NCAA DIVISION I
RECLASSIFYING INSTITUTIONS

INSTITUTIONAL
PERFORMANCE PROGRAM

2015-16
ORIENTATION
VISIT GUIDE
HANDBOOK

2015-16
RECLASSIFYING INSTITUTIONS
The NCAA Division I Institutional Performance Program Handbook is designed to assist NCAA member institutions participating in the Division I Institutional Performance Program and members of peer-review teams who will be conducting campus evaluation visits. The handbook was developed by the NCAA Division I Committee on Institutional Performance and has been organized in a format that permits easy access for individuals with only modest familiarity concerning Institutional Performance Program. It is not meant to answer every question related to the Institutional Performance Program; rather, it provides a foundation on which to increase understanding of the self-study process.

The handbook follows a sequential order that conforms to the sequence of events related to the Institutional Performance Program and describes the responsibilities and activities of the institution, the peer-review team and the Committee on Institutional Performance. Throughout the handbook, external peer reviewers are referred to as “the peer-review team.” When referring to the Committee on Institutional Performance Program, the handbook uses either the formal title or refers only to “the committee.”

To ensure that the handbook is a useful and up-to-date resource guide, the NCAA revises it annually and distributes it each year to reclassifying institutions and peer-reviewers involved in the Institutional Performance Program process for the upcoming academic year.

Contained within this handbook is a document referred to as the glossary of terms. The glossary of terms document provides a brief explanation of key terms with which the institution will need to become familiar throughout the Institutional Performance Program process.

We hope the handbook is useful and contributes to the successful completion of the Institutional Performance Program process.

Users of the handbook are encouraged to submit questions or suggestions regarding the use of the publication to:

NCAA Academic and Membership Affairs  
Attention: Institutional Performance Program Staff  
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Information regarding the Institutional Performance Program can be obtained via the Internet at www.NCAA.org [NCAA Division I Institutional Performance Program]
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Introduction

The NCAA and its legislative process.

The NCAA is a voluntary organization devoted to the sound administration of intercollegiate athletics. The Association’s active members are separated into three membership divisions. Member institutions choose their membership division based on the relative emphasis and support they wish to devote to athletics within the academic context.

NCAA members regulate their athletics programs through cabinets and committees. These groups, made up of campus and conference representatives, may suggest changes in NCAA rules, but the full membership has the final authority. In Division I, that authority is exercised initially through a representative governance structure, consisting of a NCAA Council (athletics administrators and faculty members) and a Board of Directors (campus chancellors and presidents). The members of those bodies are selected by the conferences they represent. Division I institutions can call for an override vote, in which all schools and conferences participate, on any legislative action taken by the Council and/or Board of Directors.

Origin and history of the Institutional Performance Program.

The Institutional Performance Program was approved for Division I institutions at the 1993 NCAA Convention as a key part of the NCAA reform agenda. It was originally introduced in 1989 and tested in a two-year pilot program. Participants generally agreed that the pilot program was valuable but could be improved by limiting the scope of the self-study. After a special committee reworked the idea during the next year, the NCAA Presidents Commission, the NCAA Council and the Knight Foundation Commission on Intercollegiate Athletics supported a revised version of the program.

The program’s purpose.

The Institutional Performance Program is meant to ensure the NCAA’s fundamental commitment to integrity in intercollegiate athletics. The program is structured to achieve its goal in several ways:

1. **By opening the affairs of athletics to the university community and the public.**
   a. Key campus constituent groups must be meaningfully involved in the development of the institution’s self-study and may be asked to review the institution’s self-study report after it has been drafted.
   b. Self-study reports are evaluated by teams of peer-reviewers from other institutions and conference offices.
   c. Decisions of the committee related to an active Division I member institution’s status are announced publicly.
2. By setting standards (called operating principles) for the operation of Division I athletics programs. These operating principles originally were adopted overwhelmingly at the 1993 Convention. They cover three basic areas — governance and commitment to rules compliance; academic integrity; and gender/diversity issues and student-athlete well-being.

3. By putting tough sanctions in place for institutions that fail to conduct a comprehensive self-study or to correct deficiencies. The Institutional Performance Program is intended to help an institution. For this reason, the program allows ample time for an institution to consider its programs, to identify deficiencies and to correct them. Institutions that fail to make an honest effort may face serious consequences including ineligibility for NCAA championships and, eventually, removal from active membership in the Association.

Benefits of self-study.

The core of the Institutional Performance Program is the institution’s self-study, in which broad-based campus participation is critical.

An effective self-study benefits the institution by providing:

1. Self-awareness. The self-study offers a unique opportunity to educate individuals across campus about the athletics program’s goals and purposes, the many challenges facing athletics and the ways in which athletics supports the institution’s mission.

2. Affirmation. The Institutional Performance Program is meant to be a positive experience and the self-study process will reveal many aspects of the athletics program worthy of praise.

3. Opportunities to improve. Even an outstanding program can be better, and issues will be identified routinely as part of any institution’s self-study. As these issues come to light, the Institutional Performance Program process will offer a forum for suggestions from individuals with a wide range of experience.

There are also benefits for the Association:

1. The process provides a framework for the Division I membership to show its continuing commitment to institutional control of intercollegiate athletics within the academic setting.

2. Increased public confidence.

3. The Institutional Performance Program serves as a means to ensure all Division I member institutions are meeting the standards adopted by the membership.
Committee on Institutional Performance.

The committee is responsible for the administration of the Institutional Performance Program. All members are employed at Division I institutions or conferences, and include chancellors or presidents, athletics administrators, faculty athletics representatives, and conference administrators. The committee initially reviews institutional self-study reports to identify issues, receives and reviews the written evaluations of the peer-review team and the institution’s responses. This information becomes the basis for determining the active status for each Division I member institution.

Philosophy statement of the Committee on Institutional Performance.

The Committee on Institutional Performance is charged by the NCAA Division I membership with assisting institutions in identifying mechanisms that ensure intercollegiate athletics programs are operating in accordance with the high standards and core values of Division I. An institution is expected to conduct an accurate self-study that involves broad-based campus participation. The committee, and a visiting peer-review team, will provide an objective evaluation of the institution’s program based on legislated operating principles adopted by the membership. Further, the committee expects institutions to routinely monitor and implement its plans for improvement to ensure these plans are completed on time. The Institutional Performance Program is designed to help an institution improve and make continual progress toward its stated objectives. The committee will allow ample time for an institution to consider its programs, identify deficiencies and take steps to correct them. If the self-study reveals deficiencies in the intercollegiate athletics program, the committee will work collaboratively with the institution to achieve those corrective actions or will withhold a recommendation to active Division I membership if the institution fails to remedy its deficiencies. Through its actions, the committee will monitor the effectiveness of the Institutional Performance Program to ensure that the NCAA’s fundamental commitment to integrity in intercollegiate athletics is supported and that the program continues to emphasize applicable principles of the Association.

External peer-review teams.

External peer-review teams, selected and assigned by the committee, are composed of experienced institutional and athletics personnel.

Peer-review teams are responsible for:

1. Verifying that the institution’s self-study is accurate and complete.
2. Confirming the self-study was developed through a process that involved broad-based campus participation.
3. Evaluating the self-study and committee-identified issues in relation to the operating principles that have been approved for all Division I members.

A typical peer-review team will consist of three to five members. Whenever possible, a chancellor or president will serve as chair.
Peer-review team chair.

The peer-review team chair shall be responsible for preparing the peer-review team’s written recommendation regarding successful completion of the self-study and the recommendation shall be based upon the breadth of institutional participation, the depth of discussion at the institution level and adherence to the operating principles.

Techniques and documentation used by peer-review teams.

The peer-review team shall employ traditional evaluative techniques (e.g., review existing records, conduct in-person interviews of key personnel) to determine whether the participating institution’s stated policies and procedures are engaged and functioning.
General Timeline for the Institutional Performance Program Process.

Step 1: August 24 through November 20, 2015.
- Orientation visit occurs.

Step 2: August 24, 2015, through May 15, 2016.
- Institution develops the self-study report.

Step 3: May 15, 2016.
- Deadline to submit institution’s self-study report.

Step 4: May 16 through June 3, 2016.
- NCAA staff liaison reviews the institution’s report for preliminary issues.

Step 5: June 6 through August 12, 2016.
- Committee on Institutional Performance reviews the self-study report and finalizes the issues.

Step 6: August 15, 2016 until two weeks before the evaluation visit.
- Institution may respond to the Committee on Institutional Performance analysis.

Step 7: September 12 through November 18, 2016.
- Peer-review team conducts the institution’s evaluation visit and writes the report.

Step 8: Within two weeks after campus visit.
- Peer-review team report is sent to the institution’s chancellor or president for response.

- Institution’s response to the peer-review team report is due.

- Committee on Institutional Performance deliberates a final recommendation whether institution has successfully completed the self-study process.
Preparing for the Self-Study

The Institutional Performance Program process allows the institution approximately six to eight months to conduct its self-study. An orientation visit conducted by a member of the NCAA staff initiates the formal start of the self-study process.

Whenever possible, the NCAA staff member who conducts the orientation visit also will receive the institution’s self-study report, work with the institution to make arrangements for the peer-review team’s visit and accompany the peer-review team on the visit. The institution should consider the NCAA staff member the primary resource and should feel free to contact the individual directly with questions. If the institution has questions before a specific staff liaison is assigned, the institution should contact the academic and membership affairs staff at the national office.

Responsibilities of the chancellor or president.

Throughout the self-study process, the chancellor or president must make it clear, by word and action, that the self-study is a priority and that the entire institution – not just the department of athletics – is responsible for its completion.

In preparing for the self-study, the chancellor’s or president’s specific responsibilities include:

1. **Appointing the chair of the self-study steering committee.** Neither the chancellor or president, nor any person with direct oversight for athletics (e.g., the director of athletics, the vice president to whom athletics reports, the faculty athletics representative), may chair the steering committee. The chair should be appointed from among the institution’s senior-management team.

   Some priorities to consider when selecting the self-study chair include the appointment of an individual who is organized, detail-oriented and has a comfort level to be able to successfully communicate, delegate and hold others responsible for completing the work of the self-study in a timely manner. In addition, some familiarity working with other accreditation processes is preferable.

   The chair should be provided clear authority from and ready access to the chancellor or president. By doing so, the chancellor or president communicates the importance of the Institutional Performance Program process and encourages other participants to take the process seriously. However, given the unique organizational structures and reporting lines at some institutions, each chancellor or president is permitted flexibility in appointing a chair. The institution must document that the chair has clear authority from and ready access to the chancellor or president in situations in which the institution cannot state definitively that the chair is a member of the institution’s senior-management team.

2. **Selecting the members of the self-study steering committee.** The chancellor or president is responsible for ensuring effective representation of key campus constituent groups on the steering committee. The goal should be a balance between athletics department staff members and other key individuals and groups on campus.

3. **Making the charge to the steering committee clear.**

4. **Giving the steering committee the proper authority and resources to complete its work.**
Forming the self-study steering committee.

Required members of the steering committee:

1. Chancellor or president.
2. Faculty athletics representative (FAR).
3. Athletics director (AD).
4. Senior woman administrator (SWA).
5. Equal employment opportunity officer (EEOO)
6. Title IX officer.
7. Student-athlete representative(s).
8. Institutional Performance Program liaison.

The committee recommends the institution involve the campus contact and report coordinator in all meetings conducted by the steering committee.

The chancellor's or president's involvement as an active member of the steering committee is critical to ensuring the process is conducted with the necessary authority and seriousness of purpose. The chancellor or president may designate an individual to replace him or her at steering committee meetings that he or she cannot attend.

In addition to the required positions listed above, the membership of the remainder of the steering committee is left to the discretion of the chancellor or president, keeping in mind the importance of broad-based participation. The number of members will vary from campus to campus.

In appointing steering committee members, the chancellor or president should consider the differing perspectives, range of expertise and access to information that may be offered by representatives of the following groups:

1. Governing board.
2. Administration external to athletics, including, but not limited to, academic affairs, fiscal affairs, student affairs, multicultural or diversity affairs, admissions, registrar, financial aid, internal audit/assessment and human resources.
3. Faculty.
4. Student-body.
5. Alumni or representatives of the institution’s athletics interests.
6. Athletics board or committee members.
Forming the subcommittees.

The steering committee should establish as many subcommittees as it considers necessary to complete the major topic areas of the self-study. Subcommittees should be organized in ways that best suit the institution’s needs and the requirements of the self-study. Subcommittee membership should be reflective of the broad constituent interests of the institution, including faculty, administrators (internal and external to athletics), students and student-athletes.

The chair of each subcommittee must be a member of the steering committee. Also, neither athletics department staff members nor faculty athletics representatives may serve as subcommittee chairs, although they can be included as subcommittee members.

Some athletics department staff members (e.g., athletics academic advisor, compliance coordinator) may serve as ex-officio members of subcommittees as appropriate to facilitate data collection and analysis.

Subcommittees are accountable to the steering committee and should be actively involved through regular communication, periodic meetings and timely reports.

The steering committee is required to identify methods (e.g., appointment to subcommittees, interviews, student-athlete forums, student-athlete advisory committee) of involving student-athletes in the self-study process.

Key individuals.

1. **Campus Contact:** This individual is responsible for fielding questions from institutional personnel and forwarding them to the NCAA staff liaison, and is responsible for coordinating preparations for the evaluation visit, including lodging and travel for peer-review team members, scheduling interviews and organizing any work-related needs for peer-reviewers (e.g., computer resources, meeting rooms).

2. **Report Coordinator:** This individual is responsible for editing the self-study report and should pay particular attention to the following:
   a. Clarity;
   b. Consistency; and
   c. Formatting of the self-study report.

3. **Institutional Performance Program Liaison:** The committee requires each Division I institution to designate an individual to serve as its Institutional Performance Program liaison (hereafter referred to as “liaison”). The liaison is the individual on the institution’s campus who is responsible for monitoring the progress of the institution’s plans for improvement developed during the Institutional Performance Program process.
Preparing for the Self-Study Revised Summer 2015

Involvement of the conference office.

Member conferences shall facilitate the Institutional Performance Program in accordance with Division I legislation. The role of an institution’s conference office is determined by the institution. The conference office’s role may include:

1. Participating in the pre-orientation visit (Year One) and in the orientation visit (Year Three).
2. Serving as an ex-officio member of the institution’s steering committee.
3. Reviewing drafts of the institution’s self-study report.
4. Participating in the steering committee interview and exit meetings of the evaluation visit. Please note, the conference representative involved in an evaluation visit will not be permitted to attend any other interviews or meetings of the peer-review team.

If the regular, ongoing role of the conference office includes a review of the institution’s rules compliance efforts or help in developing and maintaining compliance initiatives, the institution should be prepared to provide a record of those efforts to the peer-review team.

Conference offices should treat institutional self-study reports as confidential. To the extent that conference personnel become aware of violations during the Institutional Performance Program process, the conference is obligated to help ensure that conference members self-report those violations.

Use of outside individuals or agencies.

Some institutions may wish to involve individuals or agencies not otherwise employed by the institution in one or more aspects of the self-study process. These outside individuals or agencies may perform related functions that are different from the conference office responsibilities. However, institutional personnel are responsible for analyzing the data and writing the self-study report. Peer-review teams will evaluate institutions on their roles in developing the content of self-study reports.

NCAA rules recognize the institution’s responsibility not only for determining what role (if any) individuals outside the institution might play in the Institutional Performance Program process, but also for ensuring that outside individuals or agencies are appropriately involved. In no way should the balance of responsibility for the self-study process shift from internal to external personnel.

In addition, before individuals or agencies outside the institution may be used, the institution must receive written approval from the committee. The institution’s chancellor or president must request in writing from the committee approval for outside involvement and the request should include a full explanation of the specific services that will be rendered.

Any anticipated involvement by outside individuals or agencies also must be clearly defined in the institution’s written plan for completing the self-study process.

Please note, current committee members and individuals in the peer-reviewer pool may not engage in any Institutional Performance Program consulting arrangements with institutions (other than their own or, for conference office personnel, institutions within their respective conferences) involved in the self-study process.
Preparing for the Self-Study

Preparing a written plan for completing the self-study.

Before the orientation visit, each institution must develop its written plan, or roadmap, that will assist in the development of the institution’s self-study report. The steering committee must consult with the institution’s governing board and/or its chancellor or president before writing the plan regarding plans and commitments that may affect the future of the institution and its athletics program (e.g., composition of the student body, organization of the athletics program, sports sponsorship, conference or NCAA divisional membership). The written plan should be submitted to the institution’s NCAA staff liaison two to three weeks before the institution’s orientation visit.

The written plan should be concise and must include:

1. Stated goals for the process.
2. The function (e.g., role in drafting report, developing plans for improvement) and composition of the steering committee and subcommittees, with the names and titles of steering committee and subcommittee members.
3. The identification of the institution’s campus contact.
4. The identification of the report coordinator.
5. An outline and schedule for completing the self-study, including the process for reviewing subcommittee and steering committee draft reports.
6. Plans for involving the conference office or other individuals or agencies outside the institution. [Note: Outside involvement requires prior written approval of the committee.]
7. Institutional guidelines for writing and editing the self-study report. These should address the work-related needs of self-study participants (e.g., meeting rooms, computer resources, clerical assistance, copies).
8. Plans for communicating the work of the steering committee to the institutional community. Also, the institution should consider what plans, if any, it has for communicating the work of the steering committee to the media and general public.

The written plan outline is included in the institution’s orientation visit materials.
Preparing for the orientation visit.

To prepare for the orientation visit, the institution (and the steering committee in particular) is expected to:

2. Prepare its written plan.
3. Determine the role of the conference office in the self-study and evaluation visit.
4. Review institutional compliance policies and procedures.
5. Identify potential dates for the institution’s evaluation visit.

Orientation visit.

The NCAA staff liaison will conduct the orientation visit for the institution approximately 12 to 14 months before the evaluation visit. The purpose of the orientation visit is to review:

1. The purpose and format of the Institutional Performance Program.
2. The institution’s activities that have been conducted in preparation for the orientation visit.
3. The self-study instrument.
4. Preparations for the evaluation visit.
5. Projected dates for the evaluation visit.

The orientation visit is intended for the benefit of those individuals who will be involved in the Institutional Performance Program process.

Please note: conference staff representatives may participate during the orientation visit at the conference’s expense.

NCAA enforcement activity.

Institutions that receive a notice of allegation(s) or inquiry from the NCAA enforcement staff are requested to notify the chair of the committee if the institution is currently engaged in the Institutional Performance Program process or is scheduled to begin the process in the near future.

After receiving a notice of allegation(s) or inquiry, an institution may continue with the self-study process on campus (e.g., conduct orientation videoconference, participating institution’s evaluation visit); however, the committee will postpone a its decision until the enforcement process has concluded and the NCAA
Division I Committee on Infractions has issued its public report or, for those institutions appealing the Committee on Infractions decision or penalties, the NCAA Division I Infractions Appeals Committee has issued its public report. Once the enforcement activity has concluded and before the committee’s decision, the committee will review the Committee on Infractions report and the Infractions Appeals Committee report, if necessary, and may add conditions or issues associated with the enforcement findings to those previously communicated to the institution.
Conducting the Self-Study

The Institutional Performance Program allows each institution approximately six to eight months to conduct its self-study. During this period, an institution must gather and analyze data, and report the findings in a self-study report.

General responsibilities of the self-study steering committee.

1. **Collecting and organizing pertinent data.** The institution should gather data by making use of the individuals most appropriate to the specific area. For example, staff members in the offices of admissions and registrar will be able to report on the demographics and the academic preparation and performance of the general student body. Similarly, athletics department staff members (e.g., compliance coordinators, academic advisors) may serve as resources.

2. **Coordinating activities of the subcommittees and monitoring progress of the self-study.** The steering committee is expected to help ensure that subcommittee and steering committee reports are developed with:
   a. Opportunities for input from appropriate campus constituent groups.
   b. Appropriate involvement of all members of the steering committee or of a given subcommittee in the preparation of particular reports.

3. **Reviewing the reports of the steering committee and the various subcommittees.**

4. **Communicating regularly through meetings and reports.**

5. **Maintaining a written record of:**
   a. Dates on which subcommittee and steering committee meetings were conducted, and the individuals in attendance at those meetings.
   b. Individual(s) responsible for writing subcommittee reports.
   c. Invitations extended to members of the subcommittees and steering committee to comment on subcommittee and steering committee draft reports, including the approximate dates on which those invitations were extended.

The peer-review team will review these records and the extent to which the Institutional Performance Program process reflected broad-based campus participation.
In their review of the institution’s self-study process, peer-review teams and the committee will be
guided more by the opportunities provided for comment and the quality of discussion than by the
number of meetings.

6. **Producing and publicizing the final self-study report.**

Institutions shall be required to submit self-study reports and any supporting documentation to the
NCAA staff sufficiently in advance of the evaluation visit. The committee shall perform a
preliminary analysis of the report based upon directives or criteria established by the committee.
Any decisions to delay the processing of a report shall be made only after consulting with NCAA
staff members and with the chair of the committee.

**Preparing the self-study report.**

The committee has established a specific format for organizing each institution’s self-study report for the
following reasons:

1. To make the institution’s preparation of the report as straightforward as possible.

2. To make the report easier for the peer-review team and members of the committee to read and
   understand.

3. To ensure greater consistency in the material being reviewed.

Further, the committee expects that the institution will:

1. Ensure that institutional responses address each aspect of all self-study items in a thorough but
   concise manner.

2. Prepare responses to each specific self-study item so that they can be read individually, rather than
   as part of a general narrative.

3. Ensure that institutional responses meet the expectations of the committee by reviewing the
   measurable standards documents and using the self-study report checklist.

Beyond the information requested in specific self-study items, the self-study instrument also refers to
documents or materials that are “to be available” to the peer-review team.

The notation “to be available” denotes that the material should be collected during the self-study process
and made available to the peer-review team either before or during the evaluation visit.
Expectations for the self-study report.

The committee will review an institution’s self-study report to ensure that:

1. The report’s conclusions are based on data or records that are available and reliable.
2. The conclusions reached are reasonable based on available data.
3. The institution has provided thorough responses to all self-study items.
4. All existing concerns have been identified by the institution and plans for improvement have been established to address those concerns.
5. Where the institution has concluded that plans to correct issues in one area may affect existing programs in other areas, plans have been established to maintain the current level of quality of all programs.

Expectations for communication with NCAA staff liaison.

The committee expects institutions to maintain regular and on-going communication (i.e. monthly conference calls, e-mail) with their assigned NCAA staff liaison.

Postponement of evaluation visits or resubmission of report

The committee reserves the right to postpone the evaluation visit or recommend the institution resubmit its report the preceding academic year for the following reasons:

1. The report has numerous and complex issues.
2. No gender and or diversity issues plan(s) for improvement or plans require major revisions.
3. Incomplete gender and/or diversity area analyses for Operating Principles 3.1 or 3.2.
4. Incomplete report (e.g., incomplete charts, incomplete responses, lack of information).
5. Nonsubmission of required documents (e.g., once in four-year rules compliance evaluation, once in four-year academic support services evaluation, student-athlete exit interview instrument).
Institutional plans for improvement.

Institutional plans for improvement are required when an institution is not in conformity with a specific operating principle. Additionally, plans for improvement are required for the gender-issues and diversity-issues operating principles.

Written institutional plans communicate an institution’s current commitment, provide benchmarks to assess progress and also serve as records that ensure an institution’s continued commitment.

Institutional plans must include the following requirements:

1. **Issues/Problems.** Each plan must identify issues or problems confronting the institution.
2. **Measurable Goals.** Each plan must include the specific measurable goals the institution intends to achieve to address issues or deficiencies.
3. **Steps to Achieve the Goals.** Each plan must include the specific steps the institution will take to achieve the goals.
4. **Individuals/Offices Responsible for Carrying Out the Specific Actions.** Each plan must identify the individuals and/or offices responsible for carrying out the actions identified by the institution.
5. **Specific Timetable(s).** Each plan must include specific timetables for completing the work.

