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**N****ote to the reader...**

The NCAA Athletics Certification Self-Study Instrument is designed to assist participating NCAA member institutions in the Division I athletics certification program, as well as members of peer-review teams that will be conducting campus evaluation visits. The self-study instrument was developed by the NCAA Division I Committee on Athletics Certification.

The self-study instrument has been organized into three sections, consistent with the certification program's three basic topic areas (governance and commitment to rules compliance, academic integrity, equity and student-athlete welfare). Further, each section is formatted so that institutions' self-study reports are completed in as consistent a manner as possible.

To ensure that the self-study instrument is a useful and up-to-date resource guide, the NCAA revises it annually and distributes it each year to institutions and peer reviewers involved in the certification process for the upcoming year.

We hope that the self-study instrument is useful and that it contributes to the successful completion of campus self-studies and to the fair evaluation of those self-study efforts by members of peer-review teams.

Users of the self-study instrument are encouraged to submit questions or suggestions regarding the use of the publication to:

NCAA Membership Services  
Attention: Athletics Certification Staff  
P.O. Box 6222  
Indianapolis, Indiana 46206-6222  
Telephone: 317/917-6222

[Note: Editorial changes approved by the Committee on Athletics Certification since the self-study instrument's last publication are set off by a gray background.]

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NCAA DIVISION I COMMITTEE ON ATHLETICS CERTIFICATION

SELF-STUDY INSTRUMENT

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SELF-STUDY INSTRUMENT

**INTRODUCTION TO SELF-STUDY REPORT**

[Note: Please complete this form and include it at the beginning of the institution's self-study report.]

**Institutional Information**

\_\_\_\_\_  
(Name of Institution)

1. Type of institution:  Public  Private
2. Year institution was founded: \_\_\_\_\_
3. Special affiliation (e.g., religious, military)?  Yes  No  
\_\_\_\_\_
4. Coeducational?  Yes  No
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: \_\_\_\_\_
6. Number of faculty [using a full-time-equivalency (FTE) basis]: \_\_\_\_\_
7. Highest level of academic degree offered: \_\_\_\_\_
8. Institution's governing entity (e.g., board of trustees): \_\_\_\_\_
9. a. Regional accreditation agency: \_\_\_\_\_  
b. Date of most recent regional accreditation self-study: \_\_\_\_\_  
c. Current accreditation status: \_\_\_\_\_

**Athletics Information**

1. Subdivision status of athletics program:  I-A  I-AA  I-AAA
2. Conference affiliation(s) or independent status:  
\_\_\_\_\_  
\_\_\_\_\_

3. Athletics program structure (check all that apply):  one combined athletics department  
 separate men's and women's departments  incorporated unit separate from institution  
 department within a physical education division.

4. Date of NCAA major infractions case(s) (if any) since previous certification self-study and impact (if any) on the areas of the certification program:

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5. Other significant events (with dates) in the history of intercollegiate athletics program:

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**Previous Certification Self-Study**

(Please attach additional pages as necessary when responding to these items.)

1. Date of previous orientation visit, evaluation visit and interim self-study report (if applicable):

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2. Initial certification-status decision rendered by the NCAA Committee on Athletics Certification (and date):

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3. Subsequent actions or changes in certification status (if any) made by the NCAA Committee on Athletics Certification (and date):

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4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study:

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5. Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program), since the institution's previous certification self-study:

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### **Certification Self-Study Information**

1. Steering committee chair (name and title):
2. Chief report writer/editor of self-study report (name and title):
3. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that actually were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before its findings and plans for improvement were formulated, and (b) review the self-study report after it was drafted.

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4. Provide a copy of the institution's written plan for conducting the self-study.
5. Please provide the institution's mission, philosophy and goals statement and the athletics program's mission, philosophy and goals statement. Also, indicate the dates of formal approval for the latest versions.

## GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

### Operating Principle

- 1.1 Institutional Control, Presidential Authority and Shared Responsibilities.** The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:
- The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
  - The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.
  - Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

### Self-Study Items

- List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
- List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.
- Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
- Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).
- Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's chief executive officer has been significantly involved.

6. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.
7. Please provide the composition of the athletics board or committee (including titles and positions).

**Information to be available** to the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).
- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

## Operating Principle

**1.2. Rules Compliance.** Membership in the Association places the responsibility on each institution to assure that its staff, student-athletes, and other individuals and groups representing the institution's athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:

- a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.
- c. Rules compliance is the subject of an ongoing educational effort.
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
- e. At least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department.

## Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not

taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
4. Describe how the activities of the institution's athletics booster groups, support groups and other representatives of the institution's athletics interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster-club, support group or foundation boards.
5. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self reporting of violations and monitoring of financial aid.
6. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.
7. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.
8. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).
9. Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.
10. Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.
11. The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.



	Yes	No
Initial-eligibility certification.		
Continuing-eligibility certification.		
Transfer-eligibility certification.		
Financial aid administration, including individual and team limits.		
Recruiting (e.g., official visit, etc.).		
Camps and clinics.		
Investigations and self-reporting of rules violations.		
Rules education.		
Extra benefits.		
Playing and practice seasons.		
Student-athlete employment.		

12. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

**Information to be available** to the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Job descriptions for individuals *inside* the athletics department and individuals *outside* the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals *inside* the athletics department and individuals *outside* the athletics department who are involved in rules-compliance activities.
- Personnel evaluation criteria for individuals *inside* the athletics department and individuals *outside* the athletics department who are involved in rules-compliance activities.
- Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

**Evaluation and Plan for Improvement**

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, which should include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of plans.]

**1.1 Institutional Control, Presidential Authority and Shared Responsibilities.**

	<b>Currently Yes</b>	<b>Found On Page(s)</b>	<b>Currently No</b>	<b>If Currently No, If De- ficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number</b>
Does the institution demonstrate that:				
a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?	_____	_____	_____	_____
b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	_____	_____	_____	_____

- c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?

\_\_\_\_\_

Yes

No

**On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities)?**

\_\_\_\_\_

\_\_\_\_\_

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has a plan to address any "Currently No" response to any element(s) of the operating principle.]*

## 1.2 Rules Compliance.

	Currently Yes	Found On Page(s)	Currently No	If Currently No, If Deficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number
Does the institution demonstrate that:				
a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?				

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? \_\_\_\_\_
- c. Rules compliance is the subject of an ongoing educational effort? \_\_\_\_\_
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? \_\_\_\_\_
- e. At least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? \_\_\_\_\_

Yes                      No

**On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Rules Compliance)?**

\_\_\_\_\_

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has a plan to address any "Currently No" response to any element(s) of the operating principle.]*

## SELF-STUDY INSTRUMENT

# ACADEMIC INTEGRITY

### Operating Principle

**2.1 Academic Standards.** The Association's fundamental principles indicate that an intercollegiate athletics program shall be designed and maintained as a vital component of the institution's educational system, and student-athletes shall be considered an integral part of the student body. Consistent with this philosophy, the institution shall demonstrate that:

- a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees.
  - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, the contrast shall be analyzed and explained by appropriate institutional authorities.
  - (2) If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athletes or comparable student-body groups, this disparity shall be analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities.
- b. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher.
- c. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally; and
- d. Written policies related to scheduling are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.13.

### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
4. Describe the process by which student-athletes are admitted to your institution and identify the agencies vested with this responsibility. In what ways (if any) do the process and/or criteria used for the admission of student-athletes differ from the process for admitting students generally. Be specific and, give careful attention to key decision points (e.g., establishment of admissions criteria, approval of, special admissions) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the athletics department plays (if any) in the admissions process for student-athletes.
5. Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I Graduation Rates Disclosure Form) and for all entering freshmen students (by gender and by racial or ethnic group).  
[Note: Use the supplied charts and the graduation-rates disclosure form methodology to compile these data.]
6. Please describe the process by which students may be admitted if they do not meet the institution's standard or normal entrance requirements and identify the agencies vested with this responsibility. This should include any second-level or subsequent review processes or appeals procedures which may be utilized when students are not automatically admitted because they do not meet the institution's published entrance requirements.
7. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item Number 6 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates Supplemental Form. [Use the supplied chart to compile these data.]
8. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify initial eligibility for transfer student-athletes. Identify by name and title the individual(s) with final authority for certifying initial eligibility.
9. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify student-athletes' continuing eligibility. Identify by name and title the individual(s) with final authority for certifying continuing eligibility.
10. Review the graduation rates for student-athletes who received athletics grants-in-aid, for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.
11. Identify and describe the academic standards and policies contained in the university's cata-

log/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.

12. Identify and describe the academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.
13. Describe the procedures used by the institution to monitor missed class time for student-athletes.
14. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).
15. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes.

