

NCAA Division I
Committee on Academics
Operating Manual
2014-15

2014-15

Organization of the NCAA Division I Committee on Academics Operating Manual

The Committee on Academics "Manual" outlines the policies and procedures that dictate the operations and authority of the Committee and the three reporting subcommittees. The content of the Academic Performance Program (APP) manual can be found within the Subcommittee on Data and the Subcommittee on Penalties and Appeals portions of this Manual.

CHAPTER 1: NCAA Division I Committee on Academics

- Policies & procedures applicable to full Committee administration.

CHAPTER 2: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

- Policies & procedures applicable to Subcommittee's administration.
- Access to reporting committees' policies & procedures and directives.

CHAPTER 3: NCAA Division I Committee on Academics Subcommittee on Data

- Policies & procedures applicable to Subcommittee's administration.
- Applicable APP legislation, standards and policies.
- Appendices (e.g., waiver directives, FAQs, factual examples).

CHAPTER 4: NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

- Policies & procedures applicable to Subcommittee's administration.
- Applicable APP legislation, standards and policies.
- Appendices (e.g., FAQs, factual examples, waiver directives).

Color Codes:

Portions of the Manual highlighted in the following colors indicate:

Grey = Changes or revisions via NCAA Division I Proposal 2014-2 or policy recommendations by the Committee on Academic Performance.

NCAA Division I
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2014-15

Chapter 1

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NCAA DIVISION I COMMITTEE ON ACADEMICS

The central purpose of the NCAA Division I Committee on Academics is to serve as the division's primary authority on academic matters, subject to review of the NCAA Division I Board of Directors. In this capacity, the Committee shall manage all policy pertaining to academic matters, and recommend and review legislation that impacts academics. Additionally, the Committee is responsible for the administration of the Academic Performance Program (APP). To provide the desired operational relief to the Board, the Committee is vested with the authority to take final action on routine and noncontroversial matters of general academic policy and APP policy.

Duties and Responsibilities of the Committee on Academics (Constitution, Article 4.4.2)

The Committee on Academics shall:

1. Serve as the division's primary academic authority, subject to review by the Board of Directors;
2. Manage all policy pertaining to academic matters, including academic eligibility standards and related policies;
3. Recommend and review legislation pertaining to academic matters, including academic eligibility standards;
4. Take final action on routine and noncontroversial matters of general academic policy and Academic Performance Program policy;
5. Establish, oversee and support the work of the academic substructure as stipulated in Bylaw 21;
6. Perform all duties directly related to the administration of the Academic Performance Program, including interpretations of Academic Performance Program legislation and policies, hearing appeals (or waivers) of institutions or teams subject to penalties and any other matters of appeal pursuant to the legislation and policies and procedures of the Academic Performance Program;

7. Determine the appropriate standards on which Academic Performance Program penalties or rewards apply;
8. Recommend changes to the Academic Performance Program based on research data analysis and practical experience;
9. Oversee administration of academic waivers as specified by legislation and/or policy;
10. Study issues and make policy or legislative recommendations concerning relationships between the Association and the nation's two-year colleges as represented by established regional and national organizations; and
11. Work with the Division II governance structure to ensure that consistent policies exist when possible, while maintaining each division's philosophy and legislative intent.

Purpose of the Academic Performance Program

The central purpose of the NCAA Division I Academic Performance Program (APP) is to ensure that the membership is dedicated to providing student-athletes with an exemplary educational and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions, while enhancing the ability of student-athletes to earn a degree.

The membership is committed to providing higher education for a diverse body of student-athletes within the context of an institution's academic and admissions standards for all student-athletes through a system that rewards those institutions and teams that demonstrate commitment toward the academic progress, retention and graduation of student-athletes and penalizes those that do not. Finally, the membership has created an academic point of access to postseason competition for all teams, based on a minimal level of academic performance using the NCAA Division I Academic Progress Rate (APR).
(Revised: 10/11. Effective: 10/11)

Composition

The Committee on Academics shall consist of 20 members, including a minimum of two chancellors or presidents, one provost, four faculty athletics representatives, one director of athletics, one senior woman administrator, one conference administrator and one student-athlete. The committee shall include at least two members from each of the three Division I membership subdivisions. All committee members shall be on the staff of a Division I active institution or conference. A chancellor or president shall serve as

chair, at the discretion of the Board of Directors, with reconsideration of the chair's term extension to occur at least every two years after serving two full terms.

One member of the Division I Student-Athlete Advisory Committee (SAAC) shall serve as a voting member of the Committee on Academics up to one year after completion of his or her intercollegiate athletics eligibility.

Appointments

The NCAA Division I Board of Directors shall appoint the members of the Committee on Academics.

Terms of Office

The Committee on Academics members may initially be appointed to a one-year, two-year, three-year or four-year term. A member appointed to a one- or two-year term may be reappointed to an additional four-year term. A member's term of service shall expire on the first day of September following the duration of the member's term. An individual who has served two terms on the committee may not serve further on the committee, except the chair whose term the Board of Directors may extend at two-year intervals.

Committee members generally shall be appointed for a four-year term. A member's term of served shall commence on the first day of September following the member's appointment. A committee member may be reappointed to an additional four-year term. An individual who has served two terms on the committee may not serve further on the committee, except the chair whose term the Board of Directors may extend at two-year intervals.

Selection of Committee Chair

The Committee on Academics shall nominate one or two of its members to the Board of Directors for possible selection as the committee chair. A committee member is eligible for nomination for the position of chair only if he or she is the chancellor or president of an active Division I institution. The committee chair generally serves as chair for the remainder of his or her term.

Generally, the incoming chair shall be identified by the Board of Directors during its October meeting preceding the September 1 term expiration of the current chair's term. The committee shall forward its nominee(s) to the Board of Directors prior to the Board of Directors' October meeting.

The following process identifies the chair nominee(s): In the years in which a chair is to be selected, the staff shall work directly with the outgoing committee chair to identify committee members eligible to serve as chair and to confirm the nomination of one or two chair nominees for confirmation by the Board of Directors. The committee chair or the staff, at the request of the committee chair, will confirm interest of all nominees.

Responsibilities of Committee Chair

The committee chair shall:

1. Track academic-related issues and work with NCAA staff to strategically prioritize academic issues;
2. Oversee development of committee agendas;
3. Lead full committee meetings and Administrative Committee meetings and teleconferences;
4. Provide reports regarding the work of the committee to Division I governance and membership entities as needed (e.g., NCAA Division I Council, Board of Directors, member conferences);
5. Provide an annual in-person academics report to the NCAA Division I Board of Directors;
6. Attend the NCAA Convention and present or speak on behalf of the committee as needed;
7. Serve as speaking agent for media or public inquiries as needed (per Association's policy);
8. Film educational or informational resources for the membership and public audiences as needed;
9. Reply on behalf of the committee to written or verbal requests from NCAA-affiliated constituents (e.g., member conferences, member institutions, coaches associations);
10. Appoint a committee member to serve as a liaison to the Division I Council;
11. Appoint eligible committee members to subcommittees;
12. Appoint nonvoting ad hoc members to the committee as necessary;

13. Appoint nonvoting ad hoc members to the subcommittees as necessary;
14. Appoint the subcommittee chairs;
15. Recommend to the Board of Directors that a member of the committee be replaced if the member is not fulfilling his or her duties;
16. Submit nominations for the position of committee chair to the Board of Directors;
17. Review requests for appeals of subcommittee decisions on ineligibility for postseason competition to determine if the request should be reviewed by the full committee; (Revised: 01/12; Effective: 01/12)
18. Consider requests to extend the timeline for appealing a Level-Three penalty waiver request; (Revised: 01/12; Effective: 01/12)
19. Communicate with institutions subject to APP penalties or postseason ineligibility as needed;
20. Determine if the full committee should be divided in to two hearing panels for the purpose of conducting APP Level-Three hearings;
21. Oversee and lead hearing proceedings for institutions subject to a Level-Three penalty hearing or appeal of a subcommittee decision on postseason ineligibility;
22. Consider appeals of instances in which an institution's data review and/or APP waiver processes are incomplete as of June 1 and the institution must notify student-athletes of pending loss of access to postseason competition.

All other leadership duties typically associated with chairing a Division I committee.

Selection of Committee Vice Chair

The Board of Directors may, at its discretion, select an individual to serve as vice chair of the Committee on Academics. The vice chair is eligible for position of vice chair only if he or she is the chancellor or president of an active Division I institution.

Responsibilities of Committee Vice Chair

The committee vice chair shall:

1. Lead full committee meetings and Administrative Committee meetings and teleconferences in the absence of the committee chair;
2. Support the committee chair in executing the duties and responsibilities of the Committee on Academics; and
3. Perform any other responsibilities of the committee chair as necessary or requested by the committee chair.

Reporting Lines

The Committee on Academics reports to the NCAA Division I Board of Directors. The Board of Directors serves as the division's overall governing body with responsibility to oversee strategy, policy and legislation. As the division's primary academic authority, the committee shall determine when an academic policy warrants the Board's direction and presidential leadership. The Board of Directors retains the ability to review any policy item acted upon or considered by the Committee on Academics.

Liaison to Council

The NCAA Division I Council serves at the division's primary legislative authority. The Committee on Academics retains the responsibility and authority to recommend and review all legislative items that impact academics. In order to execute the committee's responsibility, a member of the committee will serve as a liaison to the Council as needed. The Committee on Academics Council liaison shall not vote on Council proceedings, but act as a communication link between the two governance bodies.

Responsibilities of Liaison to Council

The Committee on Academics liaison shall:

1. Attend in-person meetings of the Council;
2. Seek feedback from the Council regarding matters of importance that the committee is considering (e.g., future legislation under discussion);
3. Present committee-sponsored legislation to the Council, explain the rationale and answer questions when such legislation is voted on by the Council;
4. Reflect the committee position on legislation that impacts academics;
5. Present Council reports to the committee; and

6. When requested by the Council, provide committee input to the Council.

Selection of Ad Hoc Members of Committee on Academics

In order to facilitate its work or bring needed expertise on particular issues, the committee chair may recommend that nonvoting ad hoc member(s) be appointed to the committee. The committee chair has the authority to appoint and dismiss ad hoc members. All ad hoc members serve as nonvoting members of the committee.

ORGANIZATION OF COMMITTEE ON ACADEMICS



Organization

In order to administer the duties of the Committee on Academics, the committee will organize and assign responsibilities to the appropriate subcommittees of the committee.

Each committee member, excluding presidents or chancellors, will be appointed to one subcommittee on which the member will normally serve for the duration of his or her term on the committee.

Subcommittees

The following standing subcommittees shall report directly to and help facilitate the work of the Committee on Academics: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics; NCAA Division I Committee on Academics Subcommittee on Data; and NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals.

Committee on Academics Subcommittee on Student-Athlete Academics

The Subcommittee on Student-Athlete Academics shall consist of five members of the Committee on Academics and six nonvoting ad hoc members comprised of the chairs of the following reporting committees: the Division I Initial-Eligibility Waivers Committee, the Division I Progress-Toward-Degree Waivers Committee Subcommittee on Progress-Toward-Degree Waivers, the Division I Progress-Toward-Degree Waivers Committee Subcommittee on Two-Year College Transfer Waivers, the High School Review Committee, the Student Records Review Committee, and the International Student Records Committee. The Subcommittee on Student-Athlete Academics will:

1. Study issues and make policy or legislative recommendations concerning academic matters that impact student-athletes;
2. Be responsible for review and consideration of the portions of the NCAA Division I legislation that relate to principles of sound academic requirements;

3. Recommend, manage and monitor academic eligibility standards and related policies (e.g., initial eligibility, two-year college transfers, progress-toward-degree);
4. Oversee administration of waivers as specified by legislation and/or policy;
5. Review and provide feedback on academically-related legislative interpretations as requested;
6. Take final action on routine and noncontroversial matters of operational policy and procedures (e.g., reporting committee waiver directives);
7. Work with the NCAA Division II governance structure to ensure that consistent policies exist, when possible, while maintaining each division's philosophy and legislative intent;
8. Maintain relationships between the Association and the nation's two-year colleges as represented by established regional and national organizations; and
9. Administer and oversee any other academic matters not otherwise specified, as directed by the Committee on Academics.

Committee on Academics Subcommittee on Data

The Subcommittee on Data shall consist of six members of the Committee on Academics and will:

1. Study issues and develop policies related to APP data and the collection of APP data;
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policy items initially presented to the subcommittee to determine if any should be forwarded to the full committee for review and possible action as recommended by the subcommittee.
3. Interpret APP data legislation and policies;
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee the collection and review of APR, APC, GSR and any other data/information necessary to administer the APP;

6. Oversee the annual publication of the APR and other data collection information for the NCAA Division I membership;
7. Review all requests for extensions of the APR, APC and GSR data collection filing deadlines and render appeal decisions in accordance with the APP penalty waiver directive and this manual;
8. Review all requests seeking use of an alternative definition of "recruited" and/or identification of student-athletes to be used for the purpose of calculating a team's APR and/or GSR; and render appeal decisions in accordance with the APP penalty waiver directive and this manual;
9. Determine penalties and notify those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline;
10. Administer and oversee all aspects of APR adjustments requests and appeals;
11. Oversee the committee reporting function, including responsibility for written notification to institutions of penalties resulting from failure to meet minimum established APR and/or GSR criteria for the APP penalty structure;
12. Administer and oversee the review of APP data for selected institutions including issuance of a final report that summarizes the findings of the review;
13. Review all requests for relief from APP penalties based on changes to prior year(s) APP data;
14. Administer and oversee all aspects of waiver requests of instances in which an institution's data review and/or APP waiver processes are incomplete by June 1 and the institution must notify student-athletes of pending postseason ineligibility; and (*Adopted:10/13. Effective: Immediately*)
15. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Committee on Academics Subcommittee on Penalties and Appeals

The Subcommittee on Penalties and Appeals shall consist of six members of the Committee on Academics and will:

1. Study issues and develop policies related to APP Penalties and Appeals and the application of APP penalties and access to postseason competition;

2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policies and determine if any should be forwarded to the full committee for review and/or possible action.
3. Interpret APP penalties and appeals legislation and policies including access to postseason competition and waiver requests;
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee all aspects of APP waiver requests and appeals processes including requests to waive loss of access to postseason competition and requests to waive Level-One and -Two APP penalties. The subcommittee does not hear requests to waive Level-Three APP penalties or loss of access to postseason competition in conjunction with Level-Three penalties; and
6. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Subcommittee Appointments

The Committee on Academics chair will make appointments as needed to fill subcommittee vacancies.

Selection of Subcommittee Chairs

Each of the Committee on Academics three subcommittees shall have a chair.

Subcommittee chairs normally shall serve as chair for the remainder of their respective committee terms. Subcommittee chairs shall be selected as follows:

1. The subcommittee discusses the pending open chair position and subcommittee members are provided the opportunity to nominate themselves or another member for the position.
2. The current subcommittee chair or the staff shall confirm the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the committee chair.

4. The committee chair shall select the subcommittee chair.

Responsibilities of Subcommittee Chair - General

The subcommittee chair shall:

1. Oversee development of subcommittee agendas;
2. Lead teleconferences and meetings of the subcommittee;
3. Welcome and assist in transition and training of new subcommittee members;
4. When requested, review appeal cases forwarded from staff to determine if the appeal should be considered by the subcommittee;
5. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties;
6. Present subcommittee reports during committee meetings;
7. Participate as members of the Committee on Academics Administrative Committee;
8. Recommend selection of new subcommittee chair; and
9. Perform and oversee any other matters as necessary to execute specific subcommittee duties and responsibilities.

Administrative Committee

The Committee on Academics Administrative Committee consists of each subcommittee chair, the Committee on Academics chair (who also serves as chair of the Administrative Committee), the Committee on Academics vice chair (when applicable) and the chair-elect (when applicable). All Administrative Committee members, including the chair, may vote on items of business before the committee. *(Revised: 10/08)*

The Administrative Committee is authorized to:

1. Act for the Committee on Academics on routine and noncontroversial matters between in-person committee meetings;

2. Act for the Committee on Academics on matters of an emergency nature;
3. Organize meeting agendas subsequent to submission of agenda items by committee members;
5. Interpret APP legislation and academic policies;
4. Revise, as needed, the established operating manual of the Committee on Academics; and
5. Approve participation of nonvoting ad hoc members, as needed.

The full Committee on Academics will receive all Administrative Committee minutes

OPERATIONS



Agenda Development

1. The Committee on Academics chair shall have final authority to determine the committee agenda. The chair shall work in consultation with the staff to finalize the agenda for each meeting.
2. Conferences, institutions or external organizations (e.g., faculty or coaches organizations) with potential agenda items for committee consideration shall forward such items to the committee's primary staff liaison at the NCAA national office. The staff will consult with the institution or conference to determine how best to handle the item and what supplementary material should be provided, if any. The staff shall work directly with the chair where appropriate to facilitate review of conference, institutional or external organizational matters.
3. The committee will receive and review all subcommittee reports. All subcommittee actions, except where otherwise indicated by policy (e.g., appeals), are subject to review by the full committee.

Absences

The Committee on Academics generally conducts in-person meetings four times annually. Alternates may not be appointed to attend a meeting in the absence of a committee member. Committee members who are not in attendance at two consecutive meetings will be contacted by the chair of the subcommittee(s) on which they serve to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the committee member and/or the conference office of the representative to discuss the member's excessive absences. A committee member may be dismissed from the committee after further absences.

Meeting Frequency

The Committee on Academics will conduct four in-person meetings annually. The meetings will typically be scheduled in advance of the Board of Directors' meetings (e.g., February, April, June/July, and October).

Meeting Administration

The Committee on Academics chair shall lead all full committee meetings and/or teleconferences. In the event the committee chair is absent or otherwise unable to lead a committee meeting or teleconference, the vice chair shall have the authority to lead the committee meeting or teleconference. In the event both the committee chair and vice chair are absent or unable to lead a committee meeting or teleconference, another member of the committee may be selected to lead the meeting by a majority vote of all members of the committee present at the meeting or teleconference.

Meeting Participation by Non-Committee on Academics Members

Appearances of noncommittee members (other than staff) before the committee are by invitation only. Exceptions may be made by the Administrative Committee or the Committee on Academics chair on a case-by-case basis.

Processing Subcommittee Recommendations

The Committee on Academics follows these policies in processing recommendations from subcommittees that report to it.

1. Each subcommittee shall provide a written report from each its meeting to the full committee. These reports shall include any requests for full committee action recommended by the subcommittee.
2. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.
3. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
4. If further deliberations are required, the committee may table the recommendation or refer it back to a subcommittee for additional discussion.

Noncontroversial Policies & Procedures – Subcommittee Authority

Each subcommittee has the authority to take action on routine and noncontroversial matters of policy and procedure. As the division's primary academic authority, the Committee on Academics retains the authority to review action taken by a subcommittee on routine and noncontroversial matters of policy and procedure.

Voting Procedures

The method of voting on issues considered by the Committee on Academics shall be by show of hands of the committee members present and voting, except for actions taken by the unanimous or obvious consent. Committee members must be present to vote and a simple majority of members present and voting will prevail.

Adopting/Revising and Publishing Policies and Procedures – General

The Committee on Academics shall have the authority to adopt or revise policies and procedures as contained in this manual annually, or as needed. The Board of Directors, at its discretion, may review, amend and/or act on any policy adopted by the Committee on Academics.

Speaking Agent Policy

The NCAA speaking agent policy is as follows:

The president of the Association and the chair of the Executive Committee are the only individuals authorized to speak on behalf of the Association except as outlined below.

An individual representing a member institution or conference who speaks or opines on an Association issue only has the authority to express the view of that individual or the member institution or conference unless the individual has been designated by the NCAA Executive Committee of the Association as a speaking agent of the Association on that issue.

Committee chairs are hereby designated as speaking agents of their committees regarding issues within their committees' jurisdiction on which there is consensus, except that positions of advocacy on behalf of the committee or the Association to be communicated in writing or orally to persons or entities external to the Association must have prior approval by the NCAA Executive Committee or the president of the Association. For purposes of this policy, committees include all NCAA committees, cabinet, boards, councils, subcommittees and special or ad hoc groups.

The president of the Association is hereby granted authority to designate additional speaking agents of the Association."

Committee members are expected to adhere to this policy.

Ex Parte Communication

In order to maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Conflicts of Interest

A member of the Committee on Academics shall not participate in the committee's discussion or vote on any action that might bring direct or indirect financial benefit to the member or any organization in which the member is financially interested (other than the member's institution or the conference of which it is a member). A violation of this rule by a member of the committee shall not invalidate the action taken by the committee if, following disclosure of the conflict of interest, the committee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the committee member with the conflict of interest, and the Board of Directors approves such action.

Additionally, committee members must recuse themselves from participation in a waiver appeal, data review or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A Committee on Academics member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a committee member that has recused him- or herself may participate in the preparation of a waiver request for their own institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

It is the responsibility of the Committee on Academics member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academics member participating in a waiver request or data review must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the committee's review. Participation by a committee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the committee member's participation in committee-related activities.

In the event that the committee chair or a subcommittee chair must recuse himself or herself, or is unable to participate in committee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the

event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

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Chapter 2

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NCAA Division I Committee On Academics Subcommittee on Student-Athlete Academics

The NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics is one of three standing subcommittees that report directly to and helps facilitate the work of the NCAA Division I Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Data and the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals.

The purpose of the Subcommittee on Student-Athlete Academics is to study issues and make policy or legislative recommendations concerning academic matters, unrelated to the NCAA Division I Academic Performance Program (APP). Specifically, the subcommittee is responsible for review and operational oversight of the portions of the NCAA Division I legislation that relates to academic eligibility standards. In this capacity, the subcommittee oversees the administration of waivers as specified by legislation and/or policy (e.g., progress-toward-degree, initial eligibility, two-year college transfers) and provides feedback on academically-related legislative interpretations as requested.

Duties and Responsibilities

The Subcommittee on Student-Athlete Academics will:

1. Study issues and make policy or legislative recommendations concerning academic matters that impact student-athletes;
2. Be responsible for review and consideration of the portions of the NCAA Division I legislation that relate to principles of sound academic requirements;
3. Recommend, manage and monitor academic eligibility standards and related policies (e.g., initial eligibility, two-year college transfers, progress-toward-degree);
4. Oversee administration of waivers as specified by legislation and/or policy;
5. Review and provide feedback on academically-related legislative interpretations as requested;

6. Take final action on routine and noncontroversial matters of operational policy and procedures (e.g., reporting committee waiver directives);
7. Work with the NCAA Division II governance structure to ensure that consistent policies exist, when possible, while maintaining each division's philosophy and legislative intent;
8. Maintain relationships between the Association and the nation's two-year colleges as represented by established regional and national organizations; and
9. Administer and oversee any other academic matters not otherwise specified, as directed by the Committee on Academics.

Composition

The Subcommittee on Student-Athlete Academics shall consist of five members of the Committee on Academics. The subcommittee will also include six nonvoting ad hoc members. The chair of the Division I Initial-Eligibility Waivers Committee, the chair of the Division I Progress-Toward-Degree Waivers Committee Subcommittee on Progress-Toward-Degree Waivers, the chair of the Division I Progress-Toward-Degree Waivers Committee Subcommittee on Two-Year College Transfer Waivers, the chair of the High School Review Committee, the chair of the Student Records Review Committee, and the chair of the International Student Records Committee will serve as nonvoting ad hoc members to the Subcommittee on Student-Athlete Academics.

Ad Hoc Member Participation

Subcommittee on Student-Athlete Academics nonvoting ad hoc members will provide necessary expertise on issues related to the work of the ad hoc members' respective reporting committees as needed. Ad hoc members shall confine their involvement in subcommittee discussions to issues that pertain to the ad hoc member's respective reporting committee. All ad hoc members will serve as nonvoting members of the subcommittee and may not be selected to serve as subcommittee chair.

Selection of Subcommittee Chair

Each of the committee's subcommittees shall have a chair. Subcommittee chairs normally shall serve as chair for the remainder of their respective committee terms.

The Subcommittee on Student-Athlete Academics chair shall be selected as follows:

1. The subcommittee discusses the pending open chair position and subcommittee members are provided the opportunity to nominate themselves or another member of the subcommittee for the position.
2. The current subcommittee chair or the staff shall confirm the interest and willingness of each nominee to serve as chair.
3. Names of the nominees and a recommendation of the outgoing chair are provided to the Committee on Academics chair.
4. The Committee on Academics chair shall select the subcommittee chair.

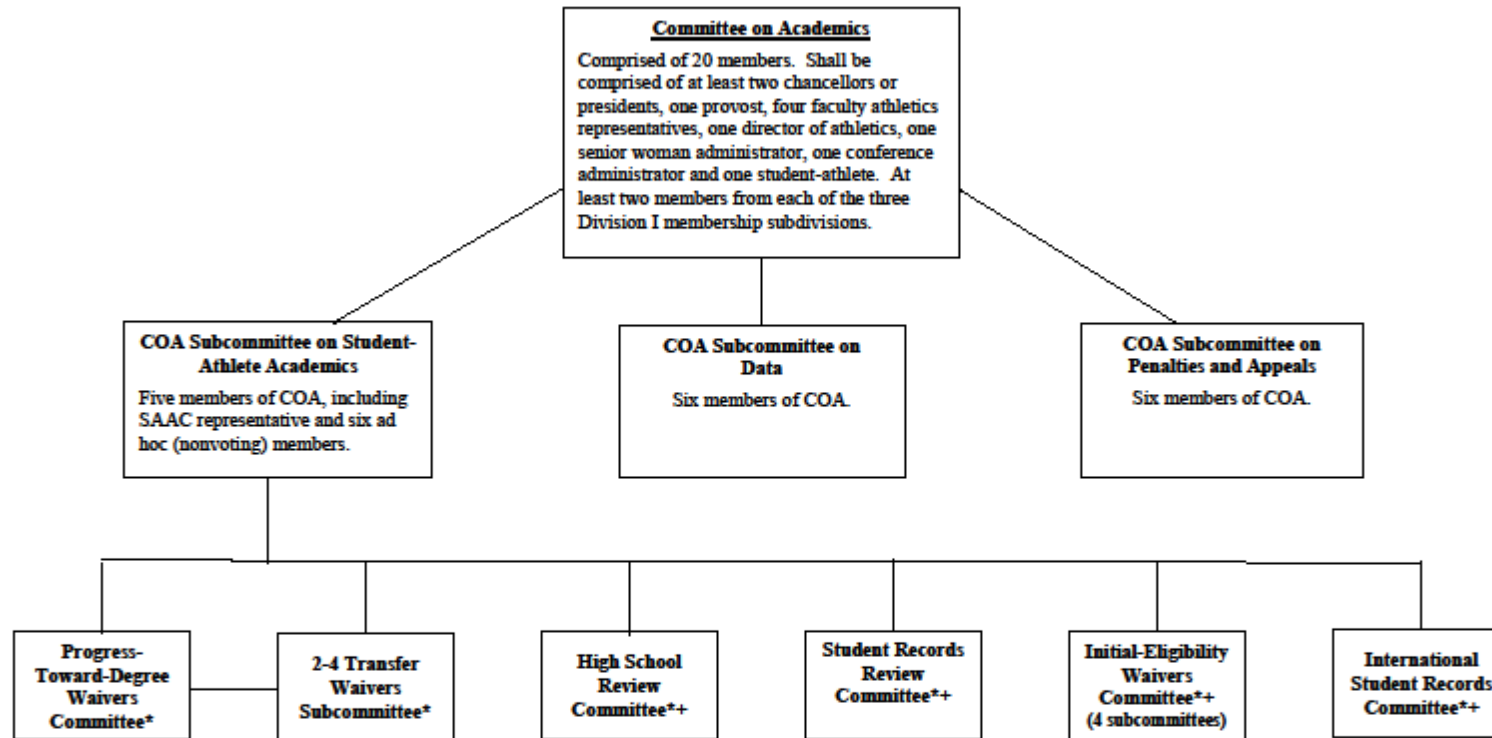
Responsibilities of Subcommittee Chair

1. Oversee development of subcommittee agendas;
2. Lead teleconferences and meetings of the subcommittee;
3. Welcome and assist in transition and training of new subcommittee members;
4. Finalize development of subcommittee agendas;
5. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties;
6. Present subcommittee reports during meetings of the Committee on Academics;
7. Participate as a member of the Committee on Academics Administrative Committee; and
8. Recommend selection of new subcommittee chair.

Reporting Lines

The Subcommittee on Student-Athlete Academics reports to the Committee on Academics. As the division's primary academic authority, the Committee on Academics retains the authority to review action taken by the Subcommittee on Student-Athlete Academics on routine and noncontroversial matters of policy and procedure.

NCAA Academic Governance Structure



*Chairs of each committee would serve as ad hoc (nonvoting) members of the Student-Athlete Academics Subcommittee. Membership on these committees as outlined in current legislation.
 +Operations are managed by the Eligibility Center.

Absences

The Subcommittee on Student-Athlete Academics generally conducts in-person meetings and teleconferences. Alternates may not be appointed to attend a meeting or teleconference in the absence of a subcommittee member. Nonvoting ad hoc members need only attend in-person meetings or teleconferences when an agenda issue pertains to the ad hoc member's respective reporting committee. Subcommittee members who are not in attendance at two consecutive meetings or teleconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedure

The method of voting on issues considered by the subcommittee shall be verbal if the vote is conducted via teleconference, or by show of hands if the vote is conducted in person. The vote is taken of the subcommittee members present, except for actions taken by the unanimous or obvious consent. Subcommittee members must be present to vote and a simple majority of members present and voting will prevail.

Processing Reporting Committee Recommendations

The Subcommittee on Student-Athlete Academics follows these policies in processing recommendations from the five committees that report to it.

1. The five committees shall provide a written report from their respective meetings to the full subcommittee prior to a subcommittee meeting or teleconference. These reports shall include any recommendations for which a reporting committee requests full subcommittee action.
2. Any change to a Division I bylaw that is recommended by a reporting committee shall be presented to the full subcommittee for discussion and action. If endorsed by the subcommittee, the recommendations will be forwarded to the Committee on Academics for review and action.
3. The subcommittee may elect to alter a recommendation from a reporting committee, requiring a vote of the full subcommittee.

4. If further deliberations are required, the subcommittee may table the recommendation or refer it back to the particular reporting committee for additional discussion.
5. All subcommittee actions, except where otherwise indicated by policy, are subject to review of the Committee on Academics.

Forwarding Subcommittee Recommendations

Subcommittees that report to the Committee on Academics follow these policies in forwarding recommendations to the full Committee on Academics:

1. Each subcommittee shall determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (*see* Noncontroversial Policies and Procedures – Guidelines);
2. Each subcommittee shall provide a written report from each of its meetings to the full committee. These reports shall include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
5. If further deliberations are required, the committee may table the recommendation or refer it back to a subcommittee for additional discussion.

Noncontroversial Policies and Procedures – Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy and procedure is routine or noncontroversial:

1. A subcommittee policy or procedure may be considered noncontroversial if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way.
 - b. Significant disagreement or alternative points of view will not be generated.

- c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.
2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

Speaking Agent

The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the Executive Committee are the only individuals authorized to speak on behalf of the Association except as outlined below.

An individual representing a member institution or conference who speaks or opines on an Association issue only has the authority to express the view of that individual or the member institution or conference unless the individual has been designated by the NCAA Executive Committee of the Association as a speaking agent of the Association on that issue.

Committee chairs are hereby designated as speaking agents of their committees regarding issues within their committees' jurisdiction on which there is consensus, except that positions of advocacy on behalf of the committee or the Association to be communicated in writing or orally to persons or entities external to the Association must have prior approval by the NCAA Executive Committee or the president of the Association. For purposes of this policy, committees include all

NCAA committees, cabinet, boards, councils, subcommittees and special or ad hoc groups.

The president of the Association is hereby granted authority to designate additional speaking agents of the Association."

Subcommittee members are expected to adhere to this policy.

Conflict of Interest Policy

A subcommittee member shall not participate in the subcommittee's discussion or vote on any action that might bring direct or indirect financial benefit to the member or any organization in which the member is financially interested (other than the member's institution or the conference of which it is a member). A violation of this rule by a member of the committee shall not invalidate the action taken by the subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest, and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused him- or herself may participate in the preparation of a waiver request for their own institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

It is the responsibility of the subcommittee member to remove him- or herself if a conflict exists. Institutional objections to a subcommittee member participating in a waiver appeal must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the subcommittee's review. Participation by a subcommittee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the subcommittee member's participation in subcommittee-related activities.

In the event that the subcommittee chair must recuse him- or herself or is unable to participate in subcommittee business, the remaining members must vote, by simple

majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

Committee Substructure

Policies for Committees that Report to the Subcommittee on Student-Athlete Academics

Committee	Composition	Duty
NCAA Division I Initial-Eligibility Waivers Committee	The committee shall consist of 20 members appointed by the NCAA Division I Council.	Oversee the process for reviewing requests for waivers of the initial-eligibility requirements and consider appeals of staff decisions related to initial-eligibility waiver requests.
NCAA Division I Progress-Toward-Degree Waivers Committee	The committee shall consist of 14 members, which includes two subcommittees of seven appointed by the NCAA Division I Council. One subcommittee will review progress-toward-degree waivers and the other two-year college waivers.	Oversee the process for reviewing requests for waivers of progress-toward-degree and two-year college transfer requirements, and consider appeals of staff decisions related to waiver requests for which the committee has jurisdiction.
NCAA International Student Records Committee	The committee shall consist of six members including two Division I representatives, two Division II representatives and two representatives who may be from either Division I or Division II.	Assist in reviewing initial-eligibility standards for international students.

Committee	Composition	Duty
NCAA Student Records Review Committee	<p>The committee shall consist of nine members and shall be constituted as follows:</p> <ol style="list-style-type: none"> 1. One admissions officer of a Division I or Division II institution; 2. One staff member of a Division I or Division II institution or conference office; 3. One representative from Division I; 4. One representative from the NCAA Division II Academic Requirements Committee; 5. Four representatives from the secondary-school community; and 6. One member selected at large from either the secondary-school community or a Division I or II institution or conference office. 	<p>Establish policies and procedures related to the review of a prospective student-athlete's academic credentials and to determine the validity of a prospective student-athlete's credentials for the purpose of meeting initial-eligibility requirements.</p>
NCAA High School Review Committee	<p>The committee shall consist of nine members and shall be constituted as follows:</p> <ol style="list-style-type: none"> 1. One admissions officer of a Division I or Division II institution; 2. One staff member of a Division I or Division II institution or conference office; 3. One representative from Division I; 4. One representative from the Academic Requirements Committee; 5. Four representatives from the secondary-school community; and 6. One member selected at large from either the secondary-school community or a Division I or II institution or conference office. 	<p>Establish policies and procedures related to the academic review of high schools and to determine the validity of a high school (e.g. core courses, curriculum, grades) for the purpose of meeting initial-eligibility requirements.</p>

NCAA Division I
Committee on Academics
Operating Manual
2014-15

Chapter 3

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NCAA Division I Committee on Academics Subcommittee on Data

Purpose

The NCAA Division I Committee on Academics Subcommittee on Data is one of three standing subcommittees that report directly to and help facilitate the work of the NCAA Division I Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals and the NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics.