Further, institutional plans for improvement must meet the following requirements:

1. **Must be in Writing.** Each plan shall be submitted in writing and be specific to the intercollegiate athletics program.
2. **Broad-Based Campus Participation.** Each plan shall be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.
3. **Institution Approval.** Each plan must be adopted formally by the institution’s final authority (e.g., chancellor or president, or governing board) in such matters to ensure that it carries the commitment and support of the entire institution.

A sample format for plans for improvement can be found on the website [NCAA.org/Compliance, Waivers, and Reinstatement/Institutional Performance Program (Division I)].
Gender-issues and diversity-issues plans.

In addition to the requirements listed above, plans for improvement to address gender issues and diversity issues in the intercollegiate athletics program must extend five years into the future, and institutions must maintain an active written plan at all times. The institution must develop a new five-year plan that will maintain conformity with the operating principle. Further, the gender-issues plan must address all 17 areas for gender issues, and the diversity-issues plan must address all nine areas for diversity issues. All of the previously mentioned areas can be found in the self-study instrument.

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 diversity issues and needs (e.g., special programming, services of multicultural offices, general well-being issues) for student-athletes and athletics staff.
3. Satisfies the committee’s minimum expectations for a plan.

Finally, NCAA Operating Principles 3.1-(c) and 3.2-(c) require an institution to maintain a program, or continue progress toward a program, that is equitable for both genders and expands opportunities and support for diverse student-athletes and athletics personnel. Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as they relate to hiring practices. In the area of hiring practices, institutions may submit plans that have broad, flexible non-numeric hiring goals. As they relate to other areas, including, but not limited to, participation rates and budget increases, specific numerical targets may be appropriate.

Confidentiality of the self-study report.

Institutional self-study reports shall be treated as confidential by conference offices, the NCAA, peer-review teams and the committee. Institutions are permitted to distribute reports and supporting documentation at their discretion.
Preparing for the Evaluation Visit

Responsibilities of the Committee.

The committee is responsible for selecting and assigning peer-review teams. The committee takes a number of factors into consideration when making peer-review team assignments:

1. **Composition of peer-review teams.**

   As a general rule, the committee will assign peer-review teams according to the characteristics of the participating institution (e.g., public/private, size of intercollegiate athletics program), giving specific attention to whether the peer-review team includes:

   a. An appropriate number of individuals to handle the anticipated workload.
   b. A range of expertise to cover Institutional Performance Program topic areas.
   c. Appropriate subdivisional representation.
   d. Appropriate representation of campus constituent groups.
   e. Appropriate gender and ethnic minority representation.

2. **Conflicts of Interest.**

   Approximately nine to 11 months before the scheduled evaluation visit, the NCAA staff will provide the participating institution with a list of potential peer-review team members from the larger pool of qualified peer-reviewers.

   The institution will review this list and, within approximately one month, may recommend to the committee, for legitimate reasons, particular individuals not be assigned as peer-review team members. The committee will consider conflicts but reserves the right to make all final decisions regarding peer-review team assignments.

3. **Notice of evaluation visit.**

   An institution shall receive notice at least one year in advance of its evaluation visit.

4. **Notification of peer-review team assignments.**

   Approximately six months before the evaluation visit, the NCAA staff will notify the institution of the peer-review team chair who has been assigned to that institution.

   As circumstances dictate, the committee may change the assignment of the peer-review team at its discretion.

   Before the evaluation visit, the NCAA staff will notify the institution of the members of the peer-review team who will accompany the chair on the evaluation visit.
5. **Ethical considerations.**

The committee relies on the integrity of institutions and of individual peer-reviewers to avoid any assignment for which any potential for conflict of interest exists.

**Responsibilities of the participating institution.**

In preparing for the evaluation visit, the participating institution is required to:

1. Submit its completed self-study report not later than **May 15, 2015**.
2. Make lodging arrangements for members of the peer-review team and NCAA staff.
3. Make arrangements for transportation of peer-review team members (i.e., flights, transportation to and from airport).
4. Provide local transportation for peer-review team members and NCAA staff.
5. Make arrangements to cover peer-review team members’ expenses. (See Costs section, Page No. 29)
6. Establish an itinerary with the NCAA staff for the visit.

The institution’s commitment to specific dates carries an assurance that key institutional personnel will be available for interviews, including, but not limited to, the institution’s:

a. Chancellor or president.

b. Member(s) of the institution’s governing board(s) (e.g., board of trustees, board of regents).

c. Member(s) of the institution’s athletics committee or board (if one exists).

d. FAR.

e. AD.

f. SWA.

g. Compliance coordinator.

h. Institutional Performance Program Liaison.

i. Steering committee chair.

j. Steering committee members.
k. Subcommittee chairs.

l. Sampling of student-athletes.

m. Sampling of coaches.

The peer-review team also may request to interview other institutional staff members, including but not limited to, the admissions director, financial aid director, registrar, human resources director, associate or assistant director of athletics, Title IX coordinator and EEOO.

Peer-review teams will interview selected institutional staff members who participated in the self-study process and others who might offer helpful information regarding self-study issues and the conclusions reached by the institution.

The peer-review team will inform the institution in advance of those individuals they will want to interview. The peer-review team also may request interviews at the time of the evaluation visit without prior notice.

**Responsibilities of NCAA staff.**

The NCAA staff member assigned to accompany the peer-review team on its evaluation visit serves as the liaison between the participating institution and the peer-review team.

The NCAA staff liaison verifies the institution’s self-study report is complete. In addition, the NCAA staff liaison also will provide a preliminary analysis regarding the institution’s conformity with the operating principles and adherence to the measurable standards.

As the date of the evaluation visit draws near, the NCAA staff liaison will coordinate with the institution’s campus contact to confirm arrangements for the peer-review team’s visit, including:

1. Hotel reservations for peer-review team members and NCAA staff.
2. Travel for peer-review team members.
3. Local transportation for peer-review team members and NCAA staff.
4. The itinerary and specific schedule for interviews and other activities of the peer-review team.
5. Availability of institutional representatives for scheduled interviews.
6. Involvement of the conference office (if any).
7. Adequate, private interview and work rooms, sufficient computer resources, Internet access, printers, photocopiers, and attention to other work-related needs of the peer-review team.

8. Reimbursement of visit expenses incurred by peer-review team members, including per diem.

**Costs.**

The costs related to Institutional Performance Program will be shared by the NCAA and participating institutions. The institution is responsible for:

1. Expenses of all institutional representatives related to the orientation visit.

2. All costs associated with the preparation and completion of the self-study report.

3. Actual expenses of peer-reviewers for evaluation visits, including transportation to the reviewer’s local airport, local airport parking, luggage fees, round-trip coach air travel or ground transportation, lodging, local transportation, and per diem of $50 per day for each day of the visit, including official travel days.

4. Work-related needs (e.g., copiers, meeting rooms, computers, Internet access, printers, shredder) of the peer-review team and the NCAA staff member during the evaluation visit.

The NCAA is responsible for:

1. Expenses of NCAA staff members related to the orientation process.

2. Actual expenses of NCAA staff members (i.e., transportation to and from campus, to the hotel, lodging and meals) related to the evaluation visit.

Please note, member conferences are responsible for all costs incurred by a conference staff member related to that individual’s participation in the Institutional Performance Program process of a conference member institution.

**Responsibilities of the peer-review team.**

In consultation with the NCAA staff, the peer-review team chair is responsible for:

1. Identifying topic areas to which the team will give special attention, in consultation with the other members of the peer-review team.

2. Assigning sections of the institution’s self-study report to particular team members.

3. Contacting the institution’s chancellor or president before the evaluation visit for the purpose of understanding special circumstances that might affect the peer-review team’s evaluation visit.

4. Consulting with the other members of the peer-review team to establish a schedule of activities (e.g., reviews of records, facility tours) for the visit and to identify those individuals on campus who will be interviewed by the peer-review team.
5. Meeting with the institution’s chancellor or president to discuss informally the nature of the information to be presented in the exit meeting.

6. Leading the exit meeting at the completion of the evaluation visit.

7. Ensuring the peer-review team’s report is reflective of the visit’s findings.

8. Communicating with the committee regarding the evaluation visit and peer-review team report, including appearing in person, if necessary, before the committee regarding an institution’s Institutional Performance Program status.


10. Ensuring the team fulfills its responsibilities and the objectives specified for evaluation visits.

In addition, all members of the peer-review team, including the chair, share equally in other preparations for the evaluation visit.

Each peer-review team member is expected to review the institution’s self-study report and committee-identified issues in order to:

1. Understand the organization and operation of the institution’s athletics program.

2. Identify areas in the report that may require clarification or additional information.

3. Target specific topic areas as instructed by the committee for special emphasis during the evaluation visit.

Members of the peer-review team should treat all materials and discussions related to the visit as confidential.
The Evaluation Visit

Peer-review team members visit the participating institution’s campus in order to assess the level of broad-based campus participation in the institution’s self-study and to assess the accuracy of the information contained in the institution’s self-study report. Experiences gained by the peer-review team during the evaluation visit help the team to evaluate more fairly the information contained in the institution’s self-study report.

By the end of the visit, the peer-review team will have reached tentative conclusions about the nature of the institution’s self-study process, the accuracy of the institution’s self-study report and the operation of the athletics program in accordance with the Institutional Performance Program’s operating principles.

Before leaving campus, the peer-review team will write a report that will be forwarded to the institution and to the committee.

The institution’s chancellor or president is afforded an opportunity to hear the peer-review team’s general impressions in an exit meeting at the end of the evaluation visit.

Length of the evaluation visit.

The evaluation visit typically takes place during a three- or four-day period. The chair of the peer-review team, in consultation with the staff liaison, is responsible for determining the length of time necessary for the evaluation visit based on a review of the self-study report and the committee-identified issues.

Every effort will be made to establish a schedule in advance that reflects accurately the length of the evaluation visit. However, unanticipated events on campus may require changes in the schedule at the time of the evaluation visit. The chair is authorized to modify the schedule as necessary within the established period.

The following is a typical schedule for the evaluation visit:

Day 1

1. Peer-review team travel (morning).
2. Peer-review team prep session at hotel (afternoon).
3. Facility tour (afternoon).
4. Reception/dinner with institutional representatives (optional).

*Please note: Evaluation visits, including interviews, may occur on Sunday.

Day 2

1. Interviews with chancellor/president and steering committee (morning).
2. Interviews with other institutional staff/representatives (morning/afternoon).

3. Peer-review team report writing (afternoon/evening).

**Day 3**

1. Exit meeting with chancellor/president and other institutional representatives (morning).

2. Peer-review team departs campus following the exit meeting.

**Ethical considerations.**

The following guidelines have been established for evaluation visits in an effort to protect the integrity of the process:

1. All aspects of the evaluation visit are to be treated as confidential. This confidentiality extends to evaluation materials provided by the institution (including the institution’s self-study report); issues identified by the committee; peer-review team, conference or NCAA staff files and notes; conversations with institutional, conference or NCAA representatives; and conversations among peer-review team members, institutional representatives, conference administrators and NCAA staff members.

2. Institutions may choose to host a meal or reception on the first day of the visit to give the peer-review team an opportunity to meet key institutional representatives. The institution should not feel obligated to host such a function and it should not interfere with the peer-review team’s ability to accomplish its work.

3. Institutions should not offer, and peer-review team members or NCAA staff may not accept, gifts or gratuities of any kind.

4. Peer-review team members are required to pay for personal and incidental items.

5. The committee will not tolerate unprofessional or unethical behavior on the part of any individual participating in the evaluation visit on behalf of the committee. Please inform the NCAA staff liaison immediately if there are any questions or concerns.

6. The peer-review team, NCAA staff and representatives from the institution and conference office participating in the Institutional Performance Program process are the only individuals who can be present for any portion of the evaluation visit, including the exit meeting (see Page Nos. 31-32).

**Peer-review team’s basic functions.**

The peer-review team performs three basic functions:

1. Verifies the accuracy and completeness of the self-study report.

2. Verifies broad-based campus participation during the Institutional Performance Program process.
3. Verifies issues that may prevent the institution from establishing conformity with the operating principles as identified by the committee.

The peer-review team typically begins the evaluation visit by meeting with the institution’s chancellor or president and with the steering committee. Members of the peer-review team also conduct interviews, review records and tour campus facilities. Throughout the visit, peer-review team members compare and contrast findings with each other, then adjust interview schedules based on these conversations.

**Peer-review team interviews.**

Individuals required to be interviewed during the evaluation visit include the following:

1. Chancellor or president.
2. Member(s) of the institution’s governing board (e.g., board of trustees).
3. Member(s) of the institution’s athletics committee or board (if one exists).
4. FAR.
5. AD.
6. SWA.
7. EEOO.
8. Title IX Officer.
9. Compliance coordinator.
10. Steering committee chair.
11. Steering committee members.
12. Subcommittee chairs.
15. Institutional Performance Program Liaison.

The peer-review team also may request to interview other institutional staff members, including, but not limited to, the admissions director, financial aid director, registrar, human resources director, associate or assistant director(s) of athletics.
Verifying the completeness and accuracy of the self-study report.

In evaluating the completeness and accuracy of the institution’s self-study report, the peer-review team will consider whether:

1. Institutional responses address each specific aspect of all self-study items.
2. Conclusions are based on data or records that are available and reliable.
3. Conclusions are reasonable in light of the available data.
4. All substantive concerns have been identified by the institution and a plan for improvement, if necessary, has been established to address those concerns.

Verifying broad-based campus participation.

The peer-review team will evaluate the institution’s level of broad-based campus participation by considering whether appropriate constituencies were:

1. Represented on the steering committee and subcommittees.
2. Involved in the collection and analysis of data used in drawing conclusions and responses to self-study items.
3. Afforded sufficient opportunities to respond to the steering committee’s initial observations.
4. Made aware of and provided access to the self-study report.

In addition, the peer-review team will evaluate whether members of particular subcommittees were involved in preparing and evaluating the subcommittees’ reports, and whether steering committee members were involved in evaluating subcommittee reports and in preparing and evaluating reports of the steering committee.

In verifying broad-based campus participation, peer-review team members will use the institution’s written plan for conducting its self-study, written records of meeting dates and attendees, writing assignments, and opportunities afforded to campus and community groups to offer comments.

Verifying conformity with the operating principles.

The peer-review team evaluates the extent of substantial conformity achieved by the institution with respect to the operating principles identified by the committee. In making these decisions, the peer-review team should make every effort to:

1. Base its decisions on reliable data.
2. Be sensitive to the unique characteristics and circumstances of the institution.
3. Remain free of personal and professional bias.

**Preparing the peer-review team’s written report.**

Before leaving campus, the peer-review team completes a written report which will be forwarded to the committee.

**Format of the report.**

The committee has established a standard format for peer-review team reports to promote consistency in the information provided to the committee.

The format approved by the committee for the peer-review team report includes:

1. An evaluation of the institution’s self-study report as to openness, thoroughness, breadth of participation and accuracy.
2. Peer-reviewer observations of the institution’s status related to the operating principles and committee-identified issues based on the information contained in the institution’s self-study report and the team’s campus findings (verified through a review of records and other data).
3. Additional issues the peer-review team believes should be addressed before the committee can recommend successful completion of the Institutional Performance Program process.
4. Modifications to consider suggested by the peer-review team.

Lists of the individuals interviewed and the institutional records reviewed by the peer-review team are included as appendixes to the peer-review team report.

**The exit meeting.**

The peer-review team will conduct a meeting at the end of the team’s evaluation visit with the institution’s chancellor or president and other institutional representatives at his or her discretion. The purpose of the meeting is to offer the team’s general impressions of the visit and to share information, including any serious problems that were discovered during the visit, which will be included in the peer-review team’s formal written report.

The peer-review team’s comments during the exit meeting will address:

1. The institution’s self-study process in terms of openness, thoroughness, breadth of participation and accuracy.
2. Any issues (identified by the committee or peer-review team) that should be addressed before the committee can recommend successful completion of the Institutional Performance Program process.

Possible rules violations.

The peer-review team will include in its written report any information discovered during the evaluation visit concerning possible violations of NCAA rules. The chair of the peer-review team or the NCAA staff liaison also will remind the institution of its obligation to self-report violations per NCAA Division I legislation and the institution’s formal response to these findings can be a factor in the committee’s decisions.

The Committee on Infractions also may recommend to the committee that a particular institution’s Institutional Performance Program status be reviewed as a result of the institution’s completed infractions case. The committee may review and alter an institution’s Institutional Performance Program status on referral from the Committee on Infractions.
After the Evaluation Visit

Preparing the peer-review team’s report.

After all members of the peer-review team agree the report is complete, the NCAA staff liaison finalizes and submits a copy of the report to the institution’s chancellor or president before its submission to the committee. The chancellor or president will be given at least two weeks from receipt of the report to review and respond. Copies of the peer-review team’s report also will be forwarded to the institution’s steering committee chair and the institution’s conference commissioner.

Institutional response to the peer-review team’s report.

After reviewing the peer-review team’s report, the institution may submit a written response to the committee through the Institutional Performance Program System. Even though the institution may not have comments to provide, it should indicate this in writing. The institution’s response shall be limited to:

1. Corrections of factual errors.
2. Presentation of new, relevant information not considered by the peer-review team.
3. Proposed additional corrective actions for remedying deficiencies (e.g., institutional plans for improvement).

Release of information regarding the evaluation visit.

Until the committee renders its decision, information released during the evaluation visit shall be limited to statements of the visit’s status (whether the visit has not been made, is in progress or has been completed) and the identities of the peer-review team members. Before the committee formally assesses the institution, the NCAA staff, peer-review team and the institution shall not publicize information regarding the visit and shall respond only to inquiries with the public regarding the information just described. Following the release of the committee’s Institutional Performance Program decision, the institution is permitted to release any information regarding the evaluation visit.

Evaluations.

The final task for the peer-review team chair is to complete an evaluation of the performance of other members of the peer-review team and the NCAA staff liaison(s). The chair also will be asked to comment on the self-study evaluation process in general.

Peer-review team members will be asked to evaluate the peer-review team chair, and the NCAA staff after the evaluation visit.
Institutions will be asked to assess the evaluation visit, and the work of the peer-review team chair, other peer-review team members and the NCAA staff.

After the final Institutional Performance Program decision, the institution’s chancellor or president will have the opportunity to evaluate the overall Institutional Performance Program process.

All of this information will be used by the committee to improve the Institutional Performance Program, including the peer-review process.
The Institutional Performance Program Decision

Once the committee receives the institution’s self-study report, the written report of the peer-review team and the institution’s response to the peer-review team’s report, the committee is responsible for determining whether an institution has successfully completed the Institutional Performance Program process.

Committee members will not participate in determining the Institutional Performance Program status for those institutions in which a potential for conflict of interest exists. In considering whether a potential conflict exists, the committee members shall apply the same guidelines approved by the committee for use by potential peer-review team members.

Basis of the Institutional Performance Program decision.

The committee’s decision is a two-step process. First, the committee must decide whether the institution’s self-study report is adequate. Adequacy is based on whether the report was completed in an appropriate manner; for example, whether the information contained in the report was accurate and the self-study was conducted with broad-based campus participation. This decision is based both on the institution’s self-study report and the peer-review team report.

When the self-study is considered adequate, the committee then works toward a specific Institutional Performance Program decision. In both parts of this process, NCAA Division I legislation requires the committee to base its decision on:

1. The institution’s self-study report;
2. Issues initially identified by the committee after reviewing the institution’s self-study report;
3. The peer-review team’s report;
4. Additional written comments the institution may submit in response to the committee’s initial analysis and/or the peer-review team’s report; and
5. Additional material and information deemed relevant by the committee.

Further, the committee has the discretion to use any information it deems relevant in reaching a decision for an institution from the institution’s website and any other materials that are available to the general public.

Additionally, the committee will include an institution’s public infractions report in its deliberations when such a report is released during the Institutional Performance Program process.
**Conflict of interest for committee members.**

Committee members shall recuse themselves from Institutional Performance Program decisions in which they may have potential conflicts of interests. Former and current employees, consultants or alumni shall not participate in Institutional Performance Program decisions regarding institutions with which they have a conflict of interest. Further, an individual shall not take part in decisions regarding an institution that is in the same conference as the individual’s conference.

**Appearance by institutional representatives.**

At the request of the committee, institutional representatives may be asked to appear in person to clarify factual discrepancies and other matters at the time the committee is rendering its Institutional Performance Program decision.

**Enforcement activity.**

Institutions that receive a notice of allegation(s) or inquiry from the NCAA enforcement staff are requested to notify the chair of the committee and/or NCAA staff liaison if the institution is currently engaged in the Institutional Performance Program process or is scheduled to begin the process in the near future.

After receiving a notice of allegation(s) or inquiry, an institution may continue with the self-study process on campus (e.g., conduct orientation visit, continue to develop self-study report, participate in the evaluation visit); however, the committee will postpone any Institutional Performance Program status decision until the enforcement process has concluded and the Committee on Infractions has issued its public report or, for those institutions appealing the Committee on Infractions decision or penalties, the Infractions Appeals Committee has issued its public report. Once the enforcement activity has concluded and before the committee’s Institutional Performance Program decision, the committee will review the Committee on Infractions report and the Infractions Appeals Committee report, if necessary, and may add issues associated with the enforcement findings to those previously communicated to the institution.
Institutional Performance Program categories.

1. **Successful Completion.**

A reclassifying institution that has been determined to have successfully completed the Institutional Performance Program process is considered to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that (a) any problems identified by the institution in its self-study or by the peer-review team during its evaluation were considered by the committee to be not serious enough to affect the institution’s Institutional Performance Program status, and (b) the institution demonstrated adequate follow-up to concerns or improvement plans directly related to the operating principles that were identified by the institution or the committee.

2. **Nonsuccessful Completion.**

A reclassifying institution that has been determined to have not successfully completed the Institutional Performance Program process is not considered to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that (a) problems identified by the institution in its self-study or by the peer-review team during its evaluation were considered by the committee to be serious enough to withhold a determination of successful completion until those problems have been corrected, or (b) the institution did not demonstrate adequate follow-up to concerns or improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution’s self-study.

3. **Postponement of Institutional Performance Program Decision.**

The committee reserves the right to postpone the Institutional Performance Program decision of an institution under either of the following conditions:

a. When the self-study is deemed to be inadequate (e.g., lacking accuracy, openness or campus-wide participation). If the institution does not respond to the committee’s concerns in a specified time period established by the committee, it may be placed in restricted-membership status. Such an institution shall not be eligible for active Division I membership until an appropriate self-study is completed; or

b. When the committee, during its deliberations, concludes the institution has not received adequate notice from the peer-review team of a problem significant enough to affect the institution’s Institutional Performance Program status. The postponement allows the committee to seek written clarification from the institution and the peer-review team chair before rendering a decision as to the Institutional Performance Program status of the institution.
**The Institutional Performance Program Decision**

**Revised Summer 2015**

**Notification of the Institutional Performance Program decision.**

The committee will communicate the Institutional Performance Program decision to the institution’s chancellor or president in writing.

Reclassifying and provisional institutions are not considered active Division I members; therefore, these institutions will not be included in any public press release. However, the chancellor or president of a reclassifying or provisional institution will receive a letter advising that the institution has successfully completed the self-study.

While other information related to the peer-review team’s report or the committee’s actions will be considered confidential between the institution and the NCAA, the institution may release information regarding the committee’s decision at its own discretion. The chair of the committee, the NCAA staff or a member of the committee designated by the chair also is authorized to offer additional comments concerning the committee’s deliberations when an announcement is warranted.