**Information to be available** for review by the peer-review team, if requested:

- A copy of the institution's most recent catalog.
- A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
- Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, high schools' lists of approved core courses, and final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).
- University catalog/bulletin.
- Athletics department manual.
- Student-athlete handbook.
- Institutional handbook for students.

## **Operating Principle**

**2.2 Academic Support.** Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational welfare of student-athletes and to assure proper emphasis on educational objectives. Consistent with this responsibility, the institution shall demonstrate that:

- a. Adequate academic support services are available for student-athletes.
- b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing.
- c. When it is determined that individual student-athletes have special academic needs, these needs are addressed.

- d. The support services are reviewed and approved periodically by academic authorities outside the department of intercollegiate athletics; and
- e. There is a commitment to the fair treatment of student-athletes, particularly in their academic role as students.

### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
4. Identify how the institution is organized to provide academic support and advising services to student-athletes (i.e., reporting lines and identification of who does what).
5. Using the following program areas for academic support issues as examples, please describe:
  - a. The specific academic support services offered to student-athletes (if any);
  - b. Any policies that govern which students can use these services;
  - c. The mechanisms by which student-athletes are made aware of these services;
  - d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
  - e. The mechanism for periodic approval of these services by academic authorities outside athletics.

If the institution has additional or different academic support services not included in the list of examples, please click "Add Academic Support Area."

- Academic Advising – Course selection, class scheduling, degree program assistance, priority registration.
- Tutoring – Availability; procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
- Success Skills – Study skills, note and test taking, writing and grammar skills, time management skills.
- Study hall – Availability, facilities, policy for mandatory attendance.
- Freshman/transfer orientation – Availability, attendance requirements.



- Academic progress monitoring and reporting – Individual’s responsibility, frequency, procedures for periodic grade and attendance checks.
- Assistance for special academic needs – Provisions for diagnosis and treatment of learning disabilities.
- Learning assessments – Provisions for testing and evaluation (e.g., placement testing).
- Mentoring – Availability of mentors, identification and assignment methods, frequency of interaction.
- Assistance for at-risk students – Availability including institution-wide assistance.
- Post-eligibility programs – Availability of scholarships, assistantships and academic support.

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID\*

PART I-A: Standardized Test Scores, by Gender

Calculate and provide the average (mean) standardized test scores for all entering freshman students and freshman student-athletes who received athletics aid\* (include nonqualifiers who were ineligible for athletically related aid) during the three most recent academic years, by gender. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the table provided on Page 26 before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of freshman students generally. Otherwise, the average score for freshman students generally may be converted using the table provided on Page 26. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

Year	Gender								
	Male students		Male student-athletes		Female students		Female student-athletes		
	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	
_____									
_____									
_____									

Average Standardized Test Score

\* Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID\*

PART I-B: Standardized Test Scores, by Racial or Ethnic Group

Calculate and provide the average (mean) standardized test scores for all entering freshman students and freshman student-athletes who received athletics aid\* (include nonqualifiers who were ineligible for athletically related aid) during the three most recent academic years, by racial or ethnic group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the table provided on Page 22 before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of freshmen students generally. Otherwise, the average score for freshman students generally may be converted using the table provided on Page 22. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

Racial or Ethnic Group – All Entering Freshman Students												
Year	Am. Ind./AN		Asian/PI		Black		Hispanic		White		Other	
	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	---											
	---											
	---											

Racial or Ethnic Group – All Entering Freshman Students Athletes on Aid*												
Year	Am. Ind./AN		Asian/PI		Black		Hispanic		White		Other	
	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score												

\* Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution. Note: Institutions are not required to report data if the number of students in a group is two or less.

Am. Ind./AN—American Indian/Alaskan Native      Asian/PI—Asian/Pacific Islander

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID\*

PART II: GPA and Test Scores, by Sport Group

Calculate and provide the average (mean) standardized test scores and core-course grade-point average for freshman student-athletes who received athletics aid\* (include nonqualifiers who were ineligible for athletically related aid) during the three most recent academic years, by sport group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the table provided on Page 22 before the average (mean) test scores are calculated. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

Sport Group																		
	Year	Football		Men's Basketball		Baseball		Men's Track/ Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/ Cross Country		Women's Other Sports		
		Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	
Average Core-Course GPA																		
Average Standardized Test Score																		