The purpose of the Subcommittee on Data is to administer specific aspects of the NCAA Division I Academic Performance Program (APP) on behalf of the Division I membership and the Committee on Academics. The central purpose of the APP is to ensure that the membership is dedicated to providing student-athletes with an exemplary educational and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions, while enhancing the ability of student-athletes to earn a degree. *(Revised: 10/11. Effective: 10/11)*

Duties and Responsibilities

The Subcommittee on Data will:

1. Study issues and develop policies related to APP data and the collection of APP data;
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policy items initially presented to the subcommittee to determine if any should be forwarded to the full committee for review and possible action as recommended by the subcommittee;
3. Interpret APP data legislation and policies;
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee the collection and review of NCAA Division I Academic Progress Rate (APR), Academic Performance Census (APC), Graduation

6. Success Rate (GSR) and any other data/information necessary to administer the APP;
7. Oversee the annual publication of the APR and other data collection information for the NCAA Division I membership;
8. Review all requests for extensions of the APR, APC and GSR data collection filing deadlines and render appeal decisions in accordance with the APP penalty waiver directive and this manual;
9. Review all requests seeking use of an alternative definition of "recruited" and/or identification of student-athletes to be used for the purpose of calculating a team's APR and/or GSR; and render appeal decisions in accordance with the APP penalty waiver directive and this manual;
10. Determine penalties and notify those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline;
11. Administer and oversee all aspects of APR adjustments requests and appeals;
12. Oversee the committee reporting function, including responsibility for written notification to institutions of penalties resulting from failure to meet minimum established APR and/or GSR criteria for the APP penalty structure;
13. Administer and oversee the review of APP data for selected institutions including issuance of a final report that summarizes the findings of the review;
14. Review all requests for relief from APP penalties based on changes to prior year(s) APP data;
15. Administer and oversee all aspects of waiver requests of instances in which an institution's data review and/or APP waiver processes are incomplete by June 1 and the institution must notify student-athletes of pending postseason ineligibility; and *(Adopted 10/13. Effective: Immediately)*
16. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Composition

The subcommittee shall consist of six members of the Committee on Academics. All subcommittee members shall be on the staff of an active Division I institution or conference. One member will serve as chair, at the discretion of the chair of the Committee on Academics.

Selection of Subcommittee Chair

Each of the committee's subcommittees shall have a chair. Subcommittee chairs normally shall serve as chair for the remainder of their respective committee terms. Subcommittee chairs shall be selected as follows:

1. The subcommittee discusses the pending open chair position and subcommittee members are provided the opportunity to nominate themselves or another member for the position.
2. The current subcommittee chair or the staff shall confirm the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the committee chair.
4. The committee chair shall select the subcommittee chair.

Responsibilities of Subcommittee Chair

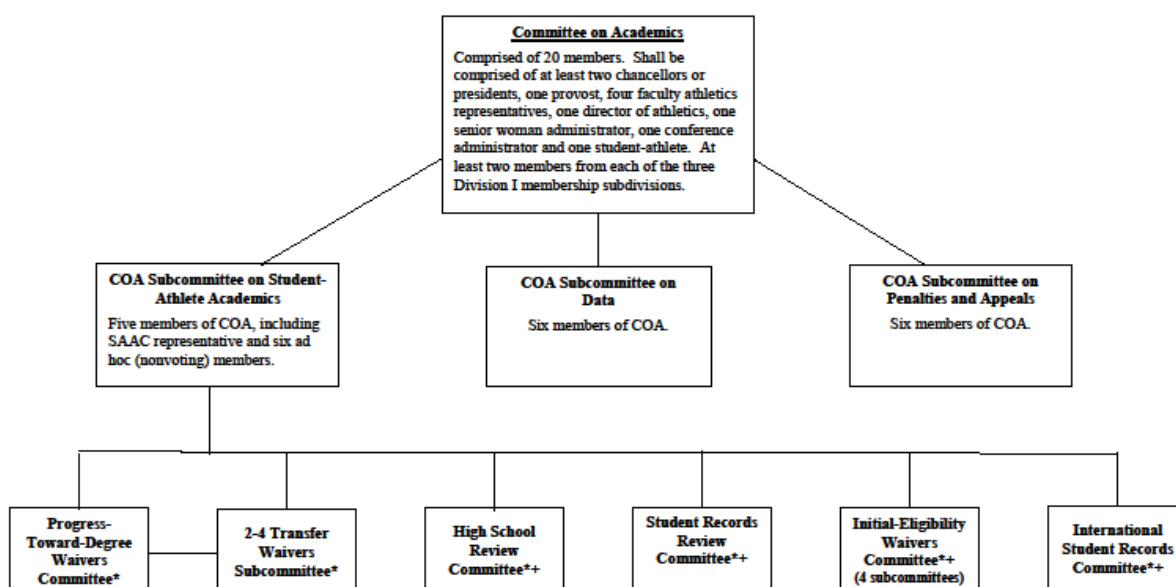
1. Lead the subcommittee's teleconferences and meetings.
2. Welcome and assist in transition and training of new subcommittee members.
3. When requested, review appealed staff decisions that do not align with the standard appellate process to determine if subcommittee should consider the appeal.
4. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties.
5. Present subcommittee reports during full committee meetings.

6. Participate as members of the NCAA Division I Committee on Academics Administrative Committee.
7. Recommend selection of new subcommittee chair.

Reporting Lines

The subcommittee reports to the NCAA Division I Committee on Academics.

NCAA Academic Governance Structure



*Chairs of each committee would serve as ad hoc (nonvoting) members of the Student-Athlete Academics Subcommittee. Membership on these committees as outlined in current legislation.
 **Operations are managed by the Eligibility Center.

Absences

The Subcommittee on Data generally conducts in-person meetings and teleconferences. Alternates may not be appointed to attend a meeting or teleconference in the absence of a subcommittee member. Subcommittee members who are not in attendance at two consecutive meetings or teleconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and

committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedures

The method of voting on issues considered by the subcommittee shall be verbally if the vote is conducted via teleconference, or by the show of hands if the vote is conducted in person. The vote is taken of the subcommittee members present, except for actions taken by the unanimous or obvious consent. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote. Subcommittee members must be present to vote and a simple majority of members present and voting will prevail.

Forwarding Subcommittee Recommendations

Subcommittees follow these policies in forwarding recommendations to the full Committee on Academics:

1. Each subcommittee shall determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (*see Noncontroversial Policies and Procedures – Guidelines*);
2. Each subcommittee shall provide a written report of its meetings and teleconferences to the full committee. These reports shall include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
5. If further deliberations are required, the committee may table the recommendation or refer it back to the subcommittee for additional discussion.

Noncontroversial Policies and Procedures Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy

and procedure is routine and noncontroversial in nature:

1. A subcommittee policy or procedure may be considered noncontroversial only if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way;
 - b. Significant disagreement or alternative points of view will not be generated; and
 - c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.
2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

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The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the Executive Committee are the only individuals authorized to speak on behalf of the Association except as outlined below.

An individual representing a member institution or conference who speaks or opines on an Association issue only has the authority to express the view of that individual or the member institution or conference unless the individual has been designated by the Executive Committee of the Association as a speaking agent of the Association on that issue.

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The president of the Association is hereby granted authority to designate additional speaking agents of the Association."

Subcommittee members are expected to adhere to this policy.

Conflicts of Interest

A subcommittee member shall not participate in the subcommittee's discussion or vote on any action that might bring direct or indirect personal financial benefit to the member or any organization (other than the member's institution or conference) in which the member is financially interested. A subcommittee member should also not participate in a discussion or vote for which the member's institution or conference is to be accorded a special benefit beyond benefits shared with other institutions or conferences or is to receive a penalty or disqualification. A violation of either of the above rules by a member of the committee shall not invalidate the action taken by the subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest, and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused him- or herself may participate in the preparation of a waiver request for their own institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

It is the responsibility of the subcommittee member to remove him- or herself if a conflict exists.

Institutional objections to a subcommittee member participating in a waiver appeal must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the subcommittee's review. Participation by a committee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the subcommittee member's participation in subcommittee-related activities.

In the event that the subcommittee chair must recuse him or herself or is unable to participate in subcommittee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

NCAA Division I Academic Performance Program Key Terms and Concepts

Academic Progress Rate (APR)

The APR is a term-by-term measure of eligibility, retention and graduation of student-athletes who have received institutional financial aid based in any degree on athletics ability during the academic term(s) in question. For those athletics programs/institutions that do not offer athletically related financial aid, this rate will be calculated on a subset of recruited student-athletes. Data collection for this "snapshot" rate, calculated on a team-by-team basis, will occur at the beginning of each academic year (based on student-athlete academic performance during the previous academic year) and team rates will be reported the following spring. There are several variables required to calculate the APR. First, each institution must determine the term-by-term academic-eligibility status for each student-athlete in the cohort. Second, the question of retention for each student-athlete must be determined by confirming if each student-athlete returned (or continued enrollment) as a full-time student or satisfied a legislated exception for full-time enrollment as of the fifth week of classes or the official census date, whichever is earlier, in the following regular academic term.

Rate Calculation General

Each student-athlete in the APR cohort has the ability to earn two points for each regular academic term of full-time enrollment. One point is awarded if the student-athlete is academically eligible to compete the following regular academic term. The other point is awarded if the student-athlete is retained by the institution (i.e., returns to school as a full-time student as of the fifth week of classes or the official census date of the institution, whichever is earlier) in the next regular academic term. Student-athletes who graduate will be given both the eligibility and retention points for the term in which they graduate, while those who leave after five years of enrollment (i.e., 10 full-time semesters or 15 quarters) without graduating will not earn any points for their last term of enrollment in that fifth year. At the start of each academic year, each Division I team's APR will be calculated by adding all points earned by student-athletes in the team's cohort and any delayed-graduation points and dividing that number by the total possible points that could have been earned. The raw APR is multiplied by 1,000 to achieve the final APR.

Beginning fall 2007, the APR was based on four years of data for most teams (i.e., 2003-04, 2004-05, 2005-06 and 2006-07). Every year thereafter, the most current

year's data will be added and the oldest year of data will be removed, creating a four-year rolling rate.

See [Appendix 3A](#) for examples of APR calculations for individual student-athletes.

Rate Conversion for Final APR – Semester Schools

Translating the scores from decimals to whole numbers aids in the understanding and interpretability of scores. This translation does not alter the meaning of the scores; rather, it puts the scores in terms that are more understandable. In order to achieve final APR for semester schools, raw APR are multiplied by 1,000.



Example: Raw APR of $.97 \times 1000 = 970$ final APR

Multiyear APR

The APR is comprised of four years of APR data, resulting in a multiyear rate. Each year, the most current year's data will be added and the oldest year of data will be removed, creating a four-year rolling rate. The APR is used to demonstrate academic performance of all Division I teams. In addition, it is used to determine what teams are subject to penalties and rewards within the APP structure. The APR also serves as a point of academic access to postseason competition. (*Revised: 10/11; Effective: 10/11*)

- Calculation of Multiyear APR. - Teams' multiyear APR will be determined by adding the numerators and denominators for all included years and then dividing the overall numerator by the overall denominator to calculate the multiyear rate. This is the statistically correct way of creating a multiyear rate. This method will take into account the differences in numbers of student-athletes in the calculation from year to year and also accounts for teams with smaller cohort sizes.

Postseason

Postseason is defined as any competition not considered regular season competition per Bylaw 17 [e.g., NCAA championships, national collegiate championships, football bowl games, National Invitation Tournament (NIT), Collegeinsider.com Postseason Tournament (CIT), and College Basketball Invitational (CBI)].

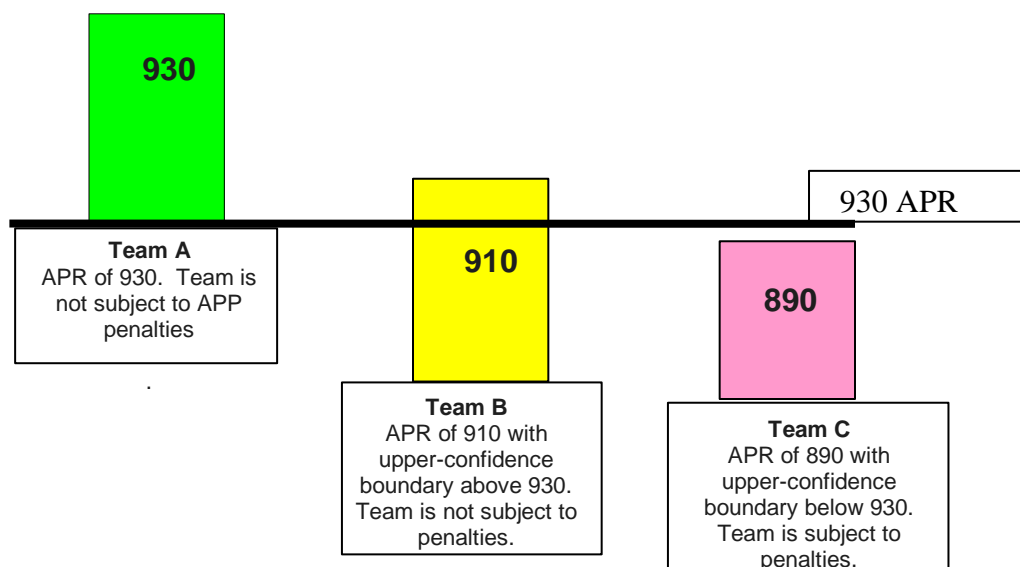
Squad-Size Adjustments

The issue of small sample sizes for particular teams or sports and their impacts relative to APP penalties is addressed using a statistically derived margin of error value for each squad size. This will help ensure that any penalties given to teams with small sample sizes are as statistically valid as those for teams with large sample sizes. A consistent margin of error set at a confidence level of 84 percent will be applied to determine each team's subjectivity to the penalty. This means that the upper-confidence boundary of a team's APR would have to be below 930 for that team to be subject to APP penalties.

The squad-size adjustment no longer applies to most teams, and the penalty benchmark must be met using the team's most recent four-year rolling rate. Teams with a multiyear APR that includes less than 30 student-athletes in the four-year cohort and teams with less than four years of APR data will continue to benefit from use of the squad-size adjustment.

The following graphic depicts use of the upper confidence boundary created by the squad-size adjustment:

→ Squad-Size Adjustment Example



In this example, Team B has an APR of 910. With the squad-size adjustment, the team's upper-confidence boundary is above 930; therefore, the team is not subject to APP penalties or a loss of access to postseason competition. However, Team C has an APR of 890 and even with the squad-size adjustment, its upper-confidence boundary is below 930. Therefore, Team C will be subject to APP penalties and the loss of access to postseason competition pending a review of the filters.

The following chart provides the approximate minimum APR required, based on squad size; such that the team's squad-size adjusted APR will be above 930. Note that that these are approximation to the actual formula and should only serve as rough guidelines.

Number of student-athletes in multiyear APR cohort (N)	Approximate minimum APR to meet squad-size adjusted APR ≥ 930
2	750
3	785
4	805
5	820
6	825
7	835
8	840
9	845
10	850
11	855
12-13	860
14-15	865
16-18	870
19-22	875
23-26	880
27-33	885
34-41	890
42-55	895
56-75	900
76-109	905
110-172	910
173-311	915
312+	920

Calculation of APR for Quarter Schools

During initial development of the assessment component of the NCAA's academic reform package, the APR was envisioned as a single annual check of academic eligibility and retention for each student-athlete. However, in the process of finalizing the APR, strong membership support arose for a term-by-term measure of academic performance that allowed a student-athlete to accrue APR points with each academically successful term and that provided a more direct correspondence with the current Division I progress-toward-degree standards.

The decision to make APR a term-by-term rate created a computational complexity in that student-athletes at semester schools can earn up to four points each year (eligibility and retention at the end of each of two semesters) while students at quarter schools can each earn up to six points (eligibility and retention at the end of each of three quarters). Significant study of this issue by outside statisticians, the NCAA Data Analysis Research Network, the NCAA Research Committee and the NCAA Division I Committee on Academic Performance resulted in clear consensus that quarter schools would unfairly benefit from being able to accrue up to six points per year for each student.

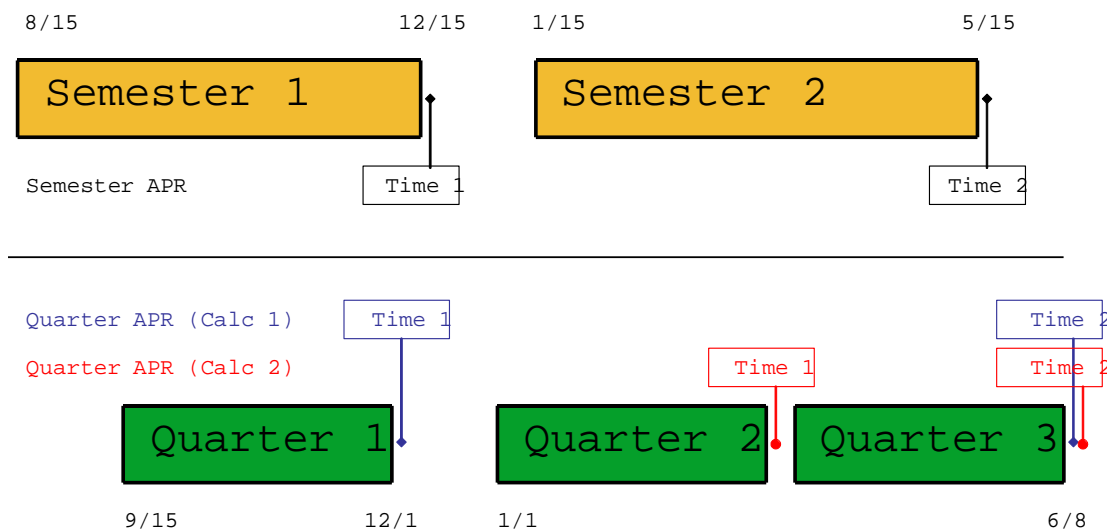
A revised computation of APR for quarter institutions was approved by the Committee on Academic Performance in July 2005 and by the Board of Directors in August 2005. The details of the formula are presented in a companion document on the Committee on Academics website.

The underlying framework for the revised calculation involves a rather simple idea of basing the APR of quarter squads on two assessments during the year rather than three. An end-of-year assessment was chosen as one of the time points because various progress-toward-degree benchmarks are only required to be assessed at that time, because eligibility and retention losses are much more likely at that point in the year, and because it was the only natural assessment point common to both calendar systems. Rather than choosing a single midyear assessment point for quarter squads that takes less of the academic year (end of fall quarter assessment) or more of the academic year (end of winter quarter assessment) into account compared to the midyear assessment performed at semester schools, the quarter squad calculation uses data from both midyear eligibility/retention checks.

Essentially, a rate is calculated using the fall and spring assessments (quarter APR Calculation 1 below) and then averaged with a rate calculated from the winter and spring assessments (quarter APR Calculation 2). The table below displays, for a number of student-athlete academic trajectories possible on a quarter-school squad in a given year, how Calculation 1 (termed the fall-spring calculation in the table) and Calculation 2 (the winter-spring calculation) would work in each case. The points are summed

across the two calculations (column labeled eight-point scale) and then numerators and denominators are divided by two to map the components of the quarter squad APR onto a semester-like four-point scale. As can be seen from the examples, the results of the spring assessment contribute more heavily to a student-athlete's APR contribution at the quarter school than either of the other assessments.

Mapping of Quarter Calendar to Semester Calendar



Notes: Length of bar represents length of academic term (approximately 10 weeks or 50 class days for quarter schools; approximately 15 weeks or 75 class days for semester schools). Chronology of an example academic year shown from left to right.

See [Appendix 3B](#) for a table that provides a rough guide of possible individual student-athlete outcomes.

Retention

A student-athlete will be considered "retained" if he or she returns to the member institution for the next regular academic term and is enrolled full time as of the fifth week of classes or the official census date of the institution, whichever is earlier. Student-athletes who meet a legislated exception to the full-time enrollment legislation and otherwise meet this definition are considered retained. Therefore, if a student-athlete withdraws from a member institution prior to five weeks after the first day of classes or the official census date of the institution, whichever is earlier, he or she has not been "retained" by the institution and the retention point will not be awarded for the previous term. Retention does not require a student-athlete to return to the

athletics team, rather it requires the student-athlete to return to the institution as described.

Example:

A student-athlete was a women's volleyball player and received athletics aid at Institution X for 2011-12. At the end of spring 2012, student-athlete earned the eligibility point. The student-athlete re-enrolled full time at Institution X for fall 2012 and received athletics aid. She then withdrew from Institution X two weeks after the first day of classes. Institution X's official census date is four weeks after the start of the term; as a result, the student-athlete did not earn her retention point for spring 2012, because she was not enrolled as a full-time student at Institution X for the next regular term as of the institution's official census date. Further, the student-athlete will not be included in the cohort for the 2012 fall semester because she withdrew prior to the institution's census date.

Please be aware that waivers of full-time enrollment are considered legislated exceptions. For example, if a student-athlete received a progress-toward-degree waiver for full-time enrollment due to an education-impacting disability, the student-athlete would still be considered retained if he or she returns or continues enrollment at the certifying institution.

Academic Eligibility

A student-athlete will be considered eligible if he or she meets all applicable academic-eligibility requirements after completing the term (e.g., NCAA progress-toward-degree requirements, conference academic requirements, institutional good academic standing), including suspension related to any academic offense. This data field answers the question, "Is this student-athlete academically eligible to compete the next regular academic term?" The question must be answered even if the student-athlete or the student-athlete's team does not compete in that academic term. *(Revised: 10/09. Effective for the 2009-10 APR cohort and beyond, not retroactive to any prior year cohorts.)*

A student-athlete is awarded one point for eligibility if the student-athlete is academically eligible to compete in the following regular academic term. Any change to a student-athlete's spring-term-eligibility status must occur not later than the time APR data is submitted in the fall in order to capture the earned eligibility point and any change to a student-athlete's fall or winter-term-eligibility status must occur not later than the sixth week of the subsequent regular academic term in order to capture the earned eligibility point. For example, a student-athlete who was not eligible at the beginning of the spring semester due to an incomplete grade from the fall semester must

complete the necessary coursework to become eligible within the first six weeks of the spring term to earn the APR eligibility point for the prior fall term.

Exhausted Eligibility

A recruited student-athlete has exhausted his or her eligibility for competition in the sport in which athletics aid was awarded or received institutional athletics aid per Bylaw 15.5.1.6. This includes:

1. A student-athlete who does not use all of his or her seasons of competition but exhausts his or her five-year clock.
2. A partial or nonqualifier who has used all three seasons of competition and fails to earn a fourth season of competition by not completing 80 percent of his or her degree program prior to the start of his or her fifth year.
3. A fall sport student-athlete who concludes his or her competitive eligibility at the end of the fall term and does not return to the institution subsequent to the fall term.
4. A spring sport student-athlete who concludes his or her competitive eligibility at the end of four years. (*Adopted: 04/07. Effective: 04/07 for the 2007-08 APR cohort and beyond, not retroactive to any prior year cohorts.*)

Graduation

A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated. This definition provides for students to be considered "graduated" when the institution defines the student as graduated. Student-athletes who graduate earn more APR value for their team than student-athletes who do not. Only graduates will be given the maximum possible points for their time at an institution.

See [Appendix 3C](#) for examples of graduation scenarios that can impact a team's APR.

Census Date

The designated day in an academic term when an institution takes official enrollment counts (e.g., drop/add deadline for classes). This is determined by the institution and will vary from institution to institution.

Academic Performance Census (APC)

The APC is an annual compilation of academic performance variables (e.g., credit hours, grade-point average) mandated by Division I legislation, which includes submission of data regarding two-year college transfers student-athletes. Results from previous APC data collections have been the basis for Division I academic legislation and policies. Beginning fall 2009, institutions were required to submit and verify information for the Head Coaches' APR Portfolio as part of its APC data. APC data will be collected annually in the fall in conjunction with APR data. *(Revised: 10/08. Effective with the collection of 2008-09 APC data.)*

Head Coaches APR Portfolio

Available on www.ncaa.org, the Head Coaches APR Portfolio provides single-year APRs for every year during which a head coach is associated with a team, along with hire date and the date the coach left the head coaching position. Any head coach who is in place at any point during an academic year (August 1-July 31) will be assigned that team's APR for that year. For example, if a coach leaves a program six weeks into an academic year, he or she will still be assigned the APR for that team for the year, as will the coach who is hired to fill the position subsequently.

Graduation Success Rate (GSR)

The GSR is based primarily on the Integrated Postsecondary-Education Data System (IPEDS) graduation rate, which is defined as a six-year proportion of those student-athletes who graduated versus those who entered an institution. The GSR is calculated for each team. The GSR cohort includes student-athletes who receive athletics aid in the first year of enrollment at the institution either as initial enrollees or transfers.

For those teams/institutions that do not offer athletically related financial aid, the GSR will be calculated on a subset of recruited student-athletes. This rate differs from the Federal Graduation Rate, because it accounts for student-athletes who transfer into an institution, while discounting student-athletes who withdraw from the institution and

would have been academically eligible to compete had they returned. The Federal Graduation Rate still must be reported to the NCAA and to prospective student-athletes. The NCAA will continue to report the Federal Graduation Rate to each of our member institutions in a format that meets the requirements of federal law.

The Division I membership passed legislation stipulating that all member institutions provide the information contained in its Federal Graduation Rate supplement form to the NCAA. Additionally, all Division I members are required to provide supplemental information that will allow the NCAA to calculate the GSR. Data for the GSR will be collected and rates will be calculated as part of the annual graduation rates reporting process each spring/summer. The penalty for not providing data by the due date (June 1 annually) will be ineligibility of an institution's athletics teams and student-athletes for competition in NCAA championships and other postseason competition (e.g., national collegiate championships, bowl games, NIT, CIT, CBI) conducted during the subsequent academic year and future years until eligibility is reinstated.

Beyond combining the pre-existing, six-year rate and the transfer rate for each cohort, it will be necessary to discount student-athletes who withdrew from the institution within the six-year window and would have been academically eligible had they returned (based on NCAA, conference and institutional requirements applicable to each student-athlete).

Rules Violations

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The NCAA staff/Committee on Academics will advise the institution of any information discovered throughout any APP Penalties Process (e.g., penalty waivers, improvement plans, data reviews) concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/committee may engage the NCAA enforcement staff at any time and share information obtained through the various APP processes. *(Adopted: 6/14. Effective: Immediately)*

NCAA Division I Academic Performance Program APR Cohort

Composition of the APR Cohort

Established in 2006-07, the APR cohort definition depends on whether or not the institution awards each team athletics aid:

1. For teams awarding institutional financial aid based in any degree on athletics ability:

The APR cohort is comprised of student-athletes who received institutional financial aid based in any degree on athletics ability and are enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier, or satisfied a legislated exception to full-time enrollment. (Legislated exceptions to full-time enrollment include progress-toward-degree waivers that permit less than full-time enrollment.)

- a. Exception: Student-athletes who have graduated and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.
 - b. Exception: Student-athletes who are enrolled beyond five years/10 semesters of actual full-time enrollment and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.
 - c. Exception: Student-athletes who are five years beyond initial full-time collegiate enrollment and have exhausted eligibility shall not be included in the APR cohort even if such students meet the above criteria. (*Adopted: 07/12; Effective immediately, beginning with the 2011-12 APR cohort to be reported fall 2012.*)
2. For teams that do not offer institutional financial aid based in any degree on athletics ability:
 - a. The APR cohort is comprised of recruited student-athletes who are enrolled full time and are listed on the varsity team's roster on or after the first date of competition in the championship segment; or

- b. Have exhausted eligibility and return to the institution as fifth-year students to complete their baccalaureate degree. (*Adopted: 01/07. Effective: 01/07 for the 2006-07 APR cohort and beyond, not retroactive to any prior year cohorts.*)

Inclusion of Noncounters on Athletics Aid in the APR Cohort

Noncounters who meet the cohort definition are included in the APR cohort. Fifth-year student-athletes who have exhausted eligibility but return to complete graduation requirements also are included in the APR if they are receiving athletics aid (for those institutions/teams that offer athletics scholarships).

See [Appendix 3D](#) to review frequently asked questions regarding which student-athletes should be included in the APR cohort.

Definition of "Recruited" and the APR Cohort

For teams that do not offer athletics aid, "recruited" is defined per Bylaw 13.02.13.1 as follows:

- Actions by staff members or athletics representatives that cause a prospective student-athlete to become a recruited student-athlete at that institution are:
 - a. Providing a prospective student-athlete with an official visit;
 - b. Having an arranged, in-person, off-campus encounter with a prospective student-athlete or the prospective student-athlete's parent(s), relatives or legal guardian(s);
 - c. Initiating or arranging a telephone contact with the prospective student-athlete, the prospective student-athlete's relatives or legal guardian(s) on more than one occasion for the purpose of recruitment; or
 - d. Issuing a National Letter of Intent or the institution's written offer of athletically related financial aid to the prospective student-athlete. Issuing a written offer of athletically related financial aid to a prospective student-athlete to attend a summer session prior to full-time enrollment does not cause the prospective student-athlete to become recruited.

Multisport Student-Athletes in the APR Cohort

A multisport student-athlete receiving athletics aid will be included in the cohort of the sport in which his or her aid counts toward the team limit. For example, if a student-athlete competes in football and outdoor track, his aid would count toward the football team limit and he would, therefore, only be included in the football APR cohort.

For multisport student-athletes, the "recruited" label should be sports specific. In other words, the student-athlete is only in the cohort(s) for the sport(s) in which he or she was recruited.

Cross Country, and Indoor and Outdoor Track and Field APR Cohorts

Although athletics aid awarded in cross country, and indoor and outdoor track and field count against a single athletics aid total, an institution's cross country, and indoor and outdoor track and field teams each have a separate APR. The APR for each sport is comprised of student-athletes who receive athletics aid in either cross country, indoor or outdoor track and field and are on each respective team's roster as of the first date of competition of the championship segment. [Note: For institutions that do not offer athletics aid, the APR for each sport is comprised of recruited student-athletes who are on the team's roster as of the first date of competition of the championship segment.] Each team is evaluated separately, even though in most cases many of the student-athletes are the same, to avoid penalizing all teams if one team were to underperform academically.

Beginning with the data submitted in the fall 2015, the cross country and indoor and outdoor track cohorts will be defined as follows:

1. The cross country APR cohort shall consist of student-athletes on athletics aid (or recruited student-athletes for institutions that do not offer athletics aid), enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier, and on the cross country squad list; and
2. Indoor and outdoor track and field will be combined into one sport for APR data purposes and shall consist of student-athletes on athletics aid (or recruited student-athletes for institutions that do not offer athletics aid), enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier, and on the indoor and/or outdoor track and field squad list. *(Revised 10/14. Effective with the data collected fall 2015)*

See [Appendix 3E](#) to review examples regarding the application of APR cohorts to the sports of cross country and track and field, indoor and outdoor.

Student-Athletes Returning for a Sixth Year

Student-athletes who have completed five years or 10 semesters/15 quarters of actual full-time enrollment and have exhausted athletics eligibility and student-athletes who are five years beyond initial full-time collegiate enrollment and have exhausted eligibility are not included in the APR cohort, even if they continue to receive athletically related financial aid. If the student-athlete has athletics eligibility remaining in the sixth year, generally due to a five-year clock extension, he or she would be a part of the cohort if he or she meets the definition of inclusion in the cohort (i.e., receiving athletics aid and enrolled full time or meets a legislated exception to full-time enrollment).

As a reminder, if after 10 semesters/15 quarters of actual full-time enrollment the student-athlete has not earned his or her degree, he or she will not earn the eligibility point for the last term of the fifth year. Earning a degree in year six would help a team with its GSR and IPEDS - Graduation Rate Survey (GRS), but the APR's goal is graduation in five years, consistent with the current Division I progress-toward-degree standards.

NCAA Division I Academic Performance Program Requests for Alternative Definition of APR Cohort or Definition of Recruited Student-Athlete

Pursuant to Bylaw 14, the Committee on Academics has the authority to approve an alternative definition of a recruited student-athlete or identification of a cohort of student-athletes to be used to calculate a team's APR. The decision to approve any alternative definition will be based on objective evidence that the NCAA applicable cohort definition does not adequately address the unique characteristics of the applicant institution/conference.

All such requests will be reviewed by the staff and/or the Subcommittee on Data.

Application Procedures

A member institution/conference seeking to apply an alternative definition of recruited student-athlete or identification of cohort for purposes of calculating APR and/or GSR shall submit in writing a request to the national office.

All such institutional requests must be signed by the chancellor or president and must set forth the reasons why the institution believes an alternative definition of recruited student-athlete or identification of student-athletes for the APR and/or GSR cohort is warranted. The request also must include a proposed alternative definition of recruited or identification of student-athletes for the APR and/or GSR cohort.

All such conference requests must be signed by the conference commissioner and must set forth the reasons why the conference believes an alternative definition of recruited student-athlete or identification of an alternative cohort for purposes of calculating APR is warranted. The appeal also must include a proposed alternative definition of recruited or identification of student-athletes for the APR cohort.

In cases where time is of the essence, it is important for the submitting institution or conference to clearly specify the reason(s) the issue may be time sensitive.

Staff Review, Deliberations and Decisions

On receipt of the request, the staff will review the information to ensure it is complete and will notify the applicant institution/conference of the name of the staff member handling the request.

The Committee on Academics has provided the staff and Subcommittee on Data have the authority to hear, deliberate and decide requests for an alternative definition. All staff decisions will be based on the following criteria:

1. Demonstration that the suggested definition is used for other institutional, Association and/or governmental purposes (e.g., NCAA Division I Institutional Performance Program, institution or conference data collection);
2. Demonstration that failure to use the alternative definition or identification of student-athletes is inconsistent with the intent of the APP; and
3. Demonstration that the request provides for inclusion of a population of student-athletes actively solicited by the institution to compete on its athletics teams.