**Opportunity for a hearing.**

An institution may request a hearing related to its Institutional Performance Program status or decision from the committee according to the committee’s policies and procedures. The committee shall be obligated to honor an institution’s request for a hearing related to a decision by the committee regarding the institution’s Institutional Performance Program status.

**Request for appeal.**

An institution may appeal the decision of the committee to the Legislative Council according to the appeal procedures established by the Legislative Council. Public announcements of decisions of the committee, however, will not be postponed pending appeals.
Glossary of Terms

**Campus Contact.** The campus contact is responsible for coordinating preparations for the evaluation visit, including lodging and travel for peer-review team members and NCAA staff, scheduling interviews and organizing any work-related needs for peer-reviewers (e.g., computer resources, meeting rooms, documents to be reviewed).

**Committee Analysis.** Once the staff analysis is completed, the committee will review the institution’s self-study and the staff analysis of the report. The committee will determine the final issues that will be forwarded to the institution and the peer-review team.

**Conformity.** The peer-review team’s and committee’s most demanding task is to assess the extent of substantial conformity achieved by the institution with respect to the operating principles. This evaluation inevitably involves subjective judgment. In making these decisions, the peer-review team and committee make every effort to base decisions on reliable data; be sensitive to the unique characteristics and circumstances of the institution; and remain free of personal and professional bias.

**Evaluation Visit (EV).** The EV occurs after the institution has submitted its self-study report, after the staff and committee analyses have been completed and after the institution has had an opportunity to respond to the committee’s analysis. The EV is staffed by a peer-review team that will have reached tentative conclusions about the nature of the institution’s self-study process, the accuracy of the institution’s written report and the operation of the athletics program in relation to the Institutional Performance Program’s operating principles. Before leaving campus, the peer-review team is obligated to record its conclusions in a report that eventually will be forwarded to the institution and to the committee. In the meantime, the institution’s chancellor or president (and other institutional representatives at the discretion of the chancellor or president) is afforded an opportunity to hear the peer-review team’s general impressions in an exit meeting at the end of the EV. The EV can occur anytime between September 15 and November 21.

**Institutional Performance Program Liaison.** The committee requires each NCAA Division I institution to designate an individual to serve as its Institutional Performance Program liaison. The liaison shall be the individual on the institution’s campus responsible for monitoring the progress of the institution’s plans for improvement developed during the Institutional Performance Program process. After the evaluation visit and before receiving the Institutional Performance Program decision, the NCAA staff liaison will contact the chancellor or president to initiate the submission of the liaison for monitoring plans for improvement developed by the institution.

**Measurable Standard (MS).** The committee developed measurable standard documents as a means to bring greater consistency to the Institutional Performance Program process. These documents are intended to clarify the expectations of the committee for each operating principle.

**Operating Principle (OP).** The Institutional Performance Program is made up of seven standards, OPs, that every Division I institution needs to meet. The OPs were originally adopted overwhelmingly at the 1993 Convention. They address the three basic areas of governance and commitment to rules compliance, academic integrity, and gender/diversity issues and student-athlete well-being. OPs are included as a part of
the Institutional Performance Program self-study instrument.

**Modifications to Consider.** As part of its report, the peer-review team will identify any pertinent recommendations for the institution in a section titled, “Opportunities for Enhancement.” The institution is not obligated to implement or respond to such recommendations; rather, these should be viewed as helpful suggestions from the institution’s peers to improve its athletics program.

**Orientation Visit (OV).** The NCAA staff liaison will conduct an OV for an institution approximately 12 to 14 months before the evaluation visit. The purpose of the OV is to review the purpose and format of the Institutional Performance Program; the institution’s activities already conducted in preparation for the orientation; the self-study instrument (with members of the steering committee and subcommittees); preparations for the EV; and projected dates for the EV. The OV is intended to benefit campus members who will be involved in the self-study. The OV can occur anytime between August 26 and November 27.

**Peer-Review Team (PRT).** An external PRT, selected and assigned by the committee, is composed of experienced education and athletics personnel. The PRT is responsible for verifying the institution’s self-study was accurate and complete; confirming that the self-study was developed through a broad-based process that involved campus-wide participation; and evaluating the self-study and committee-identified issues in terms of the OPs that have been approved for all Division I members. Before leaving campus, the PRT must complete its written report to the committee. Ordinarily, each member of the PRT is responsible for writing one or more sections of the report, divided generally according to those sections of the self-study to which members of the PRT were assigned. A typical PRT will consist of a maximum of five members. Whenever possible, a chancellor or president will serve as chair. Each PRT member will receive training, with special emphasis on training for PRT chairs.

**Plans for Improvement.** Written institutional plans have significant value for every Division I institution. They communicate an institution’s current commitment, provide benchmarks to assess progress and also serve as enduring records that help ensure an institution’s continued commitment in the future. Institutional plans must meet certain minimum requirements. There are additional requirements for gender and diversity plans.

**Report Coordinator.** The report coordinator is responsible for editing the self-study report, including plans for improvement, into one large document. The report coordinator combines responses to each specific self-study item so they can be read individually, rather than as part of a general narrative. It is suggested the report coordinator be well-versed in Microsoft Word and be comfortable with editing narrative from multiple writers.

**Self-Study Item (SSI).** An SSI is a question contained in the self-study instrument to be researched, studied and answered by an institution during its self-study process. In evaluating the completeness and accuracy of an institution’s self-study report, the peer-review team will consider whether institutional responses address each specific aspect of all SSIs identified by the committee.

**Staff Analysis.** After an institution submits its self-study report via the Institutional Performance Program System, the NCAA staff liaison will review the self-study report, verify that all self-study items are completed and ensure that all measurable standards are met. This results in the staff analysis. Once the staff analysis is completed, the committee will review the institution’s self-study and the staff analysis of the report. The committee will determine the final issues that will be forwarded to the institution and the peer-review team.
Staff Liaison. There is an NCAA staff liaison assigned to each institution going through the self-study process. The staff liaison verifies that the institution’s self-study report, including any supporting documentation, is complete. In addition, the liaison provides a preliminary assessment regarding the institution’s adherence to the measurable standards. The staff liaison accompanies the peer-review team on its campus visit and serves as the liaison between the participating institution and the peer-review team.
Peer-Review Team Requirements

Following is a list of the basic qualifications and typical activities of peer-review team members involved in the Institutional Performance Program.

Placement in the pool of peer-reviewers.

To be considered for placement in the pool of peer-reviewers, an individual must:

1. Be currently employed at a Division I institution or conference office; (Note: An individual who has retired will be considered for selection for up to five years after retirement and can be considered for a longer period if he or she demonstrates continued active involvement in intercollegiate athletics.)

2. Have a substantial knowledge of intercollegiate athletics as evidenced by employment and service history;

3. Hold the position of chancellor or president, faculty athletics representative, director of athletics, or senior woman administrator at a member institution; or

4. Have recognized expertise, skills or experience in at least one of the three areas addressed in the Institutional Performance Program (i.e., expertise in all operating principles related to that area).

In addition to these basic criteria, the committee has established additional guidelines for its selection of peer-reviewers:

1. An individual should have five years of campus experience as a full-time employee, including three years in Division I. A conference administrator may be selected, provided the individual has at least three years of conference office experience.

2. An individual employed outside an institution’s athletics department should have a direct working relationship with athletics.

3. An individual will not be considered for selection if that individual has been found by the Committee on Infractions to have committed a major violation of NCAA rules in the last five years.

The committee uses a variety of specific criteria outlined on Page No. 22 in selecting peer-reviewers that are subject to periodic revision. In addition, the pool of peer-reviewers includes women and members of underrepresented groups to ensure diverse peer-review teams.

The committee will, on an ongoing basis, thoroughly evaluate peer-reviewers, including chairs, through NCAA staff evaluation of individuals and evaluation of each peer-reviewer by his or her fellow team members.
The committee will not knowingly assign an individual to serve as a peer-reviewer who:

1. Is or has been an employee at the participating institution.

2. Is employed at an institution in the same primary athletics conference as the participating institution.

3. Is employed at an institution in the state in which the participating institution is located.

4. Is or has been an employee within the past three years, at a conference office in which the participating institution is a member.

5. Is a candidate for employment, or has been a candidate within the past two years, at the participating institution.

6. Has been an appointee, consultant or employee of the participating institution, or has close relatives who are employees at the participating institution.

7. Is an alumnus or alumna of the participating institution.

8. Has previously visited the institution as a peer-review team member or as part of a regional or professional accreditation team that either put the institution on probation or terminated its accreditation.

9. Is or has been associated in any manner with an organization that provides consulting services for the Institutional Performance Program.

To avoid the appearance of any conflict of interest, no member of the peer-review team may serve as a consultant to an institution to which that individual was assigned as a peer-review team member for a period of one year after the conclusion of the evaluation visit.

Peer-review team members should not encourage staff members at the institutions they visit to seek employment at the peer-review team members’ institutions, nor should peer-review team members suggest their own availability as consultants or employees.

Every peer-review team member must review and sign a statement related to potential conflicts of interest at the time that individual agrees to serve as a member of a particular peer-review team.

Peer reviewers are also asked to verify that they are willing to have a conversation with their institution’s legal counsel (and, if necessary, the NCAA general counsel) to discuss the application of their state open records laws to the provision of confidential information provided to them during the peer-review team process.
The purpose of this document is to educate NCAA Division I member institutions and conference offices by providing information on the 10 issues most frequently identified by the NCAA Division I Committee on Institutional Performance. This information is intended to assist institutions that are preparing to go through the Institutional Performance Program process in the near future.

1. The institution’s gender-issues plan must include all required plan elements. \([\textit{NCAA Operating Principle 3.1}]\)

2. The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified revenue and expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends. \([\textit{Operating Principle 3.1}]\)

3. The institution must conduct a thorough and written review of each of the 17 program areas for gender issues. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area. \([\textit{Operating Principle 3.1}]\)

4. The institution must have written policies and procedures in the areas of athletic training; sports medicine; emergency medical plans for practices and games; emergency medical plans for out-of-season workouts, strength training and skills sessions; and travel policies (e.g., passenger vans, buses, permissible drivers, flights, length of trips). Further, the institution must evaluate the policies and procedures for their effectiveness in protecting the health and providing a safe environment for its student-athletes; identify the administrator(s) responsible for annually evaluating the policies and procedures for their effectiveness in protecting the health and providing a safe environment for its student-athletes; and demonstrate that policies and procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes. \([\textit{Operating Principle 3.3}]\)

5. The institution’s diversity-issues plan must include all required plan elements. \([\textit{Operating Principle 3.2}]\)

6. The institution’s instrument used to conduct student-athlete exit interviews must contain specified questions. \([\textit{Operating Principle 3.3}]\)
7. The institution must conduct a thorough and written review of each of the seven program areas for student-athlete well-being. If the institution identifies any deficiencies during this review, these deficiencies must be incorporated into a student-athlete well-being plan for improvement. \([\textit{Operating Principle 3.3}]\)

8. The institution must conduct a thorough and written review of each of the nine program areas for diversity issues. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area. \([\textit{Operating Principle 3.2}]\)

9. The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate of students generally, including comparable student body groups. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate of students generally or a comparable student body subgroup, the institution must develop a plan for improvement to address the issue. \([\textit{Operating Principle 2.1}]\)
SELF-STUDY INSTRUMENT

RECLASSIFYING INSTITUTIONS

2015-16

NCAA® Division I
Institutional Performance Program
Self-Study Instrument for Reclassifying Institutions
The self-study instrument is designed to assist participating NCAA Division I reclassifying institutions in the NCAA Division I Institutional Performance Program. The self-study instrument was developed by the NCAA Division I Committee on Institutional Performance.

The self-study instrument is organized into three sections, consistent with the Institutional Performance Program three basic topic areas:

1. Governance and commitment to rules compliance;
2. Academic integrity; and
3. Gender/diversity issues and student-athlete well-being.

Each section is formatted so that institutions’ self-study reports are completed in as consistent a manner as possible.

To ensure 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 involved in the Institutional Performance Program process for the upcoming year.

We hope the self-study instrument is useful and 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 their NCAA Institutional Performance Program staff liaison.

NCAA Academic and Membership Affairs
Division I Institutional Performance Program Team

P.O. Box 6222
Indianapolis, Indiana 46206-6222
317/917-6222
ipp@ncaa.org

Information regarding the Institutional Performance Program can be obtained via the Internet at www.NCAA.org [NCAA Division I Institutional Performance Program]
# Introduction to Self-Study Report

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Introduction to 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 basis]:

6. Number of faculty [using a full-time equivalency basis]:

7. Highest level of academic degree offered:

8. Institution’s governing entity (e.g., board of trustees):
   
   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:  □ FBS □ FCS □ Division I (without football)

2. Conference affiliation(s) or independent status:

3. Athletics program structure (check all that apply):

   □ One combined department of athletics.
   □ 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) in the last 10 years and impact (if any) on the areas of the Institutional Performance Program.

5. Other significant events (with dates) in the history of intercollegiate athletics program in the last 10 years.

6. Changes in key senior-level positions, institutional or athletics program in the last 10 years.
7. 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) in the last 10 years.

**Institutional Performance Program Self-Study Information**

1. Steering committee chair (name and title).
2. Report coordinator (name and title).
3. Campus contact (name and title).
4. Institutional Performance Program liaison (name and title).
5. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before findings and plans for improvement were formulated; and (b) review the self-study report after it was drafted.
6. Provide an electronic copy of the institution’s written plan for conducting the self-study.
7. 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 most recent 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:

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 chancellor or president is assigned ultimate responsibility and authority for the operation, fiscal integrity and personnel of the athletics program.

c. Appropriate campus constituencies have the opportunity, under the purview of the chancellor or president, 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 for Operating Principle 1.1

1. Describe how the institution’s chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the athletics director to the chancellor or president.

   Measurable Standard No. 1
   The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.

2. In the last 10 years, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

   a. Chancellor or president;
   b. Athletics board or committee;
   c. Faculty senate (or other faculty governing body);
   d. Student-athlete advisory committee;
   e. Director of athletics;
   f. Faculty athletics representative;
   g. Senior woman administrator; and/or
   h. Other individual(s) or campus constituencies.

3. Describe the institution’s written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution’s governing board. Describe how the written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

   Measurable Standard No. 2
   The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.
4. In the last 10 years, list the decisions related to intercollegiate athletics in which the institution’s governing board or individual board members have been involved and describe the extent of the governing board’s involvement with those decisions.

5. Describe how the institution’s governing board decisions regarding the athletics program are consistent with those of other on-campus units.
   a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
   b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of the department of athletics policies (e.g., review admissions data, review academic performance data, receive periodic reports from the department of athletics); and
   c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.

(1) Athletics board or committee;
(2) Faculty senate (or other faculty governing body);
(3) Faculty athletics representative;
(4) Student-athlete advisory committee; and/or
(5) Other individual(s) or campus group(s)

6. 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.

8. Provide the composition of the athletics board or committee (including titles and positions).

9. Describe how the institution’s chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:
a. Budget, including all sources of funding;
b. Accounting;
c. Purchasing; and
d. Debt management.

In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

**Measurable Standard No. 6**
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

10. Describe how the institution’s chancellor or president and his or her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president’s cabinet, finance committee) designated with this responsibility.

**Measurable Standard No. 6**
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

11. Describe the process by which the institution’s chancellor or president or his or her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review. [Please note, this self-study item may not be applicable because reclassifying institutions do not have access to this data at the time of participation in the Institutional Performance Program process. However, according to our NCAA finance and operations department, Division II dashboard indicators were distributed June 9, 2010, with fiscal year 2009 data, so all former Division II institutions that are in the reclassification process to Division I should have access to this data. All reclassifying institutions have been sent the email to access this data.]

**Measurable Standard No. 7**
Institutions must demonstrate that an administrative review of NCAA comparative data (i.e., dashboard indicators) has occurred on an annual basis by the chancellor or president or his/her designees. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

12. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
Governance and Commitment to Rules Compliance

Operating Principle 1.2
Rules Compliance.

Membership in the Association places the responsibility on each institution to ensure 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 are clearly communicated to athletics staff members and those individuals outside athletics who have rules compliance responsibilities. These written policies and procedures must assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program.

b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside the department of athletics. The responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes must be vested in the same agencies that have authority in these matters for students in general.

c. Rules compliance is the subject of a continuous, comprehensive educational effort to a wide range of constituencies.

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, the rules compliance program is the subject of evaluation by an authority outside the department of athletics. This rules compliance evaluation shall include the following areas:

(1) Governance and organization.
(2) Initial-eligibility certification.
(3) Continuing-eligibility certification.
(4) Transfer-eligibility certification.
(5) NCAA Division I Academic Performance Program (APP).
(6) Financial aid administration, including individual and team limits.
(7) Recruiting (e.g., contacts and evaluations, official and unofficial visits).
(8) Camps and clinics.
(9) Investigations and self-reporting of rules violation(s).
(10) Rules education.
(11) Extra benefits.
(12) Playing and practice seasons.
(13) Student-athlete employment.
(14) Amateurism.
(15) Commitment of personnel to rules compliance activities.
Self-Study Items for Operating Principle 1.2

1. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals within the department of athletics. Specifically, the institution must provide written evidence that all individuals inside the department of athletics (e.g., coaches, staff) have statements regarding the importance of rules compliance in all of the following documents:

   a. Contracts or letters of appointment;
   b. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

   \[
   \text{Measurable Standard No. 1}
   \]

   The institution must provide written evidence that all individuals inside the department of athletics (e.g., staff, coaches) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

2. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the department of athletics who are involved in rules compliance activities. Specifically, the institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:

   a. Contracts or letters of appointment;
   b. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

   \[
   \text{Measurable Standard No. 2}
   \]

   The institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
3. Provide the name(s) and title(s) of the institutional staff member outside the department of athletics who has ultimate responsibility in determining student-athletes’ admission to the institution, certification of academic standing and conferment of academic degrees.

**Measurable Standard No. 3**
The institution must demonstrate that the responsibility for admission, certification of academic standing and conferment of academic degrees of student-athletes is vested in the same agencies that have authority in these matters for students in general.

4. Provide the name(s) and title(s) of the individual(s) (other than the institution’s compliance officer/director) who the chancellor or president designates as having final authority for the institution’s rules compliance (e.g., athletics director, vice president for athletics).

**Measurable Standard No. 4**
The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns final authority for the athletics program (e.g., director of athletics, vice president for athletics).

5. Identify the individuals inside and outside the department of athletics who have rules compliance responsibilities. Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:
   a. Faculty athletics representative;
   b. Director of athletics;
   c. Compliance officer/director;
   d. Coaches; and
   e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:
      (1) Eligibility certification;
      (2) Investigation and self-reporting of violations;
      (3) Monitoring of financial aid; and
      (4) NCAA Division I Academic Performance Program (APP).

**Measurable Standard No. 5**
The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.

**Measurable Standard No. 6**
The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and academic performance program.

6. Indicate by answering “yes” or “no” whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules
compliance. Please note, all policies and procedures must be available during the evaluation visit. If the institution indicates a specific written policy and step-by-step procedure is not applicable, the institution must provide an explanation.

a. Initial eligibility certification.
b. Continuing-eligibility certification.
c. Transfer-eligibility certification.
d. APP.
e. Financial aid administration.
f. Recruiting.
g. Camps and clinics.
h. Investigations and self-reporting of rules violations.
i. Rules education.
j. Extra benefits.
k. Playing and practice seasons.
l. Student-athlete employment.
m. Amateurism.

Measurable Standard No. 7
The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:

a. Initial-eligibility certification;
b. Continuing-eligibility certification;
c. Transfer-eligibility certification;
d. NCAA Division I Academic Performance Program (APP) (e.g., data collection process, penalty implementation process);
e. Financial aid administration, including individual and team limits;
f. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
g. Camps and clinics;
h. Investigations and self-reporting rules violations;
i. Rules education;
j. Extra benefits;
k. Playing and practice seasons;
l. Student-athlete employment;
m. Amateurism.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

7. Describe how the institution’s written compliance policies and procedures are communicated on an annual basis to the department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities.

Measurable Standard No. 8
The institution must demonstrate that its compliance policies and procedures are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) on an annual basis to department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
8. Describe the institution’s rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:

   a. Boosters;
   b. Student-athletes;
   c. Department of athletics staff;
   d. Coaches;
   e. Faculty; and
   f. Institutional staff outside the department of athletics.

Measurable Standard No. 9
The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, department of athletics staff, coaches, and directly involved faculty and institutional staff outside the department of athletics.

9. In regard to the institution’s most recent rules compliance evaluation:

   a. Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution’s rules compliance evaluation;

   b. Describe the process used in selecting this authority outside the department of athletics to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution’s department of athletics and is knowledgeable of NCAA legislation and rules compliance practices; and

   c. Provide the date of the institution’s most recent rules compliance evaluation.

[Please note, all reclassifying institutions must have completed a compliance review conducted by the national office and submission of a report with an institutional response to findings during Year Two of reclassification (See NCAA Bylaw 20.5.2.5.2).]

Measurable Standard No. 10
The institution must demonstrate that its rules-compliance program is subject to comprehensive, external rules-compliance evaluation at least once every four years and is 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. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

10. The rules compliance evaluation must determine that the institution’s compliance practices are engaged and functioning and must include the required areas listed below. Indicate by answering “yes” or “no” which areas were included in the institution’s most recent rules compliance evaluation. If the institution indicates a specific area is not applicable, the institution must provide an explanation.

   a. Governance and organization.
   b. Initial-eligibility certification.
   c. Continuing-eligibility certification.
d. Transfer-eligibility certification.
e. APP.
f. Financial aid administration, including individual and team limits.
g. Recruiting (e.g., contacts and evaluations, official and unofficial visits).
h. Camps and clinics.
i. Investigations and self-reporting of rules violations.
j. Rules education.
k. Extra benefits.
l. Playing and practice seasons.
m. Student-athlete employment.
n. Amateurism.
o. Commitment of personnel to rules-compliance activities.

Measurable Standard No. 11
The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

Measurable Standard No. 12
The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at a minimum, the following areas:

a. Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);
b. Initial-eligibility certification;
c. Continuing-eligibility certification;
d. Transfer-eligibility certification;
e. APP (e.g., data collection process, penalty implementation process);
f. Financial aid administration, including individual and team limits;
g. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
h. Camps and clinics;
i. Investigations and self-reporting of rules violations;
j. Rules education;
k. Extra benefits;
l. Playing and practice seasons;
m. Student-athlete employment;
n. Amateurism;
o. Commitment of personnel to rules-compliance activities.

11. Describe the process used by the institution during the development of the self-study to review the most recent rules compliance evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.
12. Identify any relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 11 or actions previously planned or implemented from the most recent rules compliance evaluation. Provide:

a. The plan(s) or action(s) implemented; and
b. The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s).

**Measurable Standard No. 14**

*The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.*

13. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.2, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
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 treated consistently with the student body. Consistent with this philosophy, the institution shall demonstrate that:

a. The institution admits all student-athletes as regularly enrolled, degree-seeking students in accordance with the regular, published entrance requirements that apply to all students;

b. 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 lower than that of other student-athlete or comparable student-body groups or subgroups, the contrast shall be analyzed and explained by appropriate institutional authorities.

(2) If the measures of academic performance of student-athletes, as a whole or for any student-athlete subgroup, are lower than that of other student-athlete or comparable student-body groups or subgroups, this disparity shall be analyzed, explained and, if necessary, addressed (through specific plans for improvement) by appropriate institutional authorities.

c. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or conference or Association standards, whichever are higher;

d. Written policies related to scheduling are established in all sports to minimize student-athlete conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of NCAA Constitution 3.2.4.14; and

e. Assessment, evaluation and plans for improvement exist to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution’s special-admission process or, for those institutions without a special-admission process, student-athletes in the lower quartile of the institution’s student academic profile.
Self-Study Items for Operating Principle 2.1

1. Describe the process by which student-athletes are admitted to the 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 in general? Be specific and give careful attention to key decision points (e.g., second-level or subsequent review process, appeals procedure) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the department of athletics plays (if any) in the admissions process for student-athletes.