\*Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.  
 Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of person completing this chart: \_\_\_\_\_  
 Title: \_\_\_\_\_ Date: \_\_\_\_\_

TABLE 1. ACT/ SAT CONVERSION CHART

SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM
1600	141	1290	115	980	83	680	56
1590	140	1280	114	970	82	670	55
1580	139	1270	113	960	81	660	54
1570	138	1260	112	960	80	650	53
1560	138	1250	111	950	80	640	53
1550	137	1240	110	940	79	630	52
1540	137	1230	109	930	78	620	52
1530	136	1220	108	920	77	610	51
1520	135	1210	107	910	76	600	50
1510	134	1200	105	900	75	590	50
1500	133	1190	104	890	74	580	49
1490	132	1180	103	880	73	570	49
1480	132	1170	102	870	72	560	48
1470	131	1160	101	860	71	550	47
1460	130	1150	100	860	70	540	47
1450	129	1140	99	840-850	70	530	46
1440	129	1130	98	830	69	520	46
1430	128	1120	97	820	68	510	45
1420	127	1110	96	810	67	500	44
1410	126	1100	95	800	66	490	44
1400	125	1090	94	790	65	480	43
1390	124	1080	93	780	64	470	42
1380	123	1070	91	770	63	460	42
1370	123	1060	90	760	62	450	41
1360	122	1050	89	740-750	61	440	41
1350	121	1040	88	730	60	430	40
1340	120	1030	87	730	59	420	39
1330	119	1020	86	720	59	410	38
1320	118	1010	86	710	58	400	37
1310	117	1000	85	700	57		
1300	116	990	84	690	56		

ACADEMIC INTEGRITY ATTACHMENT NO. 2  
**ACADEMIC INTEGRITY: SELF-STUDY ITEM NO. 3**  
**FOR OPERATING PRINCIPLE 2.1**

Special-Admissions Information

FOR FRESHMAN STUDENTS GENERALLY  
 AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID \*

Indicate the numerical percentage of entering freshman students who were admitted through special exception provisions and of entering freshman student-athletes receiving athletics aid\* (include partial and nonqualifiers who were ineligible for aid) who also were so admitted, by eight sport groups and overall, during the three most recent academic years. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

Year	All Freshman Students <sup>a</sup>	All Freshman Student-Athletes on Athletics Aid <sup>b</sup>	Sport Group (Freshman)									
			Baseball <sup>c</sup>	Men's Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	Women's Basketball	Women's Track/Cross Country	Women's Other Sports		
---												
---												
---												

\*Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

Note: Institutions are not required to report data if the number of students in a group is two or less.

- a. Calculate this percentage by dividing the number of all entering freshmen who were admitted through special exception provisions by the total number of freshmen who matriculated.
- b. Calculate this percentage by dividing the number of entering freshman student-athletes receiving athletics aid who were admitted through special exception provisions by the total number of entering freshman student-athletes receiving athletics aid.
- c. Calculate this percentage by dividing the number of entering freshmen student-athletes in that sport receiving athletics aid who were admitted through special exception provisions by the total number of entering freshmen student-athletes receiving athletics aid who were admitted through special exception provisions.

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

## Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, which include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of a plan.]

### 2.1 Academic Standards.

	Currently Yes	Found On Page(s)	Currently No	If Currently No, If Deficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number
Does the institution demonstrate that:	_____	_____	_____	_____
a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees?				
(1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, the contrast is analyzed and explained by appropriate institutional authorities?				

	Currently Yes	Found On Page(s)	Currently No	If Currently No, If De- ficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number
(2) If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, this disparity is analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities?	_____	_____	_____	_____
b. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher?	_____	_____	_____	_____
c. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally?	_____	_____	_____	_____
d. Written policies related to scheduling are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.13?	_____	_____	_____	_____



Yes                      No

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 2.1 (Academic Standards)?

\_\_\_\_\_                      \_\_\_\_\_

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has a plan to address any "Currently No" response to any element(s) of the operating principle.]*

**2.2 Academic Support.**

	Currently Yes	Found On Page(s)	Currently No	If Currently No, If Deficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number
Does the institution demonstrate that:				
a. Adequate academic support services are available for student-athletes?	_____	_____	_____	_____
b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing?	_____	_____	_____	_____
c. When it is determined that student-athletes have special academic needs, these needs are addressed?	_____	_____	_____	_____
d. The support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics?	_____	_____	_____	_____
e. There is a commitment to the fair treatment of student-athletes, particularly in their academic role as students?	_____	_____	_____	_____

Yes                      No

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 2.2 (Academic Support)?