After reviewing all information, the staff and/or Subcommittee on Data will render for the current academic year one of the following decisions:

1. **Approval:** The staff and/or Subcommittee on Data determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete.
2. **Denial:** The staff and/or Subcommittee on Data determines that the institution's request did not demonstrate circumstances warranting the use of an alternative definition of recruited student-athlete. The institution will be responsible for applying the definition of recruited student-athlete noted in Bylaw 13.02.13.1.
3. **Modified Approval:** The staff and/or Subcommittee on Data determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete; however, the alternative definition recommended by the institution was not sufficient and a modification was necessary. By issuing a modified approval, the staff and/or Subcommittee on Data permits the institution to use the modified alternative definition of recruited student-athlete.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Data to consider appeals of staff decisions on alternative definition of a recruited student-athlete or identification of a cohort of student-athletes. The Subcommittee on Data's determination shall be final and shall not be subject to further review.

All appeals of a staff decision must be filed within 14 calendar days of written notification of the staff's decision. Any appeal filed beyond this period must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Data shall determine whether or not any appeal filed after 14 calendar days will be considered.

Subcommittee Conflict of Interest

The conflict of interest section of this chapter applies to all committee members' involvement in waiver and appeal requests

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Appeal Procedures

The Subcommittee on Data may conduct its meetings and deliberations by facsimile, teleconference, email, Internet or in-person meeting. Deliberations shall involve only Subcommittee on Data members and national office staff.

Reconsideration

After the staff and/or Subcommittee on Data have issued a decision, the institution/conference may ask the staff to reconsider its decision if the institution/conference submits new or additional relevant information. Requests with new or additional relevant information may not be heard by the Subcommittee on Data until the staff has reviewed and considered the new information.

NCAA Division I Academic Performance Program APP Data Collection and Reporting

APP Data Collecting and Reporting

1. **The APP Data Collection System** - The APP data collection system is an Internet-based software program for the electronic management, submission and reporting of academic performance data that is required by Bylaw 14. The APP is designed to capture data to satisfy membership requirements related to two NCAA initiatives: the APR and the APC.

Many NCAA Division I institutions employ a software program, such as the NCAA Compliance Assistant (CA), to assist with its athletics compliance needs. If institutions use such software for institutional-eligibility certifications, much of the data necessary to calculate the APR and to meet the submission requirements for the APC are stored in this compliance database. In order to minimize the burden of collecting academic data, automatic electronic migration of data from CA to the APP is available. In addition, electronic importation of data to the APP is available to those institutions using proprietary or "home-grown" compliance software.

2. **The GSR Data Collection System.** - The graduation rates data collection system is an Internet-based software program designed to collect the necessary information to calculate the IPEDS as well as the GSR. The GSR was proposed in response to concerns regarding the methodology used to calculate the IPEDS-Graduation Rate Survey (GRS). The GSR is intended as an alternative management tool that more accurately reflects the graduation success of student-athletes. It will include student-athletes who transfer into the institution. Furthermore, the GSR will discount student-athletes who depart the institution and would have been academically eligible had they returned.

The GSR is based on a six-year window for graduation and includes all student-athletes receiving athletically related financial aid entering the institution (i.e., full time, degree seeking), including transfers. For those institutions or teams that do not offer athletically related financial aid, the GSR includes all recruited student-athletes who, on or after the varsity team's first date of competition in the championship segment, are listed on the varsity team's roster.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for

member institutions while providing the Division I governance structure with important information on which sound policy decisions can be based.

Official submission of student-body graduation rates (IPEDS-GRS), enrollment, student-athlete graduation rates, GSR and Academic Success Rate (ASR) data is required by **June 1**.

The IPEDS-GRS still must be reported to the NCAA and to prospective student-athletes. The NCAA will continue to report the Federal Graduation Rate to each of our member institutions in a format that meets the requirements of federal law.

The NCAA membership passed legislation stipulating that all member institutions provide the information contained in its federal GRS form to the NCAA. Additionally, all Division I members are required to provide supplemental information that will allow the NCAA to calculate the GSR. The penalty for not providing data by the prescribed due date (i.e., June 1) will be ineligibility of an institution's athletics teams and student-athletes for competition in NCAA championships and other postseason competition (e.g., national collegiate championships, bowl games, NIT, CIT, CBI) conducted for the academic year.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for member institutions while providing each division's governance structure with important information on which sound policy decisions can be based.

Amending Submitted Data

If an institution discovers an error to its data after the reporting deadline (i.e., June 1), the institution should contact Maria DeJulio, NCAA research contractor, (mdejulio@ncaa.org or 913/397-7668) about the possibility of making that correction to the institution's data. In addition, institutions will be given the opportunity to review its report for accuracy and will be provided a time period to make any changes to that report.

After the data are submitted to the NCAA, the draft reports that will be published in the fall will be made available. Pull down the "Reports" menu and select either the "Institution Report" or the "GSR/ASR" report. Information regarding verification of the reports and the chancellor/president signature form are also available under this tab. If there are any errors in the reports, please contact Ms. DeJulio to request corrections.

To export data into an Excel spreadsheet, click on the "Export Page" link on the "Reports" tab. Follow the directions to export the specific data set.

Please direct all inquiries to: Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668).

See [Appendix 3F](#) for frequently asked questions and answers to assist the membership with the collection of graduation rate data.

Membership and Sport Sponsorship Issues

Any NCAA member institution that sponsors a Division I sport must report APP data for that team(s). This includes all active Division I members and multidivisional institutions sponsoring Division I sports.

- 1. Reclassifying Institutions** - Institutions or teams that are in the process of reclassifying to Division I are subject to the APP. Bylaw 20.5 requires full compliance with all Division I legislation in the first year of a four-year reclassification process (other than scheduling requirements and eligibility requirements for continuing student-athletes completing their final season of competition). Institutions in the process of reclassifying to Division I must submit the legislatively required data for Division I at the point in the membership process when the institution is required to be in compliance with Division I legislation. Such institutions shall be subject to APP rewards (e.g., Top Ten Public Recognition Program) after the collection of two years of required data (e.g., APR, APC, GSR) and are subject to APP penalties and the APR benchmark to access postseason competition after the collection of three years of data.

These institutions will appear in the public release with all other Division I institutions. The penalty for a reclassifying institution that fails to submit data is notification to the NCAA Division I Council, rather than the championship restriction penalties that exist for current Division I members. Additionally, all institutions subject to submission of APP data, regardless of membership status, are permitted to make requests for adjustments of the data. For example, if an institution becomes subject to the Division I legislation beginning in the 2010-11 academic year, it is required to submit the required GSR data for the first time based on student-athletes entering the institution in fall 2004. (*Revised: 10/10; Effective: Immediately.*)

- 2. Multidivisional Institutions** - Institutions that sponsor teams at multiple NCAA divisions are subject to the APP for the Division I teams. Bylaw 20.4 requires full compliance with Division I legislation for its Division I sports during the second year of a two-year process.
- 3. New Sports Teams** - Division I institutions that add a team are eligible for APP

4. rewards (e.g., Top Ten Public Recognition Program) after the collection of two years of required data (e.g., APR, APC, GSR) and are subject to APP penalties and the APR benchmark to access postseason competition after the collection of three years of data.
5. **Non-NCAA Championship Sports** - Only NCAA championship sports sponsored by an institution will have an APR calculated and, therefore, only those sports' data will be accepted by the APP. This includes only those sports for which an NCAA Division I National Championships or a National Collegiate Championships are conducted.

An exhaustive list of these sports can be found in the Import Module of the APP of the data collection system. The APR does not include sports categorized as women's emerging sports.

Only NCAA championship sports (both Division I and National Collegiate Championships) offered at the varsity level are included in the data collections. Teams that are considered junior varsity are not included in the APP. Varsity teams that compete in non-NCAA championship sports, including emerging sports (e.g., rugby), are not included in the APR, APC and GSR data collections and are not subject to rewards and penalties.

6. **Institutions/Teams Transitioning from Division I or Discontinuing a Division I Sport** - Institutions are required to provide written notification to the staff of the date of the public announcement and the effective date of a transition from Division I. Once the staff receives notification from the institution, the institution/team:
 - a. Will no longer be responsible for submitting APP data (i.e., APR, APC, GSR or head coaches' information) beginning with the academic year the staff receives notice.
 - b. Will not be subject to new APP penalties and postseason ineligibility but must impose previously earned penalties that apply to the academic years the team/institution continues to compete as a Division I institution/team.
 - c. Will not be part of any public release of APR and associated penalties, GSR and head coaches' information.
 - d. Will not be included in the calculation and/or determination of any penalty filters.

- e. Will not be eligible for any APP Supplemental Support Fund (SSF) monies.
- f. Will not be eligible for public recognition for high academic performance.
- g. Will no longer submit APR adjustment requests or APP-penalty waivers.
- h. Will no longer be required to submit APR Improvement Plans; however, the staff will review any plans submitted by the institution while it remains a Division I institution/sport.

In these situations, the application of the above-mentioned list will be effective beginning the academic year the institution publicly announces its intention to discontinue, drop or transition a team(s) from Division I.

If a team transitioning from Division I membership received a conditionally approved APP-penalty waiver and the determination of whether the team satisfied the established conditions will result in a team having to impose penalties, then the institution must submit APR/APC data, record of implementation of its APR Improvement Plan and request a waiver of the determination that the conditions were not satisfied.

If an institution's transition to another division or athletics organization has been proposed as a multiyear process, once the staff receives notification from the institution, the situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data with a recommendation for its review. The staff would take the following into consideration when determining the appropriate APP requirements the institution needs to fulfill:

- a. Length of transition from Division I;
- b. Timing of notification to the staff;
- c. History of academic performance;
- d. Whether or not the institution has teams subject to penalties and the types of penalties;
- e. Whether or not the institution's teams will continue to compete at the Division I level during the transition; and

- f. Other factors deemed appropriate by the staff and/or institution.

The application of the recommendations above generally will be effective beginning the academic year the staff receives notice of the institution's intention to transition from Division I or to discontinue a sport at the Division I level; however, the staff will be provided flexibility in determining the effective date for each requirement based on the timing of notice received by the staff.

7. **Institutions/Teams Rescinding the Decision to Transition from Division I or Discontinue a Division I Sport** - In instances where an institution rescinds its decision to transition from Division I, each situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data with a recommendation for its review with regard to any penalties and their application, once the staff receives notification from the institution. The institution would be required to submit APP data from any year the institution did not submit data while it was in transition. Further, the institution would be permitted to submit corrections, adjustments and penalty waivers as appropriate based on the timing of the notification. *(Adopted: 07/10. Effective for institutions providing notification to the staff beginning in 2010-11 and beyond.)*
8. **Institutions that Reinstate Dropped Sport in Subsequent Years.** - An institution that reinstates a dropped sport(s) must submit APP data according to the following guidelines:
 - a. If a sport has been inactive at the Division I level for three or more years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. The team would be considered to have submitted APP data for the first time, APP data submitted from previous years would no longer be used to calculate the team's (APR) and the team would have the benefit of the squad-size adjustment until four years of APR data is collected, provided the team has a multiyear cohort of 30 or more student-athletes. Additionally, if an institution was subject to an APP penalty at the time the team was discontinued or transitioned to another division, the institution would not be required to impose the penalty.
 - b. If a sport has been inactive at the Division I level for a period of less than three academic years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. Any years of APR data that are within the four-year APR cohort will be used to calculate the new multiyear APR and any penalties the team incurred at the time the team was discontinued will need to be taken at the earliest opportunity. The

staff and/or Subcommittee on Data also will determine any additional requirements on a case-by-case basis.

9. **Restricted-Membership Penalty** - Level-Three penalties include a menu of penalty options that may include an institution being placed in restricted membership status. Restricted membership is a membership classification status assigned to an institution that fails to comply with the minimum requirements of its division (e.g., financial aid, academic requirements). An institution placed in restricted membership loses eligibility for a number of Division I membership privileges (e.g., eligibility for NCAA championships and postseason competition for all teams at the institution, revenue distribution). *(Revised: 10/11. Effective: 10/11)*

For Division II and Division III institutions that sponsor a Division I sport(s), the restricted membership penalty only applies to the Division I sport(s). Restricted status would not extend to the Divisions II or III portion of the athletics program.

Data Collection on Two-Year Transfers

Beginning with the 2008-09 APR/APC data submission, institutions were required to submit additional academic data for student-athletes in the sports of baseball, football and men's and women's basketball who transferred to the submitting institution immediately from a two-year college. During the 2008-09 data collection, institutions were required to provide data on all two-year college transfer student-athletes in the cohort in these four sports. The data will be collected annually and will only be required for those two-year college transfer student-athletes who entered the institution in the academic year for which data is being submitted. *(Adopted: 02/12. Effective: 02/12)*

See [Appendix 3G](#) for questions and answers to assist the membership in its understanding of the data collection for two-year college transfer student-athletes.

NCAA Division I Academic Performance Program Data Collection Waivers

Waivers/Extensions of Filing Deadlines

Pursuant to Bylaw 14, the Committee on Academics has the authority to grant exceptions/extensions to the filing deadlines prescribed in Bylaw 18.4.2.2 and in this manual. The decision to waive/extend any deadline will be based on objective evidence that demonstrates extenuating circumstances under which the member institution is unable to meet the required filing deadline.

All requests for waivers/extensions of the filing deadlines will be reviewed by the staff and/or the Subcommittee on Data.

Application Procedures

A member institution seeking to waive/extend the prescribed filing deadlines shall submit its request to the national office via the Committee on Academic Performance portion of the LSDBi. All requests shall be submitted electronically to the staff using the online application provided by the NCAA. Any request to waive/extend the prescribed filing deadline must be submitted prior to the original filing deadline.

The request submitted by the institution must include the signature page signed by the chancellor or president. The request shall set forth the reasons the institution believes relief from the required filing deadline(s) is warranted for that academic year and shall provide an alternate date for submission. In addition to the completed online application, the institution may submit additional information believed to be relevant to the institution's request.

Staff Conflict of Interest

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an APP data waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP data waiver request or in preparing to appeal a staff decision. However, the staff is not to discuss a waiver request with a third party unless directed to by the institution (e.g., president or chancellor, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Staff Review, Deliberations and Decisions

On receipt of an institution's request, the staff will review the application to ensure it is complete, notify the applicant institution of the status of the request and identify the staff member handling the request.

The staff has the authority to consider, deliberate and render a decision for all waiver/extension requests involving the filing deadlines. Staff decisions will be based on the following criteria:

1. Mitigating circumstances and whether or not those circumstances were within the control of the member institution;
2. Length of requested extension, and
3. Number of prior institutional requests for a waiver/extension of the filing deadlines.

After reviewing all information, the staff will render one of the following decisions.

1. **Approval:** The staff determines the institution's request demonstrated evidence that warranted a waiver/extension of the prescribed filing deadline and permits the institution to supply the required academic data by the deadline the applicant institution requested in its waiver/extension request.
2. **Denial:** The staff determines the institution's request did not demonstrate circumstances warranting a waiver/extension of the prescribed filing deadlines. The institution is responsible for filing all required academic data by the established deadlines and will be subject to legislated penalties for failure to submit the required academic information by the prescribed deadline.

3. **Modified Approval:** The staff determines the institution's request demonstrated evidence warranting a waiver/extension of the prescribed filing deadline; however, the staff determines the length of the extension requested by the institution is excessive or unrealistic. By issuing a modified approval, the staff permits the institution to supply the required academic data by a deadline the staff determines to be reasonable.

Appeals of Staff Decisions

After the staff has issued a decision regarding a waiver/extension request, the applicant institution may appeal the decision to the Subcommittee on Data using the online appeal module of the LSDBi portal. The Subcommittee on Data's determination shall be final and shall not be subject to further review by any other authority.

The Committee on Academics has authorized the Subcommittee on Data to review, deliberate and decide all data collection waiver/extension appeals.

All appeals of a staff decision should be filed within five calendar days of written notification of the staff's decision. Any appeal filed after five calendar days must include an explanation why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Data shall determine whether or not any appeal filed after five calendar days shall be heard.

Subcommittee Conflict of Interest

The conflict of interest section of this chapter applies to all subcommittee members' involvement in adjustment and appeal requests

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Appeal Procedures

The Subcommittee on Data may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall involve only Subcommittee on Data members and the NCAA staff.

The appeal proceedings will continue as follows:

1. Documents to be Reviewed by the Subcommittee.

The subcommittee will review all documents submitted by the institution in the original adjustment request as well as any documents included as part of the appeal of the staff decision.

2. Subcommittee Deliberations and Decisions.

Subcommittee decisions will be based on the following criteria:

- a. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution;
- b. Length of requested extension; and
- c. Number of prior institutional requests for a waiver/extension of the filing deadlines.

After reviewing all information, the subcommittee will render one of the following decisions.

- a. **Approval:** The subcommittee determines the institution's request demonstrated evidence that warranted a waiver/extension of the prescribed filing deadline and permits the institution to supply the required academic data by the deadline the applicant institution requested in its waiver/extension request.
- b. **Denial:** The subcommittee determines the institution's request did not demonstrate circumstances warranting a waiver/extension of the prescribed filing deadlines. The institution is responsible for filing all required academic data by the established deadlines and will be subject to legislated penalties for failure to submit the required academic information by the prescribed deadline.
- c. **Modified Approval:** The subcommittee determines the institution's request

demonstrated evidence warranting a waiver/extension of the prescribed filing deadline; however, the subcommittee determines the length of the extension requested by the institution is excessive or unrealistic. By issuing a modified approval, the subcommittee permits the institution to supply the required academic data by a deadline the subcommittee determines to be reasonable.

The subcommittee's decision is final and not subject to further review by any other authority.

Reconsideration

After the staff and/or Subcommittee on Data have acted on a waiver/extension request, the institution may request a reconsideration of the decision if the institution submits new or additional relevant information. Requests with new or additional relevant information may not be heard by the Subcommittee on Data until the staff has reviewed and considered the new information.

NCAA Division I Academic Performance Program Data Submission

Submission

Official submission of the data used to calculate the APR and to satisfy the requirements for the APC is due **six weeks** (42 calendar days) following the first day of classes on campus each fall term. The data used to calculate the GSR and Federal Graduation Rates is due by June 1.

Legislated Penalties for Failure to Submit Data (Bylaw 18.4.2.2)

An institution that fails to submit complete APR, APC or GSR data for all applicable teams by the prescribed deadline will not be eligible to enter a team or student-athlete in postseason competition, including the National Collegiate Championships and football bowl games, for the current year and future years until the institution submits the requisite data.

Notice of Penalties for Failure to Submit Data

The Committee on Academics will notify in writing the chancellor or president of each institution that fails to submit the required APR, APC or GSR data by their respective prescribed deadlines. This notification will be forwarded not later than 30 days after the expired deadline and will indicate that the institution is subject to the penalties prescribed in Bylaw 18.4.2.2.

Institutions That Do Not Provide APP Data or Usable APP Data

An institution that does not submit its APR, APC or GSR data by the submission deadline will remain ineligible to enter a team or individual student-athlete in an NCAA championship or other postseason competition for the current year and future academic years until it has submitted the required APR, APC or GSR data. The institution will be required to submit a plan that must include the steps the institution will take in future data collections to ensure timely submission of data or usable data. This plan is not required prior to being reinstated for championships. (*Revised: 10/10. Effective: Immediately.*)

An institution that submits unusable APR, APC or GSR data will be provided 14 calendar days to submit corrected data on notification that the data was not usable. If the institution fails to submit corrected data it will be subject to the following process:

1. All teams at the institution will be immediately rendered ineligible for postseason competition (e.g., NCAA championships, national collegiate championships, bowl games, NIT, CIT, CBI). After the completion of the data review process, or when the subcommittee concludes that all needed information has been provided by the institution, all teams at the institution will regain eligibility for postseason competition. [Note: A school or team(s) could be otherwise ineligible for postseason competition (e.g., due to enforcement issues or not meeting APP benchmark)].
2. The staff will conduct an on-campus visit unless a visit has occurred as part of the current APP data review process. The purpose of the visit is to review documentation supporting the institution's APP data and to conduct an educational session regarding the APP data submission requirements and other topics as deemed necessary by the subcommittee and/or staff. The staff/subcommittee may conduct additional on-campus visit(s) as part of this process.
3. Following the on-campus visit, the institution will be placed in a one year probationary period, which may include:
 - a. Recurring checks between the staff and the institution's certifying officer;
 - b. Required attendance for institutional representatives at NCAA Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;
 - c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data;
 - d. Submission of midyear academic data;
 - e. Ineligibility for public recognition of any high-performing teams and SSF or NCAA Accelerating Academic Success Program (AASP) pilot monies until useable data is submitted; and
 - f. Any additional corrective measures as determined by the Subcommittee on Data Collection and Reporting.
4. After the one-year probationary period, the staff will conduct a follow-up visit to

5. determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, may be required to participate in an in-person meeting with the full committee to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. (*Adopted: 06/10. Effective for institutions selected for data review during the 2010-11 academic year and beyond. Revised: 4/13. Effective: Immediately*)

Common Data Submission Scenarios

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 1 The five-year graduate.	<i>Fifth year of enrollment, last season of eligibility, eligible for spring term and retained.</i> E + R = 2	<i>Fifth year, last term of eligibility and graduates.</i> G + G = 2	"4/4"
SA 2 The four-year graduate.	<i>Fourth year of enrollment, last season of eligibility, eligible for spring and retained.</i> E + R = 2	<i>Fourth year, last term of eligibility and graduates.</i> G + G = 2	<i>Retention or no retention, the student receives the maximum two points this term since he or she graduated.</i> "4/4"
SA 3 The four-year graduate continues to the fifth year.	<i>SA graduated in four years (has baccalaureate) and is eligible to compete in fifth year. SA meets midyear eligibility requirements (e.g., six hours) after fall term and is retained.</i> E + G = 2		<i>Graduates who have remaining eligibility automatically receive the retention point. The eligibility point is based only on eligibility requirements for graduates.</i> <i>If this SA leaves midyear, he or she receives "2/2" points.</i> <i>If this SA is retained for the full year and meets the eligibility requirements in both terms, this SA would receive "4/4" points.</i>

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
<p>SA 4 The three-year graduate continues to the fourth year.</p>	<p><i>SA graduated in three years (has baccalaureate) and is eligible to compete in fourth year. SA meets eligibility requirements (e.g., six hours) in fall term and is retained.</i> E + G = 2</p>		<p><i>See above.</i></p>
<p>SA 5 Military service interrupts five-year clock.</p>	<p><i>SA enrolls for fall semester, but prior to completing term is called to active military service and is unable to complete the term.</i> -----</p>	<p><i>SA does not enroll spring semester.</i> -----</p>	<p><i>SAs who begin a term but are unable to complete the term due to a legislated five-year exception are not included in the team's rate for the uncompleted term.</i></p>
<p>SA 6 Religious mission interrupts five-year clock.</p>	<p><i>SA enrolls full time, earns eligibility and returns for spring semester.</i> E + R = 2</p>	<p><i>SA enrolls full time and would be eligible for following fall term but is not retained due to serving a religious mission for the following academic year.</i></p>	<p><i>SA receives "3/3" points for the year. The retention point in spring term of departure would not be calculated since military and mission work are exceptions to the five-year rule.</i></p>
<p>SA 7 Departs institution after second year and does NOT meet a legislated exception to the five-year clock rule.</p>	<p><i>SA enrolls full time, earns eligibility and returns for spring semester.</i> E + R = 2</p>	<p><i>SA enrolls full time and would be eligible for the following fall term but is not retained and does NOT meet an exception to the five-year clock rule.</i> E + = 1</p>	<p><i>SA does not earn the retention point as the student was not retained the following fall term.</i> "3/4"</p>

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 8 The five-year nongraduate departs.	<i>Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.</i> E + R = 2	<i>SA does not earn degree at end of five years and is not retained.</i> NG + NG = 0	<i>Five-year SA exhausts eligibility, does not earn degree and is not retained a sixth year.</i>
SA 9 The five-year nongraduate is retained.	<i>Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.</i> E + R = 2	<i>SA does not earn degree at the end of five years but is retained to sixth year.</i>	<i>Five-year SA exhausts eligibility, does not earn degree and returns for a sixth year of enrollment.</i> "3/4"
SA 10 Allowable exclusion: deceased student-athlete.	<i>SA enrolls for fall semester, but prior to completing term the SA dies.</i> -----		<i>SAs who begin a term, but who are unable to complete the term due to a legislated exception/allowable exclusion are not included in the team's rate for the uncompleted term.</i>
SA 11 The sixth-year nongraduate is retained.	<i>Not part of APR cohort.</i>	<i>Not part of APR cohort.</i>	<i>SA who has exhausted eligibility who is retained beyond the fifth year and is on athletics aid is not included in the APR cohort.</i>

SA = Student-athlete

E = Eligible

G = Graduates

R = Retained

----- = Not enrolled this term at this institution

NG = Nongraduate after five years

Note: Eligibility for purposes of this chart is defined as academically eligible to compete.

Delayed Graduation Points

An institution will be awarded an APR point (i.e., "1/0") for a former student-athlete who departed an institution without graduating and returns to the institution and graduates or continues enrollment at the institution and graduates. This point will be awarded to the team's APR in the academic year (i.e., term) the former student-athlete graduates, provided the former student-athlete meets the criteria listed below.

The criteria are as follows:

1. The former student-athlete graduates from the institution in any academic year that comprises the team's most recent four-year APR, not from another institution.
2. The former student-athlete cannot satisfy the definition to be included in the team's APR cohort in the term in which he or she graduated from the institution.
3. The former student-athlete must have lost either the eligibility or retention point in his or her last term in the APR cohort, or would have lost a point if the student-athlete departed prior to the implementation of the APR in 2003-04 or prior to when the institution was first required to submit APR data (e.g., multidivisional or reclassifying institution). (Note: If the lost eligibility or retention point was adjusted, then no APR point was actually lost, so no delayed-graduation point can be awarded.) (*Adopted: 07/06. Effective: 07/06*)

[Note: In order for an institution to award the delayed-graduation point, the former student-athlete must graduate from the original institution where he or she lost the APR point(s) or from a state university-system institution or branch campus with the same Federal Identification Number.]

Requests for Delayed-Graduation Points from Prior Cohort Years

Institutions are permitted to request delayed-graduation points for any academic year cohort included in the institution's multiyear APR cohort. Such requests will be permitted only during data submission, and delayed-graduation points awarded from prior academic year(s) will not affect the status of any previously earned penalties or incentives. Further, an institution may request relief from a penalty based on the awarding of additional delayed-graduation points in subsequent academic year(s) if the penalty has not been imposed. Retroactive incentives are not available. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years.

Please note that if a team with a single-year APR of 1000 is subsequently awarded delayed-graduation points, such points will be added to the team's multiyear rate. (Adopted: 07/06. Effective: 07/06)

Unique Data Scenarios

1. Determining Eligibility of a Student-Athlete Who Leaves the Institution.

If a student-athlete departs the institution, the eligibility point is awarded for his or her last term of enrollment if the student-athlete would have been academically eligible to compete the next regular academic term. In other words, the institution must determine what academic-eligibility rules the student-athlete would have been subject to if he or she had returned (i.e., institutional, conference and NCAA), apply those standards to the student-athlete's academic record and determine if he or she would have been academically eligible to compete if he or she had returned.

2. Determining Eligibility for Student-Athletes Who Depart an Institution or Quit the Team Without Declaring a Degree.

If a student-athlete leaves an institution or quits the team and remains at the institution without declaring a degree at the time degree declaration is legislatively required, an institution may consider the student-athlete's academic record using any of the institution's degree programs for purposes of determining if the student-athlete would have met all required academic-eligibility requirements. If, in using this degree, the student-athlete would have been academically eligible, the institution will be awarded the eligibility point for purposes of the APR.

3. Determining Eligibility for Student-Athletes Who Return to an Institution Subsequent to Graduation.

Once a student-athlete has graduated, he or she is always awarded the retention point for any subsequent terms of enrollment, even if the graduated student-athlete transfers to another Division I institution and enrolls in graduate school. The eligibility point is earned if the student-athlete is academically eligible to compete in the subsequent academic term (e.g., passes at least six hours of degree credit, remains in good academic standing).

4. Reporting Eligibility for Student-Athletes Serving a Year of Residency.

Generally, if a student-athlete required to serve an academic year in residency would have been academically eligible to compete except for the residency requirement, the student will receive the eligibility point for the fall term.

5. Graduation Required after Five Years of Enrollment.

After completion of a student-athlete's 10th full-time semester/15th full-time quarter of actual full-time enrollment, the student-athlete must graduate in order to earn the APR eligibility point for the 10th semester/15th quarter. **Graduation requires the completion of all administrative and academic requirements as defined by the institution.** A student-athlete who completes five years of enrollment and does not graduate will lose the eligibility point for the 10th semester or 15th quarter.

See [Appendix 3C](#) to review questions and answers regarding the application of graduation to APR.

6. Reporting Eligibility for Student-Athletes in a Five or Six-Year Degree Program.

a. Five- and Six-Year Degree Programs Defined.

Any baccalaureate degree program that requires at least 150-semester or 225-quarter hours to complete is considered a five- year baccalaureate degree program, according to NCAA legislation. If the student-athlete's academic program is identified in the institution's official catalog as a five- or six-year baccalaureate degree program, it should be treated as such for purposes of determining the student-athlete's APR eligibility points.

b. Five-Year Degree Programs.

A student-athlete in a five-year degree program, or a degree that requires a minimum of 150-semester or 225-quarter hours for completion, must have 83 percent of his/her degree completed and be in good academic standing to be awarded an eligibility point for the last regular academic term of his or her fifth year.

c. Six-Year Degree Programs.

A student-athlete in a six-year degree program will be awarded a point for eligibility at the end of his or her fifth year provided the student-athlete is in good standing and has completed all requirements of the designated degree program for years one through five.

7. Fall Term Certification in Baseball.

A baseball student-athlete who was not academically eligible to compete in the fall term per Bylaws 14.4.3.1.3.1, 14.4.3.1.4.2, 14.4.3.1.5, 14.4.3.2.3.1 and 14.4.3.3.2.1 may earn the eligibility point for a term in that academic year if he would have been academically eligible to compete in the subsequent term of the same academic year but for the fall only certification requirement. (*Adopted: 10/07. Effective: 08/08 for the 2008-09 APR cohort and beyond.*)

8. Progress-Toward-Degree Waivers and the Eligibility Point.

Student-athletes who receive conference or NCAA waivers of academic requirements earn the eligibility APR point based on the granting of the waiver. [Note: This assumes all other applicable academic-eligibility requirements have been met.] Further, the point is earned if the progress-toward-degree waiver has been granted prior to the APR data submission date. If the waiver was granted after the APR data submission date, the lost eligibility point may be addressed through the adjustment process.

9. Progress-Toward-Degree Waivers and the Retention Point.

Student-athletes who receive a progress-toward-degree waiver that permits them to be enrolled part time, any other waiver that permits less than full-time enrollment or who met a legislated exception to the full-time enrollment requirement are considered retained at the time of enrollment at the institution in a subsequent regular academic term.

See [Appendix 3A](#) for a review of examples of miscellaneous APR calculations.

10. Incomplete Grades.

Incomplete grades can impact a student-athlete's ability to earn the eligibility point.



a. Example No. 1:

A men's basketball student-athlete receives athletically related financial aid during the 2009-10 academic year. At the conclusion of the 2010 summer term, he received an "incomplete" in one class that must be completed in order for him to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2010

summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

 b. Example No. 2:

A softball student-athlete receives athletically related financial aid during the 2009-10 academic year. At the conclusion of the 2009 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term. Therefore, this student-athlete would not have earned the eligibility point for the 2009 fall term, regardless of the term in which the completed course grade was applied.

See [Appendix 3A](#) for further questions and answers regarding incomplete grades.

Legislated Exceptions and Allowable Exclusions

A legislated exception is any deviation from NCAA standards allowed by the legislation itself or a waiver of the legislation. Legislated exceptions/allowable exclusions within the APR cohort include student-athletes who:

1. Have spent time in the armed services;
2. Have participated in official religious missions;
3. Have served with recognized foreign aid services of the U.S. government;
4. Meet the pregnancy exception in Bylaw 12.8.1.3 at the time of departure;
5. Meet the requirements for an athletics activities waiver (not an international competition waiver); or
6. Are deceased or permanently disabled.

The following examples illustrate the practical application of legislated exceptions and allowable exclusions impacting student-athletes' APR data entries:

 **Example No. 1:**

The student-athlete completed the first semester of the academic year, and earned both the "E" and "R" points. He was called to active military service during the second semester, but earned the "E" point.

<i>Semester One ("2/2")</i>	
Retention	Yes
Eligibility	Yes
<i>Semester Two ("1/1") - SA begins active military duty</i>	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Yearly Point Total	"3/3"

 **Example No. 2:**

The student-athlete completed the first semester of the academic year and earned the "E" and "R" points, but during the second semester she did not complete the term and did not leave academically eligible. She was not retained, but she met the pregnancy exception.

<i>Semester One ("2/2")</i>	
Retention	Yes
Eligibility	Yes
<i>Semester Two ("0/1") - SA not retained—pregnancy exception</i>	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	No
Yearly Point Total	"2/3"

 **Example No. 3:**

The student-athlete completed the first semester of the academic year, and was academically eligible. He was not retained but met the requirements for an athletics activity waiver.

Semester One ("1/1")		
Retention	Legislated	Exception/Allowable
Eligibility	Yes	
Semester Two (Not enrolled)		
Retention	N/A	
Eligibility	N/A	
Yearly Point Total	"1/1"	

 **Example No. 4:**

The student-athlete did not complete the first semester of the academic year, and did not earn the "E" point. She met the requirements for an athletics activity waiver.

Semester One ("0/1")		
Retention	Legislated	Exception/Allowable
Eligibility	No	
Semester Two (Not enrolled)		
Retention	N/A	
Eligibility	N/A	
Yearly Point Total	"0/1"	

Missed-Term Exception [Bylaw 14.4.3.5-(a)]

An institution may request, one time during a student-athlete's career, an APR adjustment to a lost retention point, based on the following criteria:

1. The student-athlete must meet all criteria for the missed-term exception as outlined in Bylaw 14.4.3.5-(a);
2. The student-athlete must return to the institution as a full-time student in a subsequent term; and
3. The student-athlete must have lost the retention point but earned the eligibility point in his or her last term in the APR cohort prior to departure. (*Adopted: 04/07. Effective: 04/07 for the 2006-07 APR cohort and beyond, not retroactive to any prior year cohorts.*)

See [Appendix 3H](#) for further questions and answers regarding application of the missed-term exception.