Measurable Standard No. 1
Student-athletes must be governed by the institutional admissions policies that apply to all students.

Measurable Standard No. 2
Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

2. Describe the process by which students who do not meet the institution’s standard or normal entrance requirements may be admitted, and identify the agencies vested with this responsibility. This should include any second-level or a subsequent review processes or appeals procedure that may be used when students are not automatically admitted because they do not meet the institution’s published entrance requirements.

Measurable Standard No. 2
Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

Measurable Standard No. 3
Academic standards and policies for student-athletes must be consistent with the standards for the student body in general, conference or NCAA standards, whichever are higher.

3. Compare and explain any differences between the percentage of first-year student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item No. 2 and the percentage of first-year students in general (including student-athletes) who were so admitted. Provide these comparative data for the four most recent academic years.

[Note: Use the supplied charts (Special Admissions on Page No. 27 and Special Admissions by Sport Group on Page No. 28) to compile this data.]

4. Compare and explain any differences in the admissions profiles of student-athletes who received athletics aid with the profiles of students in general by submitting the following information for the four most recent academic years: average standardized test scores for first-year student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups) and for all entering first-year students (by gender and by racial or ethnic group).
Measurable Standard No. 4
The institution must analyze and explain any differences between the academic profiles of entering student-athletes, as a whole or for any student-athlete subgroup (i.e., sport, gender, ethnicity, transfers), and the academic profile of other student-athletes and comparable student-body groups or subgroups.

5. Describe the institution’s specific academic support programs (e.g.; Facilitating Learning and Achieving Graduation program (FLAG) to ensure acclimation, academic success and retention of first-year student-athletes with special academic needs and first-year student-athletes admitted through any of the processes described in Self-Study Item No. 2.

Measurable Standard No. 5
The institution must develop specific academic support programs to address the unique needs of student-athletes with entering academic profiles lower than those of the general student body.

6. For the four most recent academic years, assess and evaluate data regarding acclimation, retention and the academic success of student-athletes with special academic needs [as defined by the institution (e.g., at-risk, education-impacting disability)] and those student-athletes admitted through any of the processes described in Self-Study Item No. 2. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

If the institution does not employ a special, or alternate, admissions process, the institution must assess and evaluate acclimation, retention and the academic success of student-athletes in the lowest (i.e., fourth) quartile of the institution’s general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

Measurable Standard No. 6
The institution must assess, evaluate and if necessary, develop plans for improvement to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution’s special admissions process. If an institution does not employ a special admissions process, assessment, evaluation and if necessary, plans for improvement must be completed for student-athletes in the lowest (i.e., fourth) quartile of the institution’s general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution.

7. Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify initial eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of initial eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ initial eligibility.

Measurable Standard No. 7
The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.
8. Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify transfer eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of transfer eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ transfer eligibility.

Measurable Standard No. 7
The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

9. Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify continuing eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of continuing eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ continuing eligibility.

Measurable Standard No. 7
The institution must have written step-by-step policies and procedures for the certification of initial, transfer and continuing eligibility.

Please use the supplied charts on Page Nos. 32-34 to respond to Self-Study Item Nos. 10 and 11.

10. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for student-athletes who received athletics aid and the most recent four-class average Federal Graduation Rate of all students.

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate for student-athletes and the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

Information obtained to complete this chart:


[Please note, reclassifying institutions must analyze the Federal Graduation Rate data even if the data was collected at the time when the institution was not Division I.]

[Note: Use the supplied chart (Federal Graduation Rates Comparison on Page No. 32) to analyze data.]
11. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate for all students, including comparable student-body subgroups (i.e., gender, ethnicity).

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate for all students or comparable student-body subgroup, the institution must develop a plan for improvement to address the issue.

Information obtained to complete this chart:


[Please note, reclassifying institutions must analyze the Federal Graduation Rate data even if the data was collected at the time when the institution was not Division I.]

[Note: Use the supplied charts (Federal Graduation Rates by Sport on Page No. 33 and Federal Graduation Rates by Racial and Ethnic Group on Page No. 34) to analyze data. In addition, please refer to Page No. 58, Appendix A, for an explanation regarding the required analysis.]

12. Describe the department of athletics written policies and procedures related to scheduling competitions and practices to minimize student-athletes’ conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, including how the institution monitors this area.

Measurable Standard No. 10

The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes’ conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
13. Describe the institution’s written missed-class time policies for all students, including any exceptions or differences that exist for student-athletes.

14. Provide supporting data to analyze, explain and address missed class time for the last two years for each sports team.

**Measurable Standard No. 11**

The institution must analyze and explain missed class time for the last two years for each sports team and address, through a plan for improvement, any missed class time that is deemed significant or excessive in nature.

15. Describe the means by which the department of athletics policies and procedures regarding the scheduling of athletics competition and practices (as described in Self-Study Item No. 12) and the institution’s missed-class policies (as described in Self-Study Item No. 13) are directly communicated in writing to student-athletes, department of athletics staff members and appropriate faculty and administrative staff.

**Measurable Standard No. 12**

The institution's established, written policies regarding the scheduling of practices and competition must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to student-athletes, department of athletics staff members and other appropriate faculty and administrative staff (e.g., published in the institution's student-athlete handbook or department of athletics policies and procedures manual, an e-mail with an attachment or link to the posting on the institution's Web site). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

16. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational experience of student-athletes and to ensure 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 either through institutional programming or through student-athlete support services;

d. The support services are evaluated and approved at least once every four years by appropriate academic authorities outside the department of intercollegiate athletics (e.g., faculty members or academic administrators of the institution); and

e. There is a commitment to the fair and equitable treatment of student-athletes, in support of their academic endeavors.
**Self-Study Items for Operating Principle 2.2**

1. Explain how the institution is organized to provide academic support and advising services to student-athletes, either through institutional programming or student-athlete support services. In addition, provide a description reporting lines and responsibilities assigned to specific staff members.

   **Measurable Standard No. 1**
   
   Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.

   **Measurable Standard No. 2**
   
   The institution must demonstrate that its institutional structures and reporting lines for student-athlete academic support services are organized such that academic advising for student-athletes is an integral part of the institution’s educational system.

2. Explain how the institution’s staffing, physical space and financial support for student-athlete academic support services has been reviewed by appropriate institutional academic authorities to ensure they meet the academic needs of student-athletes at the institution (this review must be conducted as part of the self-study process).

   **Measurable Standard No. 3**
   
   The institution must demonstrate that its staffing, physical space and financial support for student-athlete academic support services have been reviewed by appropriate institutional authorities and determined to meet the academic needs of student-athletes at the institution. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

3. Using the program areas for academic support services listed below, describe the following (this program analysis must be conducted as part of the self-study process):

   a. The specific academic support services offered to student-athletes (if any);
   b. Any policies that govern which students can use these services; and
   c. The mechanisms by which student-athletes and staff are made aware of these services;

   If the institution has additional or different academic support services not included in the following list of examples, please add those additional areas using the same analysis.

   (1) Academic counseling/advising: Course selection, class scheduling, priority registration.
   (2) 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.
   (3) Academic progress monitoring and reporting: Individual’s responsibility, frequency, procedures for periodic grade and attendance checks.
   (4) Assistance for special academic needs: Provisions for diagnosis and treatment of education-impacting disabilities (EID).
(5) Assistance for at-risk students: Availability including institution-wide assistance.
(6) Academic support facilities: Availability of study rooms, computers and labs.
(8) Student-athlete degree selection: Degree program assistance.
(9) Learning assessments: Provisions for testing and evaluation (e.g., placement testing).
(10) Success skills: Study skills, note and test taking, writing and grammar skills, time-management skills.
(11) Study hall: Availability, facilities, attendance policies.
(12) First year/transfer orientation: Availability, attendance requirements.
(13) Mentoring: Availability of mentors, identification and assignment methods, and frequency of interaction.
(14) Post-eligibility programs: Availability of scholarships, assistantships and academic support.

**Measurable Standard No. 4**
Information related to all academic support services must be clearly communicated to student-athletes and staff (e.g., through inclusion in the student-athlete handbook, discussion during team meetings, through inclusion in personnel manuals, review during staff orientation).

**Measurable Standard No. 5**
The institution must provide effective support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support services.

**Measurable Standard No. 6**
The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors or academic administrators of the institution). The institution’s faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

4. Please submit an electronic copy of the written report from the most recent academic support services evaluation.
The Measurable Standard No. 7

The comprehensive, written academic support services evaluation must include an evaluation of all services provided to student-athletes. [Note: The list below should provide institutions with a starting point for the evaluation but it is not an exhaustive list. Institutions are required to evaluate all relevant services provided.]

a. Academic counseling/advising resources and services;
b. Tutoring;
c. Academic progress monitoring and reporting;
d. Assistance for special academic needs;
e. Assistance for at-risk students;
f. Academic support facilities;
g. Academic evaluation of prospective student-athletes;
h. Student-athlete degree selection;
i. Learning assessments;
j. Success skills;
k. Study hall;
l. First year/transfer orientation;
m. Mentoring;
n. Post-eligibility programs; and
o. Any other relevant service provided to student-athletes.

The Measurable Standard No. 8

The institution must submit a copy of the written evaluation of the academic support services. Please note that the 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 subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.

5. Identify the academic authorities outside the department of athletics responsible for conducting the institution’s academic support services evaluation and explain the process used in selecting these individuals to ensure they do not have day-to-day responsibilities in the academic support services area. Also, provide the date of the institution’s most recent academic support services evaluation.

Measurable Standard No. 9

The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

6. If the institution used an outside individual or entity (e.g., conference office, peer colleagues) to assist in the coordination or facilitation of the academic support services evaluation, provide the name(s) and affiliation(s) of the individual(s). Further, describe the process used in selecting this authority outside the institution to ensure the individual(s) is knowledgeable of academic support services. Also, provide a description of the authority’s involvement in the academic support services evaluation.

7. Describe the process used by the institution during development of the self-study to review the most recent academic support services evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.
8. Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 7 or actions previously planned or implemented from the most recent academic support services evaluation. Provide:

   a. The plan(s) or action(s) implemented; and

   b. The date(s) of actions taken or specific timetable(s) for completion of the plan(s).

9. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.2, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
Special-Admissions
FOR FIRST-YEAR STUDENTS GENERALLY
AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID*

Operating Principle 2.1, Self-Study Item No. 3

1. Indicate the numerical percentage of entering first-year students who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first and include all first-year students entering the institution during the year.

Column 1. Calculate this percentage by dividing the number of all entering first-year students who were admitted through special exception provisions by the total number of entering first-year students.

2. Indicate the numerical percentage of first-year student-athletes receiving athletics aid* who were admitted through special exception provisions during the four most recent academic years. Include nonqualifiers who were ineligible for aid. List the most recent academic year's data first.

Column 2. Calculate this percentage by dividing the number of entering first-year student-athletes receiving athletics aid* who were admitted through special exception provisions by the total number of entering first-year students.

<table>
<thead>
<tr>
<th>Year</th>
<th>All First-Year Students</th>
<th>All First-Year Student-Athletes on Athletics Aid</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
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</tr>
</tbody>
</table>

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

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: __________________________
Special Admissions by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATLETICS AID BY SPORTS GROUP*

Operating Principle 2.1, Self-Study Item No. 3

1. Indicate the total number of entering first-year student-athletes receiving athletics aid* by sport group who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first.

2. Indicate the total number of entering first-year student-athletes receiving athletics aid*. List the most recent academic year's data first.

<table>
<thead>
<tr>
<th>Academic Year:</th>
<th>All First-Year Student-Athletes</th>
<th>Baseball</th>
<th>Men’s Basketball</th>
<th>Football</th>
<th>Men’s Track / Cross Country</th>
<th>Men’s Other Sports and Mixed Sports</th>
<th>Women’s Basketball</th>
<th>Women’s Track / Cross Country</th>
<th>Women’s Other Sports</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-2021</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2019-2020</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
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<td>2017-2018</td>
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<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

* Institutions that do not award athletics aid should complete this data for first-year student-athletes who were recruited in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athletes.)

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: ___________________________
The document contains a table titled "Test Scores by Gender FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETIC AID*". The table is organized as follows:

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>Male Students</th>
<th>Male Student-Athletes</th>
<th>Female Students</th>
<th>Female Student-Athletes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
</tr>
</tbody>
</table>

* Institutions that do not award athletics aid should compile these data for first-year student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete)

Name of person completing the chart: ___________________________  Title: ___________________________

The text explains the operating principle for calculating and providing average standardized test scores for entering first-year students and first-year student-athletes who received athletics aid (including nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by gender. The report includes scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the conversion chart before calculating the average (mean) test scores. If possible, a similar procedure should be used in converting the scores of first-year students generally.
Calculate and provide the average (mean) standardized test scores for all first-year students and first-year student-athletes who received athletics aid* (include nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by racial or ethnic group. Report all scores as either recalibrated SAT or ACT sum scores. Individual student-athlete scores should be converted using the conversion chart before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of first-year students generally. Otherwise, the average score for first-year students generally may be converted using the conversion chart. List the most recent academic year's data first and include all first-year students entering the institution during the year.

*Institutions that do not award athletics aid should complete this data for first-year student-athletes who were recruited in accordance with NCAA Division I Bylaw 13.02.13.1 ( Recruited prospective student-athletes.)

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: ____________________________
## Test Scores and GPA by Sport

**FOR FIRST-YEAR STUDENT-ATHLETES ON ATLETICS AID**

**Operating Principle 2.1, Self-Study Item No. 4**

Calculate and provide the average (mean) standardized test scores and core-course grade point average for first-year student-athletes who received athletics aid (include nonqualifiers who were ineligible for athletically related aid) during the four 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 conversion chart before the average (mean) test scores are calculated. List the most recent academic year's data first and include all first-year students entering the institution during the year. For student-athletes certified through the early academic certification program beginning August 1, 2008, institutions should base student-athlete core-course GPA on his/her six semester academic transcript [see NCAA Bylaw 14.3.1.1.1]

### Sport Group

<table>
<thead>
<tr>
<th>Academic Year:</th>
<th>Football</th>
<th>Men's Basketball</th>
<th>Baseball</th>
<th>Men's Track/ Cross Country</th>
<th>Men's Other Sports and Mixed Sports</th>
<th>Women's Basketball</th>
<th>Women's Track / Cross Country</th>
<th>Women's Other Sports</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Core GPA</td>
<td>Core GPA</td>
<td># of Students</td>
<td>Core GPA</td>
<td># of Students</td>
<td>Core GPA</td>
<td># of Students</td>
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</tr>
<tr>
<td>Average Core-Course GPA</td>
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<td></td>
</tr>
</tbody>
</table>

### Sport Group

<table>
<thead>
<tr>
<th>Academic Year:</th>
<th>Football</th>
<th>Men's Basketball</th>
<th>Baseball</th>
<th>Men's Track/ Cross Country</th>
<th>Men's Other Sports and Mixed Sports</th>
<th>Women's Basketball</th>
<th>Women's Track / Cross Country</th>
<th>Women's Other Sports</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
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<tr>
<td>Average Standardized Test Score</td>
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<td></td>
</tr>
</tbody>
</table>

Institutions that do not award athletes aid should compile these data for first-year student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete.)

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:
Federal Graduation Rates - Comparison Chart
Operating Principle 2.1, Self-Study Item No. 10

Information obtained to complete this chart

• NCAA Federal Graduation Rates Report
Federal Graduation Rates by Sport
Operating Principle 2.1, Self-Study Item No. 11

Information obtained to complete this chart

- NCAA Federal Graduation Rates Report (Columns 3-6 below)

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Men's Team</strong></td>
<td>Team FGR</td>
<td>All Students FGR</td>
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Federal Graduation Rates by Racial and Ethnic Group
Operating Principle 2.1, Self-Study Item No. 11

Information obtained to complete this chart

- NCAA Federal Graduation Rates Report

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Note: Please refer to Appendix A in the 2015-16 Self-Study Instrument for further clarification.
### Academic Integrity

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Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.1 Gender Issues

It is a principle of the Association to conduct and promote its athletics programs free from gender bias. In accordance with this fundamental principle, the institution shall:

a. 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.

b. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains, or continues progress toward, a program that 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 for Operating Principle 3.1

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1. Explain how the institution is organized to further its efforts related to the gender-issues operating principle for department of athletics staff, coaches and student-athletes.

2. Describe how matters concerning gender equity for department of athletics staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.

3. Describe the programs and activities that the institution has in place for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

Measurable Standard No. 1
The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

4. For the three most recent academic years in which information is available, analyze the institution’s Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement.

[Please note, reclassifying institutions may not have all three previous years of data, since they are only required to be in compliance with Division I legislation for the two years immediately preceding the start of the self-study process. However, all NCAA member institutions are requested to provide the data to the national office, so it is possible that reclassifying institutions have submitted the previous three years of data. At minimum, reclassifying institutions must analyze the previous two years of data in response to the self-study item.]

Measurable Standard No. 2
The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.
5. For the three most recent academic years in which information is available, analyze the institution’s NCAA financial report (specified expense categories). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement. See Appendix H for specified expense categories.

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<th>Measurable Standard No. 2</th>
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<td>The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.</td>
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6. Using the program areas for gender issues provided on Page Nos. 55-56:

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 15 areas;

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution’s narrative response as listed in item (c) above.
Measurable Standard No. 3

The institution must conduct a thorough and written review of each of the 15-program areas for gender issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

The review must:
Describe how the institution has ensured a complete study of each of the 15-program areas for gender issues. This study should be conducted as part of the self-study process. Please note that for the program area of accommodations of interests and abilities, the use of surveys alone does not constitute a complete study. If an institution chooses to use an interest survey (e.g., a Web survey or hard-copy survey) as one of its sources of data, the committee will require an explanation regarding the survey content, populations surveyed, the survey response rate, method used to interpret the data, and written evidence demonstrating the institution’s Title IX coordinator has approved the survey. In addition, the institution must describe other methods of measuring interest and ability.

a. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the areas;
b. Using the data provided in (a) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program. Please note, any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and
c. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 15-program areas, including any deficiencies identified in the institution’s narrative response as listed above.

Measurable Standard No. 4

The institution must develop a five-year written, stand-alone plan addressing gender issues that maintains an institution’s conformity or moves an institution into conformity with the operating principle.

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

7. Using the plan for improvement section, provide an institutional gender-issues plan that addresses all 15 aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee (Appendix B). If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution’s status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution’s gender-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

Measurable Standard No. 5

The institution’s plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution’s gender-issues plan.
8. Describe how the institution will annually compare its gender-issues plan with its EADA reports and NCAA financial reports to determine if the course of action is still appropriate. Further, please provide the names and titles of the individuals who will be responsible for this review.

**Measurable Standard No. 5**

*The institution’s plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution’s gender-issues plan.*

9. Describe the institution’s efforts to ensure the gender-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (i.e., five years) of this plan, including the specific years this plan will be active.

**Measurable Standard No. 6**

*The institution’s gender-issues plan must include the following requirements:*

a. **Include identification of issues or problems confronting the institution.**

b. **Include measurable goals the institution intends to achieve to address issues or problems.**

c. **Include specific steps the institution will take to achieve its goals.**

d. **Include a specific timetable(s) for completing the work.**

e. **Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.**

*Further, the institution’s gender-issues plan must meet the following requirements:*

a. **Be committed to paper and be a stand-alone document.**

b. **Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.**

c. **Must be adopted formally by the institution’s final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.**
Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle - 3.2. Diversity 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. In accordance with this fundamental principle, the institution shall:

a. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of all student-athletes and department of athletics personnel with diverse racial, ethnic and other backgrounds; and

b. Formally adopt a written plan for the future of the intercollegiate athletics program that ensures the institution maintains, or continues progress toward, a program that expands equitable opportunities and support for student-athletes and athletics personnel with diverse racial, ethnic and other backgrounds. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

Please note, that for purposes of the Institutional Performance Program, institutions have discretion to address those areas of diversity that align with the institution’s overall mission and culture. However, institutions are reminded that the Committee on Institutional Performance expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or underrepresented groups include, but are not limited to: race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.
**Self-Study Items for Operating Principle 3.2**

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1. Explain how the institution is organized to further its efforts related to the diversity-issues operating principle for department of athletics staff, coaches and student-athletes.

2. Describe the institution’s written statements (e.g., vision statements, mission statements, diversity statements, policies, plans) that address issues of diversity, including where the statements are published. Describe how the institution’s written statements are communicated directly to department of athletics staff, coaches and student-athletes.

3. Describe how matters concerning diversity issues for department of athletics staff, coaches, and student-athletes are monitored, evaluated and addressed on a continuing basis.

4. Describe the programs and activities the institution has in place for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of the underrepresented groups or individuals of diverse backgrounds.

5. Describe how the institution actively recruits department of athletics staff, coaches and student-athletes from underrepresented groups or diverse backgrounds including a description of actions and strategies taken to increase diversity.

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**Measurable Standard No. 1**

The institution must demonstrate how the institutions’ and department of athletics’ written commitment and expectations related to diversity are communicated directly to department of athletics staff, coaches and student-athletes.

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**Measurable Standard No. 2**

The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of under-represented groups or individuals of diverse backgrounds.

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**Measurable Standard No. 3**

The institution must demonstrate through actions and strategies how it actively recruits department of athletics staff, coaches, and student-athletes from underrepresented groups or diverse backgrounds from those currently represented in athletics.
6. Describe institutional and department of athletics hiring practices to ensure the department of athletics demonstrates a commitment to diversity in hiring procedures for department of athletics staff and coaches. Compare and explain any differences that exist between institutional hiring practices and department of athletics hiring practices. Please provide the date of your most recent assessment and comparison of the institution’s and athletics department’s hiring practices. Note: this assessment and comparison must occur at least once every five years.

**Measurable Standard No. 4**

*The institution must provide evidence that an assessment and comparison of the institutions’ and department of athletics’ hiring practices has occurred at least once every five years.*

7. Describe institutional and department of athletics policies related to the use of outside firms (e.g., search firms) and truncated or expedited hiring processes. Describe the actual hiring practices used by your institution in the last ten years for any positions (e.g., coaches, staff) determined to be high profile at your institution.

**Measurable Standard No. 5**

*The institution must demonstrate a commitment to diversity in all athletics department hiring efforts, including those involving outside firms (e.g., search firms) and truncated or expedited processes.*

8. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for the following:

a. Full-time senior administrative department of athletics staff members (i.e., assistant director of athletics up through the director of athletics level);

b. Other full- and part-time professional (i.e., nonclerical) department of athletics staff members (such as directors of operations, athletic trainers, ticket managers, academic support staff and facility managers, even if the position is not funded by or does not report to the department of athletics);

c. Full- and part-time head coaches;

d. Full- and part-time assistant coaches (including graduate assistant and volunteer coaches);

e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and

f. Other advisory or policy-making group (e.g., governing board subcommittee for athletics, student-athlete advisory committee) members (if any).

[Note: Use the supplied chart (Racial or Ethnic Composition of Personnel on Page No. 47) to compile the data requested in this self-study item.]
9. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for student-athletes who received athletics aid and for all students.

[Note: Use the supplied chart (Racial or Ethnic Composition of all Students on Page No. 48) to compile the data requested in this self-study item.]

10. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the NCAA Federal Graduation Rates Report.

[Note: Use the supplied chart (Racial or Ethnic Composition of Student-Athletes by Sport Group on Page No. 49) to compile the data requested in this self-study item.]

11. Using the program areas for diversity issues provided on Page No. 57:

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

b. Provide data demonstrating the institutions’ status and commitment across each of the four areas;

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution’s narrative response as listed in item (c) above.