\_\_\_\_\_                      \_\_\_\_\_

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has a plan to address any "Currently No" response to any element(s) of the operating principle.]*

## **EQUITY AND STUDENT-ATHLETE WELFARE**

### **Operating Principle**

- 3.1 Gender Issues.** Consistent with NCAA Constitution 2.3, it is the responsibility of each institution to implement the Association's principle of gender equity. In accordance with this fundamental principle, the institution shall:
- Have implemented its approved gender-equity plan from the previous self-study. If modified or not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
  - Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel.
  - Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

### **Self-Study Items**

- List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Gender Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
- Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]
- Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
- Explain how the institution is organized to further its efforts related to the gender issues operating principle for both athletics department staff and student-athletes and provide evidence that

matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.

5. Using your institution's completed Equity in Athletics Disclosure Act survey form and worksheets for the three most recent academic years for which the information is available, analyze, explain and address discrepancies in the data between male and female student-athletes and comment on any trends or significant changes.
6. Using the program areas for gender issues, provided as Attachment No. 2, please:
  - a. Describe how the institution has ensured a complete study of each of the areas,
  - b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas,
  - c. Identify areas of deficiency and comment on any trends, and
  - d. Explain how the institution's future plan for gender issues addresses each of the areas.

[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to Item No. 9 of the program area checklist.]

7. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan must address all 13 program areas for gender issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's gender-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see the Web site for an example format outlining all required elements of a plan.]

Within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

8. Describe the institution's efforts to ensure the plan for addressing gender equity for the future of the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.

**Information to be available** for review by the peer-review team, if requested:

- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]

## Operating Principle

- 3.2. **Minority Issues.** It is a principle of the Association to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination prohibited by federal and state law. Consistent with this fundamental philosophy, the institution shall:
  - a. Have implemented its approved minority-opportunities plan from the previous self-study. If modified or if not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
  - b. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of all minority student-athletes and athletics department personnel.

- c. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

### **Self-Study Items**

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Minority Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.
2. Report on the implementation of the plan to address minority issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.2 (Minority Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
4. Explain how the institution is organized to further its efforts related to the minority-issues operating principle for both athletics department staff and student-athletes and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.
5. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part time assistant coaches (including graduate assistant and volunteer coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). [Note: Use the supplied chart to compile the data requested in this self-study item.]
6. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart to compile the data requested in this self-study item.]
7. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the NCAA Graduation-Rates

Disclosure Form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport. [Note: Use the supplied chart to compile the data requested in this self-study item.]

8. Using the program areas for minority issues, provided as Attachment No. 3, please:
  - a. Describe how the institution has ensured a complete study of each of these areas,
  - b. Provide data demonstrating the institution's commitment across each of the areas,
  - c. Identify areas of deficiency and comment on any trends, and
  - d. Explain how the institution's future plan for minority issues addresses each of the areas.
9. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing minority issues for the future in the intercollegiate athletics program. The plan must address all eight program areas for minority issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's minority-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see the Web site for an example format outlining all required elements of a plan.]

Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

10. Describe the institution's efforts to ensure the plan for addressing minority issues for the future in the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.

### **Operating Principle**

- 3.3. **Student-Athlete Welfare.** Conducting the intercollegiate athletics program in a manner designed to protect and enhance the physical and educational welfare of student-athletes is a basic principle of the Association. Consistent with this fundamental principle, the institution shall:
  - a. Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.
  - b. Have established grievance or appeal procedures available to student-athletes in appropriate areas.
  - c. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for each of its student-athletes.