NCAA Division I Academic Performance Program Reviewing and Correcting Submitted Data

Data Verification

After the submission of an institution's APR and APC data, the NCAA staff completes a data verification. This requires the staff to review the data for a number of common errors. The staff sends any errors to the institution to allow for confirmation, and makes any necessary corrections. The institution is then moved to the 14 calendar-day adjustment/correction period to review its data for any other errors or omissions.

Data Corrections

Institutions are permitted to request corrections to APR and APC data for all academic years that make up the current four-year APR cohort. Such corrections will be permitted only during the correction/adjustment period. Please note that submitting corrections to data from prior academic years will not affect any data reports that have already been made public, although the multiyear APR may be impacted. Please contact Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668) directly for any requests for data corrections to academic years **outside** the current multiyear cohort. These specific requests cannot be submitted through the APP Data Collection Portal.

Effect of Corrections on Previously Earned Penalties and/or Rewards

Corrections to APR data for prior years generally will not affect the status of any previously earned penalties, loss of access to postseason competition, or rewards. However, if an institution discovers that a correction to a prior year's data would have resulted in the team not being subject to a previously earned penalty and/or the loss of access to postseason competition, and/or placed the team at a different level of penalty progression, it may request relief from the previously earned penalty, loss of access to postseason competition and/or progression.


To request relief, an institution must submit a written request to the Subcommittee on Data and provide any necessary supporting documentation. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years. The subcommittee's decisions are final and binding. (*Adopted:*

01/07. Revised 07/13. Effective: Immediately retroactive to the 2010-11 APR cohort submitted fall 2011)

Rules Violations

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The staff/Subcommittee on Data will advise the institution of any information discovered during the data collection process concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/subcommittee may engage the enforcement staff at any time and share information obtained through the data collection process. *(Adopted: 6/14. Effective: Immediately)*

NCAA Division I Academic Performance Program Adjustments to Submitted Data



Pursuant to Bylaw 14, the Committee on Academics has the authority to provide exceptions or adjustments to the calculation of the APR. The decision to approve any exception/adjustment to the calculation of the APR will be based on objective evidence that demonstrates that the normal process for accounting for the academic eligibility of the institution's student-athlete(s) and its success in retaining and graduating its student-athletes should not apply. The Committee on Academics' decision shall be final, conclusive and not subject to further review by any other authority.

The staff and/or the Subcommittee on Data will review all requests for exceptions to the calculation of the APR.

Adjustment Request Procedures

A member institution seeking an exception or adjustment to the normal calculation of the APR shall submit an online application to the national office after it has submitted its APR/APC data for each academic year for which the institution is seeking an adjustment. Requests to adjust the normal calculation of the APR shall be considered for each cohort that comprises the multiyear APR.

All requests shall be submitted to the staff via the LSDBi portal within the same 14 calendar-day period in which the institution can submit corrections. If an institution discovers additional adjustments after this date, they can be submitted during the adjustment period the next academic year. Institutions are permitted to request adjustments for previous academic year cohorts that comprise the institution's multiyear APR cohort only during the adjustment period.

The online adjustment application submitted by the institution will produce a signature page that must be signed by the chancellor or president, or his or her designee, director of athletics, senior woman administrator, director of compliance or faculty athletics representative and must be provided to the national office. The adjustment application shall set forth the reasons the institution believes that an exception to the normal calculation of the APR is warranted. In addition to the information included on the form, the institution may submit additional information and supporting documentation it believes is relevant to the request. The staff and/or Subcommittee on Data may

request additional pertinent information before it reaches a final determination. *(Revised: 02/10; Effective with requests submitted fall 2010 and beyond.)*

In some circumstances, no additional documentation must be submitted to the NCAA. In these instances, the director of athletics and the faculty athletics representative must certify in writing that the student-athlete met the conditions set forth in this section and must maintain the certification on file in the athletics department.

Staff Conflict of Interest

A staff member must recuse himself or herself from participation in an adjustment request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an APP data adjustment request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Use of Third Parties in Adjustment Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP data adjustment request or in preparing to appeal a staff decision. However, the staff is not to discuss an adjustment request with a third party unless directed to by the institution (e.g., president or chancellor, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the request with the institutional employee designated as the adjustment contact unless otherwise directed in writing by the institution.

Staff Review, Deliberations and Decisions

On receipt of an institution's request, the staff will review the application to ensure it is complete, email the applicant institution the status of the request and identify the staff member handling the request. No final decision will be rendered until the staff has received all required documentation.

The staff has the authority consider, deliberate and render a decision for all adjustment requests. Staff decisions will be based on the following criteria:

- The adjustment directive approved by the Committee on Academics (See

- [Appendix 3I](#)) including:
 - a. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution/team and/or student-athlete(s); and
 - b. The academic performance of the individual student-athlete.

The staff and/or Subcommittee on Data has the authority to consider, deliberate and decide APR adjustment requests. After reviewing all information, the staff and/or Subcommittee on Data will render one of the following decisions.

1. **Approval:** The staff and/or Subcommittee on Data determined that the institution's request demonstrated evidence that warranted an adjustment of the normal calculation of the APR for particular student-athlete(s).
2. **Partial Approval:** The staff and/or Subcommittee on Data determined that the institution's request demonstrated evidence that warranted partial relief from the normal calculation of the APR. By issuing a partial approval, the staff and/or Subcommittee on Data is adjusting part of the normal calculation of the APR.
3. **Conditional Approval:** The staff and/or Subcommittee on Data determined that the institution's request demonstrated evidence that warranted an adjustment to the normal calculation of the APR if specifically stated conditions are met by institution/team(s) and/or student-athlete(s). The staff and/or Subcommittee on Data will outline such conditions in its decision notification. Institutions/team(s) and/or student-athlete(s) that fail to meet the stated conditions will result in the decision converting to a denial and the APR being recalculated using the normal prescribed method. In such circumstances, the institution/team(s) immediately will be subject to any penalties resulting from the recalculation of the APR.
4. **Denial:** The staff and/or Subcommittee on Data determined that the institution's request did not demonstrate circumstances that warrant an exception to the normal calculation of the APR.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Data to consider all appeals of staff decisions involving requests to adjust the normal application of the APR.

After the staff has issued a decision on an adjustment request, the applicant institution may appeal the decision to the Subcommittee on Data. The Subcommittee on Data's determination shall be final and shall not be subject to further review by any other authority.

The Subcommittee on Data shall conduct its deliberations by facsimile, teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data members and national office staff members.

Subcommittee Conflict of Interest

The conflict of interest section of this chapter applies to all subcommittee members' involvement in adjustment and appeal requests.

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Appeal Procedures

A member institution that seeks to appeal a staff decision shall submit the online waiver appeal application to the national office. All appeals shall be submitted using the online procedures provided by the NCAA. The online appeal application will produce a signature page, which must be signed by the chancellor or president, director of athletics, senior woman administrator, faculty athletics representative or director of compliance and be provided to the national office. The appeal must set forth the specific grounds on which the appeal is based and the rationale for the appeal. (*Revised: 02/10. Effective with requests submitted fall 2010 and beyond.*)

The grounds for appealing a staff decision are limited to the following criteria:

1. The staff deviated from its approved procedures; or
2. The findings of the staff are erroneous.

All appeals of a staff decision must be requested within five calendar days of electronic notification of the staff's decision. Any appeal filed after five calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Data shall determine whether or not any appeal filed after five calendar days will be considered.

The appeal proceedings will continue as follows:

1. Documents to be Reviewed by the Subcommittee.

The subcommittee will receive and review a summary of the case, the institution's notification of appeal, the staff decision and rationale and any supporting documentation submitted by the institution will be sent to the full Subcommittee on Data for review at a regular time each week. Each subcommittee member will have one week from the posting of appeal materials to submit a decision. The subcommittee's decision is final and is not subject to further review by any other authority.

2. Subcommittee Deliberations and Decisions.

After reviewing all information, the subcommittee will render one of the following decisions:

- a. Uphold the staff's decision;
- b. Reverse the staff's decision; or
- c. Refer to a teleconference with the full subcommittee.

A two-thirds supermajority of subcommittee members is necessary to render a decision. If this is not reached, then the appeal will be referred to the next teleconference for full subcommittee discussion. If a quorum is not reached, then the appeal will be referred to the next teleconference for full subcommittee discussion.

The subcommittee may conduct its deliberations by teleconference, email, Internet or in-person meeting. Such deliberations shall include only subcommittee members and staff members supporting the work of the Committee on Academics.

If an appeal is forwarded to a teleconference of the full subcommittee, a simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or person serving as chair on a particular appeal, shall not

vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote. (*Revised 06/14. Effective: Immediately*)

Reconsideration

After the staff and/or Subcommittee on Data have issued a decision on an adjustment request, the institution may request the staff to reconsider its decision if the institution submits new or additional relevant information. The Subcommittee on Data may not consider requests with new or additional relevant information until the staff has reviewed the new information.

Effect of Prior Years' Adjustments on Previously Earned Penalties and/or Rewards

Adjustments to data for prior years will not affect the status of any previously earned penalties, loss of access to postseason competition, or incentives. Adjusted data will be considered in the calculation of the most recent multiyear APR and any applicable subsequent years.

However, if an institution discovers that an adjustment to a prior academic year's data would have resulted in the team not being subject to a previously earned penalty or loss of access to postseason competition that has not yet been applied, it may request relief from the previous penalty or loss of access. To request relief, an institution must submit a written request to the Subcommittee on Data and provide any necessary supporting documentation. (*Adopted: 07/06. Revised: 01/07*)

NCAA Division I Academic Performance Program Head Coaches APR Portfolio



During its January 2009 meeting, the Board of Directors approved a publicly available database for reporting the APR for all Division I head coaches. During the 2008-09 APR/APC data collection institutions were required to submit the names and employment dates for all head coaches in the sports of baseball, men's and women's basketball, football and women's indoor and outdoor track and field. During the 2009-10 APR/APC data collection, institutions were required to submit data for all other sports as well as the updated 2009-10 data for the original six sports. This data is required for all head coaches employed from August 1, 2003, to the present.

For purposes of this data, only coaches officially employed by a Division I institution as a head coach will be included in the database. A head coach designated as an "interim," will not be included in the portfolio for the "interim" period. Therefore, there may be dates for which there was no "head coach" for this study.

Head coaches will have the opportunity to review their employment history and single-year APR data during a designated time period, to be specified.

Beginning with the 2010-11 data collection, institutions need only update the head coach data for sports in which there was a coaching change within the last academic year. Additionally, institutions must verify the accuracy of the data and make any corrections prior to submitting the 2010-11 APR/APC data. If corrections are needed after the institution has submitted its APR/APC data, institutions may request changes during the 14-day correction phase.

See [Appendix 3J](#) for questions and answers to assist the membership in its understanding of the data collection for head coaches.

NCAA Division I Academic Performance Program APP Data Reviews

Bylaw 18.4.2.2 and the Committee on Academics Policies and Procedures require APP data to be submitted for all NCAA Division I teams and all teams/institutions that are in the process of transitioning their membership to Division I and are subject to NCAA Division I legislation. All APP data submitted pursuant to Bylaw 18.4.2.2 must conform to the committee's policies and procedures. In order to ensure the uniformity and accuracy of submitted APP data, the committee will review APP data submitted by selected institutions annually. Please note that the staff will review the institution's APR and GSR data.

Data Review Process

1. Selection.

The staff/Subcommittee on Data will select institutions for data review based on the following indicators:

- a. Comparison of academic rates previously submitted;
- b. Warnings generated by the APP Data Collection Program;
- c. Manual review of submitted data;
- d. Any data irregularities;
- e. Institutions with a team(s) with an APR(s) ranging from 910 to 950; and
- f. Random selection.

Additionally, institutions may be selected for review if, during a prior data review it failed to provide documentation to substantiate the information entered into the APP data collection system or if, the institution fails to comply with a required action from a previous data review. The subcommittee may also recommend that an institution be re-selected for review based on the significant number of issues with the institution's APR and GSR data discovered during the APP data review process.

There are no specified guidelines regarding sample size or selection method. Individuals performing the data review will use an appropriate sample size based on professional judgment in the particular circumstances.

A letter will be sent to the institution's chancellor/president informing him or her that the institution has been chosen to participate in the APP data review process. This letter will also include:

- a. A link to the committee's APP data review procedures; and
 - b. Request for primary and secondary contacts for the purpose of completing the review.
2. Responsibilities of the Chancellor/President.

Throughout the APP data review process, the chancellor/president must make it clear, by word and action, that the review is a priority and that the all individuals related to APP data submission are involved and responsible for the review.

The chancellor/president is responsible for appointing the institution's primary and secondary contacts. The contacts should be appointed by the chancellor/president or his or her designee. The contacts should have clear authority from and ready access to the chancellor/president. By doing so, the chancellor/president communicates the importance that the institution attaches to the review process and encourages the institution to take the review process seriously. Please note that the primary contact must be a full-time employee of the institution.

3. Responsibilities of the Primary and Secondary Contacts.

The primary and secondary contacts serve as liaisons between the institution and the staff member throughout the APP data review process. They will facilitate the collection of requested documentation for the staff liaison and answer questions that come up during the review. They are involved in preparing the institution's response to the preliminary findings and carrying out any actions required by the Subcommittee on Data as a result of the review.

4. Conference Office Involvement.

Conference office involvement in the APP data review process is optional. The role of the institution's conference office is determined by the institution. The conference office will receive copies of official correspondence between the NCAA

and the institution. The institution will inform the staff member of any additional conference office involvement in the process.

5. Third Party Involvement.

Third parties hired by the institution to assist with the data review process are permitted. However, all communication will take place between NCAA staff and the institutional contact. NCAA staff will not communicate with third parties unless authorized to do so by the institution. Such authorization must include a signed statement from the director of athletics expressly granting permission for the staff to communicate with the third party. If any third party attempts to contact the staff about a data review, the staff will direct that person back to the institutional contact.

6. Scope of Data Review.

A staff member will review the institution's APR data and GSR data only to verify the accuracy of the data submitted by the institution. The institution will be expected to cooperate with the staff throughout the APP data review process (i.e., providing requested documentation). Please note that during the review process, the staff has the authority to determine whether a more comprehensive review is required and/or an on-campus visit is necessary. The staff will notify the institution of the need for such a visit.

7. Introductory Teleconference.

A staff member will conduct an introductory teleconference with the contacts and others identified by the institution following receipt of the names of the primary and secondary contacts. The director of athletics is required to participate on the teleconference. The purpose of the teleconference is to review the following:

- a. The purpose of the APP data review;
- b. Committee expectations regarding participation;
- c. The decision to include the institution in the review process;
- d. The APP data review procedures;
- e. Possible on-campus visits;
- f. General review timeline; and

- g. Possible outcomes of the APP data review.

Prior to the teleconference, the institution will receive an initial request for documentation. The staff will review that request during the teleconference and will answer any questions the institutional contacts may have about the request. The institution will have **four weeks from the introductory teleconference** to respond to that request. *(Revised: 04/13. Effective: Immediately)*

8. Preliminary Report.

After the staff has completed its review of the APP data, they will provide the institution with a preliminary report of its findings. The preliminary report will be organized to:

- a. Identify the specific area reviewed and the definition of each area;
- b. The documentation used in the review;
- c. The staff's findings; and
- d. The staff's recommendations. The institution will have **two weeks** to respond to the preliminary report.

9. Corrections to the Data.

Institutions are permitted to make corrections to its data after receiving the staff's preliminary report, provided the institution agrees with the staff's findings. The staff will notify the institution that it may make the agreed upon corrections prior to the Subcommittee on Data review. All unresolved issues will be reviewed by the Subcommittee on Data.

10. Subcommittee Review.

The Subcommittee on Data will review the institution's preliminary report and responses. Please note the Subcommittee on Data can make any or all of the following findings:

- a. **No Action Required:** Based on the results of the review, the Subcommittee on Data considers the institution's APP data to be in substantial conformity with the applicable NCAA legislation and the Committee on Academics' policies and procedures and the institution is not required to take any action regarding its APP data in a particular area.

- b. **Recommended Action:** Based on the results of the review, the Subcommittee on Data considers the institution's APP data to be in general conformity with the applicable NCAA legislation and the Committee on Academics' policies and procedures, but recommends the institution implement steps to ensure that the institution's APP data remains in conformity with all applicable legislation and policies and procedures.
- c. **Required Actions:** Based on the staff's findings of the review, the Subcommittee on Data does not consider the institution's data to be in conformity with applicable legislation and the Committee on Academics' policies and procedures. The institution will be required to take actions that will bring it in conformity.

Additionally, the Subcommittee on Data may require the institution to change and/or create policies regarding the compilation, review and submission of APP data, provide additional documentation or information and/or require the institution's data in this area to be reviewed during a subsequent data review.

11. **Failure to Comply with Staff and/or Subcommittee Requests.**

If the institution fails to provide information or documentation within the stated period as requested by the staff or subcommittee, the institution's chancellor or president will be required to participate on a teleconference with the chair of the subcommittee and/or other individuals as deemed necessary. If the institution continues to fail to provide requested information or documentation to the staff or subcommittee in a timely manner, the subcommittee has the authority to deem the institution's data unusable. (*Revised: 4/13. Effective: Immediately*)

12. **Final Report.**

The Subcommittee on Data will provide the institution with a final report of its findings. The report will be organized by topical area and academic year and will provide the Subcommittee on Data's findings in each area and any action for the institution regarding these findings.

If an institution fails to take the required action(s) within the stated period, the institution's data will be considered invalid and the institution will be considered to have not submitted its APP data and will be ineligible for any NCAA championship or bowl game until the required action is taken.

13. **Ethical Considerations.**

The following guidelines have been established for data reviews in an effort to protect the integrity of the APP data review process:

- a. All aspects of the data review visit are to be treated as confidential. This confidentiality extends to evaluation materials provided by the institution (including institutional responses to the staff's findings); issues identified by the staff/Subcommittee on Data; the staff's files and notes; and conversations with the institution.
- b. Institutions should not offer, and staff members may not accept, gifts or gratuities of any kind.

14. Rules Violations.

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The staff/subcommittee will advise the institution of any information discovered during the data review process concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/subcommittee may engage the enforcement staff at any time and share information obtained through the data review process.

If the staff/subcommittee has identified possible violations impacting current student-athletes, the staff/subcommittee may suspend the APP data review until the enforcement investigation is complete. The staff/subcommittee may use information gathered by the enforcement staff in the APP Data Review Process. In addition, if the staff/subcommittee refers a potential violation to enforcement, the subcommittee may delay issuing all or part of its final report until the institution has determined whether a violation has occurred and the effect, if any, the violation has on the institution's APP data. (*Adopted: 6/14. Effective: Immediately*)

15. Deadline to Notify Student-Athletes of Pending Postseason Ineligibility.

Institutions must notify student-athletes on teams potentially subject to postseason competition restrictions by June 1 in instances in which the school's data review and/or APP waiver processes are incomplete. This policy permits student-athletes in their last season of competition to transfer, if desired, in accordance with current committee policies, even if the data review or waiver request has not been fully resolved. (*Adopted: 10/13. Effective: Immediately.*)

16. Waiver of the Deadline to Notify Student-Athletes of Pending Postseason Ineligibility.

The June 1 notification date can be appealed to the Subcommittee on Data in instances in which there are mitigating circumstances beyond the control of the institution that impact the timely resolution of the data review and/or waiver request. Such a request must be made in writing by the institution's chancellor or president. The Subcommittee on Data shall conduct its deliberations by facsimile, teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data members and national office staff members.

Should the subcommittee deny such a request, an appeal of the subcommittee's decision would be considered by the chair of the Committee on Academics and, in instances of a conflict of interest, by the vice chair of the Committee on Academics. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Data's decision.

The chair (or vice chair's) consideration of the appeal must be based on the following criteria: the institution must demonstrate that the Subcommittee on Data abused its discretion in denying the request. Abuse of discretion occurs when the subcommittee fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies that reasonably could have resulted in a different decision. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the Subcommittee on Data.

The chair (or vice chair) will conduct his or her review on the paper record and the institution will not participate in the review. The chair (or vice chair) may approve or deny the appeal request. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided. (*Adopted: 10/13. Effective: Immediately.*)

Data Review On Campus Visit

1. Notification.

The staff has the authority to determine that an on-campus review of APP data is necessary at any point in the process. The staff will inform the institution's chancellor/president of the decision to conduct a visit.

2. Length of Visit.

The APP data review visits will generally take place over a two-day period. Every effort will be made to establish a schedule in advance that reflects accurately the length and scope of the visit. Unanticipated events may require changes in the

schedule at the time of the visit; therefore, the staff has the authority to modify the schedule as necessary within the established time period.

3. Introductory Meeting.

The staff will conduct an informal meeting at the beginning of the visit with the institution's chancellor/president, primary and secondary contacts and any individuals the chancellor/president elects to invite. The purpose of the meeting is to introduce the staff member(s) and to provide a brief outline of what the staff will be doing while on campus.

4. Education Sessions.

The staff will conduct an informal educational session regarding APP data submission during the in-person visit. The institution may invite participants at its discretion. The purpose of the educational session is to discuss issues that arose from the data review and to provide the institution's staff with an opportunity to ask questions regarding the APP data submission process. Please note, this session is not intended to cover general NCAA interpretive questions nor to discuss the merits of the APP.

The staff will also conduct an educational session regarding the APP for the institution's coaches and other administrators not directly involved in the data review or in the normal collection and submission of the APP data.

5. Exit Meeting.

The staff will conduct an informal meeting at the end of the visit with the institution's chancellor/president, primary and secondary contact and any other individuals at the chancellor/president's discretion. The purpose of the meeting is to provide general impressions of the visit and to share information, including any serious problems that were discovered during the visit, which may be contained in the staff's formal written preliminary report. Finally, the staff should provide information regarding the next steps in the process and the anticipated timetable.

6. Costs of the On-Campus Visit.

The costs related to APP data review will be shared by the institution and the NCAA. The institution is responsible for work-related needs (e.g., copiers, meetings rooms, computers, Internet access, printers) for the staff member(s) during the visit as well as all costs associated with preparation and providing

requested documentation. The NCAA is responsible for expenses of staff member(s) related to the data review visit

Required Changes to Submitted Data and Impact of Changes on Penalties.

If an institution is required to amend its previously submitted APR and/or GSR data, any resulting change to the institution's APR and/or GSR will not affect the status of any previously earned APP penalties or loss of access to postseason competition. However, if the data, as amended, places a team below the APR benchmark, the team will be subject to penalties and/or will lose access to postseason competition at the next available opportunity. *(Adopted: 02/12. Effective for institutions selected for data review during the 2011-12 academic year and beyond.)*

Unusable Data

An institution's data will be considered unusable if an institution fails to submit complete data, is unable to provide documentation to verify the validity of its APP data or fails to comply with staff and/or subcommittee requests on timelines during the data review. *(Adopted: 04/13. Effective: Immediately)*

Any institution that has its data rendered unusable shall have until the following academic year to regain championship eligibility. Specifically, the institution will have until August 15 (for fall championship sports, winter championship sports and spring championship sports with fall competition used for championship selection) and October 1 (for spring championship sports) in the following academic year to rectify its unusable data and regain access to championships. *(Adopted: 10/14. Effective: Immediately)*

If it is determined that an institution has submitted unusable data during the APP data review process, the following will occur:

1. All teams at the institution will be immediately rendered ineligible for postseason competition (e.g., NCAA championships, national collegiate championships, bowl games, NIT, CIT, CBI). After the completion of the data review process, or when the subcommittee concludes that all needed information has been provided by the institution, all teams at the institution will regain eligibility for postseason competition. [Note: A school or teams could be otherwise ineligible for postseason competition (e.g., due to enforcement issues or not meeting APP benchmark).]
2. The staff will conduct an on-campus visit unless a visit has occurred as part of the

current APP data review process. The purpose of the visit is to review documentation supporting the institution's APP data and to conduct an educational session regarding APP data submission requirements and other topics as deemed necessary by the subcommittee and/or staff. The staff or subcommittee may conduct additional on-campus visit(s) as part of this process.

3. The institution will be placed in a one-year probationary period, which may include:
 - a. Recurring checks between the staff and the institution's certifying officer;
 - b. Required attendance for institutional representatives at Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;
 - c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data;
 - d. Submission of midyear academic data;
 - e. Ineligibility for public recognition of any high-performing teams and SSF or AASP pilot monies until the APP data review is complete; and
 - f. Any additional corrective measures as determined by the subcommittee.
4. After the one-year probationary period, the staff will conduct a follow-up visit to determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, may be required to participate in an in-person meeting with the full committee to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. *(Adopted: 06/10. Effective for institutions selected for data review during the 2010-11 academic year and beyond. Revised: 4/13. Effective: Immediately)*

If an institution's data are deemed unusable, the Subcommittee on Data has the authority to provide student-athletes, who have one season of eligibility remaining, with permission to contact, recommend a waiver of the transfer residency requirements (if the transfer requirements are met), or other options at its discretion based on the facts of each institution's case.

These options may include, but are not limited to:

- a. Providing permission to contact immediately; and
- b. Providing the institution a specific timeframe to rectify its data issues prior to providing these student-athletes permission to contact. (*Adopted: 07/13. Effective: 08/13, for institutions with data deemed unusable on or after 8/1/13 and beyond.*)

NCAA Division I Committee on Academics Subcommittee on Data Interpretations

Interpretations

The Committee on Academics shall oversee all aspects of the APP. These responsibilities include interpreting all APP data legislation and policies and procedures, including, but not limited to those referenced in Bylaws 14, 15.01.8 and 18.4.2.3. The Committee on Academics has the exclusive authority to interpret and provide written interpretations for all aspects of the APP. Neither the NCAA Division I Legislative Review and Interpretations Committee, nor the NCAA Division I Legislative Council Subcommittee for Legislative Relief has the authority to provide any type of relief or render a decision for a request that involves legislation and/or policies and procedures relative to the APP.

The Committee on Academics shall render decisions related to legitimate interpretative inquiries regarding the application of APP legislation and policies and procedures. The committee does not have the authority to make or change legislation, but shall interpret legislation and policies consistent with its intent.

The Committee on Academics also shall consider and recommend editorial revisions and official interpretations it has issued for inclusion into the NCAA Division I Manual and will review all related staff interpretations to maintain the integrity of the interpretation process.

Interpretive Request Process

1. Types of Interpretations that can be issued:

The committee/subcommittee shall issue an official interpretation only when it is determined by that group that the issue is one of national significance. When an official interpretation is issued, it will be issued as either a confirmation or determination. Listed below is the distinction between the two:

- a. A confirmation is a verification of the legislation and or policies and procedures. The confirmation is responsive to an inquiry, and is binding on all institutions for present and past actions.
- b. A determination is an interpretation issued when an issue or fact is not

clearly addressed by the legislation and/or policies and procedures. It is binding on the institution making the request and other institutions once it is published to the Division I membership.

2. Receipt of the Interpretive Request.

Generally, the subcommittee will review interpretative requests in the following situations:

- a. Referrals from the NCAA Academic and Membership Affairs staff regarding the application of legislation, other interpretations, and/or policies and procedures.
- b. Referrals from Division I governance entities (e.g., cabinets/committees) of issues related to the application of legislation and/or policies and procedures.
- c. A request by a member institution or conference to review an interpretation provided by the academic and membership affairs staff or the application of the APP legislation and/or policies and procedures, provided the legislation, policies or other official interpretations do not address the issue.

When necessary, member institutions and/or conferences must make all interpretative requests prior to filing an appeal of an APP penalty. Further, the interpretations process must be complete, including final review of any interpretive appeals, prior to proceeding with a related appeal of any penalties. Once an appeal has been filed, it will be assumed that the institution does not have any outstanding interpretative questions or concerns related to the imposed penalties.

3. Required Documentation.

Interpretative requests from a member institution or conference must be submitted in writing. Requests from a member institution may be submitted by the institution's conference or by one of the five individuals authorized to request such interpretations on behalf of the institution (i.e., chancellor or president, faculty athletics representative, athletics director, senior woman administrator or compliance coordinator).

When seeking an interpretive clarification, an institution or conference must submit an interpretive request and supporting documentation outlining the issue in question. The request must outline the limitations in the applications of

current legislation and/or official interpretations to the institution's specific circumstances.

4. Staff and Committee/Subcommittee Interpretations/Legislation Review.
 - a. **Staff Review:** All interpretative requests must be forwarded in writing to the staff liaisons to the Committee on Academics. The staff liaisons will review each request and, if possible, will provide a written response. If appropriate, the staff will issue a staff interpretation. The Committee on Academics or one of its subcommittees will review all staff interpretations.
 - b. **Committee Review:** If the staff is unable to render a decision or if the issue is of national significance, the staff may forward the interpretative request to the Committee on Academics and/or a subcommittee of Committee on Academics based on the topical nature of the request. The committee and/or subcommittees shall review the following issues:
 - (1) **Subcommittee on Data:** All issues related to the following: defining the APR cohort, filing APR, APC or GSR data, notification of Level-One and -Two penalties, appeals/extension requests and all other matters referred to the subcommittee by the Committee on Academics chair for review.
 - (2) **Subcommittee on Penalties and Appeals:** All issues related to the imposition and/or appeal of Level-One and -Two penalties, any other matters related to appeal, and all other matters referred to the subcommittee by the Committee on Academics chair for review.
 - (3) **Full Committee:** All issues related to the penalties and rewards structure. All issues related to the imposition and appeal of Level-Three penalties. In addition, the Committee on Academics will be the final authority to hear appeals of subcommittee interpretations, as well as to review all subcommittee interpretations. (*Revised: 04/07. Effective: 04/07*)
5. Meeting Protocol.

Committee meetings may occur in person, by teleconference, by email or by any other means deemed appropriate by the chair. The respective subcommittee or committee shall meet as often as necessary during the academic year to review

interpretative issues related to the application of legislation and/or policies and procedures. All subcommittee decisions will be reviewed by the full committee.

All materials provided by the entity requesting the interpretation, along with a summary/background information sheet prepared by the staff, shall be forwarded to the appropriate subcommittee prior to the request being reviewed.

The staff liaison will provide a brief summation of the issue and will provide any legislative or interpretative assistance as needed or requested by the committee/subcommittee. Only the staff liaisons and committee or subcommittee members shall participate in review of the issue, unless additional individuals are invited to be on the teleconference by the chair of the committee or subcommittee.

In order for the committee or subcommittee to deliberate and render a decision, a quorum of more than 50 percent of the committee or subcommittee members eligible to vote must be present.

The conflict of interest section of this document applies to the committee members' involvement in interpretive matters.

6. Issuance of Interpretations.

Interpretations issued by the committee/subcommittee/staff shall be binding immediately on notification to the affected institution or conference. Institutions will be notified initially by telephone and subsequently in writing after the committee/subcommittee's minutes of the meeting have been finalized. All other member institutions are bound by the committee subcommittee's interpretation after publication and circulation to the membership. If an issue is of national significance, an official interpretation shall be issued and published on the Legislative Services Database for the Internet (LSDBi).

7. Review/Appeals.

The Committee on Academics shall review all interpretations issued by the subcommittees and may approve, reverse or modify such interpretations. A member institution or conference may appeal a subcommittee(s)'s interpretation to the Committee on Academics within 30 calendar days following the subcommittee's decision. Such appeals must be submitted in writing by the institution's chancellor or president, faculty athletics representative or director of athletics and must set forth an interpretative argument as to why the decision of the subcommittee is erroneous.

The Committee on Academics interpretive decisions are final and no additional appeal opportunity exists for a member institution or conference.

8. Ex Parte Communication.

In order to maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

APPENDIX 3A**NCAA Division I Academic Progress
Rate Calculation Examples**

Example No. 1: A student-athlete enrolled full time in the fall semester, earned eligibility and returned for the spring semester. The student-athlete enrolled full time in the spring, withdrew in the sixth week of the semester after the census date and did not earn any hours. The student-athlete does not return to the institution the next fall term.

Answer: This student-athlete would earn "2/2" in fall and "0/2" in spring, assuming the student-athlete did not earn the eligibility point.

Example No. 2: In the fall term, a student-athlete enrolled full time and earned the eligibility point; however, the student-athlete did not enroll in the spring. The student-athlete then returned to school full time the next fall.

Answer: The student-athlete earned "1/2" points for the fall term and would not receive the retention point. The student-athlete is not in the cohort for the spring term.

Example No. 3: A student-athlete enrolled full time in the fall term and was not academically eligible for the spring term. The student-athlete did not enroll in the spring term. The student-athlete attended summer classes and became eligible for the fall term. Then, the student-athlete returned full time in the next fall term.

Answer: This student-athlete earned "0/2" points for the fall term and remained "0/2" despite regaining eligibility during the summer. The eligibility point is based on eligibility going into the next regular academic term, which was spring. The student-athlete was not included in the spring cohort, so he or she was "0/2" for the entire academic year.

Example No. 4: A student-athlete enrolled full time in the fall term and participated in a study-abroad program sponsored or affiliated with the institution in the spring term. He or she

earned eligibility for the next academic year and was retained in the next fall term.

Answer: The student-athlete earned "2/2" points for the fall term and earned "2/2" points for the spring term.

[Note: The student-athlete must be participating in a study-abroad program that is affiliated with the student-athlete's institution. If a student-athlete participated in a study-abroad program that is independent of the student-athlete's institution, the student-athlete would lose the retention point and earn "1/2" points.]

Example No. 5: A student-athlete on athletics aid was enrolled full time in the fall term and attended classes for 15 days, which is after the official census date, at Institution A. The student-athlete subsequently transferred prior to Institution B's census date and prior to the fifth week of classes and completed the fall term at Institution B.

Answer: The student-athlete is included in the fall cohort at Institution A and Institution B. The student-athlete was enrolled full time as of the fifth week of classes or the official census date, whichever is earlier at both institutions.

Example No. 6: A student-athlete was enrolled in the winter term and was academically eligible to compete at the end of the term. The student-athlete spent the spring term in a co-op program as part of his or her degree program. He or she was considered to be enrolled full time by the institution, but received no credit hours for the co-op program and will need a progress-toward-degree waiver in order to be eligible the following fall.