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**Measurable Standard No. 6**

The institution must conduct a thorough and written review of each of the four program areas for diversity issues. Please see program area definitions located in the Gender and Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.
Measurable Standard No. 7

The review must:

a. Describe how the institution has ensured a complete study of each of the four program areas for diversity issues. This study should be conducted as part of the self-study process;

Please note that for the program area of assessment, the use of student-athlete exit interviews alone does not constitute a complete assessment for purposes of the self-study. An institution may choose to include student-athlete exit interviews as part of a broader assessment conducted, but the institution must ensure that an assessment of the entire department of athletics has been conducted with respect to diversity issues.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the areas;

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes, coaches, and athletic department staff with diverse racial, ethnic and other backgrounds. Please note, any deficiencies should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the four program areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

Measurable Standard No. 8

The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution’s conformity or moves an institution into conformity with the operating principle.

12. Using the “plan for improvement” section, provide an institutional diversity-issues plan that addresses all four aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee (see Appendix B). If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution’s status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution’s diversity-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

13. Describe how the institution will periodically compare its diversity-issues plan with its assessment of the campus diversity climate (see Program Area No. 1) using the four diversity program areas to determine if the course of action is still appropriate. Further, provide the names and titles of the individuals who will be responsible for this review.
Measurable Standard No. 9
The institution’s plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis to determine if the course of action is still appropriate. This information must be included in the institution’s diversity-issues plan.

Measurable Standard No. 10
The institution must compare its diversity-issues plan with its written assessment of the campus diversity climate (see Program Area No. 1) at least once every four years, to determine if the course of action is still appropriate.

14. Describe the institution’s efforts to ensure the diversity-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.

Measurable Standard No. 11
The institution’s diversity-issues plan must include the following requirements:

a. Include identification of issues or problems confronting the institution.
b. Include the measurable goals the institution intends to achieve to address issues or problems.
c. Include the specific steps the institution will take to achieve its goals.
d. Include a specific timetable(s) for completing the work.
e. Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, the institution’s diversity-issues plan must meet the following requirements:

a. Be committed to paper and be a stand-alone document.
b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.
c. Must be adopted formally by the institution’s final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.
## Racial or Ethnic Composition of Personnel - New Race/Ethnicity Categories Chart (IPEDS)
### Operating Principle 3.2, Self-Study Item No. 8

Indicate the number* of individuals in each racial or ethnic group 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).

---

<table>
<thead>
<tr>
<th>Racial and Ethnic Group</th>
<th>American Indian/Alaskan Native</th>
<th>Asian</th>
<th>Native Hawaiian/Pacific Islander</th>
<th>Black/African American</th>
<th>Hispanic/Latino</th>
<th>White/Non-Hispanic</th>
<th>Non-Resident Alien</th>
<th>Two or More Races</th>
<th>Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Senior Administrative Athletics Dept. Staff</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Professional Athletics Dept. Staff</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Head Coaches</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant Coaches</td>
<td>P</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Totals (for Athletics Dept. Personnel)</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty-Based Athletics Board or Committee Members</td>
<td>F</td>
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<tr>
<td>Other Advisory or Policy-Making Group Members</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

*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 the chart:  
Title:  

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46
Racial or Ethnic Composition of all Students - New Race/Ethnicity Categories Chart (IPEDS)
STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID*
Operating Principle 3.2, Self-Study Item No. 9

Indicate the number of students generally (including 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.

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>American Indian/Alaskan Native</th>
<th>Asian</th>
<th>Native Hawaiian/Pacific Islander</th>
<th>Black/African American</th>
<th>Hispanic/Latino</th>
<th>White/Non-Hispanic</th>
<th>Non-Resident Alien</th>
<th>Two or More Races</th>
<th>Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Students</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Student-Athletes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*IInstitutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

Name of person completing the chart: [ ]
Title: [ ]
## Racial or Ethnic Composition of Student-Athletes by Sport Group - New Race/Ethnicity Categories Chart (IPEDS)

### Operating Principle 3.2, Self-Study Item No. 10

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 listed below for the three most recent academic years. List the most recent academic year's data first.

| Sports** Year | Racial or Ethnic Group | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 |
| Baseball      | American Indian/Alaskan Native |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Men's Basketball | Asian |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Football      | Native Hawaiian/Pacific Islander |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Men's Track/Cross Country | Black/African American |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Men's Other Sports and Mixed Sports | Hispanic/Latino |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Women's Basketball | White/Non-Hispanic |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Women's Track/Cross Country | Non-Resident Alien |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Women's Other Sports | Two or More Races |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Total         | Unknown |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

**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 the chart: __________________________ Title: __________________________
Operating Principle 3.3 Student-Athlete Well-Being

Conducting the intercollegiate athletics program in a manner designed to protect and enhance the physical and educational well-being of student-athletes is a basic principle of the Association.

Consistent with this fundamental principle, the institution shall:

a. Provide evidence that the well-being 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 and inclusive environment for each of its student-athletes.
Self-Study Items for Operating Principle 3.3

1. Please submit an electronic copy of the student-athlete exit-interview instrument with the submission of your self-study report.

<table>
<thead>
<tr>
<th>Measurable Standard No. 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>The institution’s instrument used to conduct student-athlete exit interviews must contain questions related to the following: (Note: Institutions should note the list of examples below is not an exhaustive list and institutions are not limited to addressing only those provided.)</td>
</tr>
</tbody>
</table>

- a. The institution’s commitment to the academic success of its student-athletes (e.g., academic support services available, priority registration for classes, coaches’ support).
- b. The institution’s commitment to opportunities for student-athletes to integrate into campus life.
- c. The institution’s efforts to measure the extent of time demands encountered by student-athletes.
- d. The institution’s efforts to measure the effectiveness of the institution’s mechanisms to monitor time demands of its student-athletes (e.g., travel commitments, missed class time, final exam schedules, and summer vacation periods).
- e. The institution’s efforts to measure the effectiveness of the institution’s NCAA Division I Student-Athlete Advisory Committee (SAAC).
- f. The institution’s commitment to informing student-athletes about the NCAA Special Assistance Fund and NCAA Student-Athlete Opportunity Fund.
- g. The institution’s efforts to measure the effectiveness of the institution’s mechanisms (e.g., annual surveys, exit-interview process) to monitor the well-being of its student-athletes.
- h. The institution’s commitment to the physical, psychological and emotional health (e.g., athletic training, nutrition, counseling) of student-athletes.
- i. The institution’s commitment to the safety (e.g., travel policies, emergency medical plans) of student-athletes.
- j. The institution’s commitment to a safe and inclusive environment for all student-athletes.
- k. The institution’s commitment to diversity.
- l. The value of student-athletes’ athletics experience.
- m. The opportunity for student-athletes to suggest proposed changes in intercollegiate athletics.
- n. The opportunity for student-athletes to express concerns related to the administration of the sport(s) in which student-athletes participate.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

2. Describe the methods used to conduct student-athlete exit interviews. Further, describe the process used to evaluate and implement outcomes.

<table>
<thead>
<tr>
<th>Measurable Standard No. 2</th>
</tr>
</thead>
</table>
| The institution must demonstrate that it conducts exit interviews via in-person meetings and/or conference calls in each sport with a sample of student-athletes (as determined by the institution) whose eligibility has expired in accordance with NCAA Constitution 6.3.2. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

3. Describe opportunities other than the student-athlete exit-interview process that are available to student-athletes to provide input regarding student-athlete well-being issues (e.g., student-athlete advisory committee; open-door policy of athletics administrators, including the director of athletics, senior woman administrator, and/or faculty athletics representative).
4. Describe the department of athletics written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e., financial aid and transfers). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

Measurable Standard No. 3

The institution must have established written grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.3] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Measurable Standard No. 4

The institution must demonstrate that grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.4] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]) are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

5. Describe the institution’s written grievance and/or appeals procedures available to student-athletes in other areas (e.g., harassment, hazing, abusive behavior, discrimination). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

Measurable Standard No. 5

The institution must have established written grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Measurable Standard No. 6

The institution must demonstrate that all grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior) are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

6. 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.

7. Describe the policies, organization and structure of the department of athletics and how it enhances student-athlete well-being. Further, describe the commitment of the institution to enhance the overall student-athlete educational experience including how issues are monitored, evaluated and addressed on a continuing basis.
8. Describe how student-athletes are involved in the governance and decision-making processes of the department of athletics, including the role of the student-athlete advisory committee (SAAC).

Measurable Standard No. 7
The institution must demonstrate that it has an active SAAC pursuant to Constitution 6.1.4. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

9. List the department of athletics and/or other institutional programs in place that address the needs and issues affecting student-athletes (e.g., Life Skills program and/or programming involving career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Further, describe the policies and procedures in place to encourage and ensure student-athletes’ access to these programs.

Measurable Standard No. 8
The institution must demonstrate that it has an active Life Skills program (or an equivalent program) pursuant to NCAA legislation with programming to address nonacademic areas (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

10. Describe how the department of athletics monitors student-athlete time demands, including travel commitments, missed class time, final exam schedules, summer vacation periods and intercession periods. Further, describe methods used to educate coaches and student-athletes about time demands and opportunities to integrate into campus life.

11. Please submit an electronic copy of the department of athletics and/or institution’s written travel policies to ensure the safety and well-being of student-athletes with the submission of your self-study report (e.g., road travel; air travel, including charter policies; driver selection; training; privately owned vehicles).

12. Describe the annual evaluation of the department of athletics and/or institution’s travel policies to ensure these policies are effective. Further, describe how the travel policies are directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.
Measurable Standard No. 9

The institution must have written travel policies that are annually evaluated for their effectiveness in protecting the health and providing a safe environment for student-athletes. Further, the administrator(s) responsible for annually evaluating travel policies must be identified and travel policies must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

13. Please submit an electronic copy of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions with the submission of your self-study report.

14. Describe the annual evaluation of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

Measurable Standard No. 10

The institution must have a written emergency medical plan for practices, contests, strength training and skills sessions. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

15. Please submit an electronic copy of the department of athletics written emergency medical plan for out-of-season workouts with the submission of your self-study report.

16. Describe the annual evaluation of the department of athletics written emergency medical plan for out-of-season workouts to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for out-of-season workouts is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

Measurable Standard No. 11

The institution must have a written emergency medical plan for out-of-season workouts. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

17. Please submit an electronic copy of the athletics department’s athletic training and sports medicine policies and procedures with the submission of your self-study report.
18. Describe the annual evaluation of the department of athletics written athletic training and sports medicine policies and procedures. Further, describe how the department of athletics athletic training and sports medicine policies and procedures is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in these areas.

**Measurable Standard No. 12**

*The institution must have written athletic training and sports medicine policies that are reviewed annually. Further, the administrator(s) responsible for annually evaluating athletic training and sports medicine policies must be identified and the athletic training and sports medicine policies must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletics department staff members, including coaches, and student-athletes.*

19. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 3.3, describe the institution’s efforts to ensure the plan(s) has received formal institutional approval.
## Program Areas to be Reviewed for Gender Issues

<table>
<thead>
<tr>
<th>PROGRAM AREA</th>
<th>PROGRAM AREA DESCRIPTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Accommodation of interests and abilities.</td>
<td>Participation proportionate to enrollment; and/or history and continuing practice of program expansion for the under-represented gender within the athletics program; and/or fully and effectively accommodating the under-represented gender within the athletics program; and equivalent levels of competition. Institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities when presenting gender-issues plans for the future.</td>
</tr>
<tr>
<td>2. Athletics scholarships.</td>
<td>Athletics scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.</td>
</tr>
<tr>
<td>3. Equipment and supplies.</td>
<td>Quality, amount, suitability, maintenance and replacement and availability of equipment and supplies.</td>
</tr>
<tr>
<td>4. Scheduling of contests and practice time.</td>
<td>Number of contests; number, length, and time of day of practices; time of day of contests; preseason and postseason opportunities, including foreign tours.</td>
</tr>
<tr>
<td>5. Travel allowance.</td>
<td>Modes of transportation, housing furnished during travel, length of stay before and after competitive events, dining arrangements and per diem for institutional competition and other competitive opportunities (e.g., under NCAA Division I Bylaw 16.8.1.1).</td>
</tr>
<tr>
<td>6. Academic support services.</td>
<td>Availability of, and equitable access to, academic support services that meet the needs of student-athletes based on individual student-athlete academic profiles and/or performance, and equitable criteria for obtaining assistance.</td>
</tr>
<tr>
<td>7. Coaches.</td>
<td>Availability of full time, part time, assistant and graduate assistants. Training, experience, professional standing, and other professional qualifications. Total rate of compensation package, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions, and other terms and conditions of employment.</td>
</tr>
<tr>
<td>PROGRAM AREA</td>
<td>PROGRAM AREA DESCRIPTIONS</td>
</tr>
<tr>
<td>--------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>8. Locker rooms, practice and competitive facilities.</td>
<td>Quality, availability and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.</td>
</tr>
<tr>
<td>9. Medical and training facilities and services.</td>
<td>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; provision of medical and training expenses.</td>
</tr>
<tr>
<td>10. Housing, dining facilities and services.</td>
<td>Housing provided; special services as part of housing; dining arrangements.</td>
</tr>
<tr>
<td>11. Publicity and awards.</td>
<td>Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices; availability and quality of institutional awards; opportunity for application and/or nomination for other outside awards (e.g., NCAA, national or conference awards).</td>
</tr>
<tr>
<td>12. Support services.</td>
<td>Administrative, secretarial, clerical support and office space.</td>
</tr>
<tr>
<td>13. Recruitment of Student-Athletes.</td>
<td>Equitable opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective student-athletes.</td>
</tr>
<tr>
<td>14. Retention</td>
<td>Programs and services to address retention of staff, coaches and student-athletes from the under-represented gender within the athletics program; review of retention and promotion of staff and coaches from the under-represented gender within the athletics program, including professional development opportunities (e.g., mentoring programs), rate of compensation, duration of contracts, conditions relating to contract renewal; programs and services to address retention of student-athletes who are members of the under-represented gender within the athletics program.</td>
</tr>
<tr>
<td>15. Participation in governance and decision making.</td>
<td>Involvement of department of athletics staff, coaches and student-athletes from the under-represented gender within the athletics program in the governance and decision-making processes of the athletics department; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and department of athletics staff and coaches (e.g., participation at the conference and/or national level).</td>
</tr>
</tbody>
</table>
Program Areas to be Reviewed for Diversity Issues

For purposes of the Institutional Performance Program, institutions have discretion to address those areas of diversity that align with the institution’s overall mission and culture. However, institutions are reminded the NCAA Division I Committee on Institutional Performance expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or under-represented groups include, but are not limited to, race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.

<table>
<thead>
<tr>
<th>PROGRAM AREA</th>
<th>PROGRAM AREA DESCRIPTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Assessment.</td>
<td>Assessment of department of athletics activities to evaluate consistency with objectives set forth in the institutions’ and department of athletics’ written diversity statements; assessment of campus diversity climate through evaluation of various campus constituencies using the four diversity program areas.</td>
</tr>
<tr>
<td>2. Retention.</td>
<td>Programs and services to address retention and acclimation of diverse staff, coaches and student-athletes; review of retention and promotion of staff and coaches who are members of under-represented groups, including professional development opportunities (e.g., mentoring programs), compensation, duration of contracts, conditions relating to contract renewal.</td>
</tr>
<tr>
<td>3. Partnerships.</td>
<td>Collaboration and integration between department of athletics and other institutional units or external organizations to enhance diversity efforts in programs, activities and services.</td>
</tr>
<tr>
<td>4. Participation in governance and decision making.</td>
<td>Involvement of department of athletics staff, coaches and student-athletes from under-represented groups or diverse backgrounds in the governance and decision-making processes of the department of athletics; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and department of athletics staff and coaches (e.g., participation at the conference and/or national level).</td>
</tr>
</tbody>
</table>
Required FGR Comparisons

1. Team FGR
2. All SAs
3. All SAs of same gender
4. All students
5. All students of same gender
6. All students of same racial/ethnic group

Note: Please refer to Appendix A in the 2014-15 Self-Study Instrument for further clarification.
Appendix B

Requirements for Institutional Plans for Improvement

In an effort to provide more specific direction to institutions and peer-review teams, the following information outlines the expectations of the NCAA Division I Committee on Institutional Performance regarding all institutional plans for improvement. Institutional plans for improvement are required when an institution is not in conformity with a specific operating principle.

Additionally, plans for improvement are required for the gender-issues and diversity-issues operating principles. Written institutional plans communicate an institution’s current commitment, provide benchmarks to assess progress and also serve as records that ensure institutions’ continued commitments.

Required Elements of the Plans

Institutional plans must include the following requirements:

1. **Issues/Problems.** Each plan must include identification of issues or problems confronting the institution.

2. **Measurable Goals.** Each plan must include the measurable goals the institution intends to achieve to address issues or deficiencies.

3. **Steps to Achieve the Goals.** Each plan must include the specific steps the institution will take to achieve its goals.

4. **Specific Timetable(s).** Each plan must include a specific timetable(s) for completing the work.

5. **Individuals/Offices Responsible for Carrying out the Specific Actions.** Each plan must identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, institutional plans for improvement must meet the following requirements:

1. **Stand Alone and in Writing.** Each plan shall be committed to paper and be a stand-alone document.

2. **Broad-Based Campus Participation.** Each plan shall be developed with opportunities for significant input from appropriate constituent groups inside and outside of athletics.

3. **Institutional Approval.** Each plan must be adopted formally by the institution’s final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution. If funding is needed for a
plan element, approval of the plan by the appropriate institutional authority signifies the institution’s commitment to fund the plan.

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**Sample Formats for Plans**

A sample format for plans for improvement can be found in the Institutional Performance Program Self-Study Instrument. The sample plan is intended to serve as an example of plans containing all required elements and is laid out in an easy-to-read manner. The sample is provided only as an illustration of a plan containing the required elements, as is required by the Committee on Institutional Performance. As an institution develops its plans, it should ensure that it addresses the situations and issues unique to the institution.

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**Additional Consideration for Gender-Issues and Diversity-Issues Plans**

The committee reminds the institution that plans for improvement must extend at least five years into the future and be active at all times. Please note that all institutional plans for improvement must contain all eight of the committee’s required elements.

In addition, the committee takes the position that an institution-wide plan for addressing diversity issues may serve as the basic framework for addressing diversity opportunities in the athletics program. However, the institution must amend the institution-wide affirmative action plan to include specific references to intercollegiate athletics.

An institution-wide affirmative action plan is acceptable for meeting the requirements of Operating Principle 3.2 (Diversity Issues) only if it:

1. Specifically references, in the plan or in a separate document, the intercollegiate athletics program.

2. Addresses diversity opportunities and needs for student-athletes and department of athletics personnel.

3. Satisfies the committee’s minimum expectations for a plan. (See Required Elements of the Plans on the previous page.)
## Sample Rules Compliance Plan

<table>
<thead>
<tr>
<th>Issue(s)</th>
<th>Measurable Goal</th>
<th>Steps to Achieve Goal</th>
<th>Individuals Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>The compliance office does not provide rules education to boosters on a regular basis.</td>
<td>Provide rules education to boosters on annual basis (at minimum).</td>
<td>Written rules education materials will be provided with season-ticket distribution.</td>
<td>Compliance director, ticket manager and associate athletics director for development.</td>
<td>Brochures distributed May 1, 2014.</td>
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<td></td>
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<td>Webpage on department of athletics website will be created specifically for boosters.</td>
<td></td>
<td>Information posted on web page May 1, 2014.</td>
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<td></td>
<td></td>
<td>Compliance director will present rules education to all of the institution’s booster groups on an annual basis during a regular scheduled meeting or event.</td>
<td></td>
<td>Rules education presented August 1, 2014 and ongoing thereafter.</td>
</tr>
</tbody>
</table>
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.
## Sample Gender-Issues Plan (2012-2017)