### **Self-Study Items**

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Student-Athlete Welfare). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 3.3 (Student-Athlete Welfare). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.3 (Student-Athlete Welfare) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
4. Explain how the institution is organized to further its efforts related to the student-athlete welfare operating principle and provide evidence that matters concerning student-athlete welfare are monitored, evaluated and addressed on a continuing basis.
5. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.
6. Describe the institution's process for conducting the student-athlete exit interviews required by NCAA Constitution 6.3.2 and the means by which this information is used to better the student-athlete experience. Describe other avenues available to student-athletes to provide input.
7. Describe the institution's and/or athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e. financial aid and transfers) and in other areas (e.g. harassment, hazing, abusive behavior, sexual orientation). Also, identify the individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and describe the means by which the grievance and/or appeals procedures are communicated to student athletes and staff.
8. Describe the institution's educational and support programs in the area of sexual orientation. Also, describe the institution's structure and/or policies that ensure the provision of a safe environment for all students, including student-athletes with diverse sexual orientations.
9. Identify the mechanisms in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]
10. Describe the institution's emergency medical plan for practices and games. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-F as a guide in responding to this self-study item.]
11. Describe the institution's written emergency plan for the athletics program and specific coverage for out-of-season workouts, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]
12. Using the program areas for student-athlete welfare issues, provided as Attachment No. 4, please:

- a. Describe how the institution studies these topics as they apply to all student-athletes;
- b. Provide data demonstrating the institution's commitment to these issues for all student-athletes; and
- c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

Information to be available for review by the peer-review team, if requested:

- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.
- Media guides.
- Institution's student-athlete handbook or, if no such handbook exists, institution's method(s) for conveying athletics policies and procedures to student-athletes.
- Written materials (e.g., forms) used to document student-athlete exit interviews.
- Institution's and/or athletics department written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.

**EQUITY AND STUDENT-ATHLETE WELFARE: SELF-STUDY ITEM NOS. 5, 6 and 7  
FOR OPERATING PRINCIPLE 3.2**

Racial or Ethnic Composition

**PART A: Athletics and Selected Institutional Personnel**

Indicate the number\* of individuals in each of the racial or ethnic groups for each personnel group listed below for the three most recent academic years. List the most recent academic year's data first. [Note: (1) Use the definition of staff members that is included in the certification of compliance forms. (2) "F" refers to full-time staff employees who are considered by the institution as 1 FTE (full-time equivalency) in the athletics department(s) and "P" refers to part-time staff employees who are less than 1 FTE in the athletics department(s).]

		<b>Racial or Ethnic Group</b>																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Year		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
	Senior Administrative Athletics Dept. Staff	F																	
	Other Professional Athletics Dept. Staff	F																	
	Head Coaches	P																	
	Assistant Coaches	F																	
	<b>TOTALS</b> (For Athletics Dept. Personnel)	F																	
	Faculty-Based Athletics Board or Committee Members	P																	
	Other Advisory or Policy-Making Group Members																		

Am. Ind./AN—American Indian/Alaskan Native  
Asian/PI—Asian/Pacific Islander

\*For athletics department personnel serving in more than one capacity (e.g., assistant athletics director and head softball coach), use decimals in the appropriate athletics staff or coach groups to indicate the approximate percentage of a full-time position devoted to each role, with the understanding that one staff member cannot count as more than one equivalency.

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



**PART B: STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID\***

Indicate the number of students generally and student-athletes who received athletics aid\* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first. Note: Information for students generally and for student-athletes who received athletics aid can be obtained from the enrollment information items included in the institution's completed NCAA Division I graduation-rates disclosure forms. The number of students by gender also can be obtained from the Equity in Athletics Disclosure Act survey form.

		Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Year		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
All Students																			
Student-Athletes																			

Am. Ind./AN – American Indian/Alaskan Native  
 Asian/PI – Asian/Pacific Islander

\* Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, as determined by the institution.

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**PART C: MEN'S AND WOMEN'S SPORTS TEAMS**

Indicate the number of student-athletes who received athletics aid\* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups for each sport group listed below for the three most recent academic years. List the most recent academic year's data first. [Note: Information concerning student-athletes who received athletics aid by eight sports groups can be obtained from the enrollment information items included in the institution's completed NCAA graduation-rates disclosure form.]

		<b>Racial or Ethnic Group</b>											
		Am. Ind./AN (N)		Asian/Pi (N)		Black (N)		Hispanic (N)		White (N)		Other (N)	
Sports**	Year	1	2	3	1	2	3	1	2	3	1	2	3
Baseball													
Men's Basketball													
Football													
Men's Track/ Cross Country													
Men's Other Sports and Mixed Sports													
Women's Basketball													
Women's Track/ Cross Country													
Women's Other Sports													
<b>TOTAL</b>													

Am. Ind./AN—American Indian/Alaskan Native  
Asian/Pi—Asian/Pacific Islander

\* Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, as determined by the institution.

\*\* For those sports listed in this column that have not been at the varsity level for three years, indicate in this column the year in which the sport was recognized as a varsity sport.

