

## NCAA Division I Committee on Athletics Certification Governance & Commitment to Rules Compliance

The committee developed these measurable standards to clarify expectations for each operating principle and to bring more consistency to the athletics certification process for institutions, peer-review teams and the committee.

### *~ Measurable Standards for Operating Principle 1.1 ~ Institutional Control, Presidential Authority and Shared Responsibilities*

- Q The institution's governing board's oversight and policy formulation for athletics must be consistent with its policies and stated responsibilities for other units of the institution.
- Q The CEO must have clear and direct oversight of the athletics program.
- Q The institution should identify individuals or groups external to the athletics department that have meaningful input in formulation of policies and the periodic review of policy implementation.

### *~ Measurable Standards for Operating Principle 1.2 ~ Rules Compliance*

The institution must...

- Q ...Assign direct accountability for rules compliance to the individual the CEO assigns overall responsibility for the athletics program (e.g., athletics director, vice-president for athletics).
- Q ...Have written compliance policies and procedures.
  - Q ...Identify individuals who have compliance-related responsibilities and must identify the reporting lines of these individuals.
- Q ...Ensure that the compliance policies and procedures are functioning.
  - Q ...Identify individuals external to the athletics department who are active participants in critical and sensitive areas of compliance (e.g., eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid).
  - Q ...Demonstrate that individuals external to the athletics program (e.g., registrar, financial aid personnel, faculty athletics representative) are engaged in the critical and sensitive areas of compliance.
  - Q ...Have an on-going educational program for all individuals associated with the athletics program including boosters, institutional staff members, student-athletes and athletics

department staff, which include coaches.

Q A statement regarding the importance of rules compliance must be included in all of the following for all administrative staff and coaches associated with athletics: contracts or letter of appointments, performance evaluations and job descriptions.

Q The institution must provide documentation that demonstrates that its entire rules-compliance program has been subject to an external comprehensive review once every four years.

Q The institution's comprehensive compliance review must be conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review.

Q The comprehensive review must demonstrate that the rules-compliance program is engaged and functioning.

Q The comprehensive rules-compliance evaluation must include, at a minimum, the following areas:

- a. Initial-eligibility certification
- b. Continuing-eligibility certification
- c. Transfer-eligibility certification
- d. Financial aid administration, including individual and team limits
- e. Recruiting (e.g., official visits, contacts, phone calls)
- f. Camps and clinics
- g. Investigations and self-reporting of rules violations
- h. Rules education
- i. Extra benefits
- j. Playing and practice seasons
- k. Student-athlete employment

### **NCAA Division I Committee on Athletics Certification Academic Integrity**

The committee developed these measurable standards to clarify expectations for each operating principle and to bring more consistency to the athletics certification process for institutions, peer-review teams and the committee.

*~ Measurable Standards for Operating Principle 2.1 ~  
Academic Standards*

- Student-athletes must be governed by the admissions policies that apply to students generally. If

any deviation exists, the institution must develop a plan for improvement to address the issue.

- Institutions must analyze, explain and address all deficiencies between the three-class average graduation rate of student-athletes as a whole and the three-class average general student graduation rate.
- If the three-class average graduation rate of a student-athlete subgroup and the three-year average general student graduation rate are not equal, institutions must look at the magnitude of the difference and observe if there is a trend. Further, the institution must develop a plan for improvement to address the issue.
- Academic standards and policies for student-athletes must be consistent with standards for the student body in general. If any deviation exists, the institution must develop a plan for improvement to address the issue.

Q The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes must be vested in the same agencies that have authority in these matters for students generally. If any deviation exists between the processes and agencies responsible for admissions, certification of academic standing and evaluation of academic performance for students generally and for student-athletes, the institution must address and explain this.

Q Institutions must have established written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and/or final examination periods due to their participation in intercollegiate athletics. These policies must be clearly communicated to student-athletes and staff (e.g., published in the institution's student-athlete handbook, published in the appropriate faculty/staff manual, discussed during team meetings).

*~ Measurable Standards for Operating Principle 2.2 ~  
Academic Support*

- Academic support services must be available to student-athletes either through institutional programming or through student-athlete support programming.
  - Information related to all academic support services must be clearly communicated to student-athletes (e.g., through inclusion in the student-athlete handbook, discussion during team meetings).
  - Institutions must provide support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support programming.
- Q Institutions must demonstrate that academic support services (e.g., tutoring, academic advising, monitoring of missed class time) for student-athletes are subject to a comprehensive review at least once every three years by academic authorities outside of athletics, who do not have day to day responsibilities in the academic support services area.

Q Institutions that do not have a separate academic support program for student-athletes are not required to ensure that its academic support program for students generally is periodically reviewed by authorities external to athletics.

### **NCAA Division I Committee on Athletics Certification Equity and Student-Athlete Welfare**

The committee developed these measurable standards to clarify expectations for each operating principle and to bring more consistency to the athletics certification process for institutions, peer-review teams and the committee.

#### **~ Measurable Standards for Operating Principle 3.1 ~ Gender Issues**

The institution must...

Q ...Demonstrate that it has implemented its first-cycle gender-equity plan or the institution must provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- Ø The institution did not possess sufficient funds to implement the plan.
  - Ø The institution has had personnel changes since the original development of the plan.

The committee will accept the following explanations for partial completion or noncompletion:

- Ø The institution was not required to submit a first-cycle written plan for improvement.
- Ø The institution has chosen a different action to achieve the same results outlined in its first-cycle gender-equity plan.

Q ...Analyze its EADA report for the three most recent academic years and explain and address any significant discrepancies and comment on trends.