<table>
<thead>
<tr>
<th>Program Area</th>
<th>Issue(s)</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goal</th>
<th>Individuals Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
</table>
| 1. Accommodation of Interests and Abilities       | Participation ratio is not proportional for women's athletics teams vs. men's athletics teams. | Increase the ratio of participation on women's teams between two to five percent. | Add additional roster spots for women's teams. Manage rosters of following sports:  
   - 90 on football (down from 105)  
   - 25 on men's ice hockey (down from 30)  
   - 30 on men's track and field (down from 40).  
   Implementation of new sport will begin in 2013-14 with hiring of head coach and assistant coaches.  
   - $20,000 dollars will be allocated for recruiting during 2013-14.  
   - Team will commence competition in 2014-15. | Director of Athletics; Senior Associate Director of Athletics; and Coaches. Athletics Council; Director of Athletics; and the Chancellor. | Five-year plan (2012-17). Annually monitor participation numbers on men's and women's team. Set roster-size goals on an annual basis. Athletics Council's review of proposals for interests and abilities completed in 2012-13. Perform survey biannually to research if accommodations for interests and abilities met. |
| 2. Athletics Scholarships                        | Women’s sports teams are deficient in the number of scholarships annually awarded by the athletics department when compared to men’s program. | Increase athletics scholarships for women’s sports by an additional 14.5 full grants-in-aid over the next five years. | Proposed scholarship increases will be funded through endowment sources. The annual “Women’s Walk for Scholarships” will secure additional funds for the increase in scholarships.  
   - Four scholarships to softball;  
   - Five scholarships to women’s track and field;  
   - Three scholarships to women’s soccer; and  
   - Two and one-half scholarships to women’s water polo. | Vice President of University Advancement; and Director of Athletics Development. | Scholarships divided up equally over four sports (softball, women’s track and field, women’s soccer and women’s water polo) each year.  
   2015-16: One and one-half grants-in-aid.  
   2016-17: Three and one-half grants-in-aid. |
<table>
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<tbody>
<tr>
<td>3. Equipment and Supplies</td>
<td>Apparel is superior for men's sports vs. women's sports.</td>
<td>Provide comparable quality apparel to men's soccer, women's golf and women's gymnastics to reflect similar conference sports (men's soccer, men's golf and men's gymnastics).</td>
<td>Purchase new apparel for women's soccer, women's golf and women's gymnastics for 2012-13 and order and upgrade uniforms as needed. Biannual review of uniform quality for all sports.</td>
<td>Associate Director of Athletics with sport oversight responsibilities in cooperation with the equipment manager and budget manager.</td>
<td>2012-13 with biannual review thereafter.</td>
</tr>
<tr>
<td>Equipment and Supplies</td>
<td>Equipment is not equitable for comparable women's sports in ice hockey.</td>
<td>Provide comparable quality equipment to the women's ice hockey team to reflect men's ice hockey team equipment.</td>
<td>Purchase new ice hockey sticks for the women's ice hockey team. The athletics department will continue to monitor the amount of equipment, quality of equipment and apparel and the quality of management over those areas.</td>
<td>Senior Associate Director of Athletics.</td>
<td>2012-13 and monitoring will continue each year thereafter.</td>
</tr>
<tr>
<td>4. Scheduling of Contests and Practice Times</td>
<td>No issues identified within program area evaluation. Maintenance plan included.</td>
<td>Provide equivalent opportunities for men's and women's teams in all aspects of competition and practice times including: number of contests, practice opportunities and time of day for each and preseason and postseason competition.</td>
<td>Practice: Adjust the men's and women's soccer practice time by one-half hour to allow for the equivalent amount of practice time for each team. Request practice schedules to be developed and submitted by all coaches in accordance with established policies to facilitate review by the facilities director as well as the head athletics trainer. Adjust as determined by annual review.</td>
<td>Director of Athletics; Head Coaches; Facilities Director; and Head Athletics Trainer.</td>
<td>Fall 2012 and ongoing each year subsequent.</td>
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<td>5. Travel Allowance</td>
<td>No issues identified within program area evaluation. Maintenance plan included.</td>
<td>Provide equitable modes of transportation and housing during travel, length of stay before and after competitions, dining and per diem allowances.</td>
<td>Assign to the Equity, Well-Being and Sportsmanship Committee the responsibility of annually reviewing and modifying as needed the written policies, procedures and criteria for travel arrangements and per diem allowances.</td>
<td>Equity, Well-Being and Sportsmanship Committee; Director of Athletics; Senior Woman Administrator; and Athletics Business Manager.</td>
<td>Beginning in 2012 and ongoing thereafter.</td>
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<tr>
<td>6. Academic Support Services</td>
<td>Lack of academic support services for women's track and field and women's volleyball.</td>
<td>Hire two new graduate assistants to work in the academic support services department of the athletics department. The two new academic counselors will assist the sports of women's track and field and women's volleyball.</td>
<td>2012-13 raise funds necessary for two new academic counselor positions and director of academic services. 2013-14 hire all three positions and begin reassignments within academic support services.</td>
<td>Senior Associate Director of Athletics for Internal Affairs.</td>
<td>Beginning in 2012 and reviewed annually thereafter.</td>
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<tr>
<td>Program Area</td>
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<td>7. Coaches</td>
<td>Salaries are deficient in women's golf.</td>
<td>Increase assistant women's golf coaches' salaries to align with comparable salaries for men's golf.</td>
<td>Prepare appropriate forms for processing/implementation at salary adjustment for specific coaches.</td>
<td>Director of Athletics and Human Resources Office.</td>
<td>June 2013.</td>
</tr>
<tr>
<td>8. Locker Rooms, Practice and Competitive Facilities</td>
<td>Lockers are deficient for women's tennis.</td>
<td>Build new lockers for women's tennis team in locker room.</td>
<td>Details are included in the master plan for facilities renovation from 2011-14.</td>
<td>Athletics Director; and Assistant Athletics Director for Facilities and Operations.</td>
<td>2013-14.</td>
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<tr>
<td>Program Area</td>
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<tr>
<td>9. Medical and Training Facilities and Services</td>
<td>No issues identified within medical services.</td>
<td>Continue to provide high-quality services to all students, taking particular care that students have full access to gender-specific medical services.</td>
<td>Hire a trainer who has experience in dealing with women student-athletes.</td>
<td>Director of Athletics; and Head Athletics Trainer.</td>
<td>Hire the trainer by June 2012.</td>
</tr>
<tr>
<td>Medical and Training Facilities and Services</td>
<td>Strength and conditioning programs in all sports need to be comparable. Currently, more attention is paid to revenue-producing sports.</td>
<td>Provide consistent athletics strength training for all sport programs, regardless of gender.</td>
<td>1. Assignments for strength coaches for male and female sports will be monitored for workload equivalence. 2. Hire strength coaches with equal experience to that of men's football and basketball for women's volleyball and soccer. 3. Salaries of strength coaches for male and female sports will be equal starting in 2012-13.</td>
<td>Director of Strength and Conditioning. Monitoring will be performed by Director of Health and Physical Education.</td>
<td>Beginning in June 2013 and ongoing thereafter.</td>
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<tr>
<td>Program Area</td>
<td>Issue(s)</td>
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<tr>
<td>10. Housing, Dining, Facilities and Services</td>
<td>No issues identified within program area evaluation. Maintenance plan included.</td>
<td>Provide equivalent housing and dining facilities for all student-athletes receiving scholarships by 2013-14.</td>
<td>Continue to monitor housing and dining options for student-athletes on scholarship. Director of University Housing will conduct a survey to determine needs for all student-athletes on scholarship during the fall 2012 to determine needs of all scholarship student-athletes. Adjust as determined by annual review.</td>
<td>Associate Director of Athletics/Senior Woman Administrator; Athletics Budget Director; Head Athletic Trainer; and Director of Athletics. Monitoring performed by Vice-Chancellor of Student Affairs; and Director of University Housing.</td>
<td>Beginning in fall 2012 and ongoing thereafter.</td>
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<tr>
<td>Program Area</td>
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<tr>
<td>11. Publicity and awards</td>
<td>All aspects of publicity need to be enhanced for women's sport teams.</td>
<td>Enhance marketing of women's sports in regional area to equal efforts of marketing for men's sports.</td>
<td>Launch live Internet coverage for volleyball, women's soccer and softball.</td>
<td>Associate Director of Athletics/Senior Woman Administrator; and Sports Information Director.</td>
<td>Beginning in Fall 2012 for volleyball and women's soccer. Start spring 2011 for softball.</td>
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<td>Increase coaches' television show opportunities for women's teams by converting the baseball coaches show into a shared show with softball.</td>
<td>Associate Athletics Director/Senior Woman Administrator; Sports Information Director; and Baseball and Softball coaches.</td>
<td>Beginning in spring 2013.</td>
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<td>Recognize women's teams for winning conference titles during men's basketball or men's football home games.</td>
<td>Senior Associate Director of Athletics.</td>
<td>Fall 2012 and ongoing thereafter.</td>
</tr>
<tr>
<td>Program Area</td>
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<tr>
<td>12. Support Services</td>
<td>More staff support needed in women's soccer, softball and women's volleyball.</td>
<td>Provide equitable support services for men's and women's sports and continue to monitor the quality of these support services annually.</td>
<td>Assign one additional support staff in women's soccer, softball and volleyball, respectively.</td>
<td>Director of Athletics; and Director of Organizational Effectiveness, Office of Human Resources.</td>
<td>Additional support staff will be hired over the next two academic years (2012-13).</td>
</tr>
</tbody>
</table>
| Support Services | Senior administrative oversight and support of women’s sports teams are currently deficient. | Provided equitable support services for men’s and women’s sports and continue to monitor the quality of these support services annually. | 1. Assign senior athletics department personnel to be in attendance at all women’s sports home contests.  
2. Monitoring function will be performed by Gender-Equity Subcommittee. | Director of Athletics; and Associate Athletics Directors with sport oversight responsibilities. | Senior athletics department personnel will be in attendance at all 2012-13 contests and thereafter. |
<p>| Support Services | | | Monitoring will be performed by the Director of Organizational Effectiveness in the Office of Human Resources. | Monitoring component will begin spring 2013 and annually thereafter. |</p>
<table>
<thead>
<tr>
<th>Elements</th>
<th>Steps to Achieve Goal</th>
<th>Individuals Responsible for Implementation</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Program Area</td>
<td>Issue(s)</td>
<td>Measurable Goals</td>
<td>1. Continue to monitor the opportunities of coaches and other personnel to recruit.</td>
</tr>
<tr>
<td>13. Recruitment of Student-Athletes</td>
<td>No issue identified within program area evaluation. Maintenance plan included.</td>
<td>Continue to provide equal opportunities to recruit student-athletes among men's and women's sports.</td>
<td>2. Continue to monitor whether financial and other recruiting resources are adequate for men's and women's programs.</td>
</tr>
<tr>
<td>14. Retention</td>
<td>Retention level amongst females is 20 percent below the general female student body retention level.</td>
<td>Increase retention of members of female student-athletes.</td>
<td>1. Conduct exit interviews with departing students to ascertain reasons for departure.</td>
</tr>
<tr>
<td>Program Area</td>
<td>Issue(s)</td>
<td>Measurable Goals</td>
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</tbody>
</table>
| 15. Participation in governance and decision making | Student-athletes are not aware of leadership opportunities within the athletics department. | Maintain priority on selecting gender diverse representation on the Student-Athlete Advisory Committee (SAAC). | 1. Target male and female student-athletes on each team to generate interest in serving on SAAC.  
2. Implement recruitment of new SAAC members’ initiative with current SAAC members. | Senior Associate Athletics Director for Student Development and Well-Being. | Beginning in fall 2012 and ongoing thereafter. |
| Evaluation of Plan                               | No formal procedure in place to annually review gender-issues plan.       | Create a procedure to annually review gender-issues plan including a comparison with EADA report and NCAA financial report. | 1. Create an athletic gender equity committee that includes athletics and institutional personnel and establish a quarterly meeting schedule.  
2. Implement a timeline for athletic gender equity committee to conduct an annual review of gender-issues plan, including a comparison of plan with EADA report and NCAA financial report to determine if stated goals in plan are still appropriate.  
3. Modify plan as necessary if deficiencies are identified during annual reviews. | Athletic Gender Equity Committee.  
Director of Athletics.  
Senior Woman Administrator.  
Title IX Officer. | Beginning in fall 2013 and ongoing annually thereafter. |
Sample Plan Format- Diversity 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.

<table>
<thead>
<tr>
<th>Program Area</th>
<th>Elements Issue(s)</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goal</th>
<th>Steps</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
</table>
| 1. Assessment | Athletics department does not collect or review data related to monitoring the department's commitment to diversity. | Monitor the athletics department activities and commitments to diversity. | 1. Include written goals and objectives related to the commitment to diversity as part of the executive staff’s strategic planning process and distribute them.  
2. The executive staff member assigned to diversity will be responsible for collecting data designed to assess progress toward achieving the athletics department's written goals and objectives that support the department's commitment to diversity.  
3. Data will be collected concerning diversity issues from an annual student-athlete survey and exit interviews and reviewed by senior staff and the athletics council annually.  
4. Demographic data on student-athletes/staff/coaches to reviewed by senior staff the athletic council annually. | Associate Athletics Director for Academics (executive staff); and Minority/Equity Council. | Fall 2014 and ongoing each year subsequent. |
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2. Retention</td>
<td>Athletics department retention programs do not work in conjunction with the institution’s programs for all students.</td>
<td>1. Increase retention of minority student-athletes.</td>
<td>1. Require head coaches to provide info at institution’s diversity office in recruiting process.</td>
<td>Program administrators (Director; Associate Director, Programs and Facilities and Assistant Director, Compliance and Operation).</td>
<td>Fall 2014 and ongoing each year subsequent.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Enhance retention programs for student-athletes by working with institution’s diversity office.</td>
<td>2. Meet quarterly with diversity office to review progress.</td>
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<td>3. Incorporate institution-wide programs and athletic department programs to enhance programs and services to student-athletes.</td>
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<td>4. Evaluate retention data annually to determine if adjustments should be made.</td>
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<tr>
<td>3. Partnerships</td>
<td>Lack of communication between athletics department and career services office.</td>
<td>Develop and implement programs related to career services for minority student-athletes in conjunction with campus career services office.</td>
<td>Assistant AD for student-athlete services will meet on a quarterly basis with the director of career services.</td>
<td>Athletics Director; Assistant AD for student-athlete services; director of career services</td>
<td>Spring 2015 and once per semester thereafter.</td>
</tr>
<tr>
<td>Program Area</td>
<td>Issue(s)</td>
<td>Measurable Goals</td>
<td>Steps to Achieve Goal</td>
<td>Individuals Responsible for Implementation</td>
<td>Specific Timetable for Completing the Work</td>
</tr>
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</tr>
</tbody>
</table>
| 4. Participation in Governance and Decision Making | Minority student-athletes not aware of leadership opportunities within the athletics department. | Maintain priority on selecting diverse representation on the Student-Athlete Advisory Committee (SAAC). | 1. Target minority student-athletes on each team to generate interest in serving on SAAC.  
2. Involve minority coaches and staff on search committees for new coaches.  
3. Encourage minority staff and coaches to be involved with campus-wide activities and events. | Associate Athletics Director for Student-athlete services.  . | Beginning in fall 2014 and ongoing thereafter. |
| Participation in governance and decision making   | Lack of leadership opportunities for minority coaches and staff.           | Increase involvement of minority coaches and staff in decision making and governance. | 1. Target minority student-athletes on each team to generate interest in serving on SAAC.  
2. Involve minority coaches and staff on search committees for new coaches.  
3. Encourage minority staff and coaches to be involved with campus-wide activities and events. | Associate athletics director for student-athlete services | Beginning in fall 2014 and ongoing thereafter. |
<table>
<thead>
<tr>
<th>Program Area</th>
<th>Issue(s)</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goal</th>
<th>Individuals Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation of Plan</td>
<td>No formal procedure in place to annually review diversity-issues plan.</td>
<td>1. Create a procedure to annually review diversity-issues plan.</td>
<td>1. Create an athletic diversity issues committee that includes athletics and institutional personnel. 2. Implement a timeline for athletic diversity issues committee to conduct an annual review of gender-equity plan to determine if stated goals in plan are still appropriate. 3. Implement a timeline for athletic diversity issues committee to biannually compare diversity-issues plan with written assessment of campus diversity climate including the ten diversity program areas to determine if stated goals in plan are still appropriate. 3. Modify plan as necessary if deficiencies are identified during annual and biannual reviews.</td>
<td>Athletic Gender Equity Committee. Director of Athletics. Senior Woman Administrator. EEO Officer.</td>
<td>Beginning in fall 2015 and ongoing annually thereafter. Beginning in fall 2016 and biannually thereafter.</td>
</tr>
</tbody>
</table>
Helpful Hints for Gender-Issues and Diversity-Issues Plans for Improvement

1. Example of measurable goals versus vague goals.
   a. Measurable goal: To provide comparable quality apparel to women’s soccer, women’s golf and women’s gymnastics to reflect conference comparable sports (men’s soccer, men’s golf and men’s gymnastics).
   b. Nonmeasurable goal: To enhance equipment and supplies for women’s athletics teams.

2. Example of specific steps versus plan-to-plan steps.
   a. Specific step (to achieve measurable goal): Athletics department will offer internships to minority students and will provide professional development programs for minority students.
   b. Nonspecific step or plan-to-plan step: Assess whether or not athletics department can create development programs for minority students.

3. Example of specific timelines.
   a. Specific timeline: One additional support staff for women’s soccer will be hired during the next two academic years (2014-16). Two additional support staff for all other women’s sports will be added during the 2015-16 academic year.
   b. Nonspecific timeline: Three support staff will be hired as the budget permits.

4. Ensure all 15 program areas for gender equity and four program areas for diversity issues are addressed before submission.

5. If there is a deficiency identified in the program area evaluation, include the deficiency as an issue within the stand-alone gender-issues or diversity-issues plan. Then, rectify the deficiency with measurable goals and steps to achieve the goals as outlined above.

6. If there is NOT a deficiency identified in the program area evaluation, the measurable goal should indicate that there will be an effort to maintain the current state in the program area and the specific steps should reflect how to achieve the maintenance.
Documents to be Available for Peer-Review Team Visit

Operating Principle 1.1

1. Minutes of athletics board or committee meetings.

2. Composition of the institution’s governing board (including titles and positions).

3. Minutes of the institution’s governing board meetings (Please flag those that relate to the athletics program or athletics interests).

4. Published policies of the institution’s governing board that relate to the athletics program or athletics interests.

5. Institutional organizational chart.

6. Department of athletics organizational chart.

7. List of athletics booster organizations and their officers.

8. Description of athletics booster group policies and procedures (e.g., constitution and bylaws).

Operating Principle 1.2

1. Job descriptions for individuals inside the department of athletics and individuals outside the department of athletics who are involved in rules compliance activities.

2. Contracts or letters of appointment for individuals inside the department of athletics and individuals outside the department of athletics who are involved in rules compliance activities.

3. Performance evaluation criteria for individuals inside the department of athletics and individuals outside the department of athletics who are involved in rules compliance activities.

4. Rules compliance policies and procedures for all of the following areas: initial-eligibility certification, continuing-eligibility certification, transfer-eligibility certification, NCAA Division I Academic Performance Program, financial aid administration, recruiting, camps and clinics, investigations and self-reporting of rules violations, rules education, extra benefits, playing and practice seasons, student-athlete employment, and amateurism.

5. Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, samples of recruiting logs, samples of eligibility files).

6. Documentation related to secondary rules violations for the last three years and the institutional response to these violations.

8. Department of athletics policies and procedures manual.

9. Documentation related to the rules education program for boosters, student-athletes, department of athletics staff, coaches, faculty and institutional staff outside the department of athletics (e.g., meeting agendas).

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**Operating Principle 2.1**

1. Most recent Federal Graduation Rates report.

2. Most recent Academic Progress Rate report.

3. Most recent Graduation Success Rate report.

4. Most recent institutional catalog and/or bulletin.

5. 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.

6. Information regularly reported to the chancellor or president, faculty senate or director of athletics concerning the academic performances of sports teams (if any).

7. A random sampling of 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, and transfer documentation).

8. Athletics department manual and/or policies and procedures.


10. Institutional handbook for students.

11. Scheduling policies.

12. Missed class policies.
Operating Principle 3.1

1. Documentation assessing the institution’s goals and actions regarding Title IX (if applicable).
2. 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.]
3. NCAA financial reports for the three most recent academic years.

Operating Principle 3.2

1. Written statements that address diversity (e.g., vision statements, mission statements, diversity statements, policies, plans).
2. Written policies related to hiring policies and procedures, including any policies related to the use of outside firms (e.g., search firms).
3. Written or published information related to the recruitment and retention of diverse staff, coaches and student-athletes.
4. Written or published information related to programs and activities for staff, coaches and student-athletes.

Operating Principle 3.3

1. Facilities schedules for practice and competition.
2. Sports schedules.
3. Institution’s student-athlete handbook or, if no such handbook exists, institution’s method(s) for conveying athletics policies and procedures to student-athletes.
4. Compilation of results from student-athlete exit interviews.
5. Institution’s and/or department of athletics’ written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.
Operating Principle 3.1, Self-Study Item No. 5, Measurable Standard No. 2
Analysis of NCAA Financial Reports

NCAA Financial Reports-Expense Categories to be Reviewed

<table>
<thead>
<tr>
<th>EXPENSE CATEGORY</th>
<th>EXPENSE CATEGORY DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Athletics Student Aid.</td>
<td>Include the total amount of athletically related student aid awarded, including summer school and tuition discounts and waivers (including aid given to student-athletes who have exhausted their eligibility or who are inactive due to medical reasons). Athletics aid awarded to nonathletes (student managers, graduate assistants, trainers) should be reported as Expenses Not Related to Specific Teams. It is permissible to report only dollars in the Expenses Not Related to Specific Teams row as long as you have reported non-zero entries for equivalencies, Number of Students and Dollars (all 3 required) for at least one sport.</td>
</tr>
<tr>
<td>2. Coaching Salaries, Benefits and Bonuses.</td>
<td>Include gross salaries, bonuses and benefits provided to head and assistant coaches, which includes all gross wages, benefits and bonuses attributable to coaching that would be reportable on university and related entities (e.g., foundations, booster clubs) W-2 and 1099 forms (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, supplemental retirement allowance, compensation from camps, radio income, television income, tuition remission, earned deferred compensation benefits). Place any payment made to previous coaches to satisfy a contractual agreement for coaching in Category 23 (Severance Payments).</td>
</tr>
<tr>
<td>3. Coaching, Other Compensation and Benefits Paid by a Third Party.</td>
<td>Include all compensation paid to the coaching staff by a third party and contractually guaranteed by the institution, but not included on the institution’s W-2 (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, compensation from camps, radio income, television income, and shoe and apparel income).</td>
</tr>
<tr>
<td>4. Support Staff/ Administrative Salaries, Benefits and Bonuses Paid by the University and Related Entities.</td>
<td>Include gross salaries, bonuses and benefits paid to administrative staff (i.e., football secretary, sport-specific trainer) that would be reportable on university and related entities (e.g., foundations, booster clubs) W-2 and 1099 forms (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, supplemental retirement allowance, compensation from camps, radio income, television income, tuition remission, earned deferred compensation benefits). Staff members responsible for the gender-specific athletics department, but not a specific sport (i.e., director of men’s athletics), will have their compensation figures reported as</td>
</tr>
<tr>
<td>Category</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Expenses Not Related to Specific Teams fields.</td>
<td>Athletics department staff members who assist both men’s and women’s teams (sports information director, academic advisor) will be reported as Not Allocated by Gender column.</td>
</tr>
<tr>
<td>5. Support Staff/ Administrative Other Compensation and Benefits Paid by a Third Party.</td>
<td>Include all compensation paid to the support staff by a third party and contractually guaranteed by the institution, but not included on the institution’s W-2 (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, compensation from camps, radio income, television income, and shoe and apparel income).</td>
</tr>
<tr>
<td>6. Recruiting.</td>
<td>Include transportation, lodging and meals for prospective student-athletes and institutional personnel on official and unofficial visits, telephone call charges, postage and such. Include value of use of institution’s own vehicles or airplanes as well as in-kind value of loaned or contributed transportation.</td>
</tr>
<tr>
<td>7. Team Travel.</td>
<td>Include air and ground travel, lodging, meals and incidentals for competition related to preseason, regular season and postseason. Amounts incurred for food and lodging for housing the team before a home game also should be included. Include value of use of the institution’s own vehicles or airplanes as well as in-kind value of donor-provided transportation.</td>
</tr>
<tr>
<td>8. Equipment, Uniforms and Supplies.</td>
<td>Include items that are provided to the teams only. Equipment amounts are those expended from current or operating funds.</td>
</tr>
<tr>
<td>9. Game Expenses.</td>
<td>Include game-day expenses other than travel that is necessary for intercollegiate athletics competition, including officials, security, event staff, ambulance and such.</td>
</tr>
<tr>
<td>10. Fundraising, Marketing and Promotion.</td>
<td>Include costs associated with fundraising, marketing and promotion for media guides, brochures, recruiting publications and such.</td>
</tr>
<tr>
<td>11. Sports Camp Expenses.</td>
<td>Include all expenses paid by the athletics department, including nonathletics personnel salaries and benefits, from hosting sports camps and clinics. Athletics personnel salaries and benefits should be reported in Categories 4, 5 or 6.</td>
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<tr>
<td>12.</td>
<td>Medical Expenses and Medical Insurance.</td>
</tr>
<tr>
<td></td>
<td>Include medical expenses and medical insurance premiums for student-athletes.</td>
</tr>
<tr>
<td>13.</td>
<td>Memberships and Dues.</td>
</tr>
<tr>
<td></td>
<td>Include memberships, conference and association dues.</td>
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<tr>
<td>14.</td>
<td>Total Operating Expenses.</td>
</tr>
<tr>
<td></td>
<td>Add Categories 1 through 13.</td>
</tr>
</tbody>
</table>
I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF.

Name and title of person completing this form:

Date:
Institution’s Tentative Written Plan should be submitted by the institution to the NCAA staff liaison two weeks prior to the scheduled orientation visit.
Objectives Related to the Self Study.

- Goals:

  1. To affirm the alignment of the Department of Intercollegiate Athletics with the university's mission and its commitment to uncompromising integrity.

  2. To affirm the activities of Department of Intercollegiate Athletics are consistent with NCAA, conference and university principles, rules and policies.

  3. To inform the university and broader public communities about the Department of Intercollegiate Athletics, its processes, goals and purposes.

  4. To provide a comprehensive, public and transparent dialogue about the role of intercollegiate athletics in the university experience.

  5. To identify opportunities to improve the operations of the Department of Intercollegiate Athletics, the university where appropriate, and the overall experience of our student-athletes.

  6. To develop specific action plans to act upon the opportunities identified.

  7. To identify areas of excellence and best practices for broader adoption.

  8. To receive a decision of “successful completion” from the NCAA Committee on Institutional Performance.

Major Components of the Self Study.

1. Appointment of steering committee chair.

   a. The associate vice chancellor of internal audit has been appointed by the chancellor to be the chair of the steering committee. She reports directly to the university's Board of Regents and is also a member of the chancellor's executive committee. She has full authority from, and all necessary access to, the chancellor.
2. Appointment of the Steering Committee.

