular concept.

Testing

Developing a short quiz for the student may be an excellent way of evaluating and reinforcing learning. These practice tests should echo what the professor indicated that he/she would administer.

Summarizing

Summarizing is a process whereby the student takes the information the tutor and the student have discussed and gives it back to the tutor in the student's own words. While most tutors think of summarizing as an activity to be used at the end of tutoring sessions, it may prove useful to stop during the tutoring session and ask for a summary of what has been learned up to that point. Summarizing can be done verbally or in writing. Breaking down the information in small pieces proves useful to most students.

Silence

In order to get the student-athlete to play an active role in the tutoring process, try silence. Try counting to ten before answering a question for the student. The silence gives the tutee a little extra time to answer or comment on the subject. It also prevents the student from being rushed and will help the student to develop confidence. Rushing to fill a void in conversation can often cause communication to break down resulting in the tutoring session being a one-way process.

Using Other Resources

Being a tutor means that you have the background and ability to tutor, but does not ensure that you “have all the answers”. The important thing is to know when and how to ask for information. Many times the answer is found in the textbook but not always. Consult with the tutorial coordinator for additional information. Additional materials can be secured for the tutor as needed.

Guidelines to Protect the Privacy of Student Records at the University of Louisville

PURPOSE

These guidelines are intended to help U of L students, faculty, staff, and administrators comply with the federal Family Educational Rights and Privacy Act.

WHAT IS THE FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT?

The Family Educational Rights and Privacy Act of 1974 (sometimes referred to as the Buckley Amendment, but more often by its acronym, FERPA) affords students certain rights concerning their education records. Under FERPA, U of L students have the right

- to inspect and review their education records;
- to seek to have their records amended; and
- to have some control over the disclosure of information from their records.

No one, not even a U of L student's parent or legal guardian, will have access to a student's education records, nor will their contents be disclosed, without the written consent of the student, except as provided by the Act.

U of L may release certain categories of "directory information," however, unless a student asks that some or all of that information not be disclosed.

FERPA, as amended, may be found at 20 U.S.C. 1232g; its final revised regulations may be found at 34 CFR 99. It is administered by the Family Policy Compliance Office of the U. S. Department of Education; for additional information, see the FPCO web site at <http://www.ed.gov/offices/OM/fpc>.

STATEMENT OF COMPLIANCE

FERPA obliges the University of Louisville to inform students of their rights and to follow procedures through which their rights can be exercised. The university intends to comply fully and fairly with the provisions of FERPA. Where necessary, the university has taken the provisions of KRS 164.183 and KRS 61.870-61.884 into account in formulating these guidelines.

The director of the University Archives and Records Center administers the university's student records policy. Copies of the Act, the annual "Notification of Students' Privacy Rights Under FERPA" statement, these guidelines, and other types of assistance can be obtained from the University Archives. Revisions and clarifications of the university's guidelines and procedures will be made as needed.

WHAT ARE U of L EDUCATION RECORDS?

A U of L student's education records are those records maintained by U of L (or by a party acting for U of L) that are directly related to the student. Records containing a student's name, social security number, or other personally identifiable information, in whatever medium, unless identified in one of FERPA's excluded categories, are education records.

WHAT IS "DIRECTORY INFORMATION"?

Directory information includes the following items, not generally considered harmful or an invasion of privacy if disclosed, about U of L students: name, postal addresses, e-mail address, telephone number, date (month and day only) and place of birth, major fields of study, classification (freshman, sophomore, etc.), enrollment status (full-time or part-time), enrollment unit (A&S, Medicine, Law, Music, etc.), residency status, participation in officially recognized activities and sports, weight and height of athletic team members, dates of attendance, degrees and awards received, and most recent previous educational institution attended.

U of L may release without written consent those items specified as public or directory information for students who are currently enrolled, provided the following conditions are met prior to disclosure: a) that U of L inform the students of items designated as public or directory information; b) that students be given the opportunity to refuse disclosures of directory information; and c) that the students be given a reasonable period of time in which to state such refusals in writing. U of L may also release without written consent those items designated as public or directory information on any student not currently enrolled unless that student, at his or her last opportunity as a student, requested otherwise.