Name of person completing this chart: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

## PROGRAM AREAS TO BE REVIEWED FOR GENDER ISSUES

1. **Athletics Scholarships** – Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.
2. **Accommodation of Interests and Abilities** – Participation proportionate to enrollment; and/or, history and continuing practice of program expansion for underrepresented sex; and/or, fully and effectively accommodate underrepresented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.
3. **Equipment and Supplies** – Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.
4. **Scheduling of Games and Practice Time** – Number of games; number, length, and time of day of practices; time of day of games; preseason and postseason opportunities.
5. **Travel and Per Diem Allowance** – Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.
6. **Tutors** – Availability – procedures and criteria for obtaining assistance; Assignment – qualifications, training, experience, etc.; Compensation – rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
7. **Coaches** – Availability – full time, part time, assistant, and graduate assistants; Assignment – training, experience, professional standing, and other professional qualifications; Compensation – rate of compensation, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions, and other terms and conditions of employment.
8. **Locker Rooms, Practice and Competitive Facilities** – Quality, availability, and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.
9. **Medical and Training Facilities and Services** – Availability of medical personnel; availability and quality of weight training, and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage.
10. **Housing and Dining Facilities and Services** – Housing provided; special services as part of housing; dining arrangements.
11. **Publicity** – Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.
12. **Support Services** – Administrative, secretarial, and clerical support; office space.
13. **Recruitment of Student-Athletes** – Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities, and treatment of prospective athletes.

## **PROGRAM AREAS TO BE REVIEWED FOR MINORITY ISSUES**

1. **Institutional and Athletics Department Commitment** – Development and maintenance of written statements that address the issues of diversity.
2. **Evaluation** – Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.
3. **Organization and Structure** – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.
4. **Enrollment** – Goals of the institution for enrollment of minority students and minority student-athletes.
5. **Comparison of Populations** – Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.
6. **Participation in Governance and Decision-Making** – Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.
7. **Employment Opportunities** – Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.
8. **Programs and Activities** – Establishment of programs that address the needs and issues affecting minority student-athletes.

## **PROGRAM AREAS TO BE REVIEWED FOR STUDENT-ATHLETE WELFARE ISSUES**

1. **Evaluation** – Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to student-athlete welfare, including the evaluation of the effectiveness of mechanisms to ensure the health and safety of student-athletes.
2. **Organization and Structure** – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.
3. **Participation in Governance and Decision-Making** – Involvement of student-athletes in the governance and decision-making processes of the athletics department (including the student-athlete advisory committee).
4. **Programs and Activities** – Establishment of programs that address the needs and issues affecting student-athletes.

## Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous pages, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the entire operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.]

For Operating Principle 3.3 (Student-Athlete Welfare): Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plan for improvement, which include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of a plan.]

### 3.1. Gender Issues.

	<u>Currently Yes</u>	<u>Found On Page(s)</u>	<u>Currently No</u>
Has the institution:			
a. Implemented its approved gender-equity plan from the previous self-study?	_____	_____	_____
b. Provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out?	_____	_____	_____
c. Demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel?	_____	_____	_____
d. Formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders?	_____	_____	_____

	Currently Yes	Found On Page(s)	Currently No
e. Developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables?	_____	_____	_____

	_____	_____	_____
	Yes	No	
<b>On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.1 (Gender Issues)?</b>	_____	_____	

*[Note: The institution should not indicate "Yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle.]*

### 3.2. Minority Issues.

	<u>Currently Yes</u>	<u>Found On Page(s)</u>	<u>Currently No</u>
Has the institution:			
a. Implemented its approved minority-opportunities plan from the previous self-study?	_____	_____	_____
b. Provided an explanation from appropriate institutional authorities if its minority-opportunities plan was modified or not carried out fully?	_____	_____	_____
c. Demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel?	_____	_____	_____
d. Formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel?	_____	_____	_____
e. Developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables?	_____	_____	_____
	<b>Yes</b>	<b>No</b>	
<b>On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.2 (Minority Issues)?</b>	_____	_____	

*[Note: The institution should not indicate "Yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle.]*

### 3.3. Student-Athlete Welfare.

	<u>Currently Yes</u>	<u>Found On Page(s)</u>	<u>Currently No</u>	<u>If Currently No, If De- ficiencies Exist, or If an Enhancement has been Identified, Indicate Plan For Improvement Number</u>
Does the institution:				
a. Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis?	_____	_____	_____	_____
b. Have established grievance or appeal procedures available to student-athletes in appropriate areas?	_____	_____	_____	_____
c. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes?	_____	_____	_____	_____



On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.3 (Student-Athlete Welfare)?