<table>
<thead>
<tr>
<th>Title</th>
<th>Association</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice Chancellor and Vice Provost for Equity and Diversity, Chair of</td>
<td>Office for Equity and Diversity</td>
</tr>
<tr>
<td>Gender/Diversity Issues and Student-Athlete Well-Being Subcommittee</td>
<td></td>
</tr>
<tr>
<td>Professor and Faculty Athletics Representative</td>
<td>College of Food, Agricultural and Natural Resource Sciences</td>
</tr>
<tr>
<td>Vice Chancellor and Chief of Staff</td>
<td>Office of the Chancellor</td>
</tr>
<tr>
<td>Chancellor</td>
<td></td>
</tr>
<tr>
<td>Deputy General Counsel, Chair of Governance and Commitment to Rules</td>
<td>Office of the General Counsel</td>
</tr>
<tr>
<td>Compliance Subcommittee</td>
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</tr>
<tr>
<td>Former Student-Athlete, Football</td>
<td>Alumnae</td>
</tr>
<tr>
<td>Professor and Chair of the Advisory Committee on Athletics</td>
<td>College of Liberal Arts</td>
</tr>
<tr>
<td>Associate Vice Chancellor, and Chair of the Steering Committee</td>
<td>Office of Internal Audit</td>
</tr>
<tr>
<td>Director of Intercollegiate Athletics</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Vice Chancellor and Chief Financial Officer</td>
<td>Office of Budget and Finance</td>
</tr>
<tr>
<td>Professor, Former Dean and Past-President of University Alumni</td>
<td>University Law School</td>
</tr>
<tr>
<td>Association</td>
<td></td>
</tr>
<tr>
<td>Senior Vice Chancellor and Provost, Chair of Academic Integrity</td>
<td>Office of Senior Vice Chancellor for Academic Affairs and Provost</td>
</tr>
<tr>
<td>Subcommittee</td>
<td></td>
</tr>
<tr>
<td>Senior Associate Athletics Director and Senior Woman Administrator</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Professor, Faculty Athletics Representative, Athletics Certification</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>Liaison</td>
<td></td>
</tr>
<tr>
<td>Governing Board Member</td>
<td>University's Board of Regents</td>
</tr>
<tr>
<td>Head Coach, Volleyball</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Student-Athlete, Women's Basketball, Student-Athlete Advisory</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Committee</td>
<td></td>
</tr>
</tbody>
</table>


<table>
<thead>
<tr>
<th>Title</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Professor and Member of Advisory Committee on Athletics</td>
<td>School of Nursing</td>
</tr>
<tr>
<td>Financial Aid Coordinator</td>
<td>Office of Student Finance and</td>
</tr>
</tbody>
</table>
4. Academic Integrity Subcommittee.

<table>
<thead>
<tr>
<th>Title</th>
<th>Association</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor and Chair of the Faculty Athletics Oversight Committee on Intercollegiate Athletics</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>Head Coach, Golf</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Professor, Mechanical Engineering</td>
<td>Institute of Technology</td>
</tr>
<tr>
<td>NCAA Compliance Coordinator</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Past-president, University of Alumni Association</td>
<td>Alumnae</td>
</tr>
<tr>
<td>Director, The Center for Bioethics</td>
<td>Academic Health Center</td>
</tr>
<tr>
<td>Director, Academic Center for Student-Athletes</td>
<td>Office of Senior Vice Chancellor for Academic Affairs and Provost</td>
</tr>
<tr>
<td>Student, President of Student Association</td>
<td>Student Association</td>
</tr>
<tr>
<td>Student-Athlete, Football</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Director</td>
<td>Office of Admissions</td>
</tr>
</tbody>
</table>
5. Gender/Diversity Issues and Student-Athlete Well-Being Subcommittee.

<table>
<thead>
<tr>
<th>Title</th>
<th>Association</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lecturer, Department of Kinesiology</td>
<td>College of Education and Human Development</td>
</tr>
<tr>
<td>Vice Chancellor and Vice Provost for Equity and Diversity, Chair of Gender/Diversity Issues and Student-Athlete Well-Being Subcommittee</td>
<td>Office for Equity and Diversity</td>
</tr>
<tr>
<td>Interim Director, Equal Opportunity and Affirmative Action</td>
<td>Office of Equal Opportunity and Affirmative Action</td>
</tr>
<tr>
<td>Associate Vice Provost, Undergraduate Education</td>
<td>Office of the Senior Vice Chancellor for Academic Affairs and Provost</td>
</tr>
<tr>
<td>Associate Athletics Director</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Associate Vice Chancellor, Equity and Diversity</td>
<td>Office for Equity and Diversity</td>
</tr>
<tr>
<td>Director, Housing and Residential Life and Member of Advisory Committee on Athletics</td>
<td>Housing and Residential Life</td>
</tr>
<tr>
<td>Director of Athletic Medicine</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Director, Life Skills, Academic Center for Student-Athletes</td>
<td>Office of the Senior Vice Chancellor for Academic Affairs and Provost</td>
</tr>
<tr>
<td>Vice Provost for Student Affairs</td>
<td>Office of Student Affairs</td>
</tr>
<tr>
<td>Student-Athlete, Volleyball</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Student, Vice President of Student Association</td>
<td>Student Association</td>
</tr>
<tr>
<td>Co-Head Coach, Women's Gymnastics</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Senior Associate Athletics Director and Senior Woman Administrator</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Assistant Coach, Men's Basketball</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Head Coach, Track and Field</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Title</td>
<td>Association</td>
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<td>------------------------------</td>
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</tr>
<tr>
<td>Student-Athlete, Soccer</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Student-Athlete, Football</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
<tr>
<td>Student-Athlete, Golf</td>
<td>Department of Intercollegiate Athletics</td>
</tr>
</tbody>
</table>

The steering committee membership includes the chancellor, faculty athletics representative, Institutional Performance Program liaison, athletics director, and the senior woman administrator.

The steering committee and the individual subcommittees have adequate membership to carry out their assigned responsibilities. Special care was taken in populating the committees to ensure broad-based participation by the Department of Intercollegiate Athletics, student-athletes, the university and the community. We feel the committees are all well-balanced to reflect the broad constituencies of the university.

Each of the committees will have available the information necessary to complete their portions of the self-study. Each of the committee members understands the time requirements of serving. Assistance will be provided to the committees to manage the more administrative aspects of their work.

None of the three subcommittee chairs are members of the Department of Intercollegiate Athletics. All of them are, however, members of the steering committee and have direct access to the chancellor.

**Responsibilities of Steering Committee and Subcommittees.**

The responsibilities of the steering committee and subcommittees have been clearly communicated by the chancellor and appropriate NCAA materials have been provided to each committee member.

1. Self-Study Steering Committee Responsibilities.
   a. Monitor the progress of the subcommittees' completion of the self-study.
   b. Review the results of the previous self-study to assess progress.
   c. Assist in engaging the university and broader community in the self-study discussions.
d. Review the reports of the subcommittees and resulting conclusions/recommendations.

e. Prepare and publicize the final self-study report.

2. Steering Committee Chair Responsibilities.

a. Coordinate the collection and organization of pertinent data needed for the completion of the self-study.

b. Coordinate the activities of the subcommittees, including consultation and communication to the university community and steering committee.

c. Maintain a written record of:

(1) Committee meetings (both steering and subcommittees) including dates and attendance.

(2) Individuals responsible for writing each section of the self-study report.

(3) Invitations to members of the subcommittees and steering committee to comment on draft reports.


a. Research and organize appropriate data to answer the questions in the self-study.

b. Inform relevant campus groups of the self-study.

c. Collect input from appropriate campus constituents.

d. Maintain written records of all meetings.

e. Provide opportunities/facilitate the review of their self-study findings by the steering committee and the broader university community.

f. Formulate conclusions and recommendations based on the subcommittee's work and the feedback received on the self-study findings.

g. Write the draft report for their assigned sections of the self-study.
h. Communicate regularly with the steering committee on the subcommittee's progress.

4. Campus Contact.

Associate to the vice chancellor and chief of staff, office of the chancellor, is our campus contact. She will:

a. Serve as a primary liaison with the NCAA and represent the steering committee in its communication.

b. Provide ongoing support and assistance to the steering committee chair.

c. Coordinate the arrangements for the NCAA orientation visit and handle the arrangements for the peer-review team visit to campus.

d. Schedule interviews and meetings during the peer-review team visit.

5. The university is not intending to rely on the conference office or any other outside consultants to complete the self-study process.

6. Outline and Schedule for Completion of the Self-Study.

March 30, 2015  Self-study organizational meeting.

May 15, 2015  Phone conference with NCAA.

July 1, 2015  Kick-off meeting with subcommittee chairs.

July 6, 2015  Charge letters sent to steering committee members.

July 24, 2015  Charge letters sent to subcommittee members.

Wk. of July 27, 2015  Communication plan developed.

August 3, 2015  First steering committee meeting.

August 14, 2015  Submission of written plan for completion of the NCAA self-study.

August 28, 2015  NCAA orientation visit.
<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 2015</td>
<td>Communication of the self-study process to the university community.</td>
</tr>
<tr>
<td>September 2015</td>
<td>Initial meetings of the subcommittees.</td>
</tr>
<tr>
<td>September 2015 –</td>
<td>Subcommittees continue to meet on weekly or biweekly basis to complete self-study,</td>
</tr>
<tr>
<td>April 2016</td>
<td>evaluate findings, and prepare draft recommendations for institutional plan for</td>
</tr>
<tr>
<td></td>
<td>improvement.</td>
</tr>
<tr>
<td>September 2015 –</td>
<td>Steering committee meetings held on a monthly basis to review and monitor the</td>
</tr>
<tr>
<td>April 2016</td>
<td>progress of the subcommittees.</td>
</tr>
<tr>
<td>December 4, 2015</td>
<td>Chairs of subcommittees give progress report to steering committee.</td>
</tr>
<tr>
<td>January 11, 2016</td>
<td>First draft of subcommittee reports reviewed by steering committee.</td>
</tr>
<tr>
<td>January 22, 2016</td>
<td>Steering committee provides feedback.</td>
</tr>
<tr>
<td>February 12, 2016</td>
<td>Report coordinator produces first comprehensive draft and delivers to steering</td>
</tr>
<tr>
<td></td>
<td>committee and subcommittees.</td>
</tr>
<tr>
<td>February 26, 2016</td>
<td>Second draft of subcommittee reports reviewed by steering committee.</td>
</tr>
<tr>
<td>March 7, 2016</td>
<td>Report coordinator produces second comprehensive draft and delivers to steering</td>
</tr>
<tr>
<td></td>
<td>committee and subcommittees.</td>
</tr>
<tr>
<td>March 12, 2016</td>
<td>Steering committee begins meeting with numerous faculty, staff, and student</td>
</tr>
<tr>
<td></td>
<td>consultative groups to discuss report.</td>
</tr>
<tr>
<td>April 1, 2016</td>
<td>Steering committee, in consultations with subcommittees, incorporates comments and</td>
</tr>
<tr>
<td></td>
<td>suggestions from the university community into report.</td>
</tr>
<tr>
<td>April 15, 2016</td>
<td>Report coordinator produces third comprehensive draft for a final review by the</td>
</tr>
<tr>
<td></td>
<td>steering committee and subcommittees.</td>
</tr>
<tr>
<td>April 29, 2016</td>
<td>Final self-study report completed.</td>
</tr>
</tbody>
</table>
May 15, 2016 Submit final report to NCAA.

May - September, 2016 Prepare for peer-review team visit.

Fall 2016 Peer-review team visit.

February 2017 NCAA Committee on Institutional Performance meets.

Spring 2017 Issue media release announcing completion of report and Committee on Institutional Performance decision.


a. Report coordinator:
   - Assistant, office of the chancellor

b. Work-related needs (e.g., computer needs, internet access, secretarial assistance, reproducing copies, scheduling meetings and rooms) for the steering committee and the report coordinator will be coordinated by the campus contact. Subcommittee chairs are responsible for providing staff support for their subcommittee work. The campus contact is responsible for coordinating all subcommittees' staffers work.

c. Specific plans or strategies outlined for communicating work of steering committee to institutional community.

   (1) The goal of the self-study communications plan is that all university stakeholders are well informed about the process and outcome, and are provided the opportunity to participate and provide feedback in the process.

   (2) Objectives:

   (a) Clearly identify key spokespersons and key messages throughout process;

   (b) Provide timely, accurate information about the NCAA self-study process to the university community;
(c) Provide timely information about the outcome of the NCAA self-study process to the university community;

(d) Provide factual information, perspective, and opportunities for input from university stakeholders; and

(e) Ensure that communications about this process are coordinated and aligned.

i. Key Audiences:

(i) Faculty;

(ii) Staff;

(iii) Students;

(iv) Executive Committee;

(v) Intercollegiate Athletics;

(vi) Athletics Advisory Committee;

(vii) Student Athlete Advisory Committee (SAAC);

(viii) Faculty Athletics Oversight Committee on Intercollegiate Athletics;

(ix) Student Association;

(x) Other faculty and staff governance groups;

(xi) Alumni association;

(xii) University Foundation;

(xiii) Board of Regents;

(xiv) Alumni; and

(xv) External audience.
ii. University Key Communications Vehicles:

(i) University home page (internal and external audiences);

(ii) Dedicated website for self-study (internal and external audiences);

(iii) Student newspaper;

(iv) Deans, directors and department heads list;

(v) Collegiate staff newsletters;

(vi) Athletics website; and

(vii) MyU portal.

iii. Key External Communications Vehicles:

(i) Local media outlets;

(ii) Appropriate websites;

(iii) Intercollegiate athletics publications;

(iv) Self-study observations and feedback/responses occur; and

(v) Develop self-study findings and recommendations in draft reports.
NCAA
Institutional Performance Program
Preliminary Orientation Visit
Overview

- Origin, Purpose and Benefits.
- Operating Principles.
- Measurable Standards.
- Institutional Plans.
- Available Resources.
- Questions.
Origin, Purpose and Benefits
Origin of IPP

- Approved at the 1993 NCAA Convention after a two-year pilot program.

- Began in 1999 as a ten-year cycle.
  - Originally was a five-year cycle.
Integrity of Process

The IPP process is meant to ensure the NCAA’s fundamental commitment to integrity in intercollegiate athletics.
Purpose and Philosophy

- Open up affairs of athletics to university community and public.

- Set standards, called operating principles, for operation of all NCAA Division I athletics programs.

- Establish tough sanctions for failure to conduct a comprehensive self-study or correct problems.
Benefits

- Self-awareness.
- Affirmation.
- Opportunities to improve.
IPP Timeline
## Requirements Related to IPP

<table>
<thead>
<tr>
<th>Year</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>One</td>
<td>Completion of a preliminary NCAA orientation visit, which shall require attendance by representatives from the sponsoring conference.</td>
</tr>
<tr>
<td>Two</td>
<td>Completion of a compliance review conducted by the NCAA national office and submission of a report with an institutional response to the findings and recommendations.</td>
</tr>
</tbody>
</table>
## Requirements Related to IPP

<table>
<thead>
<tr>
<th>Year</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Three</td>
<td>Completion of an IPP orientation visit.</td>
</tr>
<tr>
<td>Four</td>
<td>Successfully complete an IPP self-study and evaluation visit.</td>
</tr>
<tr>
<td>Not later than the conclusion of second year of active NCAA Division I membership</td>
<td>Submission of an IPP progress report to the NCAA Division I Committee on Institutional Performance regarding the progress of any plans for improvement (as recommended by the committee).</td>
</tr>
</tbody>
</table>
Participants in the IPP Process
Participants

- Chancellor/President.
Responsibilities of the Chancellor/President

Throughout the IPP process, the chancellor or president must make it clear, by word and by action, that the self-study is a priority and that the entire institution – not just the department of athletics – is responsible for its completion.
Responsibilities of the Chancellor/President

- In preparing for the self-study, the chancellor’s or president’s specific responsibilities include:
  - Appointing the chair of the self-study steering committee.
  - Selecting the members of the self-study steering committee.
  - Making the charge to the steering committee clear.
Responsibilities of the Chancellor/President

- Giving the steering committee the proper authority and resources to complete its work.

- Forming the self-study steering committee.
Responsibilities of the Chancellor/President

- **Required steering committee members:**
  - Chancellor or president.
  - Faculty athletics representative (FAR).
  - Athletics director (AD).
  - Senior woman administrator (SWA).
  - Equal employment opportunity officer (EEOO).
  - Title IX officer.
  - Student-athlete representative(s).
  - IPP liaison.
Participants

- Chancellor/President.
- Conference Office.
The role of an institution’s conference office is determined by the institution. The conference office’s role may include:

- Participating in the orientation visit.
- Serving as an ex-officio member of the institution’s steering committee.
- Reviewing drafts of the institution’s self-study report.
- Participating in the steering committee interview and exit meetings of the evaluation visit.
Participants

- Chancellor/President.
- Conference Office.
- Committee on Institutional Performance.
Committee on Institutional Performance

- 18 members:
  - College chancellors or presidents.
  - Athletics administrators.
  - Faculty athletics representatives.
  - Conference administrators.
Committee Philosophy

Assist reclassifying institutions in identifying mechanisms which ensure intercollegiate athletics programs are operating in accordance with the high standards and core values of Division I.
Participants

- Chancellor/President.
- Conference Office.
- Committee on Institutional Performance.
- Peer-Review Team.
Peer-Review Team

- Typical team:
  - Generally three to five members.
  - Chaired by a chancellor or president whenever possible.
  - Random selection approved by committee.
  - Will not include peer reviewers with potential conflicts of interest.
Peer-Review Team

- Responsible for:
  - Verifying accuracy of the self-study.
  - Confirming broad-based participation.
  - Evaluating conformity with the operating principles.
Participants

- Chancellor/President.
- Conference Office.
- Committee on Institutional Performance.
- Peer-Review Team.
- IPP Liaison.
IPP Liaison

- Responsible for monitoring progress on plans for improvement developed during IPP process.

- May be an individual inside or outside athletics.

- The IPP liaison will be designated after the evaluation visit and prior to the committee’s decision.
Participants

- Committee on Institutional Performance.
- Peer-Review Team.
- IPP Liaison.
- Steering Committee.
- Self-Study Subcommittees.
- Campus Contact.
- Report Coordinator.
- NCAA Staff Liaison.
Operating Principles
Governance and Commitment to Rules Compliance

- **NCAA Operating Principle 1.1 - Institutional control, presidential authority and shared responsibilities.**
  - The institution must be responsible for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests.

- **Operating Principle 1.2 - Rules compliance.**
  - Staff, student-athletes, other individuals and groups representing the institution's athletics interests must comply with NCAA rules and regulations.
Academic Integrity

- **Operating Principle 2.1 – Academic standards.**
  - Athletics programs must be designed and maintained as a vital component of the institution's educational system and student-athletes are treated consistently with the student body.

- **Operating Principle 2.2 – Academic support.**
  - Athletics programs must be conducted in a manner designed to protect and enhance the educational experience of student-athletes and emphasize educational objectives.
Gender/Diversity Issues and Student-Athlete Well-Being

- **Operating Principle 3.1 – Gender issues.**
  - Institutions must conduct and promote athletics programs that are free from gender bias.

- **Operating Principle 3.2 – Diversity issues.**
  - Institutions must promote respect for and sensitivity to the dignity of every person and to refrain from discrimination.

- **Operating Principle 3.3 – Student-athlete well-being.**
  - Athletics program must be designed to protect and enhance the physical and educational well-being of student-athletes.
Measurable Standards
Measurable Standards

- Clarifies expectations for each operating principle.

- Brings more consistency to the process.

- Used by institutions, NCAA staff, peer-review teams and the committee.
IPP Standards
IPP Standards

- Accountability.
  - Gender-issues and diversity-issues plans.
- Program areas in gender issues and diversity issues.
- Measurable standards.
IPP Standards

- Highlights of measurable standards:
  - Fiscal responsibility.
  - Written athletics governance policies.
  - Analysis of Federal Graduation Rate (FGR).
Highlights of measurable standards:

- Program areas in gender issues and diversity issues.
- Required annual review of diversity-issues and gender-issues plans.
- Evaluation of student-athlete well-being.
Institutional Plans
Institutional plans must include the following requirements:

- Issues/problems.
- Measurable goals.
- Steps to achieve the goals.
- Individuals/offices responsible for carrying out the specific actions.
- Specific timetable(s).
Plans for Improvement

Further, institutional plans for improvement must meet the following requirements:

- Stand alone and in writing.
- Broad-based campus participation.
- Institutional approval.
IPP Decisions
The IPP Decision

- Materials reviewed during deliberations:
  - Self-study report.
  - Initial issues identified by the committee.
  - Institution's response to committee's analysis.
  - Peer-review team's report.
  - Institution's response to peer-review team's report.
  - Other material and information deemed relevant by the committee.
The IPP Decision

- Successful completion.
- Unsuccessful completion.
Postponement of Evaluation Visit or Resubmission of Self-Study Report

- Report has numerous and complex issues.
- No gender-equity or diversity-issues plans or plans require major revisions.
- Incomplete program area analysis for NCAA Operating Principle 3.1 or 3.2.
- Incomplete report.
- Nonsubmission of required documents.
Available Resources
Available Resources

- NCAA staff liaison.
- [www.ncaa.org > Division I > Committees > Committee on Institutional Performance.](https://www.ncaa.org)
- Preliminary orientation visit materials.
Questions?
Accuracy and Broad Based Participation Guidelines
(This information will be reviewed by the peer-review team on the evaluation visit.)

Accuracy.

☐ For each self-study response, has the written information provided in the self-study report and subsequent documents (e.g., institution’s response to the committee’s analysis) been corroborated with individuals interviewed and data reviewed on-campus? If not, please explain using specific examples.

☐ Are the institution’s conclusions based on data or records that are available and reliable?

☐ Are the conclusions reasonable in light of the available data?

Broad-Based Participation in the Self-Study Process.

☐ Were appropriate campus constituencies represented on the steering committee and subcommittees?

☐ Were appropriate campus constituencies involved in the collection and analysis of data used in drawing conclusions and responses to self-study items?

☐ Were appropriate campus constituencies afforded sufficient opportunities to respond to the steering committee’s initial observations?

☐ Were appropriate campus constituencies made aware of and provided access to the self-study report?

☐ Were all members of the subcommittees involved in preparing and evaluating the subcommittee reports?

☐ Were all members of the steering committee involved in evaluation the subcommittee reports and in preparing and evaluating reports of the steering committee?

☐ Has the institution demonstrated broad based participation in the development of all institutional plans for improvement and if necessary, any revisions made to the original plans for improvement?
## Requirements Related to the Institutional Performance Program (IPP)

<table>
<thead>
<tr>
<th>Year</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>One</td>
<td>Completion of NCAA Division I Institutional Performance Program preliminary orientation visit, which shall require attendance by representatives from the sponsoring conference.</td>
</tr>
<tr>
<td>Two</td>
<td>No IPP requirements. Completion of compliance review conducted by the NCAA national office and submission of a report with an institutional response to the findings and recommendations.</td>
</tr>
<tr>
<td>Three</td>
<td>Completion of an in-person IPP orientation visit.</td>
</tr>
<tr>
<td>Four</td>
<td>Successfully complete IPP self-study and evaluation visit.</td>
</tr>
<tr>
<td></td>
<td>Submission of IPP progress report to the NCAA Division I Committee on Institutional Performance regarding the progress of any plans for improvement (as recommended by the committee).</td>
</tr>
</tbody>
</table>
MOST COMMON ISSUES IDENTIFIED FOR DIVISION I RECLASSIFYING INSTITUTIONS IN THE INSTITUTIONAL PERFORMANCE PROGRAM PROCESS

The purpose of this document is to educate NCAA Division I member institutions and conference offices by providing information on the issues most frequently identified by the NCAA Division I Committee on Institutional Performance. This information is intended to assist those reclassifying institutions that are preparing to go through the self-study process in the near future.