Both current students and former students may direct the university not to disclose directory information and may also change their previous instructions to the university.

ASKING U of L TO WITHHOLD DIRECTORY INFORMATION

A student has the right to direct the university not to release directory information. A student can specify that only his or her address category (postal addresses, e-mail address, telephone number) be withheld or he or she can specify that all of his or her directory information items be withheld. The form for this purpose can be downloaded from <http://library.louisville.edu/uarc> or procured from the University Archives and Records Center, which is on the fourth floor of the Ekstrom Library. If, at the student's last opportunity, he or she instructed U of L to withhold his or her directory information, U of L will continue to withhold it, even though now the person is a "former student," until the person directs otherwise. U of L will

comply with a student's request for nondisclosure of directory information, although it may take as long as two business days for the university to process the change.

Students should be aware of potential undesirable consequences of withholding directory information. If a student has instructed U of L to withhold his or her directory information, U of L will not be able to send such information to potential employers and other interested parties without the student's written permission.

WHAT U of L RECORDS ARE EXCLUDED FROM THE TERM "EDUCATION RECORDS"?

The following types of records are not included in the term "education records" and are not subject to inspection or review by students:

1. Records of instructional, supervisory, and administrative personnel that are in the sole possession of the maker thereof and are not accessible or revealed to any other individual (except a substitute who performs on a temporary basis the duties of the individual who made the records).
2. Records maintained by the U of L Department of Public Safety (DPS) that were created by DPS for the purpose of law enforcement. Such records must always be kept separate from student education records. If such a record is sent to another university official outside DPS or is placed in an area where it could be reviewed by other university officials, it becomes an education record subject to inspection by the student. Some DPS records, however, are subject to inspection by students and others under the Kentucky Open Records Act.
3. Records relating to individuals who are employed by the University of Louisville that are made and maintained in the normal course of business, relate exclusively to individuals in their capacity as employees, and are not available for use for any other purpose. It is possible that such records could be made available under KRS 61.872. It should be noted that records of an individual in attendance at U of L who is employed as a result of his or her status as a student (e.g., a work-study student) are education records and as such may be inspected by the student.
4. Records relating to a student that are 1) created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional, acting in his or her professional capacity or assisting in a paraprofessional capacity; 2) used solely in connection with the provision of treatment to the student; and 3) not disclosed to anyone other than individuals providing such treatment. However, these records can be personally reviewed by a physician or other appropriate professional

of the student's choice. "Treatment" in this context does not include remedial educational activities or activities which are part of the program of instruction at the University of Louisville. Such records must always be kept separate from student education records. If such a record is sent to another university official outside the recognized professional or is placed in an area where it could be reviewed by other university officials, it becomes an education record subject to the student's inspection.

5. Records that contain only information relating to a person after that person is no longer a student at U of L (e.g., information gathered on the accomplishments of alumni).

WHO IS A U of L STUDENT?

A U of L student is a person who has been in attendance at U of L, including cooperative, correspondence, distance education, and international programs. FERPA does not apply to records of applicants for admission to U of L who are not accepted or who are accepted but do not attend. A student who is enrolled in one U of L college, school, or division, but who is denied admission by another U of L unit, does not have any FERPA rights in the unit which denied admission to him or her.

OTHER DEFINITIONS

Disclosure means permitting access to or the release, transfer or other communication of education records of the student or the personally identifiable information contained therein to any party, orally, in writing, by electronic means, or by any other means.

Financial Aid means a payment of funds to an individual (or a payment in kind of tangible or intangible property to the individual) that is conditioned on the individual's attendance at the University of Louisville.

Personally Identifiable means data or information which include 1) the name of the student, the student's parent, or other family member; 2) the student's address; 3) a personal identifier such as a social security number or student number; or 4) a list of personal characteristics, or other information that would make the student's identity easily traceable.

Student Right-to-Know Act of 1990 (SRTK) requires colleges and universities to report graduation rates to current and prospective students.