Q ...Conduct a thorough and written review of each of the 13 program areas (please see program area definitions located in Equity and Student-Athlete Welfare Attachment No. 2 of the self-study instrument). The review must:

- Ø Describe how the institution has ensured a complete study of each of the areas;
  - Ø Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas;
  - Ø Explain how the institution's future plan for gender issues addresses each of the areas; and
- Ø Identify areas of deficiency and comment on any trends.

Q ...Develop a written, stand-alone plan for addressing gender equity.

Q The institution's plan to address gender equity must address all 13 program areas or have mechanism(s)

to ensure a periodic evaluation of each program area.

The institution's gender-equity plan must...

- Q ....Address all deficiencies identified during the self-study.
  - Q ...Maintain the institution's conformity or move an institution into conformity with the operating principle.
- Q ....Be developed through a process of broad-based campus participation.
- Q ... Receive formal institutional approval.
  - Q ...Extend at least five years into the future, or until the next opportunity for review by the NCAA Division I Committee on Athletics Certification. In addition, the institution must have an active plan at all times.
- Q ...Clearly address all problems identified.
- Q ...Include measurable goals the institution intends to achieve.
- Q ...Include steps to achieve the goals.
- Q ...Include specific timetables for completing the work.
  - Q ...Include individuals and/or offices responsible for carrying out the specific actions identified in the plan.

*As a reminder, plans for improvement must extend at least five years into the future and be active at all times. If a plan for improvement concludes prior to the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan were on-going in nature. The institution must develop a new five-year plan that will maintain conformity with the applicable operating principle. Please note that all institutional plans for improvement must contain all eight of the committee's required elements.*

**~ Measurable Standards for Operating Principle 3.2 ~  
Minority Issues**

The institution must...

- Q ...Demonstrate that it has implemented its first-cycle minority-opportunities plan or the institution must provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- Ø The institution did not possess sufficient funds to implement the plan.

- Ø The institution has had personnel changes since the original development of the plan.

The committee will accept the following explanations for partial completion or noncompletion:

- Ø The institution was not required to submit a first-cycle written plan for improvement.
  - Ø The institution has implemented a different goal(s) to achieve the same ends outlined in its first-cycle minority-opportunities plan.
  
- ...Conduct a thorough and written review of each of the eight program areas (please see program area definitions located in Equity and Student-Athlete Welfare Attachment No. 3 of the self-study instrument).
  - Ø Describe how the institution has ensured a complete study of each of the areas;
    - Ø Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas;
    - Ø Explain how the institution's future plan for minority issues addresses each of the areas; and
- Ø Identify areas of deficiency and comment on any trends.

- ...*Develop a written, stand-alone plan addressing minority opportunities.*

The institution's minority-opportunities plan must...

- ...Address all eight program areas or have mechanism(s) to ensure a periodic evaluation of each program area.
  
- ...Address all deficiencies identified during the self-study.
  - ... Address issues pertaining to student-athletes and staff.
  
  - ...Maintain an institution's conformity or move an institution into conformity with the operating principle.
  
  - ... Be developed through a process of broad-based campus participation.
  
  - ... Be formally approved by the institution.
  
  - ...Extend at least five years into the future or until the next opportunity for review by the NCAA Division I Committee on Athletics Certification.
  
- The institution must have an active plan at all times.
  
- The institution's minority-opportunities plan must include steps to achieve the goals.
  
- The institution's minority-opportunities plan must include specific timetables for completing the work.
  
- The institution's minority-opportunities plan must include individuals and/or offices responsible for

carrying out the specific actions identified in the plan.

The Committee on Athletics Certification defines an ethnic minority as African-American, Asian American or Pacific Islander, American Indian, Alaska Native or Aleut, or of Spanish/Hispanic/Latino origin. Persons of Hispanic ethnicity are those who indicate that their origin was Mexican, Puerto Rican, Cuban, Central or South American, European Spanish or some other Spanish/Hispanic/Latino origin or decent. This definition includes ethnic-minority women, but does not include women generally.

*Plans for improvement must extend at least five years into the future and be active at all times. If a plan for improvement concludes prior to the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan were on-going in nature. The institution must develop a new five-year plan that will maintain conformity with the applicable operating principle. Please note that all institutional plans for improvement must contain all eight of the committee's required fundamentals.*

**~ Measurable Standards for Operating Principle 3.3 ~  
Student-Athlete Welfare**

Q The institution's instrument used to conduct student-athlete exit interviews must contain questions related to the institution's commitment to the academic success of its student-athletes and questions to measure the effectiveness of the institution's mechanisms (e.g., exit interview process) to monitor the welfare of its student-athletes.

The institution must...

Q ...Have a mechanism to evaluate the treatment of its student-athletes.

Q ....Demonstrate that it conducts exit interviews in accordance with Constitution 6.3.2.

Q ...Demonstrate that it has an active student-athlete advisory committee pursuant to Constitution 6.1.4.

Q ...Have appropriate mechanisms (e.g., athletics training, emergency medical procedures) in place to ensure the health and safety of its student-athletes. Those mechanisms must be periodically evaluated to ensure effectiveness.

Q ...Have established grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid, transfer).

Q ...Have established grievance and/or appeals procedures for areas in addition to those mandated by NCAA legislation (e.g., sexual orientation, harassment, problems with coaches, hazing, abusive behavior).

Q All grievance and/or appeals procedures must be written and communicated to student-athletes and staff.

The institution must...

Q ...Designate an individual(s) to oversee its efforts in this area.

Q ...Review its medical plan for competition and practice to ensure the plan protects the health and provides a safe environment for its student-athletes.

Q ...Ensure there is an administrator responsible for the institutional awareness of health, safety and sports medicine policies.

Q ...Review the travel policies (e.g., passenger vans, buses, permissible drivers, length of trips) as they relate to student-athletes to ensure those policies protect the health and provide a safe environment.

Q ...Ensure that policies are communicated to athletics department staff and student-athletes.