1. The institution's gender-issues plan must include all required plan elements. [NCAA Operating Principle 3.1]

2. The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified revenue and expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends. [Operating Principle 3.1]

3. The institution must conduct a thorough and written review of each of the 15 program areas for gender issues. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area. [Operating Principle 3.1]

4. The institution must have written policies and procedures in the areas of athletic training; sports medicine; emergency medical plans for practices and games; emergency medical plans for out-of-season workouts, strength training and skills sessions; and travel policies (e.g., passenger vans, buses, permissible drivers, flights, length of trips). Further, the institution must evaluate the policies and procedures for their effectiveness in protecting the health and providing a safe environment for its student-athletes; identify the administrator(s) responsible for annually evaluating the policies and procedures for their effectiveness in protecting the health and providing a safe environment for its student-athletes; and demonstrate that policies and procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes. [Operating Principle 3.3]

5. The institution's diversity-issues plan must include all required plan elements. [Operating Principle 3.2]
6. The institution's instrument used to conduct student-athlete exit interviews must contain specified questions. \textit{[Operating Principle 3.3]}

7. The institution must conduct a thorough and written review of each of the four program areas for diversity issues. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area. \textit{[Operating Principle 3.2]}

8. The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate of students generally, including comparable student body groups. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate of students generally or a comparable student body subgroup, the institution must develop a plan for improvement to address the issue. \textit{[Operating Principle 2.1]}
NCAA Division I Committee on Institutional Performance

Titles Represented (7).

<table>
<thead>
<tr>
<th>Title</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chancellors/Presidents</td>
<td>5</td>
</tr>
<tr>
<td>Directors of Athletics</td>
<td>1</td>
</tr>
<tr>
<td>Senior Woman Administrators</td>
<td>4</td>
</tr>
<tr>
<td>Faculty Athletics Representatives</td>
<td>4</td>
</tr>
<tr>
<td>Conference Commissioners</td>
<td>2</td>
</tr>
<tr>
<td>Assistant/Associate Directors of Athletics</td>
<td>2</td>
</tr>
<tr>
<td>Student-Athletes</td>
<td>1</td>
</tr>
</tbody>
</table>

Conferences Represented (15).
### Committee Members (19):

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Broderick</td>
<td>President</td>
<td>Old Dominion University</td>
</tr>
<tr>
<td>Janet Cone</td>
<td>Director of Athletics</td>
<td>University of North Carolina, Asheville</td>
</tr>
<tr>
<td>Beth DeBauche</td>
<td>Commissioner</td>
<td>Ohio Valley Conference</td>
</tr>
<tr>
<td>David DeCenzo</td>
<td>President</td>
<td>Coastal Carolina University</td>
</tr>
<tr>
<td>Rich Ensor</td>
<td>Commissioner</td>
<td>Metro Atlantic Athletic Conference</td>
</tr>
<tr>
<td>Gabriel Esteban</td>
<td>President</td>
<td>Seton Hall University</td>
</tr>
<tr>
<td>Tracey Flynn</td>
<td>Associate Director of Athletics/Senior Woman Administrator</td>
<td>Quinnipiac University</td>
</tr>
<tr>
<td>Joanne Glasser</td>
<td>President</td>
<td>Bradley University</td>
</tr>
<tr>
<td>Angela (AJ) Grube</td>
<td>Faculty Athletics Representative</td>
<td>Western Carolina University</td>
</tr>
<tr>
<td>Dianne Harrison</td>
<td>President</td>
<td>California State University, Northridge</td>
</tr>
<tr>
<td>Chris Hawthorne (ex-officio)</td>
<td>Football Student-Athlete</td>
<td>University of Minnesota</td>
</tr>
<tr>
<td>George Haynes</td>
<td>Faculty Athletics Representative</td>
<td>Montana State University, Bozeman</td>
</tr>
<tr>
<td>Nina King</td>
<td>Associate Director of Athletics</td>
<td>Duke University</td>
</tr>
<tr>
<td>Nikki Moore</td>
<td>Senior Woman Administrator</td>
<td>University of Oklahoma</td>
</tr>
<tr>
<td>Gary Overton</td>
<td>Assistant Director of Athletics/Internal Affairs</td>
<td>East Carolina University</td>
</tr>
<tr>
<td>Patrick Papin</td>
<td>Faculty Athletics Representative</td>
<td>San Diego State University</td>
</tr>
<tr>
<td>Angie Petrovic</td>
<td>Assistant Director of Athletics/Compliance and Business Services / Senior Woman Administrator</td>
<td>University of Dayton</td>
</tr>
<tr>
<td>Tricia Turley Brandenburg</td>
<td>Interim Director of Athletics / Deputy Director of Athletics / Senior Woman Administrator</td>
<td>Towson University</td>
</tr>
<tr>
<td>C. Kurt Zorn</td>
<td>Faculty Athletics Representative / Associate Provost for Undergraduate Education</td>
<td>Indiana University</td>
</tr>
</tbody>
</table>
GLOSSARY OF TERMS
NCAA DIVISION I INSTITUTIONAL PERFORMANCE PROGRAM

**Campus Contact.** The campus contact is responsible for coordinating preparations for the evaluation visit, including lodging and travel for peer-review team members and NCAA staff, scheduling interviews and organizing any work-related needs for peer-reviewers (e.g., computer resources, meeting rooms, documents to be reviewed).

**Committee Analysis.** Once the staff analysis is completed, the committee will review the institution’s self-study and the staff analysis of the report. The committee will determine the final issues that will be forwarded to the institution and the peer-review team.

**Conformity.** The peer-review team’s and committee’s most demanding task is to assess the extent of substantial conformity achieved by the institution with respect to the operating principles. This evaluation inevitably involves subjective judgment. In making these decisions, the peer-review team and committee make every effort to base decisions on reliable data; be sensitive to the unique characteristics and circumstances of the institution; and remain free of personal and professional bias.

**Evaluation Visit (EV).** The evaluation visit (EV) occurs after the institution has submitted its self-study report, after the staff and committee analyses have been completed and after the institution has had an opportunity to respond to the committee’s analysis. The EV is staffed by a peer-review team that will have reached tentative conclusions about the nature of the institution’s self-study process, the accuracy of the institution’s written report and the operation of the athletics program in relation to the Institutional Performance Program’s operating principles. Before leaving campus, the peer-review team is obligated to record its conclusions in a report that eventually will be forwarded to the institution and to the committee. In the meantime, the institution’s chancellor or president (and other institutional representatives at the discretion of the chancellor or president) is afforded an opportunity to hear the peer-review team’s general impressions in an exit meeting at the end of the EV. The EV can occur anytime between September 15 and the Friday of the week before the Thanksgiving holiday.

**Institutional Performance Program Liaison.** The committee requires each NCAA Division I institution to designate an individual to serve as its Institutional Performance Program liaison. The liaison shall be the individual on the institution’s campus responsible for monitoring the progress of the institution’s plans for improvement developed during the Institutional Performance Program process. After the evaluation visit and before receiving a recommendation on successful completion from the NCAA Division I Committee on Institutional Performance, the NCAA staff liaison will contact the chancellor or president to initiate the submission of the liaison for monitoring plans for improvement developed by the institution.

**Measurable Standard (MS).** The committee developed measurable standards documents as a means to bring greater consistency to the Institutional Performance Program process. These documents are intended to clarify the expectations of the committee for each operating principle.
**Operating Principle (OP).** The Institutional Performance Program is made up of seven standards, OPs, that every Division I institution must meet. The OPs were originally adopted overwhelmingly at the 1993 NCAA Convention. They address the three basic areas of governance and commitment to rules compliance, academic integrity, and gender/diversity issues and student-athlete well-being. OPs are included as a part of the Institutional Performance Program self-study instrument.

**Modifications to Consider.** As part of its report, the peer-review team will identify any pertinent recommendations for the institution in a section titled, “Opportunities for Enhancement.” The institution is not obligated to implement or respond to such recommendations; rather, these should be viewed as helpful suggestions from the institution’s peers to improve its athletics program.

**Orientation Visit (OV).** The NCAA staff liaison will conduct an orientation visit (OV) for an institution approximately 12 to 14 months before the evaluation visit. The purpose of the OV is to review the purpose and format of the Institutional Performance Program; the institution’s activities already conducted in preparation for the orientation; the self-study instrument (with members of the steering committee and subcommittees); preparations for the EV; and projected dates for the EV. The OV is intended to benefit campus members who will be involved in the self-study. The OV can occur anytime between August 25 and the Friday of the week before the Thanksgiving holiday.

**Peer-Review Team (PRT).** An external peer-review team (PRT), selected and assigned by the committee, is composed of experienced education and athletics personnel. The PRT is responsible for verifying the institution’s self-study was accurate and complete; confirming the self-study was developed through a broad-based process that involved campus-wide participation; and evaluating the self-study and committee-identified issues in terms of the OPs that have been approved for all Division I members. Before leaving campus, the PRT must complete its written report to the committee. Ordinarily, each member of the PRT is responsible for writing one or more sections of the report, divided generally according to those sections of the self-study to which members of the PRT were assigned. A typical PRT will consist of a maximum of five members. Whenever possible, a chancellor or president will serve as chair. Each PRT member has received training, with special emphasis on training for PRT chairs.

**Plans for Improvement.** Written institutional plans have significant value for every Division I institution. They communicate an institution’s current commitment, provide benchmarks to assess progress and also serve as enduring records that help ensure an institution’s continued commitment in the future. Institutional plans must meet certain minimum requirements. There are additional requirements for gender and diversity plans.

**Report Coordinator.** The report coordinator is responsible for submitting responses to each specific self-study item so they can be read individually, rather than as part of a general narrative, and producing the final self-study report by the established deadline. It is suggested the report coordinator be well-versed in data entry programming.
Self-Study Item (SSI). A self-study item (SSI) is a question contained in the self-study instrument to be researched, studied and answered by an institution during its self-study process. In evaluating the completeness and accuracy of an institution’s self-study report, the peer-review team will consider whether institutional responses address each specific aspect of all SSIs identified by the committee.

Staff Analysis. After an institution submits its self-study report, the NCAA staff liaison will review the self-study report, verify that all self-study items are completed and ensure all measurable standards are met. This results in the staff analysis. Once the staff analysis is completed, the committee will review the institution’s self-study and the staff analysis of the report. The committee will determine the final issues that will be forwarded to the institution and the peer-review team.

Staff Liaison. There is an NCAA staff liaison assigned to each institution going through the self-study process. The staff liaison verifies that the institution’s self-study report, including any supporting documentation, is complete. In addition, the staff liaison provides a preliminary assessment regarding the institution’s adherence to the measurable standards. The staff liaison accompanies the peer-review team on its campus visit and serves as the liaison between the participating institution and the peer-review team.
NCAA Operating Principle
1.1

Institutional Control, Presidential Authority and Shared Responsibilities

1. The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.

2. The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.

3. The institution must provide evidence that written communication (e.g., annual report, governance policies) is provided annually to its governing board with respect to athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

4. The institution must demonstrate that its governing board’s oversight and policy formulation for athletics is consistent with its policies and stated responsibilities for other units of the institution (e.g., personnel, budget, facilities).

5. The institution must identify involved individuals or groups external to the department of athletics (e.g., faculty senate, athletics advisory group, student-athlete advisory committee) and explain how they have opportunities to provide meaningful input into the formulation of policies and how they periodically review policy implementation related to the conduct of the athletics program.

6. Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

7. Institutions must demonstrate that an administrative review of NCAA comparative data (i.e., dashboard indicators) has occurred on an annual basis by the chancellor or president or his/her designees. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
NCAA Operating Principle

1.2

Rules Compliance

1. The institution must provide written evidence that all individuals inside the department of athletics (e.g., staff, coaches) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. *Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

2. The institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. *Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

3. The institution must demonstrate that the responsibility for admission, certification of academic standing and conferment of academic degrees of student-athletes is vested in the same agencies that have authority in these matters for students in general.

4. The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program (e.g., director of athletics, vice president for athletics).

5. The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.
6. The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and academic performance program.

7. The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:
   a. Initial-eligibility certification;
   b. Continuing-eligibility certification;
   c. Transfer-eligibility certification;
   d. NCAA Division I Academic Performance Program (APP) (e.g., data collection process, penalty implementation process);
   e. Financial aid administration, including individual and team limits;
   f. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
   g. Camps and clinics;
   h. Investigations and self-reporting rules violations;
   i. Rules education;
   j. Extra benefits;
   k. Playing and practice seasons;
   l. Student-athlete employment; and
   m. Amateurism.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
8. The institution must demonstrate that its compliance policies and procedures are directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) on an annual basis to department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

9. The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, department of athletics staff, coaches, and directly involved faculty and institutional staff outside the department of athletics.

10. The institution must demonstrate that its rules-compliance program is subject to a comprehensive, external rules-compliance evaluation at least once every four years and is 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. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

11. The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

12. The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at a minimum, the following areas;

   a. Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);

   b. Initial-eligibility certification;

   c. Continuing-eligibility certification;

   d. Transfer-eligibility certification;

   e. APP (e.g., data collection process, penalty implementation process);

   f. Financial aid administration, including individual and team limits;
g. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);

h. Camps and clinics;

i. Investigations and self-reporting of rules violations;

j. Rules education;

k. Extra benefits;

l. Playing and practice seasons;

m. Student-athlete employment;

n. Amateurism; and

o. Commitment of personnel to rules-compliance activities.

13. The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

14. The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.
NCAA Operating Principle
2.1

Academic Standards

1. Student-athletes must be governed by the institutional admissions policies that apply to all students.

2. Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

3. Academic standards and policies for student-athletes must be consistent with the standards for the student body in general, conference or NCAA standards, whichever are higher.

4. The institution must analyze and explain any differences between the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup (i.e., sport, gender, ethnicity, transfers), and the academic profile of other student-athletes and comparable student-body groups or subgroups.

5. The institution must develop specific academic support programs to address the unique needs of student-athletes with entering academic profiles lower than those of the general student body.

6. The institution must assess, evaluate and if necessary, develop plans for improvement to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution’s special admissions process. If an institution does not employ a special admissions process, assessment, evaluation and if necessary, plans for improvement must be completed for student-athletes in the lowest (i.e., fourth) quartile of the institution’s general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution.

7. The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.
8. The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of student-athletes as a whole and the most recent four-class average Federal Graduation Rate of students generally. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of student-athletes and the most recent four-class average Federal Graduation Rate of students generally, the institution must develop a plan for improvement to address the issue.

9. The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of all student-athlete subgroups (i.e., team, gender, ethnicity, within team) and the most recent four-class average Federal Graduation Rate of students generally, including comparable student body groups. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate of students generally or a comparable student body subgroup, the institution must develop a plan for improvement to address the issue.

10. The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes’ conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

11. The institution must analyze and explain missed class time for the last two years for each sports team and address, through a plan for improvement, any missed class time that is deemed significant or excessive in nature.

12. The institution’s established, written policies regarding the scheduling of practices and competition must be directly communicated in writing (e.g., provide hard copy of document, provide web link via email) to student-athletes, department of athletics staff members and other appropriate faculty and administrative staff (e.g., published in the institution’s student-athlete handbook or department of athletics policies and procedures manual, an email with an attachment or link to the posting on the institution’s website). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
1. Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.

2. The institution must demonstrate that its institutional structures and reporting lines for student-athlete academic support services are organized such that academic advising for student-athletes is an integral part of the institution's educational system.

3. The institution must demonstrate that its staffing, physical space and financial support for student-athlete academic support services have been reviewed by appropriate institutional authorities and determined to meet the academic needs of student-athletes at the institution. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

4. Information related to all academic support services must be clearly communicated to student-athletes and staff (e.g., through inclusion in the student-athlete handbook, discussion during team meetings, through inclusion in personnel manuals, review during staff orientation).

5. The institution must provide effective support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support services.

6. The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors, academic administrators of the institution or non-institutional academic support specialists). The institution's faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
7. The comprehensive, written academic support services evaluation must include an evaluation of all services provided to student-athletes. [Note: The list below should provide institutions with a starting point for the evaluation but it is not an exhaustive list. Institutions are required to evaluate all relevant services provided.]

a. Academic counseling/advising resources and services;

b. Tutoring;

c. Academic progress monitoring and reporting;

d. Assistance for special academic needs;

e. Assistance for at-risk students;

f. Academic support facilities;

g. Academic evaluation of prospective student-athletes;

h. Student-athlete degree selection;

i. Learning assessments;

j. Success skills;

k. Study hall;

l. First year/transfer orientation;

m. Mentoring;

n. Post-eligibility programs; and

o. Any other relevant service provided to student-athletes.

8. The institution must submit a copy of the written evaluation of the academic support services. Please note that 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 subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.

9. The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation
and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.
Gender Issues

1. The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

2. The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.

3. The institution must conduct a thorough and written review of each of the 15-program areas for gender issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future. The review must:
   a. Describe how the institution has ensured a complete study of each of the 15-program areas for gender issues. This study should be conducted as part of the self-study process.

   Please note for the program area of accommodations of interests and abilities, the use of surveys alone does not constitute a complete study. If an institution chooses to use an interest survey (e.g., a web survey or hardcopy survey) as one of its sources of data, the committee will require an explanation regarding populations surveyed, the survey response rate, method used to interpret the data, and written evidence demonstrating the institution’s Title IX officer has approved the survey. In addition, the institution must describe other methods of measuring interest and ability.

   b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the areas;
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program. Please note, any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 15-program areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

4. The institution must develop a five-year written, stand-alone plan addressing gender issues that maintains an institution’s conformity or moves an institution into conformity with the operating principle.

5. The institution’s plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution’s gender-issues plan.

Please note that all institutional plans must contain all of the committee’s required elements.

6. The institution’s gender-issues plan must include the following requirements:

   a. Include identification of issues or problems confronting the institution.

   b. Include measurable goals the institution intends to achieve to address issues or problems.

   c. Include specific steps the institution will take to achieve its goals.

   d. Include a specific timetable(s) for completing the work.

   e. Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, the institution’s gender-issues plan must meet the following requirements:

   1. Be committed to paper and be a stand-alone document.
2. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.

3. Must be adopted formally by the institution’s final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.
For purposes of the Institutional Performance Program, institutions have the discretion to address those areas of diversity that align with the institution’s overall mission and culture. However, institutions are reminded that the NCAA Division I Committee on Institutional Performance expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or underrepresented groups include, but are not limited to, race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.

1. The institution must demonstrate how the institutions’ and department of athletics’ written commitment and expectations related to diversity are communicated directly to department of athletics staff, coaches and student-athletes.

2. The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of under-represented groups or individuals of diverse backgrounds.

3. The institution must demonstrate through actions and strategies how it actively recruits department of athletics staff, coaches, and student-athletes from underrepresented groups or diverse backgrounds from those currently represented in athletics.

4. The institution must provide evidence that an assessment and comparison of the institutions’ and department of athletics’ hiring practices has occurred at least once every five years.

5. The institution must demonstrate a commitment to diversity in all athletics department hiring efforts, including those involving outside firms (e.g., search firms) and truncated or expedited processes.

6. The institution must conduct a thorough and written review of each of the four-program areas for diversity issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the
institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

7. The review must:

   a. Describe how the institution has ensured a complete study of each of the four program areas for diversity issues. This study should be conducted as part of the self-study process;

   Please note that for the program area of assessment, the use of student-athlete exit interviews alone does not constitute a complete assessment for purposes of the self-study. An institution may choose to include student-athlete exit interviews as part of a broader assessment conducted, but the institution must ensure that an assessment of the entire athletics department has been conducted with respect to diversity issues.

   b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the areas;

   c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes, coaches, and athletics department staff with diverse racial, ethnic and other backgrounds. Please note, any deficiencies should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and

   d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the four program areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

8. The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution’s conformity or moves an institution into conformity with the operating principle.

9. The institution’s plan must be active at all times and include a mechanism to ensure the plan is reviewed on annual basis to determine if the course of action is still appropriate and this information must be included in the institution’s diversity-issues plan.

10. The institution must compare its diversity-issues plan top its written assessment of the campus diversity climate (see Program Area No. 1) at least once every four years, to determine if the course of action is still appropriate.
11. The institution’s diversity-issues plan must include the following requirements:

a. Include identification of issues or problems confronting the institution.

b. Include the measurable goals the institution intends to achieve to address issues or problems.

c. Include the specific steps the institution will take to achieve its goals.

d. Include a specific timetable(s) for completing the work.

e. Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, the institution’s diversity-issues plan must meet the following requirements:

a. Be committed to paper and be a stand-alone document.

b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.

c. Must be adopted formally by the institution’s final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.
Student-Athlete Well-Being

1. The institution’s instrument used to conduct student-athlete exit interviews must contain questions related to the following: *(Note: Institutions should note the list of examples below is not an exhaustive list and institutions are not limited to addressing only those provided.)*

   a. The institution’s commitment to the academic success of its student-athletes (e.g., academic support services available, priority registration for classes, coaches’ support).

   b. The institution’s commitment to opportunities for student-athletes to integrate into campus life.

   c. The institution’s efforts to measure the extent of time demands encountered by student-athletes.

   d. The institution’s efforts to measure the effectiveness of the institution’s mechanisms to monitor time demands of its student-athletes (e.g., travel commitments, missed class time, final exam schedules, and summer vacation periods).

   e. The institution’s efforts to measure the effectiveness of the institution’s NCAA Division I Student-Athlete Advisory Committee (SAAC).

   f. The institution’s commitment to informing student-athletes about the NCAA Special Assistance Fund and NCAA Student-Athlete Opportunity Fund.

   g. The institution’s efforts to measure the effectiveness of the institution’s mechanisms (e.g., annual surveys, exit-interview process) to monitor the well-being of its student-athletes.

   h. The institution’s commitment to the physical, psychological and emotional health (e.g., athletic training, nutrition, counseling) of student-athletes.

   i. The institution’s commitment to the safety (e.g., travel policies, emergency medical plans) of student-athletes.

   j. The institution’s commitment to a safe and inclusive environment for all student-athletes.
k. The institution’s commitment to diversity.*

l. The value of student-athletes’ athletics experience.

m. The opportunity for student-athletes to suggest proposed changes in intercollegiate athletics.

n. The opportunity for student-athletes to express concerns related to the administration of the sport(s) in which student-athletes participate.

*Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

2. The institution must demonstrate that it conducts exit interviews via in-person meetings and/or conference calls in each sport with a sample of student-athletes (as determined by the institution) whose eligibility has expired in accordance with NCAA Constitution 6.3. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

3. The institution must have established written grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.3] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

4. The institution must demonstrate that grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.4] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]) are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

5. The institution must have established written grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.
6. The institution must demonstrate that all grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior) are directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to department of athletics staff members, coaches and student-athletes.  *Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

7. The institution must demonstrate that it has an active SAAC pursuant to Constitution 6.1.4.  *Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

8. The institution must demonstrate that it has an active Life Skills program (or an equivalent program) pursuant to NCAA legislation with programming to address nonacademic areas (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership).  *Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

9. The institution must have written travel policies that are annually evaluated for their effectiveness in protecting the health and providing a safe environment for student-athletes. Further, the administrator(s) responsible for annually evaluating travel policies must be identified and travel policies must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

10. The institution must have a written emergency medical plan for practices, contests, strength training and skills sessions. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

11. The institution must have a written emergency medical plan for out-of-season workouts. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide web link via email) to athletics department staff members, including coaches, and student-athletes.
12. The institution must have written athletic training and sports medicine policies that are reviewed annually. Further, the administrator(s) responsible for annually evaluating athletic training and sports medicine policies must be identified and the athletic training and sports medicine policies must be directly communicated in writing (e.g., provide hard copy of document, provide web link via email) to athletics department staff members, including coaches, and student-athletes.

For purposes of the Institutional Performance Program, institutions have discretion to address those areas of diversity that align with the institution’s overall mission and culture. However, institutions are reminded the NCAA Division I Committee on Institutional Performance expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or under-represented groups include, but are not limited to, race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.