Solomon Amendment of 1996 requires institutions to provide certain directory-type information on students, at least seventeen years of age, upon request from representatives of the Department of Defense for military recruiting purposes.

USA PATRIOT Act of 2001 requires institutions to provide student education records or other tangible items to the U. S. Attorney General or his or her designee in response to an ex parte court order related to a terrorism investigation.

INFORMING STUDENTS OF THEIR RIGHTS (ANNUAL NOTIFICATION)

U of L must notify its current students annually of their FERPA rights. Former students do not have to be notified. The director of the University Archives and Records Center oversees the publication of U of L's "Notification of Students' Privacy Rights under FERPA" (see [Appendix One](#)) on the university's web pages and in its catalogs and at least annually in its class schedules, and, if possible, in the *Cardinal*.

PROCEDURE FOR STUDENTS TO EXERCISE THEIR RIGHT TO REVIEW THEIR RECORDS

A U of L student has the right to inspect and review his or her education records within forty-five days of the day the university receives the request for access. The student should submit a written request identifying the record(s) he or she wishes to inspect to one of the following university officials: the registrar, the dean of the college or school in which the student is enrolled, the vice president for student affairs, or the director of the University Archives and Records Center. The university will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the university official to whom the student submitted the request, that official shall advise the student of the person to whom the request should be addressed. The university official who receives a student's written request to inspect his or her records must send a copy of the request to the director of the University Archives and Records Center upon receipt of the request.

A U of L student has the right to inspect and review all education records about him or her except (1) financial information submitted by his or her parents; (2) confidential letters and recommendations placed in his or her files prior to January 1, 1975, provided these letters were collected under established policies of confidentiality and were used only for the purposes for which they were specifically collected; (3) confidential letters and statements of recommendation placed in the records after January 1, 1975, which he or she has waived the right to inspect and review and that are related to the student's admission, application for employment or job placement, or receipt of honors; and (4) education records containing information about more than one student; however, in such cases U of L will permit access to that part of the records pertaining only to the inquiring student.

U of L students may waive any or all of their rights to review confidential letters and statements of recommendation under FERPA. The right of waiver is subject to the following conditions: (1) That U of L does not require waivers. (2) That no U of L service or benefit is

denied students who fail to supply waivers (although U of L is free to request waivers). (3) That the documents which students have waived the right to access are used only for the purposes for which they were collected. If used for other purposes, the waivers are void and the documents may be inspected by the students. Instruments used by U of L units for soliciting recommendations and evaluations must contain only requests for information that will be used for the specifically-intended purposes. (4) That the waivers are in writing and signed by the students. Students may waive their rights to inspect and review either individual documents or classes of documents (e.g., part or all of an admission or job placement file). They may revoke the waiver in writing, but, by revoking it, they do not have the right to inspect and review documents collected while the waiver was in force.

Note: when "applicants" who waive their rights to access documents become students, they may specifically request and be given the names of all individuals who submitted letters and statements of recommendation for them.

Once students have requested access to their education records, such students' records cannot be destroyed until inspection and review have been provided. In addition, two additional items must not be destroyed unless the records to which they pertain are destroyed: a) "explanations" placed in the records by students as a result of a request for amendment that has been denied, as long as the original document that was the subject of the dispute is maintained, and b) records of disclosures and requests for disclosures.

At the University of Louisville, undergraduate and graduate admissions files, including letters of recommendation, may be destroyed five years after graduation or date of last attendance. Professional school admissions files, which may include letters of recommendation, are retained permanently.

Students have the right to view their education records wherever these records are maintained on campus. Although it is the university's policy to honor requests to inspect records as promptly as possible, once a student has submitted a request to inspect his or her records, U of L has forty-five days in which to comply. The official to whom the student makes the request may require the student to submit the request in writing. The student may request and receive an explanation or interpretation of his or her record from a responsible official. In cases where a student is not within commuting distance of campus, and therefore is unable to be present to view the record on campus, U of L will try to make other arrangements for the student to obtain access, either through photocopies or by using an appropriate third party. Questions or problems regarding these matters should be referred to the director, University Archives and Records Center, for resolution.