Answer: The student-athlete earned a "2/2" for the winter term and is part of the spring cohort if he or she was on athletics aid. However, since the student-athlete earned no credit hours, he or she is a "1/2" for the spring term unless a progress-toward-degree waiver is granted. If a progress-toward-degree waiver is granted, the student-athlete will earn "2/2" points.

Example No. 7: Following the completion of the fall term, a football student-athlete graduates and exhausts his eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the NCAA Division I Academic Progress Rate (APR) cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated and have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Example No. 8: If a student-athlete uses an exception to the full-time enrollment requirement and subsequently does not fulfill the conditions of that requirement (e.g., a student-athlete enrolled in less than a full-time program of studies required to complete graduation requirements does not graduate in that term) how should an institution calculate the student-athlete's APR?

Answer: The student-athlete would not earn the eligibility point for the term in which he or she enrolled in less than a full-time program of studies and failed to graduate. However, the student-athlete would earn "2/2" in the term in which graduation occurs. Losing the eligibility point would be consistent with the application of the exception for less than full-time enrollment for the final semester of a student-athlete's baccalaureate degree program. Such a student-athlete who fails to complete all degree requirements during the term forfeits eligibility in all sports.

Example No. 9: A student-athlete transfers from Institution A to Institution B between his or her fourth and fifth semesters (or sixth and seventh quarters) without designating a degree at Institution A. May Institution A apply the degree of its choice to the student-athlete's academic record for purposes of determining the student-athlete's eligibility for data collection?

Answer: If a student-athlete leaves an institution or quits the team and remains at the institution without designating a degree at the time degree designation is legislatively required, an institution may consider the student-athlete's academic record using any of the institution's degree programs for purposes of determining if the student-athlete would have met all required academic-eligibility requirements. If, in using this degree, the student-athlete would have been academically eligible, the institution will be awarded the eligibility point for purposes of the APR.

Example No. 10: A student-athlete transfers to Institution X, enters in the fall term and must serve one year of residency (e.g., does not satisfy a transfer exception). The student-athlete is retained for the spring

term and meets all applicable academic-eligibility requirements to be eligible for competition in the spring term (e.g., six-hour and grade-point average requirements) but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the fall term?

Answer: If the student-athlete would have been academically eligible to compete except for the transfer residency requirement, the student will receive the eligibility point for the fall term.

Example No. 10: A student-athlete is a partial or nonqualifier at Institution X entering in the fall term and must serve one year of residency (e.g., does not satisfy initial-eligibility requirements). The student-athlete is retained for the spring term and meets all applicable academic-eligibility requirements, but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the spring term?

Answer: If the student-athlete is academically eligible to compete except for the residency requirement, the student will receive the eligibility point for the spring term.

Example No. 11: If a student-athlete is granted a waiver per Bylaws 14.2.1.4, 14.4.3.6-(b) or 14.4.3.7 and therefore is not enrolled for an entire regular academic term, is the APR retention point awarded for the prior term? For example, a student-athlete is in the APR cohort in the 2011 fall semester, but in preparation for the 2012 summer Olympics, receives an Olympic Sports waiver for the 2012 spring semester. How is the retention point considered for the 2011 fall semester?

Answer: Student-athletes who receive an Olympic Sports waiver per Bylaw 14.4.3.7 will not have their retention point considered as part of the APR calculation for the term prior to the waiver. In the example, if this student-athlete is academically eligible to compete in the 2012 spring term the student would receive one out of one point (i.e., "1/1") for the fall term. The retention point would not be calculated. This is consistent with the calculation for student-athletes who are allowable exclusions to the graduation rate calculation or legislation exceptions to the five-year clock. Further, such student-athletes would not be included in the cohort for the spring term.

If an institution receives an athletics activities waiver for a student-athlete that participated in the Olympics, the institution should follow all prompts in the APP system related to Legislated Exception/Allowable Exclusion to address the lost retention point. If an institution does not receive or has yet to apply for an athletics activities waiver, the institution will lose the retention point; however, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point.

Note: If an athletics activity waiver is not granted for a student-athlete, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point, even if the student-athlete was granted a progress-toward-degree waiver.

Incomplete Grades – Examples of Posting for APR Calculation

Example No. 1: A basketball student-athlete receives athletically related financial aid during the 2012-13 academic year. At the conclusion of the 2013 summer term, he or she received an "incomplete" in one class that must be completed in order for him or her to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2013 summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

Example No. 2: A softball student-athlete receives athletically related financial aid during the 2012-13 academic year. At the conclusion of the 2012 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term.

Therefore, this student-athlete would not have earned the eligibility point for the 2012 fall term, regardless of the term in which the completed course grade was applied.

Five and Six-Year Degree Programs – Examples of APR Calculation.

Example No. 1: How are APR points awarded for student-athletes enrolled in five- and six-year degree programs?

Answer: A student-athlete enrolled in a five- or six-year degree program will earn an eligibility point in a term if the student-athlete is academically eligible to compete the following regular academic term based on applicable eligibility requirements for five- or six-year baccalaureate degree programs. A student-athlete enrolled in a five- or six-year degree program will earn a retention point if the student-athlete is retained as a full-time student the following regular academic term.

Example No. 2: How is the APR eligibility point determined for a student-athlete enrolled in a five- or six-year degree program during the last term of his or her fifth year?

Answer: The APR eligibility point normally is awarded only if a student-athlete graduates at the conclusion of five years. A student-athlete enrolled in a five- or six-year degree program who is completing his or her fifth year, will be awarded a point for eligibility in the last term, provided he or she meets the academic requirements outlined below.

Example No 3: Student-athlete B is enrolled in a six-year degree program that requires the student-athlete to complete 208-semester hours. During the sixth year of the degree, the student-athlete is required to complete two rotations for 40-semester hours. At the conclusion of student-athlete B's fifth year, he or she has completed all of the academic requirements of his or her degree except for the two required rotations. How is the APR eligibility point determined for this student-athlete?

Answer: The institution may award the eligibility point for this student because he or she has completed all of the requirements for the designated degree programs for years one through five and has only the requirements for the sixth year remaining.

APPENDIX 3B

Guide of Possible Student-Athlete Outcomes

The following table is provided as a rough guide of possible individual student-athlete outcomes.

E1	R1	E2	R2	E3	R3	F, S calc	W, S calc	8 - Point scale	4 - Point scale
N	A					0/1	0/1	0/2	0/1
N	C					1/2	1/2	2/4	1/2
N	N					0/2	0/2	0/4	0/2
N	Y					1/2	1/2	2/4	1/2
Y	A					1/1	1/1	2/2	1/1
Y	C					2/2	2/2	4/4	2/2
Y	G					2/2	2/2	4/4	2/2
Y	N					1/2	1/2	2/4	1/2
Y	T					1/1	1/1	2/2	1/1
Y	Y					2/2	2/2	4/4	2/2
		N	A			0/1	0/1	0/2	0/1
		N	C			1/2	1/2	2/4	1/2
		N	N			0/2	0/2	0/4	0/2
		N	Y			1/2	1/2	2/4	1/2
		Y	A			1/1	1/1	2/2	1/1
		Y	C			2/2	2/2	4/4	2/2
		Y	G			2/2	2/2	4/4	2/2
		Y	N			1/2	1/2	2/4	1/2
		Y	T			1/1	1/1	2/2	1/1
		Y	Y			2/2	2/2	4/4	2/2
				N	A	0/1	0/1	0/2	0/1
				N	C	1/2	1/2	2/4	1/2
				N	N	0/2	0/2	0/4	0/2
				N	Y	1/2	1/2	2/4	1/2
				Y	A	1/1	1/1	2/2	1/1
				Y	C	2/2	2/2	4/4	2/2
				Y	G	2/2	2/2	4/4	2/2
				Y	N	1/2	1/2	2/4	1/2
				Y	T	1/1	1/1	2/2	1/1
				Y	Y	2/2	2/2	4/4	2/2
N	Y	N	N			1/4	0/2	1/6	0.5/3
N	Y	N	Y			2/4	1/2	3/6	1.5/3
N	Y	Y	G			3/4	2/2	5/6	2.5/3
N	Y	Y	N			2/4	1/2	3/6	1.5/3

N	Y	Y	Y			3/4	2/2	5/6	2.5/3
Y	C	N	C			3/4	1/2	4/6	2/3

E1	R1	E2	R2	E3	R3	F, S calc	W, S calc	8- Poin t	4- Poin t
Y	C	Y	C			4/4	2/2	6/6	3/3
Y	G	Y	C			4/4	2/2	6/6	3/3
Y	Y	N	A			2/3	0/1	2/4	1/2
Y	Y	N	N			2/4	0/2	2/6	1/3
Y	Y	N	Y			3/4	1/2	4/6	2/3
Y	Y	Y	A			3/3	1/1	4/4	2/2
Y	Y	Y	G			4/4	2/2	6/6	3/3
Y	Y	Y	N			3/4	1/2	4/6	2/3
Y	Y	Y	T			3/3	1/1	4/4	2/2
Y	Y	Y	Y			4/4	2/2	6/6	3/3
		N	Y	N	N	0/2	1/4	1/6	0.5/3
		N	Y	N	Y	1/2	2/4	3/6	1.5/3
		N	Y	Y	N	1/2	2/4	3/6	1.5/3
		N	Y	Y	Y	2/2	3/4	5/6	2.5/3
		Y	C	N	C	1/2	3/4	4/6	2/3
		Y	C	Y	C	2/2	4/4	6/6	3/3
		Y	Y	N	A	0/1	2/3	2/4	1/2
		Y	Y	N	N	0/2	2/4	2/6	1/3
		Y	Y	N	Y	1/2	3/4	4/6	2/3
		Y	Y	Y	G	2/2	4/4	6/6	3/3
		Y	Y	Y	N	1/2	3/4	4/6	2/3
		Y	Y	Y	Y	2/2	4/4	6/6	3/3
N	Y	N	Y	N	N	1/4	1/4	2/8	1/4
N	Y	N	Y	N	Y	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	G	3/4	3/4	6/8	3/4
N	Y	N	Y	Y	N	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	Y	3/4	3/4	6/8	3/4
N	Y	Y	Y	N	N	1/4	2/4	3/8	1.5/4
N	Y	Y	Y	N	Y	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	G	3/4	4/4	7/8	3.5/4
N	Y	Y	Y	Y	N	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	Y	3/4	4/4	7/8	3.5/4
Y	C	Y	C	N	C	3/4	3/4	6/8	3/4
Y	C	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	G	N	C	Y	C	4/4	3/4	7/8	3.5/4
Y	G	Y	C	N	C	3/4	3/4	6/8	3/4
Y	G	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	Y	N	Y	N	N	2/4	1/4	3/8	1.5/4
Y	Y	N	Y	N	Y	3/4	2/4	5/8	2.5/4

Y	Y	N	Y	Y	G	4/4	3/4	7/8	3.5/4
Y	Y	N	Y	Y	N	3/4	2/4	5/8	2.5/4
Y	Y	N	Y	Y	Y	4/4	3/4	7/8	3.5/4
Y	Y	Y	G	N	C	3/4	3/4	6/8	3/4
Y	Y	Y	G	Y	C	4/4	4/4	8/8	4/4
Y	Y	Y	Y	N	A	2/3	2/3	4/6	2/3
Y	Y	Y	Y	N	N	2/4	2/4	4/8	2/4
Y	Y	Y	Y	N	Y	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	A	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	G	4/4	4/4	8/8	4/4
Y	Y	Y	Y	Y	N	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	T	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	Y	4/4	4/4	8/8	4/4
N	N			N	N	0/4	0/4	0/8	0/4
N	N			N	Y	1/4	1/4	2/8	1/4
N	Y			Y	Y	3/4	3/4	6/8	3/4
Y	A			Y	Y	3/3	3/3	6/6	3/3
Y	N			N	N	1/4	1/4	2/8	1/4
Y	N			N	Y	2/4	2/4	4/8	2/4
Y	N			Y	G	3/4	3/4	6/8	3/4
Y	N			Y	N	2/4	2/4	4/8	2/4
Y	N			Y	Y	3/4	3/4	6/8	3/4
Y	Y			Y	G	4/4	4/4	8/8	4/4
Y	Y			Y	Y	4/4	4/4	8/8	4/4

Table created by Donald Morrison, faculty athletics representative, University of California, Los Angeles. Supplemented in August 2009 by NCAA research staff.

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- E_n = Eligibility status at the end of term *n* within a given academic year.
 - R_n = Retention status at the end of term *n* within a given academic year.
 - Y = Student-athlete was eligible or retained after that term.
 - N = Student-athlete was not eligible or retained after that term.
 - G = Student-athlete graduated that term.
 - A = NCAA Division I Academic Performance Rate (APR) point was adjusted.

T =	Retention point automatically adjusted due to transfer.
C =	Continuing/post-baccalaureate student-athlete.
Blank =	Student-athlete not in cohort during that term.
F, S calc =	Partial APR contribution for student-athlete based on fall and spring E, R checks.
W, S calc =	Partial APR contribution for student-athlete based on winter and spring E, R checks.
8-point scale =	Sum of points earned/possible under each calculation.
4-point scale =	Actual APR contribution for student-athlete.

APPENDIX 3C

Frequently Asked Questions on Impact of Graduation on
NCAA Division I Academic Progress Rate

Question No. 1: May a student-athlete use the summer after his or her 10th semester/15th quarter in order to graduate and earn the eligibility point?

Answer: A student-athlete may use summer hours completed after his or her 10th semester/15th quarter to complete graduation requirements, as long as they are completed prior to the beginning of the next regular academic term. Student-athletes who graduate at any time during the summer are included in the last full-time term the student-athlete was enrolled during the regular academic year for NCAA Division I Academic Performance Program (APP) purposes.

Question No. 2: May a student-athlete return to the institution in the fall term to graduate and earn the retention point?

Answer: If a student-athlete returns in the fall term to graduate, the student-athlete will be a "1/2" for the prior spring term. If the student-athlete graduates that fall term, he or she may earn a delayed-graduation point for his or her team, provided the criteria are met.

Question No. 3: How does use of a missed-term exception affect the requirement to graduate within five years of enrollment?

Answer: For APR purposes, a student-athlete has five years **of actual full-time enrollment** (i.e., 10 semesters/15 quarters) in which to graduate. The term to which a missed-term exception is applied does not count against the five-year period for graduation.

Question No. 4: How does the use of a term in which a student-athlete is allowed to be enrolled part time due to a progress-toward-degree waiver affect the requirement to graduate within five years of full-time enrollment?

Answer: A term in which a student-athlete is permitted to be enrolled less than full time due to a progress-toward-degree waiver is still

considered a full-time term of attendance for purposes of the NCAA Division I Academic Progress Rate (APR). For example, a student-athlete with an education-impacting disability is granted a progress-toward-degree waiver to be enrolled part time and the student-athlete uses the part-time enrollment option during two regular terms during his or her academic career. At the conclusion of his or her fifth year of full-time enrollment, the student-athlete must graduate in order to earn both points because the two part-time terms were legislated exceptions.

Incomplete Grades – Graduation

Example No. 1: A basketball student-athlete received athletically related financial aid during the 2011-12 academic year. At the conclusion of the 2012 summer term, he or she received an "incomplete" in one class needed to earn his or her degree. At the institution, an "incomplete" credit is posted in the term in which the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2012 summer term. The student-athlete's five-year period to obtain his or her degree ended in summer 2012. What is the impact of the incomplete on the institution's APR?

Answer: If the student-athlete finished the incomplete prior to the APR submission date and, per institutional policy, the grade for the course was posted on the 2012 summer term – which would have added the credit hour(s) necessary for graduation – he or she earned the eligibility point for spring 2012 once that grade was posted and the institution considers the student-athlete a graduate in the previous term. If the grade was posted after the APR submission date, the institution may award a delayed-graduation point for the student-athlete during the next academic year's APR data submission.

Example No. 2: An institution's particular degree program requires that students complete an internship prior to graduation. Many of the institution's student-athletes who have completed their eligibility and are enrolled in this degree program register for the internship during the summer, but do not complete it and take an "incomplete" so that they can complete the internship during the

fall semester. However, because they are actually registered for the internship during the summer and the internship is the final piece needed to complete the degree, student-athletes are not actually registered for any classes during the fall. What is the impact of the incomplete on the institution's APR?

Answer: If student-athletes do not complete the internship by the end of the summer term and are not enrolled in the fall term, they do not earn the retention point. However, institutions have the opportunity to change data prior to the APP data submission deadline if "incompletes" are replaced with grades/credits posted back to the term. Accordingly, if the student-athletes in question eventually finish their internships and institutional policy allows for the "incomplete" to be replaced with grades/credits posted to the summer term, the team may be able to earn the "lost" point by requesting a delayed-graduation point.

Other Graduation Calculation Issues

Example No. 1: A student-athlete is enrolled in the 2011 fall semester, is not retained for the 2012 spring semester and then graduates summer 2012. Will he or she earn the graduation points (two points) for the 2012 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2012), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated summer 2012. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 2: A student-athlete completed all coursework for graduation in the 2011 fall semester but graduation was not conferred until the 2012 spring semester. Will he or she earn the graduation points (two points) for the 2011 fall semester?

Answer: Provided the student-athlete had completed all graduation requirements (administrative and academic) prior to the start of the next academic term (in this case, spring 2012), which this student-athlete did, then the student would be a "2/2," reflected as

a graduate for the 2011 fall term, though technically he or she "graduated" in spring 2012.

Example No. 3: A student-athlete completed all coursework for graduation except for four units in the 2011 fall semester. He or she then completed a course at a two-year college in the winter intersession, transferred those credits back to the original institution and graduated in the 2012 spring semester. Will he or she earn the graduation points (two points) for the 2011 fall semester?

Answer: Provided the student-athlete graduated prior to the start of the next academic year (in this case, fall 2012), then the student would be a "2/2," reflected as a graduate for the 2011 fall term, though technically he or she graduated in spring 2012.

Example No. 4: A student-athlete receives all incomplete grades for the 2011 fall semester, which is his or her 10th full-time term of collegiate enrollment. He or she then completes all the necessary coursework to remove the incomplete grades and graduated in the 2012 spring semester. Will he or she earn the graduation points (two points) for the 2011 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2012), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2011 fall term, though technically he or she graduated summer 2012. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 5: A student-athlete graduated from Institution A with eligibility remaining, transferred to Institution B per NCAA Bylaw 14.1.8 and received athletics aid to participate in athletics at the second institution. How is this student-athlete reflected in Institution B's APR?

Answer:

1. The student-athlete is included in the cohort for Institution B since he or she received athletics aid.

2. The student-athlete will automatically receive the retention point for each semester that he or she continues after graduation.
3. The student-athlete will receive the eligibility point if he or she meets NCAA, conference and institutional requirements for graduate student-athletes (e.g., Bylaw 14.1.7.2.1.4).

A graduate student who has earned an undergraduate degree will always earn the retention point. The eligibility point will be earned based on meeting whatever academic-eligibility rules are applicable (i.e., six hours).

Example No. 6: A student-athlete who attends an institution for five years and exhausts his or her eligibility but does not graduate receives how many points for the last term of the fifth year?

Answer: If the student-athlete returns for his or her sixth year, he or she will lose the eligibility point since he or she did not graduate in five years. However, since the student-athlete was retained, he or she will receive the retention point.

If the student-athlete withdraws from the institution, he or she will lose both the eligibility and retention points since the student-athlete did not graduate in five years and was not retained.

Example No. 7: A student-athlete only needed a few credits to graduate in spring 2012 and thus, enrolls less than full time. Will he or she earn the retention point for the 2012 fall term?

Answer: Taking only those courses required to graduate is a legislated exception to the full-time enrollment legislation (Bylaw 14.1.7.2.1.3). If the student-athlete meets this bylaw, he or she meets an exception to the full-time enrollment legislation and, therefore, is considered retained. Additionally, the student-athlete also must be included in the cohort during the spring term.

Example No. 8: During the fall semester, a student-athlete enrolled in 12 hours, later dropped to nine hours and passed eight hours. The student-athlete did not enroll for the spring semester. During the summer, the

student-athlete attended and graduated. How is this student-athlete reflected in the institution's APR?

Answer: For the fall semester, the student-athlete will earn the eligibility and retention points because he or she graduated before the next fall semester. The institution will receive credit for the student-athlete's graduation. For the spring semester, the student-athlete is not in the cohort.

Example No. 9: Following the completion of the fall term, a student-athlete graduates and exhausts his or her eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the APR cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated and have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Example No. 10: A student-athlete graduates from Institution A during the fall term and returns to the institution to complete his or her athletics eligibility in the spring term. How the student-athlete's eligibility is calculated if the student-athlete begins coursework toward a second baccalaureate degree?

Answer: Once a student-athlete has graduated, he or she is always awarded the retention point for any subsequent terms of enrollment, even if the graduated student-athlete transfers to another Division I institution and enrolls in graduate school. The eligibility point is earned if the student-athlete is academically eligible to compete in the subsequent academic term (e.g., passes at least six hours of degree credit, remains in good academic standing).

APPENDIX 3D

Frequently Asked Questions
on NCAA Division I Academic
Progress Rate Cohort Composition

Inclusion of Noncounters on Athletics Aid in the NCAA Division I Academic Progress Rate (APR) Cohort

Question No. 1: Do medical noncounters have to re-enroll full time to earn the retention point?

Answer: Yes. Retention for a student-athlete requires full-time enrollment unless he or she meets a legislated exception to full-time enrollment. Progress-toward-degree waivers of full-time enrollment are considered legislated exceptions.

Question No. 2: If a student-athlete in the cohort initially attends the institution for eight weeks, then receives a medical withdrawal for a serious medical condition, is this student included in the cohort? What if a medical-absence waiver was never submitted because the student did not return to the institution?

Answer: This student-athlete is in the cohort since he or she received athletics aid and was enrolled full time as of the fifth week of classes or official census date, whichever is earlier. The student-athlete's lost APR point(s) may be addressed through the adjustment process.

Revocation of Scholarship during the Term

Question No. 1: If a student-athlete begins the academic year on athletics aid, but the aid is revoked during the term, is the student-athlete included in the APR calculation for that term? For example, an incoming student-athlete is certified as a qualifier, receives athletics aid and attends classes. However, the student-athlete is declared ineligible midyear due to invalidation of his or her test score and he or she does not

receive aid from that point forward. As a condition of reinstatement, the student-athlete will repay the aid received during the fall term. Is the student-athlete included in the team's APR cohort for the fall term, even though the aid will be repaid?

Answer: Such a student-athlete would not be included within the APR cohort, in that the cohort is intended to be comprised of student-athletes who receive only permissible institutional athletically related financial aid. For teams that offer athletics financial aid, the APR cohort was developed to include only student-athletes who received athletically related financial aid and to exclude recruited student-athletes not awarded athletically related financial aid. This included student-athletes who were ineligible to receive athletically related financial aid. To remain consistent with the original design of the APR cohort, student-athletes impermissibly awarded athletically related financial aid are not included in the cohort. If this student-athlete receives athletics aid in subsequent years, he or she will enter the APR cohort for those terms during which he or she receives athletics aid.

Question No. 2: If a student-athlete begins the spring term full time and on athletics aid, but the student-athlete drops to a part-time status in the middle of the semester and athletics aid is revoked due to part-time status, is the student-athlete included in the APR calculation for that term?

Answer: Because the student-athlete received permissible athletics aid and was enrolled full time as of the institution's fifth week of classes or official census date for that institution, the student-athlete will be included in the team's APR for that term.

Question No. 3: A student-athlete begins the academic year on athletics aid written for the full academic year. The institution includes an academic component in the aid award, requiring the student-athlete to attend study hall in order to keep the aid. If the student-athlete fails to meet the academic component, the aid may be canceled under NCAA legislation. If the aid is canceled midway through the academic term, is this student-athlete included in the APR cohort for that academic term?

Answer: Because the student-athlete received permissible athletics aid as of the fifth week of classes or the official census date, whichever is earlier, the student-athlete would be a part of the team's APR cohort for that academic term. If the aid was canceled prior to the fifth week of classes or the official census date, the student-athlete should be removed from the team's APR cohort for that academic term. If the aid was canceled after the fifth week of classes or the official census date, the student-athlete's lost APR point(s) may be addressed through the APR adjustment process.

Student-Athletes Who Quit Nonscholarship Teams

Question No. 1: Is a student-athlete who quits a nonscholarship team at the end of the fall term included in the spring cohort?

Answer: For teams not awarding any athletics aid, a student-athlete is considered in the cohort if he or she is on the team at any point on or after the first date of competition during that term only. He or she will not be included in the APR cohort during the spring term since the student-athlete was not on the team

Recruited Student-Athletes Whose Standardized Test Scores are Invalidated - Nonscholarship Teams.

Question No. 1: Is a recruited student-athlete whose standardized test score was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier included in the APR cohort?

Answer: No. A recruited student-athlete whose standardized test was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier should not be included in the APR cohort for nonscholarship teams. *(Adopted: 10/08. Effective: 10/08 for the 2008-09 APR cohort; not retroactive to any prior year cohorts)*

Student-Athletes Receiving Athletically Related Financial Aid for Only One Term

Question No. 1: If a student-athlete received athletics aid in the fall term but not for the spring term (e.g., quits team, aid canceled) and remains enrolled at the institution for the spring term, is he or she in the APR cohort in the spring term?

Answer: Because the student-athlete received athletically related financial aid for the fall semester, he or she will be included in the team's APR for that term only. He or she will not be included in the APR cohort during the spring term since no athletically related financial aid was received.

Student-Athletes Receiving Preseason Expenses or Summer Athletics Aid

Question No. 1: Does the receipt of preseason expenses or athletics aid during a summer term trigger a student-athlete's inclusion in the cohort?

Answer: The receipt of preseason expenses and athletics aid during the summer term would not result in a student-athlete being included in the cohort. The trigger for including a student-athlete in the cohort is the receipt of athletically related financial aid during a regular academic term.

Student-Athletes Receiving Athletics Aid Contingent on Meeting Nonathletics Criteria

Question No. 1: If a student-athlete is offered and accepts athletically financial aid contingent on satisfying some nonathletics criteria prior to receiving any athletics aid, is he or she in the APR cohort?

Answer: Provided the student-athlete meets all other criteria to be included in the APR cohort, that student-athlete shall be included in the APR cohort for that term or terms, whether the stated nonathletics criteria are met or not. *(Adopted: 07/08. Effective: 07/08 for the 2007-08 APR cohort; retroactive to any prior year cohorts)*

Student-Athletes Receiving Outside Aid

Question No. 1: Should student-athletes who receive no athletics aid but receive outside aid that is countable against the team limit (e.g., athletics participation considered a major criterion) be included in the APR cohort?

Answer: Student-athletes whose only countable aid is outside aid would not be included in the cohort. The cohort is comprised of student-athletes who receive institutional financial aid based in any degree on athletics ability. Because the outside scholarship is not considered institutional aid, the student-athlete is not included in the APR cohort for that team.

Question No. 2: Should a student-athlete who has exhausted eligibility and receives athletics aid from the Student Assistance Fund or NCAA degree-completion program be included in the APR cohort?

Answer: A student-athlete who is receiving aid from the Student Assistance Fund to offset expenses normally covered by an athletics scholarship (i.e., tuition, fees, room, board and/or books) WOULD be included in the cohort, provided he or she is receiving the monies from the fund within six years after his or her initial full-time collegiate enrollment, the monies are awarded during the academic year, and the student-athlete has not yet enrolled beyond five years/10 semesters/15 quarters of actual full-time enrollment.

Since the requirement is to be considered part of the cohort and is based on the student-athlete receiving institutional athletics financial aid, receipt of funds from the NCAA degree-completion program would NOT result in the student-athlete being included as part of the cohort.

Medical-Absence Waivers [Bylaw 14.4.3.6-(a)]

Question No. 1: If a student-athlete is granted a medical-absence waiver per Bylaw 14.4.3.6-(a), is the student-athlete included in the cohort? For example, if a student-athlete in the cohort initially attends the institution for nine weeks, withdraws for a serious medical condition and is granted a medical-absence waiver on his or her

return in the spring term, is this student-athlete included in the cohort?

Answer:

Yes. The student-athlete is included in the cohort for the term(s) in which the medical-absence waiver applies. Any lost APR points should be addressed through the APR adjustment process.

APPENDIX 3E

Examples of Cross Country and Indoor and Outdoor Track and Field NCAA Division I Academic Progress Rate Cohort Composition

Example No. 1: A student-athlete receives athletics aid and is on the cross country team roster on the first date of competition for the championship segment. The student-athlete is also on the indoor and outdoor track and field rosters on the first date of competition in the championship segment for these sports. In which NCAA Division I Academic Progress Rate (APR) cohort(s) should the student-athlete be included?

Answer: Cross country, indoor track and field and outdoor track and field.

Example No. 2: A student-athlete receives athletics aid and is on the outdoor track and field roster on the first date of competition for the championship segment. The student-athlete is also on the indoor track and field roster on the first date of competition of the championship segment, but does not participate in cross country and, thus, is not on the cross country roster. In which APR cohort(s) should the student-athlete be included?

Answer: Indoor track and field and outdoor track and field.

Example No. 3: A student-athlete receives athletics aid and is on the cross country and indoor track and field roster on the first date of competition for the championship segment (assuming the institution's indoor track and field season begins in the fall). The student-athlete withdraws from the institution after the fall term. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country and indoor track and field for the fall term.

Example No. 4: A student-athlete receives athletics aid and is on the cross country roster on the first date of competition of the

championship segment. The student-athlete is not on the team's roster on the first dates of competition of the championship segments for either indoor or outdoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 5: A student-athlete is on the cross country and indoor and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete's institution offers athletics aid in these sports; however, the student-athlete does not receive athletics aid. In which APR cohort(s) should the student-athlete be included?

Answer: None, because the student-athlete is not receiving athletics aid.

Example No. 6: A student-athlete's institution does not offer athletics aid in any sports. The student-athlete was recruited and was on the cross country, and outdoor track and field rosters on the first dates of competition of the championship segments. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country and outdoor track and field.

Example No. 7: A student-athlete was included only in the cross country APR cohort for the 2010-11 academic year. The student-athlete exhausted his or her eligibility for cross country in 2010-11. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2011-12 academic year. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 8 A scholarship student-athlete is on the cross country and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete exhausted his or her eligibility for indoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country and indoor and outdoor track and field.

Example No. 9: A scholarship student-athlete was included in the cross country and indoor and outdoor track and field APR cohorts for the 2010-11 academic year. The student-athlete exhausted his or her eligibility for cross country and indoor and outdoor track and field in 2010-11. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2011-12 academic year. In which APR cohort(s) should the student- athlete be included?

Answer: Cross country and indoor and outdoor track and field.

APPENDIX 3F

Frequently Asked Questions Collection of Graduation Rate Data

Institutional Reporting Requirements

Question No. 1: What do I need to submit?

Answer: All NCAA member institutions **MUST** complete the student-body graduation rates and the student-body enrollment (first column on that page). Institutions that offer athletics aid also must complete the student-athlete enrollment.

NCAA Division I members also must provide the Graduation Success Rate (GSR) for student-athletes; NCAA Division II members also must provide the Academic Success Rate (ASR) for student-athletes. If you are an NCAA Division III member participating in **voluntary** pilot, you also will be providing ASR data for your student-athletes.

Question No. 2: Our institution recently dropped a sport/reclassified from Division I to Division III and is no longer awarding athletics aid in that particular sport or throughout the athletics program for all sports. What data do we need to submit?

Answer: Your institution is required to complete the federal [Integrated Postsecondary-Education Data Systems (IPEDS)] section for student-athletes up to and including the last freshman cohort for which your institution awarded athletics aid. For example, if the last freshman class that was awarded athletics aid was the class entering fall 2005; then, the 2005 fall cohort would be the last cohort for which your institution would be required to submit IPEDS data.

Question No. 3: Our institution began to report NCAA Division I Academic Progress Rate (APR) data for the 2006-07 cohort. Since our institution does not have a 2005-06 APR cohort, which is being reported this year, what data reporting requirements do we need to meet?

Answer: Your institution would be required to report the following data for the 2005-06 cohort:

- a. Student-body graduation rate data.
- b. Student-athlete graduation rate data.
- c. Student-athlete enrollment data.
- d. Student-body enrollment data.
- e. Student-athlete GSR data.

Question No. 4: Is our institution required to submit data for sports that are not being used to meet sports-sponsorship requirements?

Answer: Yes, institutions must report data for ALL sports even if the sport is not being used to meet NCAA sports-sponsorship requirements.

Question No. 5: Our institution awards athletics aid in a non-NCAA sponsored sport. How does our institution report graduation rates, GSR and ASR data for that sport?

Answer: If your institution awards athletics aid in a non-NCAA sponsored sport, your institution is required to report its graduation rates in order to comply with federal reporting requirements. Your institution will need to import its data using a text file. Instructions for creating the file may be found under the "Data Collection/Import" tab.

Student Reporting

Question No. 1: When our institution imported data from the NCAA Division I Academic Performance Program (APP) data collection system into the graduation rates data collection system, the import included student-athletes who should not be reported in this data collection year's GSR cohort. Why did this occur?

Answer: Student-athletes are imported from the APP data collection system based on their initial full-time enrollment at any institution/your institution and inclusion in the APR cohort. If the student-athlete's first term at any institution/your institution was entered incorrectly

in the APP data collection system, corrections will need to be made to the APR data and the student-athlete should be deleted from the cohort in the GSR system. The institution should review the files it maintains on campus to verify the accurate cohort.

Question No. 2: Our institution's census (enrollment) date is after the fifth week of classes. Should a student-athlete who was included in the APR data be included in the GSR data if he or she withdrew after the fifth week of classes but before the census (enrollment) date?

Answer: No, the APR definition for inclusion in the cohort is different than the federal or GSR definition. Only student-athletes who were enrolled as of the institution's census (enrollment) date should be included in the graduation (federal and GSR) cohorts.

Question No. 3: Our institution does not offer athletics aid in a sport and has a nonscholarship freshman who was on a team's roster for only the freshman year – he or she either left or was removed from the team. Does our institution still need to include this student-athlete when reporting GSR/ASR data?

Answer: Yes, such a student-athlete remains in the cohort, regardless of the number of years he or she participated in a sport.

Question No. 4: What do we do if we have multiple records for the same student-athlete within the same APR cohort?

Answer: Your institution will need to delete all records except for one within the GSR data collection portal after you have imported the records from the APP data collection system and request a correction to your institution's APR data for that cohort.

Question No. 5: How are multisport student-athletes reported?