Yes	No
_____	_____

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has a plan to address any "Currently No" response to any element(s) of the operating principle.]*

## APPENDIX A: Sample Plan Format—Rules Compliance

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

### Institution X

#### Rules Compliance Plan

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
The compliance review does not include a review of camps and clinics or student-athlete employment.	Incorporate camps and clinics and student-athlete employment into compliance reviews.	The compliance coordinator in conjunction with the conference office will review camps and clinics and student-athlete employment into the once-in-four-year compliance review.	Compliance coordinator and senior woman administrator.	March 1, 2005

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding institutional plans.

## APPENDIX B: Sample Plan Format—Gender Issues

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

### **Institution X** **Gender Issues Plan 2004-09**

<b>Issues in the Self-Study</b>	<b>Measurable Goals</b>	<b>Steps to Achieve Goals</b>	<b>Individuals/ Officers Responsible for Implementation</b>	<b>Specific Timetable for Completing the Work</b>
Scheduling of facilities does not reflect equitable opportunities for "prime" times.	Adjust men's and women's basketball practice schedules to reflect equitable/equal practice gym time.	Request practice schedules to be developed and submitted by all coaches in accordance with established policies to facilitate review by the head athletic trainer and, for at least the next academic year, the director of athletics and senior woman administrator.	Director of athletics, senior woman administrator and head athletic trainer.	Spring of 2005 and annual review thereafter.
		Place practice schedules on all regularly scheduled administrative staff meeting agendas.	Director of athletics and head athletic trainer.	Fall of 2005 and regularly thereafter.

<b>Issues in the Self-Study</b>	<b>Measurable Goals</b>	<b>Steps to Achieve Goals</b>	<b>Individuals/ Officers Responsible for Implementation</b>	<b>Specific Timetable for Completing the Work</b>
Salaries of men's and women's coaches are not equitable.	Increase assistant women's volleyball coaches' salaries by 15 percent.	Identify salary-adjustment periods of the institution and prepare appropriate forms for processing/ implementation of salary adjustment for specific coaches.	Director of athletics and human resources office.	January 1, 2005.

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding institutional plans.

## APPENDIX C: Sample Plan Format—Minority Issues

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

Please note that an institution's plan for addressing minority issues shall address equitable opportunities for both minority student-athletes and athletics personnel. An institution-wide affirmative action plan is acceptable only if it:

1. Specifically references, in the plan or in a separate document, the intercollegiate athletics program;
2. Addresses minority opportunities and needs (e.g., special programming, services of multicultural offices, general welfare issues) for student-athletes, as well as athletics staff; and
3. Satisfies the committee's minimum expectations for a plan.

### Institution X

#### Minority Issues Plan 2004-09

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scholarship and athletics opportunities for minority student-athletes should be enhanced.	Enhance aggressive recruitment of minorities by all sports and, in particular, in sports that are under-represented by minorities.	Develop recruitment strategies for use in identifying minority student-athletes and document a retention program for enrolled minority student-athletes.	Athletics board, director of athletics, student-athlete advisory committee.	Spring of 2005 and annual review thereafter.

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Minorities are under-represented on the coaching staff.	Enhance effort to identify and recruit minorities for each coaching opening that occurs on the staff.	<p>Modify entrance and exit interview forms for student-athletes to include information on issues affecting recruitment and retention of minority student-athletes.</p> <p>Analyze the reasons for lower numbers of minority student-athletes in specific sports.</p>	<p>Director of athletics, student-athlete advisory committee.</p> <p>Athletics board, director of athletics, student-athlete advisory committee.</p>	<p>Fall of 2004 and annual review thereafter.</p> <p>Spring of 2005 and annual review thereafter.</p>
		<p>Advertise open positions in publications that reach diverse populations.</p>	<p>Director of athletics, senior woman administrator.</p>	<p>Spring of 2005 with continuing action thereafter.</p>
		<p>Recruit with organizations that reach diverse populations.</p> <p>Have affirmative action staff members on each search committee regarding recruitment of minority employees.</p>		

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding minority-issue plans.