It is the policy of the university to provide the student with photocopies of his or her records upon request when it will help the student in inspection and review of the records, unless (1) the record to be copied is an examination, in which case permission of the faculty member is necessary, or (2) it is a record on which a "hold" for financial or other purposes has been placed under university record hold policies. Fees for photocopies of materials in the records are the same that university offices charge for photocopies of other materials. At its option, an office may furnish copies, or take the materials to a copy center on campus, where the current rate for case work will be charged.

DISCLOSING EDUCATION RECORD INFORMATION REQUIRING THE STUDENT'S CONSENT

U of L must obtain written consent from a student before disclosing any personally identifiable information from his or her education records, apart from directory information, with the exceptions noted below. Such written consent must a) specify the records to be released, b) state the purpose of the disclosure, c) identify the party or class of parties to whom disclosure may be made, and d) be signed and dated by the student. While the student's consent must be made in writing (oral consent is not sufficient) a U of L official may accept a fax or e-mail consent, provided the official is reasonably certain that the fax or e-mail constitutes a bona fide consent.

U of L may disclose personally identifiable information from a student's education records to a third party if the eligible student has signed and dated a written consent form which is presented to a university official by the third party, provided the official is reasonably certain that the form constitutes a bona fide consent.

U of L should inform parties to whom personally identifiable information is released that recipients, as a general rule, are not permitted to disclose the information to others without the written consent of the student. An example of such wording follows: "The attached information has been forwarded to you at the request of the student with the understanding that it will not be released to other parties. The Family Educational Rights and Privacy Act of 1974 as amended prohibits release of this information without the student's written consent. Please return this material to us if you are unable to comply with this condition of release." In certain circumstances (see 34 CFR 99.33), the recipient of the information may legally re-disclose the information. If a third party re-discloses personally identifiable student information in violation of FERPA, however, U of L shall be prohibited from permitting access to education records to that third party for a period of not less than five years.

DISCLOSING EDUCATION RECORDS WHERE THE STUDENT'S CONSENT IS NOT REQUIRED

U of L may disclose education records to the following persons without the student's consent:

1. Authorized representatives of the following officials for audit or evaluation of federal- and state-supported programs, or for enforcement of or compliance with federal legal requirements which relate to those programs: the Comptroller General of the United States; the Secretary of the Department of Education; educational authorities of the Commonwealth of Kentucky.
2. Veterans Administration officials.
3. U of L officials with legitimate educational interests. A university official is a person employed by the university in an administrative, supervisory, academic or research, or support staff position (including the student grievance officer, law enforcement unit personnel, and health staff); a person or company with whom the university has contracted (such as an attorney, auditor, or collection agent); a person serving on the board of trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another university official in performing his or her tasks. A university official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Although a person may be regarded as a "university official," he or she does not have inherent rights to any and all education record information. The university official must demonstrate a legitimate educational interest to the records custodian as opposed to a personal or private interest and such determination must be made on a case-by-case basis. When necessary, this determination is made by the director, University Archives and Records Center, who shall use the following criteria: a) is the person performing appropriate tasks that are specified in his or her position description or by a contract agreement; b) performing a task related to a student's education; c) performing a task related to the discipline of a student; d) providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement, or financial aid. Disclosure to a university official having a legitimate educational interest does not constitute authorization to share that information with a third party without the student's written permission. Furthermore, such information, when it has fulfilled its originally specified purposes, should be properly destroyed or returned to the originating office for appropriate disposition. Appropriate U of L units must establish procedures for initially instructing and periodically reminding university officials of FERPA's confidentiality requirements before giving them

access to computer systems containing student education records. These university officials must also be informed of the university's criteria for determining legitimate educational interest and their responsibility for assuring that access is not abused.