Answer: Multisport student-athletes should be reported only ONCE and should be placed in the sport for which they received athletics aid as freshmen. If a student-athlete received athletics aid in more than one sport during the freshman year, the federal hierarchy should be followed (i.e., football, basketball, baseball, cross country/track, all other sports) and the student-athlete should be reported accordingly.

A student-athlete who did not receive athletics aid as a freshman but was recruited or on a roster as of the first date of competition, should be reported in that sport. Institutions should use the federal hierarchy for a freshman student-athlete who participated in more than one sport without receiving athletics aid. If the freshman student-athlete did not receive athletics aid, but participated in more than one of the "other" sports, the institution should select a sport to place the student-athlete.

Question No. 6: A student-athlete graduated from another four-year institution and then transferred to our institution seeking a second baccalaureate or graduate degree. Should this student-athlete be included in our institution's reporting of graduation rates data?

Answer: No, the student-athlete has already graduated from another institution and should be excluded from your institution's GSR. Graduation rates, GSR and ASR reporting are for undergraduate students and student-athletes only.

Question No. 7: How are the sports of cross country, indoor and outdoor track and field reported for the GSR/ASR? In the past, these three sports have been combined when reporting the IPEDS-Graduation Rate Survey/federal graduation data. Will the GSR/ASR also combine these three sports when reporting data?

Answer: Yes, these three sports will continue to be combined. However, if cross country, indoor or outdoor track and field teams fall into the APP penalty structure and the GSR is needed for one of these three sports, that institution may be required to provide the data necessary to separate the graduation rate by sport.

Question No. 8: Our institution has a student-athlete who received athletics aid for indoor and outdoor track but left the team before the first date of competition and remained enrolled at the institution. Therefore, the student-athlete was not included in the APR cohort; however, does our institution need to report the graduation information for this student-athlete?

Answer: Yes, since the student-athlete received athletics aid, your institution is required to report graduation rates data for the individual and will need to add the student-athlete to the specific sport within the graduation rates data collection system.

Question No. 9: How should we report student-athletes who were awarded athletics aid after their freshman year?

Answer: Student-athletes who did not receive athletics aid their first year at your institution should not be included in this reporting. In addition for ASR reporting of nonscholarship student-athletes, the student-athlete must have been on the roster during his or her freshman year.

Question No. 10: Our institution has a student-athlete who enrolled part time at our institution for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include them in the reporting year's cohort?

Answer: No, the student-athlete should not be included within the reporting year's cohort.

Question No. 11: Our institution has a student-athlete who enrolled part time at another institution for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, the student-athlete should be included in the reporting year's cohort and should be considered a transfer (i.e., four year, two year).

Question No. 12: Our institution has a student-athlete who enrolled in the fall term, but did not receive athletics aid until the spring term. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, freshmen who enter an institution in the fall can receive athletics aid at any time during their freshman year to be included in the reporting. However, midyear freshmen and transfers **MUST** receive athletics aid their first time at your institution to be included in the GSR and ASR.

Question No. 13: What is the GSR/ASR ID number?

Answer: This is a unique identification number that your institution needs to create and enter for student-athletes who are not in a reporting year's APR/Academic Tracking System cohort, but should be included in the reporting year's GSR/ASR cohort. This should be a unique number and we recommend that you use your institutional

or school identification number for that student-athlete in order to avoid duplicate numbers.

Allowable Exclusions/Left Eligible Reporting

Question No. 1: If a student-athlete leaves our institution to serve in the armed forces for another country, can he or she be reported as an allowable exclusion?

Answer: Yes, a student-athlete who leaves your institution to serve in any country's armed forces may be reported as an allowable exclusion.

Question No. 2: Our institution has a female student-athlete who became pregnant and was indicated as an allowable exclusion in APR. Is pregnancy also an allowable exclusion for graduation rates, GSR and ASR?

Answer: No, allowable exclusions for graduation rates, GSR and ASR are limited to military service, death or permanent disability, church mission and foreign aid service. Pregnancy is NOT considered an allowable exclusion for this data report and cannot be reported as such.

Question No. 3: If a student-athlete was diagnosed with cancer, would this be considered an allowable exclusion?

Answer: Yes.

Question No. 4: Our institution has a student-athlete who initially enrolled full time at another four-year institution the 2003 fall term and received athletics aid. The student-athlete left that institution following the 2004 spring term for active military duty and was reported by that institution as an allowable exclusion for this reporting. The student-athlete then transferred to our institution in the 2006 fall term and received athletics aid. However, the student-athlete did not graduate by August 2009, which is the end of the sixth year since initial full-time enrollment. Can our institution report this student-athlete as an allowable exclusion even though the student-athlete did not report for active military duty while enrolled at our institution?

Answer: Yes.

Question No. 5: Our institution had several student-athletes who were medical noncounters who continued to receive athletics aid after their freshman year. Are these student-athletes considered allowable exclusions for GSR reporting?

Answer: No, these student-athletes would not be considered allowable exclusions for the GSR since they are not permanently disabled and were able to return to your institution.

Question No. 6: Our institution has a student-athlete who received a medical-absence waiver for an entire academic year. In prior APR data collections, these student-athletes were not included within the APR cohort. Is this the same for GSR reporting?

Answer: No, student-athletes who receive a medical-absence waiver should be included within the GSR cohort if they meet the definition to be included within the GSR cohort.

Question No. 7: Our institution has a student-athlete who left the institution academically ineligible because of incomplete grades on his transcript. He returned to our institution to make up the coursework and received passing grades. Can our institution report the student-athlete as "Left Eligible?"

Answer: No, both GSR and ASR data submissions require institutions to report on those student-athletes with athletics eligibility remaining who left their institutions prior to receiving their baccalaureate degree and who would have been academically eligible to compete in the next regular academic term had they returned to their institutions. Since these student-athletes would have been academically ineligible to compete had they returned to their institutions, they would be noted as academically ineligible for GSR or ASR reporting and cannot be reported as "Left Eligible."

Question No. 8: A student-athlete left the institution academically ineligible; however, the student-athlete received an APR adjustment for the lost eligibility point. Can that student-athlete be reported as "Left Eligible?"

Answer: No, adjustments in the APR do not apply to the GSR. Since this student-athlete left the institution academically ineligible to compete had he or she returned to the institution, he or she would

be noted as academically ineligible for GSR reporting and cannot be reported as "Left Eligible."

Question No. 9: A student-athlete left our institution academically eligible with athletics eligibility remaining after the third year of enrollment; however, the student-athlete returned to the institution prior to the end of the sixth year since initial full-time enrollment and has not yet graduated. Can this student-athlete be reported as "Left Eligible?"

Answer: No, the student-athlete's status must be determined based on his or her last status at your institution as of the end of the sixth year since initial full-time enrollment (August 31, 2011).

APPENDIX 3G

Frequently Asked Questions on Collection of Two-Year
Transfer Data

Question No. 1: Why are institutions being asked to submit this additional data?

Answer: Since June 2007, four separate groups within the NCAA governance structure have initiated reviews of issues impacting the academic performance of two-year college transfer student-athletes. Each group noted the need for additional research regarding the academic performance of two-year college transfer student-athletes, specifically their performance at their respective two-year college(s). However, there are limited data available on the two-year college academic performance of student-athletes. Without comprehensive data on two-year college transfer student-athletes, the membership's ability to provide thorough analysis regarding the academic preparation and success of two-year college transfers is limited. The collection of these data is essential in understanding the academic profiles of two-year college transfers and is providing reliable data to various governance groups as they consider policies and legislative changes regarding two-year college transfers.

Question No. 2: Why are the additional academic data only being collected for four sports?

Answer: The four identified sports have the largest number of transfer students from two-year colleges. In addition, it is anticipated that data from these sports will be sufficient for obtaining the research to inform policy decisions.

Question No. 3: Does this data submission require institutions to submit data on all two-year college transfer student-athletes in all years that make up the multiyear NCAA Division I Academic Progress Rate (APR) cohort?

Answer: No. Institutions are required to provide data on all two-year college transfer student-athletes in the 2012-13 cohort in the four sports, if the student-athlete enrolled at the submitting institution during the 2012-13 academic year.

Question No. 4: Does the institution need to submit any documentation (e.g., transcripts, credit evaluation) to the national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus in the event of an NCAA Division I Academic Performance Program (APP) data review.

Question No. 5: What if an institution does not submit any data or incomplete data on its two-year college transfers?

Answer: If an institution fails to submit any data or submits incomplete data on its two-year college transfers, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships. If an institution is unable to obtain the requisite data or encounters issues with this data collection, the institution should contact the NCAA academic and membership affairs staff.

Question No. 6: What if the institution is unable to obtain requisite information until after the APR/Academic Performance Census data has been submitted?

Answer: This information must be completed and submitted with the institution's APR data. If this timeline cannot be met, the institution should request an extension of the data submission deadline.

Question No. 7: Does the additional academic data have to be submitted for a student-athlete who initially attended a four-year institution, then transferred to a two-year college and then transferred to the submitting institution (i.e., 4-2-4 transfer)?

Answer: Yes; however, the submitting institution needs to only report the additional academic data for the student-athlete's attendance at the two-year college. Credits earned by the student-athlete from the first four-year institution should not be entered into the new data fields regarding two-year college attendance; however, they should be included in the total transfer credits field on the student-athlete's main data screen.

Question No. 8: Does the additional academic data have to be submitted for a student-athlete who initially attended a two-year college, then transferred to a different four-year institution and then transferred to the submitting institution (i.e., 2-4-4 transfer)?

Answer: No; institutions are required to supply the additional academic data only for student-athletes who transferred directly from a two-year college to the current institution.

Question No. 9: What is difference between total credit hours, transferrable credit hours and degree credit hours?

Answer: Total credit hours are those credits hours the student-athlete earned at the two-year college(s). Transferrable credit hours are only those credit hours earned at the two-year college(s) that transferred into your institution. Degree credit hours are only those credit hours earned at a two-year college that transferred into your institution and were applied to the student-athlete's designated degree program at the time of transfer.

Question No. 10: Should credit hours earned at a two-year college prior to initial full-time collegiate enrollment be included in these data?

Answer: Yes. All two-year college hours should be reported regardless of when the student-athlete earned them (e.g., high school dual enrollment, prior to initial full-time enrollment). As a reminder, this data is only being collected for student-athletes who transferred to the submitting institution from a two-year college. This data is not being collected for a freshman who initially enrolls at the submitting institution and earned dual enrollment credits at a two-year college.

Question No. 11: What if the student-athlete transferred to the submitting institution prior to being required to designate a degree program?

Answer: The submitting institution should report all credits that would transfer into any degree program at the four-year institution.

Question No. 12: What if the student-athlete changed majors after his or her first term at the submitting institution?

Answer: The degree credit hours field should reflect the student-athlete's degree program at the time of transfer.

Question No. 13: What is the difference between overall grade-point average and transferrable grade-point average?

Answer: The overall grade-point average is the total grade-point average based on all coursework at the two-year college(s). The transferrable grade-point average is not a requirement for the additional academic data, but is the grade-point average earned in all courses that transferred into the institution as defined in NCAA Bylaw 14.5.4.5.3.2 (calculation of grade-point average for transferable credit).

Question No. 14: How is the overall two-year college grade-point average determined?

Answer: If the student-athlete only attended one two-year college, then the cumulative grade-point average at that two-year college should be reported. If the student-athlete attended more than one two-year college, the submitting institution should calculate the overall two-year college grade-point average by adding total grade points earned at all two-year colleges divided by total credits attempted for a grade at all two-year colleges.

For example: John attended two-year college A. John attempted 27 credit hours for a grade, however, only earned 24 credit hours and earned 70 grade points. His grade-point average at two-year college A is $70/27 = 2.59$.

John then transferred to two-year college B. John attempted 40 credit hours for a grade and earned 40 credit hours and earned 98 grade points. His grade-point average at two-year college B is $98/40 = 2.45$.

His overall two-year college grade-point average is $(70 + 98)/(27+40) = 2.51$.

Question No. 15: What if the student-athlete received an initial-eligibility waiver and was considered to be a partial qualifier?

Answer: Please indicate the student-athlete was a nonqualifier for purposes of this data collection.

Question No. 16: What if the student-athlete did not have a final academic certification from the NCAA Eligibility Center?

Answer: The student-athlete should be reported as not being certified or as not registering with the NCAA Eligibility Center.

Question No. 17: May I import the data from Compliance Assistance (CA)?

Answer: No. The majority of these data fields are currently not available in CA.

Question No. 18: What should be reported if the student-athlete was charged with a season of competition but did not actually compete? For example, the student-athlete competed after his or her 21st birthday prior to initial full-time enrollment and was charged with a season of competition.

Answer: Only the number of seasons in which the student-athlete actually participated at a two-year college should be reported.

Question No. 19: What is considered to be a physical education activity credit?

Answer: Physical education activity courses are courses which involve body movement produced by skeletal muscles resulting in energy expenditures through organized group or class activities (e.g., swimming, team sports, weight lifting). Physical education theory or pedagogy courses should not be reported as physical education activity courses.

Question No. 20: What is considered an English credit?

Answer: Courses that were offered in the two-year college's English department and were earned (both college level and remedial) should be reported as English credit hours earned. Courses that transferred into the submitting institution's English department should be reported as English credit hours transferred. A course that transferred into another department but met a writing requirement would not be considered an English course (e.g., history course with a writing component).

Question No. 21: What is considered a math credit?

Answer: Courses that were offered in the two-year college's mathematics department and were earned (both college level and remedial) should be reported as math credit hours earned. Courses that transferred into the submitting institution's mathematics

department should be reported as math credit hours transferred. A course that transferred into another department but met a quantitative requirement would not be considered a math course (e.g., logic course offered in the philosophy department).

Question No. 22: What is considered a science credit?

Answer: Courses that were offered in the two-year college's natural or physical science departments (e.g., biology, chemistry, physics, geology) and were earned (both college level and remedial) should be reported as science credit hours earned. Courses that transferred into the submitting institution's natural or physical science departments should be reported as science credit hours transferred. Social science courses (e.g., psychology, sociology) and health science courses (e.g., nursing, exercise science) would not be considered a science course.

Question No. 23: What is considered a remedial course?

Answer: A course is remedial if it does not count as college-level credit and does not count toward any degree program at the institution. Generally a remedial course is a prerequisite for courses that are countable toward any degree program. Remedial courses may also be referred to as "college-preparatory," "compensatory," "developmental" or "review."

Question No. 24: Should remedial English, math and/or science courses be reported in the total number of credits earned at the two-year college?

Answer: Yes. Remedial hours the student-athlete completed at the two-year college should be included in reporting the total number of hours earned. However, remedial courses are generally not transferrable to a four-year institution; therefore, they should not be reported as transferrable or degree credit hours.

Question No. 25: What should be reported if the submitting institution does not accept any credit hours from two-year colleges?

Answer: The institution must report zero for the degree credit hours and transfer credit hours fields. The institution will not be able to submit its APP data if these fields are blank.

Question No. 26: Is part-time attendance at a two-year college included in determining the total number of two-year colleges attended?

Answer: Yes. Please include all two-year colleges that the student-athlete attended including high school dual enrollment and attendance prior to initial full-time enrollment.

Question No. 27: What if the student-athlete earned an associate of science or an associate of applied science instead of an associate of arts degree?

Answer: If the student-athlete received an associate degree prior to transferring to the submitting institution, the student-athlete should be reported as a two- year college graduate.

Question No. 28: If a student-athlete attended a two-year college using semester terms and the submitting institution is a quarter institution, should the number of terms the student-athlete attended the two-year college be reported in semesters or quarters?

Answer: The submitting institution should convert the terms to its academic calendar (semesters or quarters). For example, if a student-athlete attended a two-year college for four semesters and transferred to a quarter institution, the submitting institution should report six terms at the two- year college (1 semester = $3/2$ quarters and 1 quarter = $2/3$ semester).

Question No. 29: Are institutions required to submit the data for transfer student-athletes who attended a two-year college in a foreign country?

Answer: No. A two-year college in a foreign country is considered to be a four- year college for NCAA transfer purposes.

APPENDIX 3H

Application of the Missed-Term
Exception Adjustment

Question No. 1: Is the institution required to apply the missed-term exception to determine the academic eligibility of a student-athlete when he or she re-enrolls at the institution?

Answer: An institution is not required to apply the missed-term exception in order to request an adjustment for the lost retention point. As long as the student-athlete qualifies for the missed-term exception pursuant to NCAA Bylaw 14.4.3.5-(a) and the criteria listed above are met, an institution may request an adjustment for the retention point for the term prior to missing the term(s).

Question No. 2: May an institution request an adjustment for the retention point on more than one occasion for the same student-athlete based on the missed-term exception criteria?

Answer: No. An institution may request an adjustment to a lost retention point based on the missed-term exception criteria one time during a student-athlete's academic career.

Question No. 3: May an institution request an adjustment of the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled for consecutive terms in more than one academic year?

For example: Fall 2011 – student-athlete enrolled; eligible but not retained.
Spring 2012 – student-athlete not enrolled.
Fall 2012 – student-athlete not enrolled.
Spring 2013 – student-athlete returns to institution.

Answer: An institution is permitted to request an adjustment for the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled full time in multiple, regular academic terms.

Question No. 4: Is an institution permitted to request adjustments for the retention point based on the missed-term exception criteria

for any academic year cohort included in the institution's multiyear NCAA Division I Academic Progress Rate (APR) cohort?

Answer:

This policy was effective starting with the 2006-07 APR cohort that was submitted fall 2007 and is not retroactive to any prior year cohorts. Thus, beginning fall 2007, an institution may request an adjustment for a retention point based on the missed-term criteria for a term missed by a student-athlete during the 2006-07 academic year and subsequent missed terms thereafter.

APPENDIX 3I

NCAA Division I Academic Progress
Rate Adjustment Directive**Background**

The NCAA Division I Academic Progress Rate (APR) is a metric that awards points for academic eligibility/graduation and retention. Eligibility is important as it measures a student's progress toward a degree at regular intervals. Retention is a crucial part of the APR because of the following:

1. The pilot data reflected that retention is an even stronger component of graduation than eligibility.
2. By awarding points for retention, potential issues related to "run-offs" and "recruiting mistakes" could be monitored and addressed.
3. Term-by-term retention points allow for a student-athlete to receive "credit" for every term he or she returns, even if he or she eventually transfers or is not retained for any reason. This "partial-credit" model has been seen as a significant improvement over the Federal Graduation Rate and is a very important consideration when assessing eligibility + retention for the APR calculation.

The NCAA Division I Committee on Academics has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academics Subcommittee on Data in reviewing APR adjustment requests. The committee recognizes there may be some legitimate reasons why student-athletes are not retained and do not maintain academic eligibility, and in these instances, a student-athlete's lost points should be adjusted.

Guiding Principles

Adjustments to a team's APR will be considered based on circumstances surrounding individual student-athletes. Adjustments generally will be reviewed in the context of whether the mitigating circumstances surrounding the individual student-athlete are beyond the control of the student-athlete and/or the team/institution.

Effect of Adjustment

The APR is calculated by evaluating each student-athlete in the NCAA Division I Academic Performance Program (APP) cohort. Each student-athlete is able to earn two points for each regular academic term he or she is in the cohort. The eligibility point is awarded if the student-athlete is academically eligible to compete in the next regular academic term (even if he or she has no competition in that term). The retention point is awarded if the student-athlete is retained by the institution in the next regular academic term (i.e., returns to the institution as a full-time student as of the institution's census date or the fifth week of classes, whichever is earlier).

Student-athletes who graduate in a term are awarded both points for that term. If a student-athlete remains in the APP cohort after graduation, he or she is always awarded the retention point for having graduated. A student-athlete who earns both points in an academic term is recorded as "2/2."

A student-athlete who was not retained by an institution (did not return to the institution or did not return as a full-time student) in the next regular academic term and did not graduate will be a "1/2" or a "0/2" depending on whether he or she earns the eligibility point. Likewise, a student-athlete who completed a term and was retained, but was not eligible will be a "1/2." A student-athlete who did not complete an academic term, and therefore did not earn eligibility, and was not retained should be reported as "0/2." In all of these circumstances, it may be possible to request an adjustment to a lost point or points. Approval of an adjustment request does not result in the awarding of any lost eligibility and/or retention points. Rather it removes the lost points from both the numerator and the denominator. Thus the "1/2" becomes a "1/1," or the "0/2" becomes a "0/1" or "0/0." Please note some adjustment criteria require the earning of the eligibility point in order for the request to be considered.

Circumstances Warranting an Adjustment of the Eligibility or Retention Point.

Adjustments will be granted only if stated conditions described below are met.

1. Academic Term Not Completed.

A student-athlete who did not complete a regular academic term due to circumstances outside of his or her control (e.g., student-athlete suffers from a serious medical condition early in the academic term) and failed to earn the eligibility and/or retention point may be considered for an adjustment in the

following situations. In all circumstances, contemporaneous documentation must be included. If relief for the lost retention point is being requested, the documentation must clearly indicate that a student-athlete was unable to be retained by the institution as a result of the mitigating circumstances. If relief for the lost eligibility point is being requested, the documentation must clearly demonstrate how the mitigating circumstances impacted the student-athlete's academic performance. The following mitigation will be considered:

- a. An incapacitating injury or illness to the student-athlete or an immediate family member, which is clearly supported by contemporaneous medical documentation. The documentation must clearly indicate that a student-athlete was unable to be academically successful and/or retained as a result of the incapacitating physical or mental circumstances.

Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the NCAA Division I Progress-Toward-Degree Waivers Committee), which coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the Legislative Services Database for the Internet (LSDBi) portal. (Adopted: 02/10. Effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts.)

APPENDIX 3J

Frequently Asked Questions on the
Head Coaches NCAA Division I Academic
Progress Rate Portfolio

Question No. 1: Why are institutions required to submit additional data for the original six sports reported last year?

Answer: Moving forward, institutions will be required to submit yearly updates to their coaching information. The information is drawn from the membership database so institutions who keep their information current within the database will have the appropriate information displayed in the NCAA Division I Academic Progress Rate (APR)/Academic Performance Census (APC) system. Institutions will still be required to verify that the data reported is correct.

Question No. 2: Can this data be imported from Compliance Assistant (CA)?

Answer: No. However, the majority of head coaches' data are already prepopulated in the institution's NCAA Division I Academic Performance Program (APP) data collection site, so this is not part of a CA import.

Question No. 3: How were the head coaches' data that are prepopulated in the data collection system obtained?

Answer: The information is obtained from the NCAA membership database and sports-sponsorship forms submitted by the institution.

Question No. 4: Should an "interim" head coach be reported?

Answer: No. Only permanent head coaches should be reported in the data collection system. There may be time periods in which the institution reports no head coach for a sport.

Question No. 5: If a sport had co-head coaches, should both coaches' names be reported?

Answer: Yes. All head coaches should be reported. The data collection system will allow overlapping employment periods and the ability to enter multiple head coaches for an academic year for a sport.

Question No. 6: Will head coaches be able to view their employment dates and the team's single-year APRs?

Answer: Yes. Head coaches will have an opportunity to view their employment dates with the institution(s) and the team's single-year APRs, but not that of other coaches, prior to the public release. However, head coaches will not be able to make corrections to the data. All corrections regarding their employment dates must be submitted by the institution.

Question No. 7: Is there an appeals process available to the head coach if he or she wishes to appeal the team's APRs?

Answer: No. Coaches will have the opportunity to review employment dates; however, there will not be an opportunity to appeal the information reported in the APR portfolio. Such opportunities for appeals would have been available during the annual APP Data Collection Process (e.g., data corrections and adjustments).

Question No. 8: How will head coaches who are no longer employed at a Division I institution be notified of the opportunity to review their employment dates and APRs?

Answer: The NCAA will notify all coaches through their respective coaches' association and a public notice on the NCAA website of their opportunity to review data. That notification will advise coaches who are not currently employed at an NCAA member institution, to fill out a form with their contact information and will receive log-in information.

Question No. 9: What does an institution need to do if the head coach listed in the data collection site appears correct but the name is misspelled?

Answer: The institution should report the misspelling by clicking on the button "Report Misspelling." The NCAA staff will review the request and make the necessary corrections to the head coach's name. An NCAA staff member will contact the individual making the request to notify them of the change.

Question No. 10: Is the employment start date the date the head coach signed the employment contract, or the date the coach began duties as a head coach?

Answer: The employment start date should be the date on which the coach started duties as a head coach.

Question No. 11: Is the employment end date the date on which the coach was no longer employed by the institution or the date on which the coach was no longer the head coach?

Answer: The employment end date is the date on which the coach was no longer the head coach of that sport.

Question No. 12: What if an institution does not submit any data or incomplete data for the head coaches?

Answer: Since this information is considered part of the APC data collection, if an institution fails to submit any data or submits incomplete data on its head coaches, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships.

Question No. 13: Will institutions be able to submit corrections to the data after submission of all APR/APC data?

Answer: Yes. Any corrections to the head coaches' employment data must be submitted during the institution's regular corrections period with any corrections to an institution's APR data. Institutions are permitted to request corrections to APC and APR data for any academic year, including academic years not included in the current multiyear APR calculation. Only institutions (not individuals) may request the corrections.

Question No. 14: Will the APR for head coaches be reported as an average for all years they were employed at the institution?

Answer: No. The APR reported will be the team's single-year APR for each academic year (August 1 through July 31) the head coach was employed at the institution.

Question No. 15: When will the head coaches' APR be reported publicly?

Answer: The head coaches' APR is currently available on the NCAA website and will be updated annually each spring.

Question No. 16: Does the institution need to submit any documentation (e.g., contracts, employment records) to the NCAA national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus for purposes of an APP Data Review.

Question No. 17: If an institution sponsors one or two sports at the NCAA Division I level, are they required to submit this data for those sports?

Answer: Yes. This data collection applies to its Division I teams even though the institution is a NCAA Division II or NCAA Division III institution.

Question No. 18: If an institution used to sponsor a sport and dropped it or transitioned it to another division, are they required to submit this data for those sports?

Answer: Yes. Institutions will be asked to provide the information for each of the years in which the sport was an active Division I team. If the sport was dropped or transitioned prior to the 2003-04 academic year, the institution will not be required to provide the information for that year. However, if the APR from an academic year for the team is not reported as part of the institution's APR report, it will not be included as part of the public release of this data.

NCAA Division I
Committee on Academics
Operating Manual
2014-15

Chapter 4

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NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

Purpose

The NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals is one of three standing subcommittees that report directly to and help facilitate the work of the NCAA Division I Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Data and the NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics.

The purpose of the Subcommittee on Penalties and Appeals is to administer specific aspects of the NCAA Division I Academic Performance Program (APP) on behalf of the Division I membership and the Committee on Academics. The central purpose of the APP is to ensure that the membership is dedicated to providing student-athletes with an exemplary educational and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions, while enhancing the ability of student-athletes to earn a degree. *(Revised: 10/11. Effective: 10/11)*

Duties and Responsibilities

The Subcommittee on Penalties and Appeals will:

1. Study issues and develop policies related to APP Penalties and Appeals and the application of APP penalties and access to postseason competition;
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policies and determine if any should be forwarded to the full committee for review and/or possible action.
3. Interpret APP penalties and appeals legislation and policies including access to postseason competition and waiver requests;
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee all aspects of APP waiver requests and appeals processes including requests to waive loss of access to postseason competition and requests to waive Level-One and -Two APP penalties. The subcommittee does not hear

requests to waive Level-Three APP penalties or loss of access to postseason competition in conjunction with Level Three penalties;

6. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Composition

The subcommittee shall consist of six members of the Committee on Academics. All subcommittee members shall be on the staff of an active Division I institution or conference. One member will serve as chair, at the discretion of the chair of the Committee on Academics.

Selection of Subcommittee Chairs

Each of the committee's subcommittees shall have a chair. Subcommittee chairs normally shall serve as chair for the remainder of their respective committee terms. Subcommittee chairs shall be selected as follows:

1. The subcommittee discusses the pending open chair position and subcommittee members are provided the opportunity to nominate themselves or another member for the position.
2. The current subcommittee chair or the staff shall confirm the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the committee chair.
4. The committee chair shall select the subcommittee chair.

Responsibilities of Subcommittee Chair

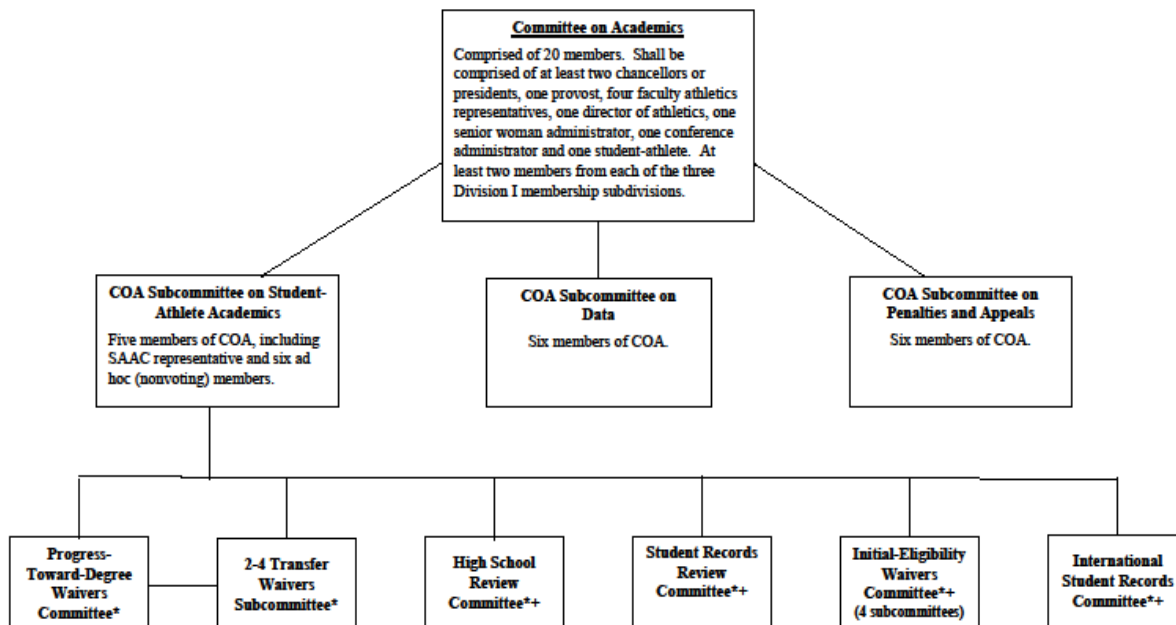
1. Lead the subcommittee's teleconferences and meetings.
2. Welcome and assist in transition and training of new subcommittee members.
3. When requested, review appealed staff decisions that do not align with the standard appellate process to determine if subcommittee should consider the appeal.

4. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties.
5. Present subcommittee reports during full committee meetings.
6. Participate as members of the NCAA Division I Committee on Academics Administrative Committee.
7. Recommend selection of new subcommittee chair.
8. Hear and decide any requests for extensions of the timeline for loss of access to postseason competition and Level-One and -Two penalty waiver appeal requests.

Reporting Lines

The subcommittee reports to the NCAA Division I Committee on Academics.

NCAA Academic Governance Structure



*Chairs of each committee would serve as ad hoc (nonvoting) members of the Student-Athlete Academics Subcommittee. Membership on these committees as outlined in current legislation.
 **Operations are managed by the Eligibility Center.

Absences

The Subcommittee on Penalties and Appeals generally conducts in-person meetings and teleconferences. Alternates may not be appointed to attend a meeting or teleconference in the absence of a subcommittee member. Subcommittee members who are not in attendance at two consecutive meetings or teleconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedures

The method of voting on issues considered by the subcommittee shall be verbally if the vote is conducted via teleconference, or by the show of hands if the vote is conducted in person. The vote is taken of the subcommittee members present, except for actions taken

by the unanimous or obvious consent. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote. Subcommittee members must be present to vote and a simple majority of members present and voting will prevail.

Forwarding Subcommittee Recommendations

Subcommittees follow these policies in forwarding recommendations to the full Committee on Academics:

1. Each subcommittee shall determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (*see* Noncontroversial Policies and Procedures – Guidelines);
2. Each subcommittee shall provide a written report of its meetings and teleconferences to the full committee. These reports shall include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
5. If further deliberations are required, the committee may table the recommendation or refer it back to the subcommittee for additional discussion.

Noncontroversial Policies and Procedures Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy and procedure is routine and noncontroversial in nature:

1. A subcommittee policy or procedure may be considered noncontroversial only if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way.
 - b. Significant disagreement or alternative points of view will not be generated.
 - c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.

2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

Speaking Agent Policy

The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the Executive Committee are the only individuals authorized to speak on behalf of the Association except as outlined below.

An individual representing a member institution or conference who speaks or opines on an Association issue only has the authority to express the view of that individual or the member institution or conference unless the individual has been designated by the Executive Committee of the Association as a speaking agent of the Association on that issue.

Committee chairs are hereby designated as speaking agents of their committees regarding issues within their committees' jurisdiction on which there is consensus, except that positions of advocacy on behalf of the committee or the Association to be communicated in writing or orally to persons or entities external to the Association must have prior approval by the NCAA Executive Committee or the president of the Association.

The president of the Association is hereby granted authority to designate additional speaking agents of the Association."

Subcommittee members are expected to adhere to this policy.

Conflicts of Interest

A subcommittee member shall not participate in the subcommittee's discussion or vote on any action that might bring direct or indirect personal financial benefit to the member or any organization (other than the member's institution or conference) in which the member is financially interested. A subcommittee member should also not participate in a discussion or vote for which the member's institution or conference is to be accorded a special benefit beyond benefits shared with other institutions or conferences or is to receive a penalty or disqualification. A violation of either of the above rules by a member of the committee shall not invalidate the action taken by the subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest, and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused him- or herself may participate in the preparation of a waiver request for their own institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

It is the responsibility of the subcommittee member to remove him- or herself if a conflict exists. Institutional objections to a subcommittee member participating in a waiver appeal must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the subcommittee's review. Participation by a committee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the subcommittee member's participation in subcommittee-related activities.

In the event that the subcommittee chair must recuse him- or herself or is unable to participate in subcommittee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

NCAA Division I Academic Performance Program Access to Postseason Competition

The APP is the result of an April 2002 Board of Directors resolution outlining the academic reform package and instructing that a system of incentives and disincentives be developed that rewards those sports teams that do well academically and penalizes those that do not.