4. Upon request of another school in which a student seeks or intends to enroll, the university may disclose his or her education records without consent to the appropriate officials of that school.
5. Organizations providing financial aid to students, or determining financial aid decisions concerning eligibility, amount, condition, and enforcement of terms of said aid.
6. Organizations conducting studies for, or on behalf of, educational agencies or institutions to develop, validate, and administer predictive tests, to administer student aid programs or to improve instruction. Before such an organization is given access, it must submit its written agreement that it will not disclose personally identifiable information on students and that information secured will be destroyed when no longer needed for its projects.
7. Accrediting organizations carrying out their accrediting functions.
8. Persons in compliance with a judicial order or a lawfully issued subpoena, provided that the university makes a reasonable attempt to notify the student in writing in advance of compliance. NOTE: U of L is not required to, nor should it, notify the student if a federal grand jury subpoena, or any other subpoena issued for a law enforcement purpose, orders the institution not to disclose the existence or contents of the subpoena. If U of L initiates legal action against a student, no subpoena would be required if U of L made a reasonable effort to notify the student in advance of its intent to disclose information from education records in a court of law.
9. The U. S. Attorney General or his or her designee in response to an ex parte court order related to a terrorism investigation, pursuant to the USA PATRIOT Act of 2001. If so ordered, the university will not inform the student.
10. Persons in an emergency, if the information is in fact necessary to protect the health or safety of students or other persons. In accordance with the Act, this wording "shall be strictly construed." If necessary, the determination of what is an emergency will be made by the director, University Archives and Records Center, or a designee, and shall be made scrupulously and with respect for the privacy rights of the student whose records are involved, after consideration of the following factors: a) the seriousness of the threat to the health or safety of the student or other individuals; b) the need for the information to meet the emergency; c) whether the parties to whom the information

is disclosed are in a position to deal with the emergency; and d) the extent to which time is of the essence in dealing with the emergency.

11. An alleged victim of a crime of violence or a nonforcible sex offense of the final results of any U of L disciplinary proceeding against the alleged perpetrator of that crime with respect to that crime (pursuant to the federal Campus Security Act of 1990 as amended).
12. Parents or legal guardians of a student under the age of 21, but only of incidents involving drug and alcohol violations in which the student is found to be responsible, pursuant to the federal Higher Education Amendments of 1998. Otherwise, except for directory information, the university does not release a student's education records to his or her parents without the student's written permission.

RECORDS OF REQUESTS AND DISCLOSURES

U of L offices must maintain records of requests for and disclosures of personally identifiable information. The records of requests, whether granted or not, shall include the names and addresses of the person(s) who requested the information and their legitimate interests in the information. Records of requests and disclosures do not have to be maintained for:

1. Those requests made by students for their own use;
2. Those disclosures made with the written consent of students;
3. Those disclosures made to university officials under the conditions that allowed such disclosures; or
4. Those disclosures made to a party seeking directory information.

Examples of instances where the university must maintain records of requests and disclosures:

1. In response to a lawfully issued court order or subpoena;
2. For external research purposes where individual students have been identified;
3. In response to an emergency.

The records of disclosures and requests for disclosures are considered a part of the student's education records; therefore, they must be retained as long as the education records to which they refer are retained by the university.

The records of requests and disclosures must include:

1. The parties who have requested or obtained personally identifiable information from the education records of a student, and
2. The legitimate interests these parties had in requesting or obtaining the information.

These records must be made available for inspection to students, responsible institutional officials, state and federal auditors, and others, as prescribed by law.

RIGHT TO CHALLENGE INFORMATION IN STUDENT RECORDS

A U of L student has the right to request the amendment of his or her education records that he or she believes are inaccurate or misleading. To ask the university to amend a record the student believes is inaccurate or misleading, the student should write the university official responsible for the record, clearly identify the part of the record he or she wants changed, and specify why it is inaccurate or misleading. The responsible official shall decide, as soon as possible, but not longer than forty-five days from the date of the request, whether or not to amend the challenged record. The responsible official may amend the record. If the university decides not to amend the record as requested, the university will notify the student of the decision and advise him or her of the right to a hearing regarding his or her request for amendment. The student must also be informed that if he or she wishes to receive a hearing, he or she must make this request in writing to the director, University Archives and Records Center, who will provide additional information regarding the hearing procedures to the student. The director will assemble an appropriate hearing panel and will inform the student of the date, place and time of the hearing. The hearing will have present the student, the official responsible for the question (where appropriate), and all other necessary parties. The student will be afforded a full and fair opportunity to present evidence relevant to the issue raised. The student may be assisted or represented at the hearing by one or more persons of his or her choice, including an attorney, at the student's expense. The judgment of the panel shall be final, based solely on the evidence presented at the hearing, and the record shall be changed or retained as recommended. The panel will issue a written statement summarizing the evidence and stating the reasons for the decisions which will be delivered to all parties concerned who have a legitimate educational interest.