In October 2011, the Board of Directors approved modifications to the APP. These modifications included adoption of academic standards for access to postseason competition. Therefore, academic performance, as measured by the APR, is now an element of qualification for postseason participation. This modification is designed to embed academics as a first expectation.

Access to postseason competition is tied directly to the "benefits" of Association membership. For those sports teams and athletics programs that perform at an unacceptable level academically, benefits will be denied or restricted.

Several key principles guide access to access to postseason competition:

1. Access to postseason competition is contingent on an expected level of academic performance as demonstrated with the APP's rates and metrics. Failing to meet these standards may cause a team to lose access to postseason competition. All NCAA Division I athletics programs and sports teams will be subject to the use of the APR benchmark as an access point for postseason competition. This includes Division I sports offered at NCAA Divisions II and III institutions.
2. The APP's goal is to encourage improved academic performance of all student-athletes on all sports teams so the mission of the NCAA and its commitment to student-athletes can be better realized.
3. The APP structure must appropriately address those programs that have demonstrated academic underachievement (e.g., those with multiyear rates below the postseason access benchmark).

Bylaws 15.01.8 and 14.8 provide the legislative foundation for academic requirements to access postseason competition.

Permanent Postseason Access Filters

A team with a multiyear APR below 930 loses access to postseason competition. Limited filters will be applied to confirm whether or not the team will lose access to postseason.

1. **Mission Filter:** The first time a team falls below the APP threshold for access to postseason competition it is reviewed with the mission filter. The filter considers if the institution ranks in the bottom 15 percent of all Division I institutions by resources as defined by the current Committee on Academics policy. In such cases if the team's most recent four-year GSR is 50 percent or higher, the filter provides relief from loss of access to postseason competition. The mission filter is only available the first time a team loses access to postseason competition. It is unavailable to a team at an institution identified in the bottom 15 percent of all Division I institutions by resources subsequent to the team initially losing access to postseason competition. This filter is applied only one time and impacts only postseason access. No other filter exists the first time a team is below the benchmark. Specific Level-One, -Two or -Three penalties are not impacted by this filter. *(Revised: 1/15. Effective immediately)*
2. **Improvement Filter:** If a team's APR falls below the APP threshold for access to postseason competition a second time and beyond, it is reviewed with the improvement filter. This filter considers meaningful improvement as defined by the Committee on Academics as a means to avoid loss of access to postseason competition. Meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is applied the second year and beyond that a team faces a loss of access to postseason competition. Level-One penalties are not impacted by this filter. The impact on Level-Two and -Three penalties is addressed later in this chapter.

Improvement Filter Example

Men's cross country team has the following APR data:

Single-Year APR – Year 1	Single-Year APR – Year 2	Single-Year APR – Year 3	Single-Year APR – Year 4	Multiyear APR
937	844	906	1000	922

The team has lost access to postseason competition for the second time, and thus is allowed to use the improvement filter. Calculation of the two most recent data years' APR:

$$\begin{array}{r} \boxed{\text{Year 3}} \\ \hline 29 \text{ points earned} \\ 32 \text{ point possible} \end{array} + \begin{array}{r} \boxed{\text{Year 4}} \\ \hline 32 \text{ points earned} \\ 32 \text{ points possible} \end{array} = \begin{array}{r} \boxed{\text{2-Year Average}} \\ \hline 61 \text{ points earned} \\ 64 \text{ points possible} \end{array} = 953$$

The two most recent years' average APR is 950 or greater, so the team meets the improvement filter and has access to postseason competition.

Temporary Postseason Access Filters and the Longer Timeline to 930

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in transitioning to the new APP benchmark for academic access to postseason competition. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all Football Bowl Subdivision (FBS) institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level. **These temporary postseason access filters do not apply once the 2014-15 data is submitted in the fall 2015.**

The recommendations which impact access to postseason competition include:

1. Establishing a longer transition to the 930 APR postseason access benchmark for limited-resource institutions as follows:
 - 2015-16 Postseason Competition – Access is a multiyear APR of at least 920 or a two-year average of 940 or higher in the two most recent years. The mission filter is available if not previously used.
2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark for access to postseason competition if the team meets the following criteria:
 - Demonstrates meaningful APR improvement as defined by the Committee on Academics. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:

- 930 in 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee.

See [Appendix 4F](#) for more information on the limited-resource improvement threshold.

In order to use either of the recommendations in Item Nos. 1 and 2 above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required.
2. Identification of critical issues supported by data.
3. Development of meaningful initiatives that address critical issues.
4. Broad-based participation in the development, assessment and oversight of the plan.
5. Approval by president or chancellor.
6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. (*Adopted: 04/12. Effective: 04/12*)

The following charts may clarify the application of the APP to access postseason competition:

Transition for All Institutions

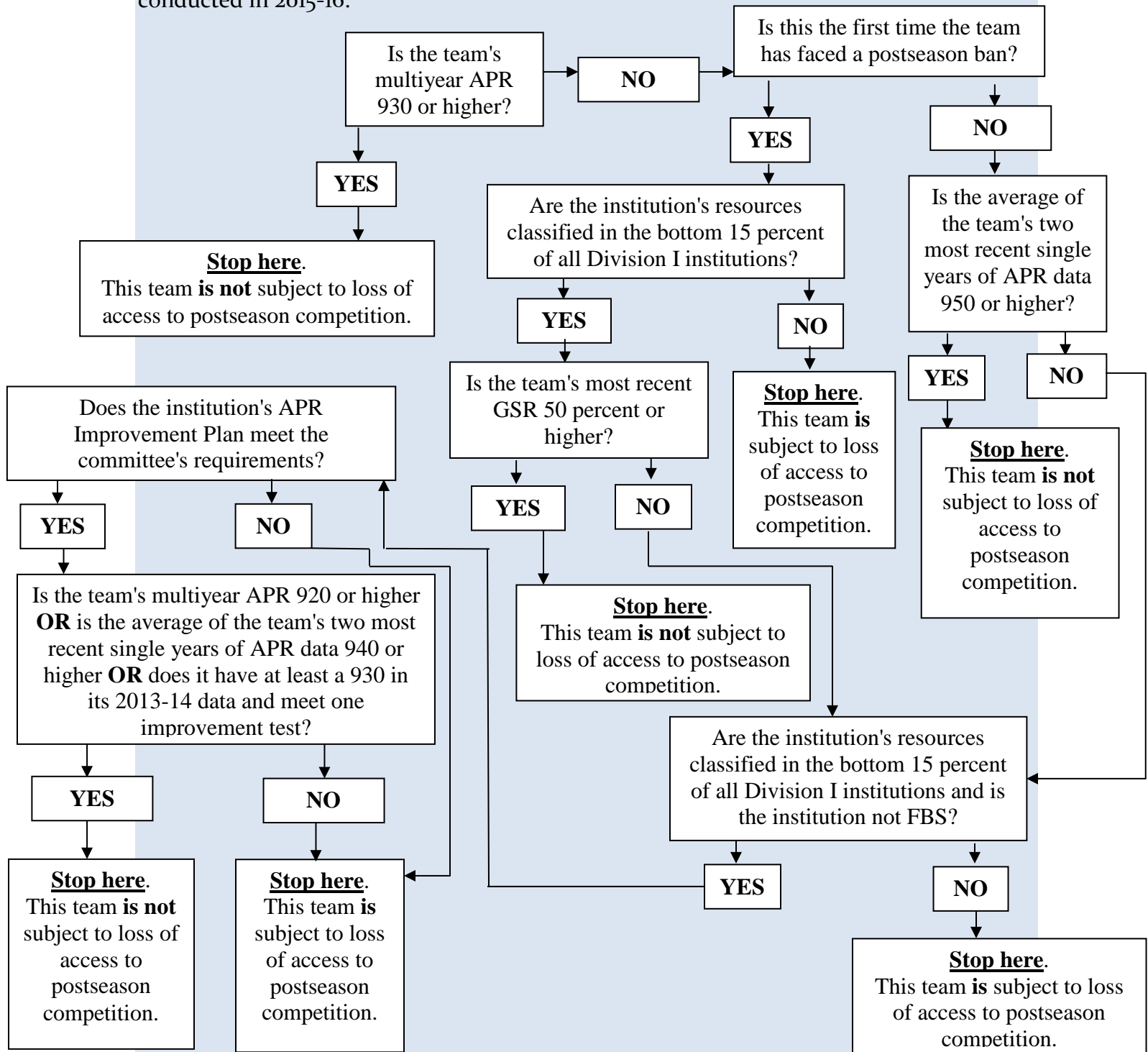
Championship/ Postseason Competition Year	Multiyear APR to Access Postseason Competition	Two Most Recent Years Average APR to Access Postseason Competition
2015-16 and Beyond	Four-year (2010-11, 2011-12, 2012-13, 2013-14 and beyond) APR of 930 or higher.	Improvement filter applies the second time and beyond a team loses access to postseason competition. This filter requires two most recent years average at or above 950.

Transition for Limited-Resource Institutions

Championship/ Postseason Competition Year	Multiyear APR to Access Postseason Competition	Two Most Recent Years Average APR to Access Postseason Competition	APR Improvement Plus Review
2015-16	Four-year (2010-11, 2011-12, 2012-13, 2013, 14) APR of 920 or higher;* OR	Two most recent years average at or above 940; * OR	930 in most recent APR data year (2013-14) plus meets one improvement test.*
2016-17 and beyond	Four-year (2011-12, 2012-13, 2013-14, 2014-15 and beyond) APR of 930 or higher.	Improvement filter applies the second time and beyond a team loses access to postseason competition. This filter requires two most recent years average at or above 950.	N/A

*Institution must have a current APR Improvement Plan that meets the committees established criteria and must have demonstrated implementation of any previous plan.

This chart demonstrates the process for determining access to postseason competition conducted in 2015-16:



Notification of Loss of Access to Postseason Competition

Once an institution confirms its data is accurate in the correction/adjustment period of the data collection process, and if any of the institution's teams are subject to a loss of postseason access, a report will be posted on the institution's password-protected APP website accessed through the APP Data Collection System. The report will indicate any team(s) that has lost access to postseason competition. The availability of the report is considered official notification of the loss of postseason access. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timing of Loss of Access to Postseason Competition

Teams subject to loss of access to postseason competition will lose that access in the academic year following official notice of the loss of access. For example, a team that received notice of loss of access to postseason competition during the 2014-15 academic year cannot participate in postseason competition in the 2015-16 academic year. Public release of all teams losing access to postseason competition in 2015-16 will be announced in May or June 2015.

Timeline of the Loss of Access to Postseason Competition for New Division I Teams

Teams transitioning to Division I will be subject to loss of access to postseason competition after three years of APR/APC data have been submitted if the three-year APR is below the benchmark.

Notifying Student-Athletes of Team's Loss of Access to Postseason Competition

Institutions with a team that has lost access to postseason competition are required to advise the team's student-athletes regarding the team's loss of access to postseason competition and the applicable transfer policies within 48 hours of the final notice of penalties (if no waiver is requested) or within 48 hours of the decision following the institution's final appellate opportunity, whichever is later. Additionally, said institutions are required to note within the NCAA's APP system the date that student-athletes have been notified. (*Adopted: 07/12. Effective: Immediately.*)

Deadline to Notify Student-Athletes of Pending Loss of Access to Postseason Competition

Institutions must notify student-athletes on teams potentially subject to loss of access to postseason competition by June 1 in instances in which the school's data review and/or APP waiver processes are incomplete. This policy permits student-athletes in their last season of competition to transfer, if desired, in accordance with current committee policies, even if the data review or waiver request has not been fully resolved. (*Adopted: 10/13. Effective: Immediately.*)

Waiver of the Deadline to Notify Student-Athletes of Pending Loss of Access to Postseason Competition

An institution can request a waiver to the June 1 notification date from the Subcommittee on Data in instances in which there are mitigating circumstances beyond the control of the institution that impact the timely resolution of the data review and/or a waiver request. Such a request must be made in writing by the institution's chancellor or president. The Subcommittee on Data shall conduct its deliberations by facsimile, teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data members and national office staff members.

Should the subcommittee deny such a request, an appeal of the subcommittee's decision would be considered by the chair of the Committee on Academics and, in instances of a conflict of interest, by the vice chair of the Committee on Academics. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Data's decision.

The chair's (or vice chair's) consideration of the appeal must be based on the following criteria: the institution must demonstrate that the Subcommittee on Data abused its discretion in denying the request. Abuse of discretion occurs when the subcommittee fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the Subcommittee on Data.

The chair (or vice chair) will conduct his or her review on the paper record and the institution will not participate in the review. The chair (or vice chair) may approve or deny the appeal request. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided. (*Adopted: 10/13. Effective: Immediately.*)

Loss of Access to Postseason Competition and Transfers

1. Permission to Contact (Bylaw 13.1.1.3.4).

On approval by the Committee on Academics, written permission is not required for an institution to contact a student-athlete of another institution whose team has lost access to postseason competition during the remaining seasons of the student-athlete's eligibility. To this end, only remaining seasons of eligibility will be considered and not the amount of time remaining on the student-athlete's "five-year clock." Therefore, this permission is available only to student-athletes with one season of competition remaining.

2. Transfer Exceptions for Student-Athletes on Teams Subject to Loss of Access to Postseason Competition.

Requests for a waiver of the transfer year in residence for a student-athlete who transfers when his or her team is subject to loss of access to postseason competition due to a low APR for the remainder of the student-athlete's seasons of eligibility, may only be initiated by a member institution through existing procedures for the submission of a waiver to the Subcommittee for Legislative Relief.

In order to be eligible for a waiver of the transfer year in residence, pursuant to Bylaw 14.7.2, the loss of access to postseason competition must preclude the student-athlete and/or the student-athlete's team from participating in postseason competition during all remaining seasons of the student-athlete's eligibility. Only remaining seasons of eligibility will be considered, not the amount of time remaining on the student-athlete's "five-year clock." Therefore, the waiver is generally only available to student-athletes with one season of eligibility remaining.

The Committee on Academics or the staff, at the discretion of the Committee on Academics, will have the authority to review waivers of the transfer residency requirement under Bylaw 14.7.2 in order to provide a recommendation to the Subcommittee for Legislative Relief. Should a student-athlete receive a waiver of the transfer residency requirement, the institution from which the student-athlete departed will be able to request an adjustment to any lost retention point.

All waiver requests should include information regarding the academic impact of the student-athlete's transfer and should be signed by the student-athlete. The following information should be included to describe the academic impact:

- a. The student-athlete's career APR eligibility- and retention-point history;

- b. The student-athlete's grade-point average and credit hours earned; and
- c. The impact of the transfer on the student-athlete's anticipated date of graduation.

The staff will provide an annual report of all requests and decisions to the Committee on Academics.

Notice of the availability of the waiver and waiver decisions will be provided as follows:

- a. Teams that have lost access to postseason competition will be notified of the process via correspondence from the Committee on Academics.
- b. Teams that have lost access to postseason competition will be notified of all decisions for student-athletes transferring from its institutions.
- c. Student-athletes will be notified of this option by the institutions they attend. *(Adopted: 07/09)*

NCAA Division I Academic Performance Program Waivers of Lost Access to Postseason Competition

In accord with Bylaw 18.4.2.3.1, institutions may request a waiver of the loss of access to postseason competition and the Committee on Academics has the authority to waive the application of the loss of postseason competition. The committee's decision shall be final, conclusive and not subject to further review by any other authority.

For teams that have lost access to postseason competition within Level-One and Level-Two of the APP penalty structure, the staff will initially decide all requests to waive Bylaw 18.4.2.3 with appeals heard by the Subcommittee on Penalties and Appeals. Decisions of the Subcommittee on Penalties and Appeals may be appealed to the full committee chair based on the criteria outlined in these policies.

For teams that have lost access to postseason competition within Level-Three of the APP penalty structure, the staff will initially review requests to waive Bylaw 18.4.2.3. If staff does not render a decision, the waiver request will be heard by the full committee at an in-person hearing. This hearing will coincide with a hearing regarding the assignment of APP penalties for that team.

Application Procedures

A member institution that seeks to delay imposing or to waive the application of the loss of access to postseason competition (Bylaw 18.4.2.3) shall submit an online waiver application through the LSDBi portal to the national office only after it has received electronic notification indicating that one or more of the institution's teams have lost access to postseason. Such a request may also include any request to waive a Level-One, -Two or -Three penalty.

Waiver requests must be filed within 14 calendar days of the institution's completion of the correction/adjustment period, or after receiving a final decision of all adjustment requests.

The reviewing body may request additional pertinent information before a decision is rendered.

Any waiver request filed after the allotted 14 calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals must determine whether any request filed after 14 calendar days will be considered. *(Revised: 07/14. Effective: Immediately)*

Requests to extend the institution's time to appeal a staff decision or to delay the hearing of an appeal should be provided in writing to the chair of the Subcommittee on Penalties and Appeals via the staff member assigned to the case. Such a request should be made within the original seven days allotted to appeal the staff decision. The subcommittee chair has the authority to decide if the extension or delay should be granted.

The online waiver application submitted by the institution will produce a signature page that must be signed by the chancellor or president. The completed waiver application shall set forth the reasons the institution believes that application of the loss of access to postseason competition (Bylaw 18.4.2.3) is not warranted. In addition to the information included on the form, the institution may submit additional information and supporting documentation it believes is relevant to the case. The staff, subcommittee, and/or committee may request additional pertinent information before a final determination is made.

Staff Conflict of Interest

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an APP penalty waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair (Level-One and -Two Penalties) or committee chair (Level-Three Penalties) as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP waiver request or in preparing to appeal a staff decision. However, the staff is not to discuss a waiver request with a third party unless directed to by the institution (e.g., president or chancellor, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the waiver request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Staff Review, Deliberations and Decisions

On receipt of an institution's request, the staff will review the application to ensure it is complete, email the applicant institution the status of the request and identify the staff member handling the request. No final decision will be rendered until all required documentation has been received by the staff.

The staff has the authority to consider, deliberate and render a decision on all requests to waive the loss of access to postseason competition in conjunction with a Level-One or -Two penalties. The staff may approve or conditionally approve requests to waive loss of access to postseason competition in conjunction with a Level-Three penalty. Staff decisions will be based on some or all of the following criteria:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - a. Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The staff must consider if the mitigation is extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);
 - b. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
 - c. Academic factors;
 - d. Alternative penalties offered by the institution, if any; and
 - e. All applicable information, including whether or not the team has lost access to postseason competition in prior years.

After reviewing all information, the staff will render one of the following decisions on requests to waive loss of access to postseason in conjunction with a Level-One or -Two penalties:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team regains access to postseason competition in the following academic year.
2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.
3. **Denial:** The staff determines the institution's request does not demonstrate that a waiver of Bylaw 18.4.2.3 is warranted. The team remains unable to access postseason competition in the next academic year.

After reviewing all information, the staff will render one of the following decisions on requests to waive loss of access to postseason competition that accompany a Level-Three penalty:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team regains access to postseason competition in the following academic year.
2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.

If the staff cannot approve or conditionally approve a request to waive the loss of access to postseason competition in conjunction with a Level Three APP penalty, the waiver request will be heard by the full committee at an in-person hearing. This hearing will coincide with a hearing regarding the assignment of Level Three APP penalties for that team.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. The subcommittee may not reverse these staff decisions, but may provide feedback and direction for future cases.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Penalties and Appeals to consider appeals of staff decisions involving Bylaw 18.4.2.3 when a team is subject to loss of access to postseason competition in conjunction with a Level-One or Level-Two APP penalty.

When a team is facing loss of access to postseason competition in conjunction with Level-Three penalties, staff decisions are appealed to the Committee on Academics. The Committee on Academics hears the appeal via in-person hearing and the institution is required to appear. The Committee on Academics' decision may be appealed to a subcommittee of the Division I Board of Directors. The board's decision shall be final, conclusive and not subject to further review by any other authority.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office using the LSDBi portal. The online appeal application will produce a signature page that must be signed by the chancellor or president and provided to the national office. The completed waiver appeal application shall set forth the rationale for the appeal.

All appeals of a staff decision should be filed within seven calendar days of electronic notification of the staff's decision. Any appeal filed after seven calendar days must include a written explanation why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any appeal filed after seven calendar days will be considered. (*Revised: 07/07*)

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Penalties and Appeals' review of an appealed case must be provided in writing within the seven calendar-day period between the notice of the staff decision and the date the appeal was originally due. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any extension or delay will be granted.

Subcommittee/Committee Conflict of Interest

The conflict of interest section of this chapter applies to all committee members' involvement in waiver and appeal requests.

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Appeal Procedures

The Subcommittee on Penalties and Appeals may conduct its deliberations and render a decision by facsimile, teleconference, email, Internet or in-person meetings. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting. Appeals of staff decisions on postseason ineligibility shall involve only Subcommittee on Penalties and Appeals members, staff members and specified representatives from the institution. (*Adopted: 10/12. Effective: Immediately.*)

Each of the following individuals from the institution must participate in the appeal:

1. Chancellor or president (or his or her designee);
2. Director of athletics or senior woman administrator;
3. Faculty athletics representative;
4. Head coach of the penalized team(s); and
5. Any other individuals whose presence was requested by the subcommittee.

The institution at its discretion may permit other institutional staff members and conference office staff members (e.g., conference commissioner) to be on the teleconference for the appeal.

An institution and any individual whose presence has been requested by the Subcommittee on Penalties and Appeals may have legal counsel present; however, an individual must speak on behalf of himself or herself.

Student-athletes and noninstitutional or nonconference office staff members are not permitted to participate in the teleconference or be present on the teleconference.

The lead NCAA administrator who handled the case (or a staff member with case administrative oversight responsibilities) and staff member(s) supporting the work of the committee must participate on the teleconference.

The staff member who processed the case will present the case to the Subcommittee on Penalties and Appeals. Institutional representatives will be allotted a specified amount of time to present their appeal rationale and any other pertinent information. The Subcommittee on Penalties and Appeals members may then ask questions of the staff member presenting the case and/or the institution. At the conclusion of the question and answer period, that staff member and any institutional representatives will exit the teleconference or meeting and a separate staff member will support the Subcommittee on Penalties and Appeals through deliberations. That staff member is only allowed to provide clarification of policies related to the appellate process. They cannot respond to questions about the facts or the merits of the case.

The Subcommittee on Penalties and Appeals chair, at his or her discretion, has the authority to remove a participant from the teleconference or meeting. The Subcommittee on Penalties and Appeals chair is not required to give advance notice/warning for removing any participants.

The appeal proceedings will continue as follows:

1. Documents Reviewed by the Subcommittee.

The subcommittee will receive and review the notice of loss of access to postseason competition, the waiver application (including supporting documents), staff decision and rationale, the institution's request for an appeal, and the applicant team(s) APP data, the APR Improvement Plans and any other documents submitted by the institution. Prior to the teleconference or meeting, the staff will distribute to the institution and subcommittee an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

2. Introduction.

The subcommittee chair will call the meeting to order and introduce the members of the subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (institutional spokesperson). This person must be someone who is employed by the institution on a full-time basis. An involved individual must speak on behalf of himself or herself.

The institution will introduce its representatives followed by individuals whose presence has been requested by the subcommittee or the institution and conference office representatives. The NCAA staff will introduce themselves. After the introductions, the subcommittee chair may make announcements.

3. Review of the Appeal.

The staff member who processed the case (or a staff member with oversight responsibilities) has five minutes per team to describe the facts of the case and the staff's rationale.

The institution's spokesperson will then have 10 minutes per team to describe the case and explain the reasons for requesting that the staff's decision be overturned or modified.

The chair or acting chair is responsible for monitoring the time. Following the case presentation, the subcommittee members may ask questions of all participants. Once all questions have been answered, the meeting will conclude with the staff and institution each providing a five-minute closing statement. The closing statement must be presented by the institution's spokesperson and the staff member who presented the case.

4. Subcommittee Deliberations and Decisions.

At the conclusion of the meeting, the subcommittee members must deliberate. Neither the institution, conference nor staff member(s) presenting the case may be present for the deliberations. The staff members supporting the committee will be present during deliberations but will not be the same staff member(s) who presented the case. (*Adopted: 01/08. Effective: 01/08*)

The Subcommittee on Penalties and Appeals decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:

- a. Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The subcommittee must consider if the mitigation is extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);
- b. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
- c. Academic factors;
- d. Alternative penalties offered by the institution, if any; and
- e. All applicable information, including whether or not the team has lost access to postseason competition in prior years.

A simple majority of the Subcommittee on Penalties and Appeals members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the Subcommittee on Penalties and Appeals will render one of the following decisions:

- a. **Approval:** The Subcommittee on Penalties and Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team regains access to postseason competition the following academic year.
- b. **Conditional Approval:** The Subcommittee on Penalties and Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the subcommittee in the decision notification. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.
- c. **Denial:** The Subcommittee on Penalties and Appeals determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team remains unable to access postseason competition in the next academic year.

Electronic confirmation of the decision must be provided by the staff to the institution within 21 calendar days of the subcommittee's decision.

Appeals of Subcommittee Decisions

The Subcommittee on Penalties and Appeals' decision on a request to waive a team's loss of access to postseason competition may be appealed in writing to the Committee on Academics chair, or in the event of recusal by the chair, to the Committee on Academics vice chair. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Penalties and Appeals' decision. The chair (or vice chair) may deny the appeal request or may forward it to the full committee for further review and consideration. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided.

Any appeal submitted after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

The chair (or vice chair's) consideration of the appeal request must be based on the following criteria: the institution must demonstrate that the Subcommittee on Penalties and Appeals abused its discretion in denying the request. Abuse of discretion occurs when the Subcommittee on Penalties and Appeals fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision by the Subcommittee on Penalties and Appeals. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the Subcommittee on Penalties and Appeals.

If, based on these criteria, the chair (or vice chair) forwards the waiver request to the full committee, the committee hearing may be conducted by teleconference or in-person meeting and shall include some opportunity for the institution to present its request orally as well as in writing. The full committee's decision shall be final and not subject to any further review. Additionally, members of the Subcommittee on Penalties and Appeals who participated in the initial appeal denial, shall not participate in the full committee appeal, except for the acting chair that may present information but may not deliberate or vote.

Committee Deliberations and Decisions

If the waiver appeal is to be heard by the committee, decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:

- a. Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The subcommittee must consider if the mitigation is extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);
- b. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
- c. Academic factors;
- d. Alternative penalties offered by the institution, if any; and
- e. All applicable information, including whether or not the team has lost access to postseason competition in prior years.

The committee will receive the staff and subcommittee decisions, the institution's original and appellate request, all supporting documentation and the team(s) APP data.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team regains access to postseason competition the following academic year.
2. **Conditional Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the committee in the decision notification. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.
3. **Denial:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team remains unable to access postseason competition in the next academic year.

If relief is not provided, the institution will be notified that the team has lost access to postseason competition in the next academic year. The committee's decisions are final and binding. There is no further appeal.

Reconsideration of Waiver Requests

After the staff and/or subcommittee have issued a decision on a waiver request, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new relevant information. Requests with new relevant information may not be considered by the subcommittee until the staff has reviewed the new information. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. (*Adopted: 04/10. Effective: 04/10*)

Review of Conditionally Approved Waivers of Loss of Access to Postseason Competition

The staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) was not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it disagrees with the staff's findings. The staff can accept the institution's argument and waive the unmet condition, or it can allow the denied waiver to stand due to the unmet condition. The staff's decision may be appealed to the Subcommittee on Penalties and Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

Review of Conditionally-Approved Waivers Procedures.

The NCAA staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the staff will notify the institution in writing that the condition was met and the lost access to postseason competition has been waived.

If the condition(s) was not satisfied, the staff will provide written notification that the previously conditionally-approved waiver is denied and the team loses access to postseason competition at the next available opportunity. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it

failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

That request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) was not met and the team has lost access to postseason competition. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it met the stated condition(s). The institution may submit additional information that it believes is relevant to the case. The subcommittee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, and/or the student-athletes.
2. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years'.
4. Review of implementation of the APR Improvement Plan submitted with the original waiver.
5. Any additional information provided by the institution.

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team regains access to postseason competition.
2. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team remains without access to postseason competition in the next academic year.

Appeals and Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Loss of Access to Postseason Competition.

After the staff has rendered a decision, the institution may appeal the decision to the Subcommittee on Penalties and Appeals. The subcommittee's decision is final and is not subject to further review by any other authority.

The appeal request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the team has lost access to postseason competition. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the team failed to meet its condition(s) or why it believes it met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberation and Decisions on Appeals of Conditionally Approved Waivers of the Loss of Postseason Competition.

Subcommittee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and/or student-athletes.

2. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years'.
4. Review of implementation of the APR Improvement Plan submitted with the original waiver.
5. Any additional information provided by the institution.

The subcommittee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The subcommittee may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall include only committee members and staff members supporting the committee.

A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the subcommittee will render one of the following decisions:


1. **Approved:** The subcommittee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team regains access to postseason competition.
2. **Denied:** The subcommittee determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team is subject to the loss of access to postseason competition at the next available opportunity.

The subcommittee's decision is final and not subject to further review by any other authority.

After the staff and/or subcommittee issued a decision on the review of a conditionally approved waiver of the loss of access to postseason competition, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new relevant information. Requests with new relevant

information may not be considered by the subcommittee until the staff has reviewed the new information.

NCAA Division I Academic Performance Program APP Penalties



The APP is the result of an April 2002 Board of Directors resolution outlining the academic reform package and instructing that a system of incentives and disincentives be developed that rewards those sports teams that do well academically and penalizes those that do not.

In October 2011, the Board of Directors approved modifications to the APP. These modifications included a new penalty benchmark as well as a three-level penalty structure for all underperforming teams. These modifications are designed to embed academics as a first expectation.

The penalty structure is tied directly to the "benefits" of Association membership. For those sports teams and athletics programs that perform at an unacceptable level academically, benefits will be denied or restricted.

Several key principles guide access to postseason competition and the penalty structure:

1. Access to postseason competition is contingent on an expected level of academic performance as demonstrated with the APP's rates and metrics. Failing to meet these standards may cause a team to lose access to postseason competition. All NCAA Division I athletics programs and sports teams will be subject to the use of the APR benchmark as an access point for postseason competition. This includes Division I sports offered at NCAA Divisions II and III institutions.
2. The goal is to encourage improved academic performance of all student-athletes on all sports teams so the mission of the NCAA and the commitment to student-athletes can be better realized.
3. The APP structure must appropriately penalize those programs that have demonstrated academic underachievement (e.g., those with multiyear rates below the penalty benchmark).
4. All NCAA Division I athletics programs and sports teams will be subject to the penalty structure. This includes Division I sports offered at NCAA Divisions II and III institutions.

Bylaws 15.01.8 and 14.8 provide the legislative foundation for the penalty structure and academic requirements to access postseason competition.

APP Penalty Structure

A team incurs an APP penalty when it presents a multiyear APR below 930. The APP penalty structure includes three levels. APP penalties are progressive and cumulative, with each year below the penalty benchmark bringing more severe penalty elements. The penalty elements must be taken in the academic year following official notification of penalties which occurs when an institution's penalty and postseason access report is available following verification of its APP data.

The progressive and cumulative nature of the penalty structure means that each time a team presents a multiyear APR below the penalty benchmark, it will move to the next penalty level, while also being subject to the previous penalty level elements. If the team avoids penalties and ineligibility for postseason competition for three consecutive years by presenting a multiyear APR at or above 930, by meeting the improvement filter or by receiving a waiver of all APP penalties and loss of access to postseason competition, the team will go back to a Level-One penalty if its multiyear APR falls below the benchmark again. Otherwise, each failure to meet the benchmark will result in a repeat of previous penalties, as well as a progression to the next penalty level. If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties.

The APP penalty structure is as follows:

Level-One Penalties:

The team is subject to restrictions on countable athletically-related activities consisting of four hours per week during the declared playing and practice season as well as an additional required day off. The athletic time must be replaced with academic activities. Level-One penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Two Penalties:

The team is subject to playing and practice season restrictions in addition to Level-One penalties. Penalized team will face a reduction from eight hours to four hours per week for countable athletically related activities outside of the playing season. These four hours must be replaced with academically focused activities. Of the remaining four hours of athletics activities, not more than two hours per week may be spent on skill-related workouts.

In a sport with a no championship segment of the playing and practice season, penalized teams will not be permitted to participate in that segment. In sports where there is no championship segment distinction, teams will face a 10 percent reduction in the playing and practice season and competition. In the sport of football the team will face the elimination of spring practice and the spring game/scrimmage. Level-Two penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Three Penalties:

In addition to the Level-One and -Two penalties, the team is subject to penalties from a menu of options. The institution will have the opportunity to self-impose penalties which can be accepted, rejected or amended by the staff. Should the staff not accept the institution's self-imposed penalties or if the institution asserts that the team should not be penalized, the case will be forwarded to the Committee on Academics for an in-person hearing. Once determined, Level-Three penalties must be taken in the academic year following notification of APRs and penalties. The menu of penalty options at Level-Three includes but is not limited to the following:

1. Financial aid penalties of any type and in any amount.
2. Additional countable athletically related activity restrictions.
3. Additional contest reductions up to the entire season.
4. Restricted or corresponding membership.
5. Coach-specific penalties including game and recruiting restrictions.
6. Restricted access to countable athletically-related activities for incoming student-athletes that fall below pre-determined academic standards.
7. Multiyear postseason competition ban.

If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties. Teams in Level-Three penalties over multiple years should expect more stringent penalty elements.

See [Appendix 4A](#) for a review of possible penalty scenarios.

Permanent APP Penalty Filter

All teams penalized at Level-Two or -Three are reviewed to determine if the team can filter out of the penalty structure by demonstrating improvement. This filter places strong emphasis on teams making meaningful academic improvement, as defined by the committee, particularly in the two most recent data years. (*Adopted: 10/11. Effective with penalties applicable in 2012-13 and beyond.*)

- Improvement Filter:

Teams potentially subject to Level-Two or -Three in the penalty structure will have access to an improvement filter.

The Committee on Academics defines meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is calculated electronically and can be applied multiple times, but not when the team faces Level-One penalties.

Improvement Filter Example

Men's cross country team has the following APR data:

Single-Year APR - Year 1	Single-Year APR - Year 2	Single-Year APR - Year 3	Single-Year APR - Year 4	Multiyear APR
937	844	906	1000	922

The team has a Level Two APP penalty and thus is allowed to use the improvement filter. Calculation of the two most recent data years' APR:

$$\frac{\text{Year 3}}{29 \text{ points earned}}}{32 \text{ point possible}} + \frac{\text{Year 4}}{32 \text{ points earned}}}{32 \text{ points possible}} = \frac{\text{2-Year Average}}{61 \text{ points earned}}}{64 \text{ points possible}} = 953$$

The two most recent years' average APR is 950 or greater, so the team meets the improvement filter and is not subject to Level-Two penalties. This counts as a clean year in the penalty structure.