If the panel decides against the requested change, it shall inform the student that he or she shall have the opportunity to place with the education record a statement commenting upon the information in the record and/or setting forth any reasons for disagreeing with the decision of the hearing. This statement shall be maintained as part of the record for as long as the record is held by the university, and shall be provided to all persons to whom the questioned record is provided.

DECEASED STUDENTS

The disposition of records held by U of L pertaining to a deceased person is not a FERPA issue but a matter of institutional discretion. U of L officials may exercise their own judgment in deciding whether, and under what conditions, information should be disclosed to survivors or other third parties. Guidance may be obtained from the director, University Archives and Records Center.

DESTRUCTION OF RECORDS

Destruction of university records of any sort may occur only in accordance with the university's records disposition policies. Furthermore, U of L officials may not destroy any education records if there is an outstanding request to inspect and review the records.

THE MEDIA

Nothing in FERPA allows the university to discuss a student's education records publicly, even if a lawsuit has made the information a matter of public record. A university official may not assume that a student's public discussion of a matter constitutes an implied consent for the official to disclose anything other than directory information in reply. The official who wishes to respond to the media under these circumstances should ask the student for a properly executed consent form.

POSTING OF GRADES

The public posting of grades by the student's name, student ID number, social security number, or any other identifier that would make it possible to discern confidential student information is a violation of FERPA.

ASSISTANCE WITH PROBLEMS OR QUESTIONS CONCERNING COMPLIANCE

If a student has questions about the provisions of FERPA, these guidelines, or related matters, he or she may contact the director, University Archives and Records Center, 852-6674.

If a student believes that the university has not complied with the Act, he or she may direct comments concerning this to the director, University Archives and Records Center, who will try to help resolve the matter in question.

If a student believes that the university has not complied with the Act, he or she may file a written complaint with the Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue S.W., Washington DC 20202-4605. These guidelines are subject to revision.

August 22, 2000; rev. April 10, 2003

This information was obtained from:

<http://library.louisville.edu/uarc/stupriv/guidpriv.htm>

Notification of Students' Privacy Rights Under FERPA

The Family Educational Rights and Privacy Act affords you, as a U of L student, certain rights with respect to your education records. In general, your education records are any data recorded in any medium that are directly related to you and are maintained by the University of Louisville or by a party acting for the University of Louisville. Often referred to as FERPA or the Buckley Amendment, this federal law can be seen at 20 U.S.C. 1232g and its regulations at 34 CFR 99.

1. You have the right to inspect and review your education records within forty-five days of the day the university receives your request for access. You should submit a written request identifying the record(s) you wish to inspect to one of the following university officials: the registrar, your dean, the vice president for student affairs, or the director of the University Archives and Records Center. The university will make arrangements for access and notify you of the time and place where the records may be inspected. If the records are not maintained by the university official to whom you submitted your request, that official shall advise you of the person to whom the request should be addressed.
2. You have the right to request the amendment of your education records that you believe are inaccurate or misleading. To ask the university to amend a record you believe is inaccurate or misleading, you should write the university official responsible for the record, clearly identifying the part of the record you want changed and specifying why it is inaccurate or misleading. If the university decides not to amend the record as you request, the university will notify you of the decision and advise you of your right to a hearing regarding your request for amendment. If you wish to receive a hearing, you must make this request in writing to the director, University Archives and Records Center, who will provide additional information to you regarding the hearing procedures.
3. You have the right to consent to disclosures of personally identifiable information contained in your education records, except to the extent that FERPA authorizes disclosure without consent. One exception which permits disclosure without consent is disclosure to university officials with legitimate educational interests. A university official is a person employed by the university in an administrative, supervisory, academic or research, or support staff position (including the student grievance officer, law enforcement unit personnel, and health staff); a person or company with whom the university has contracted (such as an attorney, auditor, or collection agent); a

person serving on the board of trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A university official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Upon request of another school in which you seek or intend to enroll, the university may disclose your education records without your consent to the appropriate officials of that school. Specific statutes may amend FERPA or otherwise require the university to disclose certain student education records to certain individuals including the student's parents without the student's approval. The university's obligations under these statutes are described in U of L's "Guidelines to Protect the Privacy of Student Records." Otherwise, except for directory information, the university does not release your education records to your parents without your written permission. If you instruct U of L not to disclose your directory information, it may take as long as two business days for the university to process the change and comply fully with your request. See U of L's "Guidelines to Protect the Privacy of Student Records," the "Request to Withhold Disclosure of Directory Information" form, and related materials at:

<http://library.louisville.edu/uarc>.

4. You have the right to file a complaint with the U.S. Department of Education concerning alleged failures by the University of Louisville to comply with the requirements of FERPA. If you have any questions about the U of L student records policy, you may contact its administrator, the director of the University Archives and Records Center, at 502-852-6674. The privacy of student academic records is also addressed in KRS 164.283.

This information was obtained from:

<http://library.louisville.edu/uarc/stupriv/notfstud.htm>

University of Louisville Policy and Procedures on Sexual Harassment

Policy

The University of Louisville strives to maintain the campus free of all forms of illegal discrimination as a place of work and study for faculty, staff, and students. Sexual harassment is unacceptable and unlawful conduct and will not be tolerated in the workplace and the educational environment.

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, or participation in a university-sponsored education program or activity; (2) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such an individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's employment or academic performance or creating an intimidating, hostile, or offensive working or educational environment.

Faculty, staff, students, and administrators must adhere to this anti-harassment policy. The Provost, Vice Presidents, Deans, Directors, and heads of departments, divisions, and offices are specifically responsible within their particular organizations for publicizing, implementing, and enforcing this policy.

Retaliation

Discrimination in any University employment or academic decision against persons who seek redress under the procedures outlined below is prohibited.

Disciplinary Action

If an individual is shown to have violated the sexual harassment policy, the individual will be subject, depending upon the seriousness of the violation, to disciplinary action up to and including termination of employment or expulsion from the University.

The Provost, Vice Presidents, Deans, Directors, and heads of departments, divisions, and offices are required to enforce this policy. Failure to do so constitutes a violation subject to separate disciplinary action.

Reporting a Sexual Harassment Complaint

The purpose of reporting a complaint is to inform the University that sexual harassment is or may be occurring and to provide information sufficient to identify the parties involved.

A complaint of sexual harassment may be reported to any University Official. They are identified as follows:

- The Director of Affirmative Action/Employee Relations
- The Harassment/Sexual Harassment Officer
- Deans, Vice Presidents, Chairs and Department Heads

A University Official is any person charged with the responsibility for preventing, reporting, investigating, and/or resolving sexual harassment complaints.

Any University Official who receives a complaint of sexual harassment is **required** to report the incident to the Affirmative Action/Employee Relations Office **upon receipt**. See [University Official's Incident Report](#).

It is the University Official's responsibility to:

1. Provide information regarding the University's Policy on Sexual Harassment and Complaint Resolution Procedures and offer options for addressing a complaint.
2. Encourage and assist the Complainant in contacting The Affirmative Action/Employee Relations Office at 852-6538 or 852-6536.
3. Record the complaint and submit the information to The Affirmative Action/Employee Relations Office. See [University Official's Incident Report](#).

Appropriate action may be imposed on any University Official with a duty and responsibility to act under this policy and associated procedures that fails to respond to a complaint of sexual harassment in a manner consistent with the provisions of this policy and the associated procedures.

The Affirmative Action/Employee Relations Office may recommend to the University Official such interim steps as deemed necessary to protect the safety, well being, and the privacy of the Complainant, the Respondent and any other member of the University community who may be directly or indirectly involved.