Temporary APP Penalty Filters and the Longer Transition to 930

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in transitioning to the new APP penalty structure. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all FBS institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level. **These temporary penalty filters do not apply once the 2014-15 data is submitted in the fall 2015.**

These recommendations which impact Level-One, -Two and -Three penalties, include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:
 - 2015-16 APP Penalties – The multiyear APR penalty benchmark is 920 or a two-year average of 940 or higher in the most recent years.
2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark for penalties and ineligibility for postseason competition if the team meets the following criteria:
 - Demonstrates meaningful APR improvement as defined by the Committee on Academics. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period outlined above. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:
 - 930 in the 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee.

See [Appendix 4F](#) for more information on the limited resource improvement threshold.

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of

implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR Improvement Plans - significant and critical elements - if a plan was previously required.
2. Identification of critical issues supported by data.
3. Development of meaningful initiatives that address critical issues.
4. Broad-based participation in the development, assessment and oversight of the plan.
5. Approval by president or chancellor.
6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. (*Adopted: 04/12. Effective: 04/12*)

The following charts may clarify the transition to the new APP penalty structure:

Transition for All Institutions

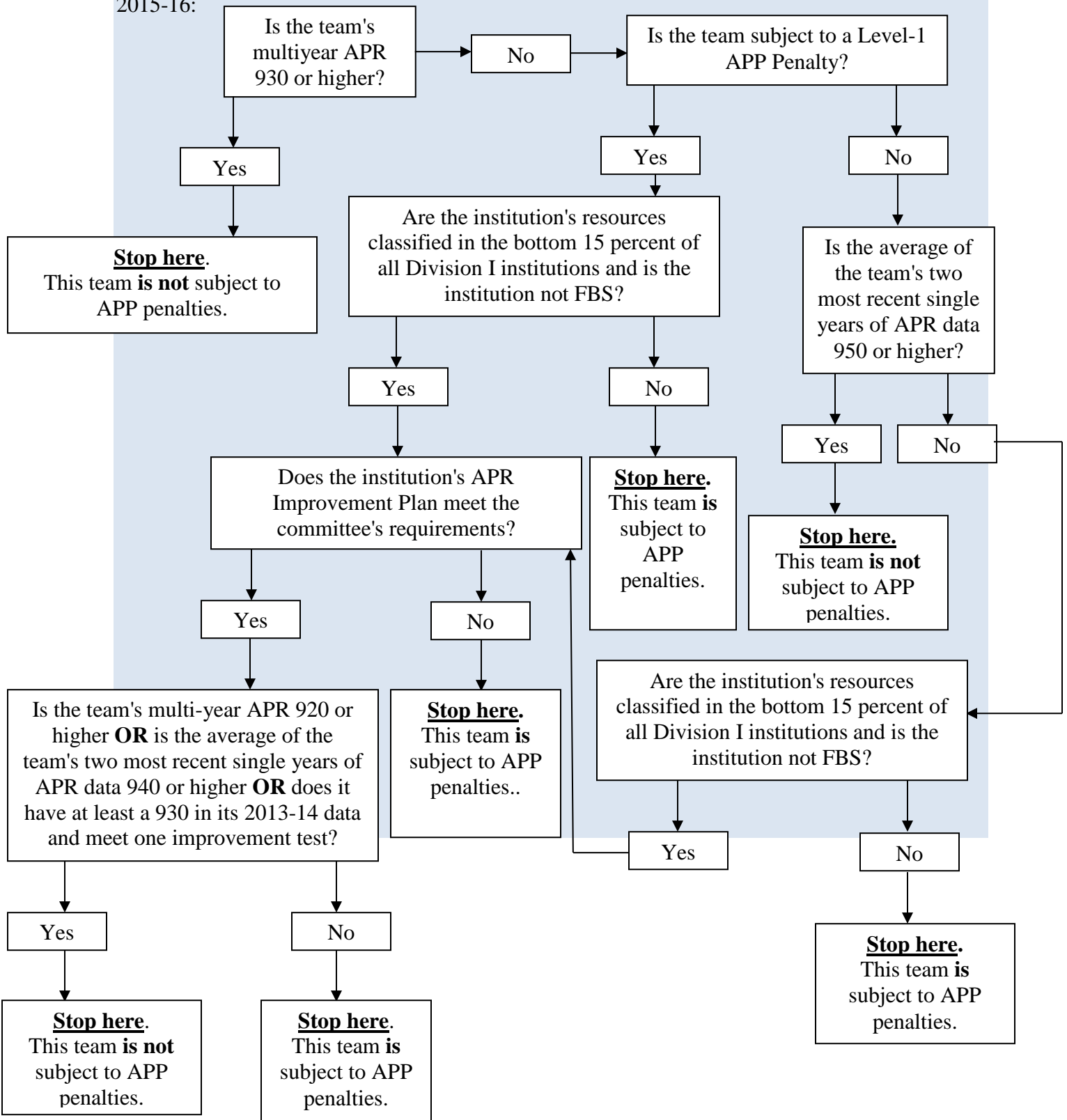
Year APP Penalties Will Be Applied	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties
2015-16 and Beyond	Four-year (2010-11, 2011-12, 2012-13, 2013-14 and beyond) APR of 930 or higher.	Improvement filter applies to Level Two and Three APP penalties. This filter requires two most recent years average at or above 950.

Transition for Limited-Resource Institutions

Year APP Penalties Will Be Applied	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties	APR Improvement Plus Review
2015-16	Four-year (2010-11, 2011-12, 2012-13, 2013, 14) APR of 920 or higher;* OR	Two most recent years average at or above 940; * OR	930 in most recent APR data year (2013-14) plus meets one improvement test.*
2016-17 and beyond	Four-year (2011-12, 2012-13, 2013-14, 2014-15 and beyond) APR of 930 or higher.	Improvement filter applies to Level Two and Three APP penalties. This filter requires two most recent years average at or above 950.	N/A

*Institution must have a current APR Improvement Plan that meets the committees established criteria and must have demonstrated implementation of any previous plan.

This chart demonstrates the process for determining if a team is subject to APP penalties in 2015-16:



Notification of Team's APP Penalties

The APR data for the previous academic year is due from each institution six weeks after the start of the fall classes in the subsequent academic year. Once an institution confirms data are accurate and if any of the institution's teams are subject to APP penalties, a penalty report will be posted on the institution's password-protected APP website accessed through the APP data collection system. The report will indicate the penalized team(s) and provide the level of penalty that is applicable to the team(s). The availability of the penalty report is considered official notification of APP penalties. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timing of APP Penalties

Institutions with a team subject to APP penalties must take the penalties in the academic year following receipt of official notice of the penalty. If a team received notice of its penalty following APP data submission in the fall of 2013-14, those penalties must be taken in the 2014-15 academic year. Components of the cumulative penalty package (i.e., countable athletically-related activities restrictions, reduction in number of contests) may not be separated.

Failure to Take a Penalty within the Prescribed Timeline

Institutions that fail to take APP penalties within the prescribed time period will be required to report a violation of the applicable bylaw (Bylaws 14.12.1.1.2.1, 14.12.1.1.2.2, or 23.2.1.2.3) to the NCAA enforcement staff. (*Adopted: 07/07. Effective: 07/07*)

Timeline for New Division I Teams

Teams transitioning to Division I will not be subject to penalties until they have submitted three years of APR/APC data and only if their three-year APR is below the benchmark.

Membership Issues (Effect of Penalties on Minimum Financial Aid Requirements)

Level-Three penalties may include financial aid penalties that may result in an institution no longer meeting Division I minimum financial aid requirements. The penalty for failure to meet the Division I financial aid minimums as set forth in Bylaw 20.2.5.1.4 is ineligibility for NCAA championships and postseason contests. If an institution believes it has sufficient mitigating factors, it may seek relief by filing a waiver of the minimum financial aid requirement to the NCAA Division I Council (Bylaw 20.9.1.2.10).

Restricted-Membership Penalty

As part of Level-Three penalties, an institution may be placed in restricted-membership status. Restricted membership is a membership classification status assigned to an institution that fails to comply with the minimum requirements of its division (e.g., financial aid or academic requirements) (Bylaw 20.02.3). An institution placed in restricted membership loses eligibility for a number of Division I privileges (e.g., eligibility for NCAA championships and postseason competition for all teams at the institution, revenue distribution).


For Division II and Division III institutions that sponsor a Division I sport(s), the restricted-membership penalty only applies to the Division I sports. Restricted status would not extend to the Division II or III portion of the athletics program.

Report of APP Penalties Taken

Institutions are required to provide to the national office documentation that an APP penalty was imposed as prescribed by the Committee on Academics. The institution will be contacted in the summer after the year in which the penalty was to be taken and asked to provide documentation that the penalty was taken. The staff will review the documentation and determine if the team took the penalty appropriately. Failure to take the penalty as prescribed will result in the institution being required to report a secondary violation to the NCAA enforcement staff. That staff will determine the penalty for failure to take the APP penalty.

See [Appendix 4B](#) for frequently asked questions on ensuring countable athletically related activities penalties are imposed correctly and the reporting requirements for APP penalties.

NCAA Division I Academic Performance Program Waivers of APP Penalties General



As described in Bylaw 14, the Committee on Academics has the authority to waive the application of Bylaw 14.12.1.1.2.2 (level-one penalty), Bylaw 14.12.1.1.2.2 (level-two penalties) and Bylaw 14.12.1.1.2.3 (level-three penalties). The committee has established guidelines for reviewing APP penalty waivers in the APP Waiver Directive (See [Appendix 4C](#)) and has authorized the Subcommittee on Penalties and Appeals and the staff to review waivers of Level-One and -Two penalties. The committee has authorized the staff limited review of Level-Three penalties. The subcommittee's decisions relative to Level-One or -Two penalties shall be final, conclusive and not subject to further review by any other authority. Decisions of the Committee on Academics relative to Level-Three penalties may be appealed to a designated Subcommittee of the Division I Board of Directors (Bylaw 14.12.2). Decision of the Board's subcommittee are final, conclusive and not subject to further review by any other authority. (*Revised: 10/11. Effective: 10/11*)

APP Penalty waivers are considered separately from waivers of loss of access to postseason competition, although they may be submitted simultaneously. Please refer to that section of this chapter for more information on loss of access to postseason competition.

Staff Conflict of Interest

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an APP penalty waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair (Level-One and -Two Penalties) or committee chair (Level-Three Penalties) as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP waiver request or in preparing to appeal a staff decision. However, the staff is not to discuss a waiver request with a third party unless directed to by the institution (e.g., president or chancellor, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the waiver request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Subcommittee/Committee Conflict of Interest

The conflict of interest section of this document applies to the committee members' involvement in waiver and appeal requests.

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

Data Issues

At the start of the APP penalty waiver process, institutions are required to confirm the accuracy of its APP data and confirm that no data issues are outstanding or unresolved. The institution is expected to review its data and notify the staff of any possible corrections or adjustments. Once the data issues are addressed, the institution's president or chancellor must sign off on the data before the staff can begin the waiver review process. Failure to confirm accuracy and finality of data within the prescribed timeframe would result in denial of a waiver.

Delay Requests

APP penalties must be imposed in the academic year following notification of APRs and penalties and the applicable penalty package may not be separated. However, the Committee on Academics' policies and procedures and its APP Penalty Waiver Directive,

permit an institution to request a delay in applying a penalty, for one or more of its teams. Such requests will be approved only in rare instances when an institution can demonstrate that it is unable to apply such penalties within the prescribed period due to unanticipated and extraordinary circumstances outside the control of the institution, involved team and student-athlete (e.g., natural disaster). Further, institutions that fail to apply APP penalties within the prescribed time period will be required to report a violation of Bylaw 14.12.1.1 to the NCAA enforcement staff. (*Adopted: 04/07. Effective: 4/07*)

NCAA Division I Academic Performance Program
Waivers of APP Penalties
Level-One and -Two
APP Penalties

Application Procedures

All Level-One and -Two penalty waiver requests must be submitted electronically to the national office via the LSDBi portal. Waivers must be submitted within 14 calendar days of the institution entering the penalty waiver period. An institution may request full or partial relief from any or all of the penalty elements. The online waiver application will produce a signature page that must be signed by the institution's chancellor or president.

The waiver request must set forth the reasons the institution believes that application of Bylaw 14.8.1.1.2.2 or Bylaw 14.8.1.1.2.2 should not apply. The waiver must identify all team level one and two penalties for which the institution wishes to seek relief. The waiver will be considered a single case and will not be complete until each team penalty is addressed. The institution may include additional information and supporting documentation it considers relevant to its request.

The reviewing body may request additional pertinent information before a decision is rendered. Any waiver request filed after 14 calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals must determine whether any request filed after 14 calendar days will be considered. (*Revised: 10/06; Revised: 04/07; Revised: 04/11; Effective: 10/11*)

Requests to extend the institution's time to appeal a staff decision or to delay the hearing of an appeal should be provided in writing to the chair of the Subcommittee on Penalties and Appeals via the staff member assigned to the case. Such a request should be made within the original seven days to appeal the staff decision. The subcommittee chair has the authority to decide if the extension or delay should be granted.

Staff Review, Deliberations and Decisions

On receipt of an institution's request, the staff will review the application to ensure it is complete, email the institution's designated contact regarding the status of the request and identify the staff member handling the request. A request will not be processed and

reviewed until all required documentation has been received by the staff. An institution has 10 calendar days to submit requested documents. If it does not provide the documentation within the timeframe, the case will be staff denied.

The staff has the authority to render a decision for all Level-One and -Two penalty waiver requests. Decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - a. Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - b. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;
 - c. Size of variance between the team's APR and the penalty benchmark;
 - d. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s);
 - e. Alternative penalties offered by the institution, if any; and
 - f. Other factors deemed relevant to the waiver request.

The staff has the authority to review and decide Level-One and -Two penalty waiver requests. After reviewing all information, the staff will render one of the following decisions:

1. **Approved:** The staff determines the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1.2.1 or Bylaw 14.8.1.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-One or -Two penalty elements.
2. **Partially Approved:** The staff determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1.2.1 or Bylaw 14.8.1.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One or -Two penalty elements, because some elements will be waived.
3. **Conditionally Approved (Full or Partial):** The staff determines that the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1.2.1 or Bylaw 14.8.1.1.2.2 is warranted if specific conditions are met by the

institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One or -Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied at the next available opportunity.

- 4. Denied:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1.2.1 or Bylaw 14.8.1.1.2.2. The institution will be responsible for applying the designated penalty or penalties at the originally prescribed times.

Electronic confirmation of the decision must be provided by the staff to the institution within seven calendar days of its decision.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. The subcommittee may not reverse these staff decisions, but may provide feedback and direction for future cases.

Appeals of Staff Decisions on Level-One APP Penalties

The Committee on Academics has authorized the Subcommittee on Penalties and Appeals to consider appeals of staff decisions involving Bylaw 14.8.1.1.2.1, Level-One penalties.

After the staff has rendered a decision, the institution may appeal the decision to the subcommittee. The subcommittee's decision is final and is not subject to further review by any other authority.

Subcommittee members may not discuss a pending request with the staff processing the case or institutional representatives without all parties having the opportunity to participate. However, the staff supporting the work of the committee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the subcommittee members may contact the staff supporting the work of the committee to request that additional information about the case be submitted.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office using the LSDBi portal. The online appeal program will produce a signature page that must be signed by the chancellor or president

and must be provided to the national office. The completed waiver appeal application shall set forth the rationale for the appeal. In addition, the appeal must identify all team penalties which the institution wishes to appeal. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

All appeals of a staff decision must be filed with the national office within seven calendar days of electronic notification of the staff's decision. Any appeal filed after seven calendar days must include a written explanation of why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any appeal filed after seven calendar days will be considered. *(Revised: 07/07)*

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Penalties and Appeals' review of an appealed case must be provided in writing within the seven calendar-day period between the notice of the staff decision and the date the appeal was originally due. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any extension or delay will be granted.

Appeal Procedures

The Subcommittee on Penalties and Appeals may conduct its deliberations and render a decision by facsimile, teleconference, email, Internet or in-person meetings. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting.

Level One appellate cases are reviewed on the paper record, without participation from the institution. The lead administrator who handled the case (or a staff member with case administrative oversight responsibilities) and staff member(s) supporting the work of the committee must participate along with the subcommittee members.

The staff member who processed the case will present the case to the Subcommittee on Penalties and Appeals. The Subcommittee on Penalties and Appeals members may then ask questions of the staff member presenting the case. At the conclusion of the question and answer period, that staff member will exit the teleconference or meeting and a separate staff member will support the Subcommittee on Penalties and Appeals through deliberations. That staff member is only allowed to provide clarification of policies related to the appellate process. They cannot respond to questions about the facts or the merits of the case.

The appeal proceedings will continue as follows:

a. Documents to be Reviewed by the Subcommittee.

The subcommittee will receive and review the penalty report, the waiver application (including supporting documents), staff decision and rationale, the institution's request for an appeal, the applicant team(s) APP data, the APR Improvement Plans and any other documents submitted by the institution. Prior to the teleconference or meeting, the staff will distribute to the subcommittee an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

b. Deliberations and Decisions.

At the conclusion of the meeting, the subcommittee members must deliberate. The staff member(s) presenting the case may not be present for the deliberations. The staff members supporting the committee will be present during deliberations but will not be the same staff member(s) who presented the case. (*Adopted: 01/08. Effective: 01/08*)

The Subcommittee on Penalties and Appeals decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - (1) Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - (2) Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;
 - (3) Size of variance between the team's APR and the penalty benchmark;
 - (4) Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s);
 - (5) Alternative penalties offered by the institution, if any; and
 - (6) Other factors deemed relevant to the waiver request.

A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or person serving as chair on a particular appeal, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the Subcommittee on Penalties and Appeals will render one of the following decisions:

- a. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 14.8.1.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to the Level-One penalty elements.
- b. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One penalty elements because some elements will be waived.
- c. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1.2.1 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied at the next available opportunity.
- d. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1.2.1. The institution will be responsible for applying the designated penalty at the originally prescribed times.

Electronic confirmation of the decision must be provided by the staff to the institution within 21 calendar days of the subcommittee's decision.

Appeals of Staff Decisions on Level-Two APP Penalties

The Committee on Academics has authorized the Subcommittee on Penalties and Appeals to consider appeals of staff decisions involving Bylaw 14.8.1.1.2.2, Level-Two penalties.

After the staff has rendered a decision, the institution may appeal the decision to the subcommittee. The subcommittee's decision is final and is not subject to further review by any other authority.

Subcommittee members may not discuss a pending request with the staff processing the case or institutional representatives without all parties having the opportunity to participate. However, the staff supporting the work of the committee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the subcommittee members may contact the staff supporting the work of the committee to request that additional information about the case be submitted.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office using the LSDBi portal. The online appeal program will produce a signature page that must be signed by the chancellor or president and must be provided to the national office. The completed waiver appeal application shall set forth the rationale for the appeal. In addition, the appeal must identify all team penalties which the institution wishes to appeal. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

All appeals of a staff decision must be filed with the national office within seven calendar days of electronic notification of the staff's decision. Any appeal filed after seven calendar days must include a written explanation of why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any appeal filed after seven calendar days will be considered. *(Revised: 07/07)*

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Penalties and Appeals' review of an appealed case must be provided in writing within the seven calendar-day period between the notice of the staff decision and the date the appeal was originally due. The chair of the Subcommittee on Penalties and Appeals shall determine whether or not any extension or delay will be granted.

Appeal Procedures

The Subcommittee on Penalties and Appeals may conduct its deliberations and render a decision by facsimile, teleconference, email, Internet or in-person meetings. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting. Appeals of staff decisions on postseason ineligibility shall involve only Subcommittee on Penalties and Appeals members, staff members and specified representatives from the institution. *(Adopted: 10/12. Effective: Immediately.)*

Each of the following individuals from the institution must participate in the appeal:

1. Chancellor or president (or his or her designee);
2. Director of athletics or senior woman administrator;

3. Faculty athletics representative;
4. Head coach of the penalized team(s); and
5. Any other individuals whose presence was requested by the subcommittee.

The institution at its discretion may permit other institutional staff members and conference office staff members (e.g., conference commissioner) to be on the teleconference for the appeal.

An institution and any individual whose presence has been requested by the Subcommittee on Penalties and Appeals may have legal counsel present; however, an individual must speak on behalf of himself or herself.

Student-athletes and noninstitutional or nonconference office staff members are not permitted to participate in the teleconference or be present on the teleconference.

The lead administrator who handled the case (or a staff member with case administrative oversight responsibilities) and staff member(s) supporting the work of the committee must participate on the teleconference.

The subcommittee chair, at his or her discretion, has the authority to remove a participant from participating or being present on the teleconference. The subcommittee chair is not required to give advance notice/warning for removing any participants.

The appeal proceedings will continue as follows:

a. Documents Reviewed by the Subcommittee.

The subcommittee will receive and review the penalty report, the waiver application (including supporting documents), staff decision and rationale, the institution's request for an appeal, and the applicant team(s) APP data. Prior to the teleconference or meeting, the staff will distribute to the institution and subcommittee an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

b. Introduction.

The subcommittee chair will call the meeting to order and introduce the members of the subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (institutional spokesperson). This person must be someone who is employed by

the institution on a full-time basis. An involved individual must speak on behalf of himself or herself.

The institution will introduce its representatives followed by individuals whose presence has been requested by the subcommittee or the institution and conference office representatives. The NCAA staff will introduce themselves. After the introductions, the subcommittee chair may make announcements.

c. Review of the Appeal.

The staff member who handled the case (or a staff member with oversight responsibilities) has five minutes per team to describe the facts of the case and the staff's rationale.

The institution's spokesperson will then have 10 minutes per team to describe the case and explain the reasons for requesting that the staff's decision be overturned or modified.

The chair or acting chair is responsible for monitoring the time. Following the description of the case, the subcommittee members may ask questions of all participants. Once all questions have been answered, the meeting will conclude with the staff and institution each providing a five-minute closing statement. The closing statement must be conducted by the institution's spokesperson and the staff member who presented the case.

d. Deliberations and Decision.

At the conclusion of the teleconference, the subcommittee members must deliberate. Neither the institution, conference nor staff member(s) presenting the case may be present for the deliberations. The staff members supporting the committee will be present during deliberations but will not be the same staff member(s) presenting the case. (*Adopted: 01/08. Effective: 01/08*)

The Subcommittee on Penalties and Appeals' decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - (1) Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);

- (2) Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;
- (3) Size of variance between the team's APR and the penalty benchmark;
- (4) Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s);
- (5) Alternative penalties offered by the institution, if any; and
- (6) Other factors deemed relevant to the waiver request.

After reviewing all information, the subcommittee will render one of the following decisions:

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 14.8.1.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-Two penalty elements.
2. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Two penalty elements, but rather some elements will be waived.
3. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1.2.2 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied at the next available opportunity.
4. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1.2.2. The institution will be responsible for applying the designated penalty at the originally prescribed times.

Electronic confirmation of the decision must be provided by the staff to the institution within 21 calendar days of its decision.

Reconsideration of Level-One or -Two APP Penalty Waiver Requests

After the staff and/or subcommittee have issued a decision on a Level-One or -Two waiver request, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new, relevant information that is not data related. Any data issues not identified prior to the original waiver decision will be resolved the following academic year in accordance with established policies and procedures. Requests with new information may not be considered by the subcommittee until the staff has reviewed the new information. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10. Effective: 04/10. Revised: 07/12. Effective 07/12)*

Review of Conditionally-Approved Level-One and –Two APP Penalty Waivers

The NCAA staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the staff will notify the institution in writing that the condition was met and the lost access to postseason competition has been waived.

If the condition(s) was not satisfied, the staff will provide written electronic notification that the previously conditionally-approved waiver is denied and the team must impose the Level-One or –Two APP penalty at the next available opportunity. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

That request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) was not met and the team has lost access to postseason competition. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it met the stated condition(s). The institution may submit additional

information that it believes is relevant to the case. The subcommittee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions.

The staff may grant relief based on some or all of the following criteria:

- a. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and/or the student-athletes.
- b. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
- c. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years'.
- d. Review of implementation of the APR Improvement Plan submitted with the original waiver.
- e. Any additional information provided by the institution.

After reviewing all the information, the staff may render one of the following decisions:

- a. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team avoids Level-One or -Two APP penalties.
- b. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team must impose its Level-On or -Two APP penalties at the next available opportunity.

Appeals and Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Level-One and -Two Penalties.

After the staff has rendered a decision, the institution may appeal the decision to the Subcommittee on Penalties and Appeals. The subcommittee's decision is final and is not subject to further review by any other authority.

The appeal request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the team has lost access to postseason competition. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the team failed to meet its condition(s) or why it believes it met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberation and Decisions.

Subcommittee decisions will include consideration of the following:

- a. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and/or student-athletes.
- b. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
- c. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years'.
- d. Review of implementation of the APR Improvement Plan submitted with the original waiver.
- e. Any additional information provided by the institution.

The subcommittee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The subcommittee may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall include only committee members and staff members supporting the committee.

A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the subcommittee will render one of the following decisions:

- a. **Approved:** The subcommittee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team's Level-One or -Two APP penalties.
- b. **Denied:** The subcommittee determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team must impose the Level-One or -Two APP penalties at the next available opportunity.


The subcommittee's decision is final and not subject to further review by any other authority.

Written or electronic confirmation of the decision must be provided by the subcommittee to the institution within 21 calendar days of the decision.

Reconsideration.

After the staff and/or subcommittee issued a decision on the review of a conditionally approved waiver of the loss of access to postseason competition, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new relevant information. Requests with new relevant information may not be considered by the subcommittee until the staff has reviewed the new information.

NCAA Division I Academic Performance Program
Penalty Assignment and Waivers
Level-Three APP Penalties



Penalty Assignment Procedures

Institutions with a team that is subject to Level-Three APP penalties must propose appropriate penalties for the team electronically via the LSDBi portal. If the institution determines that no penalties are appropriate, it must indicate that as a waiver request via LSDBi (see below). Penalties must be proposed within 14 calendar days of the institution entering the penalty waiver period of the APP process. The penalty assignment process includes a signature page that must be signed by the institution's chancellor or president confirming the institution's proposed penalties.

Any penalty assignment submitted after 14 calendar days must include an explanation of why the proposed penalties were not filed within the prescribed time period. The chair of the Committee on Academics must determine whether any request filed after 14 calendar days will be considered.

Waiver Application Procedures

Institutions with a team that is subject to Level-Three APP penalties that have determined that no penalty is appropriate for the team must indicate that electronically as a waiver request via LSDBi. Waivers must be requested within 14 calendar days of the institution entering the penalty waiver period of the APP process. The online waiver application will produce a signature page that must be signed by the institution's chancellor or president.

The waiver request must set forth the reasons the institution believes that application of Bylaw 14.8.1.1.2.3 should not apply. The waiver must identify all team level three penalties for which the institution wishes to seek relief. The waiver will be considered a single case and will not be complete until each team penalty is addressed. The institution may include additional information and supporting documentation it considers relevant to its request.

The reviewing body may request additional pertinent information before a decision is rendered. Any waiver request filed after 14 calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the

Committee on Academics must determine whether any request filed after 14 calendar days will be considered. (*Revised: 10/06. Revised: 04/07. Revised: 04/1. Effective: 10/11*)

Definitions

For purposes of Level-Three penalties, the following definitions apply.

- 1. Lead:** The lead is charged with coordinating the staff review of Level-Three penalties based on authority granted by the committee. He or she facilitates the submission of penalty assignment by penalized institutions as well as penalty waivers. He or she is responsible for ensuring review of all submitted cases for completeness and assigns waivers to case staff. The lead or his/her case staff designee will be present at all waiver hearings to present the case and any staff decisions. Such staff will not be present during any of the committee's deliberations and will only be present in hearings when institutional representatives are present per established policies.
- 2. Case Staff:** The case staff is charged with reviewing the case to ensure it is complete and working with the institution to collect any additional information necessary. The staff has the authority to accept the institution's proposed penalties and it can also add additional penalties. The institution is then given the opportunity to accept or reject the penalties added by the case staff. If the institution rejects the staff's additional penalties or if the staff decides to defer to the Committee on Academics the decision regarding what additional penalties should be imposed, the case staff must forward the case to the committee for a Level Three penalty hearing. The lead may designate a case staff member to participate in the hearing (e.g., provide APP data to the committee respond to questions from the committee and, if staff added penalties, provide the rationale for such a decision). The case staff may not be present during committee deliberations and will only be present in hearings when institutional representatives are present per established policies.
- 3. Staff Supporting the Committee on Academics:** This staff is responsible for scheduling and managing all Level Three penalty hearings including the logistical coordination necessary for the proceedings. The staff is responsible for supporting the committee before, during and after the hearing and in its deliberations. The staff will also support the committee during appeals to the NCAA Division I Board of Directors APP Appeals Subcommittee. The staff may not be present in the board's APP Appeals Subcommittee's deliberations and will only be present in subcommittee hearings when institutional representatives are present per established policies.

4. **Staff Supporting the Board of Directors:** The staff is responsible for scheduling and managing all Board of Directors APP Appeals Subcommittee teleconferences. The staff is responsible for supporting the subcommittee before, during and after the appeal and in its deliberations.
5. **Penalty Assignment and Waiver Period:** This is the period of time in the APP process when an institution is able to propose Level-Three penalties and appeal any assignment of additional penalties. This occurs after the institution has completed the corrections/adjustments phase of the APP data submission process. Once the data has become finalized an institution will be notified of any APP penalties and the process of proposing Level-Three penalties and filing any subsequent waivers becomes available.

Staff Review, Deliberations and Decisions

On receipt of an institution's self-imposed penalties, an assigned lead will review the application to ensure it is complete, email the institution's designated contact person regarding the status of the request and identify the case staff member handling the case. A case will not be processed and reviewed until all required documentation has been received by the staff.

The case staff will review an institution's proposed Level-Three penalties once they have been received and the institution has been assigned to that staff member. The staff has the authority to accept the institution's proposed Level-Three penalties or to add to those penalties. The institution can then accept or decline the staff's decision. If the institution declines the staff decision, the case will be forwarded to the Committee on Academics.

Staff decisions on proposed penalties will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - (1) Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - (2) Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, and student-athlete(s) and had a direct impact on the team's APR;
 - (3) Size of variance between the team's APR and the penalty benchmark;

- (4) Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and
- (5) Other factors deemed relevant to the case.

If the case staff cannot accept the institution's proposed penalties and chooses not to determine if additional penalties should be added, it must forward the waiver to the committee for a hearing. The case staff has 14 calendar days, from the time the case file is complete, to render a decision or forward the case to the committee.

Written confirmation of the assigned penalties and/or the acceptance of the self-imposed penalties must be provided by the staff, on behalf of the committee, to the institution within 14 calendar days of its decision.

Acceptance of Assigned Penalties

The institution has seven calendar days to accept, in writing, the case staff's additional penalties. If the institution accepts this outcome, the institution must meet the conditions as outlined in the decision. However, if the institution does not accept the staff's penalties, the case staff shall forward the case to the Committee on Academics. The committee will review the case anew at an in-person hearing according to the procedures outlined in the committee review section below. The committee may accept the institution's proposed penalties or it may assign additional penalties. The institution will then accept the decision of the committee or request an appeal of the committee's decision. Appeals are heard by the Board of Directors APP Appeals Subcommittee.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the case staff for committee review. The committee may not reverse these staff decisions, but may provide feedback and direction for future cases. (*Adopted: 10/09; Effective: Immediately.*)

Committee on Academics In-Person Hearings

The Committee on Academics is authorized to hold in-person hearings to consider an APP Level-Three penalty waiver request in instances where the staff is not able to render a decision or the institution declines the staff decision. The institution is required to appear at these hearings. The Committee on Academics' decision can be appealed to the Division I Board of Directors APP Appeals Subcommittee. The board subcommittee's decision is final and is not subject to further review by any other authority.

Committee members may not discuss a pending hearing with the case staff or institutional representatives without all parties having the opportunity to participate. However the staff supporting the work of the committee may contact the committee chair to arrange a teleconference or to discuss procedural matters relevant to the hearing. Further the committee members may contact the staff supporting the committee to request that additional information about the case be submitted.

Determining the Use of Hearing Panels.

The Committee on Academics chair is authorized at his/her discretion, to elect to use hearing panels for the purpose of conducting Level-Three penalty hearings rather than have all hearings conducted by the full committee. The chair has the authority to divide the committee into a maximum of two separate hearing panels. Each panel must provide a recommendation(s) and applicable conditions, if any, to the full committee for its final decision. The full committee therefore retains decision-making authority in all cases. (*Adopted: 1/15; Effective: Immediately.*)

Hearing Costs.

The Committee on Academics is responsible for actual and necessary expenses for staff and committee members. In addition, the committee is responsible for expenses related to reserving the hearing room.

The institution is responsible for all costs related to the hearing for its institutional officers and staff members, including those staff members whose presences is requested by the Committee on Academics (this may include former staff members).

The conference office is responsible for all costs related to the hearing for its staff members, including those staff members whose presence is requested by the Committee on Academics (this may include former institutional staff members).

Timeframe for Hearing.

A Level-Three penalty case will be heard in person, before all committee members in attendance at the hearing, except those with an identified conflict of interest. Committee members must be physically present at the hearing in order to participate. The staff supporting the committee will schedule a hearing and notify the institution and the Committee on Academics of the time, date and location. When setting the date and time for the hearing, the committee will attempt to accommodate the schedule of the institution's representatives. Any conflicts with the hearing should be communicated as soon as possible to the staff supporting the committee. The length of time for the hearing shall be left to the discretion of the committee chair, or acting chair. (*Revised: 12/08*)

Recording.

The committee may record and/or have presented a recording clerk during all Level-Three hearings.

Committee Review Factors.

The committee will generally review each team separately, usually in the order contained in the notice of penalty. However, the committee may review cases involving multiple teams together. When an institution has multiple teams scheduled for in-person hearings with the committee, the institution may submit a written request that the committee conduct a combined hearing for two or more teams. If the committee conducts separate hearings, the committee chair will have the discretion to direct the institution to refrain from repeating information at both hearings. If the hearings are combined, the committee will deliberate separately on each team's penalty assignment. Regardless of whether hearings are held separately or combined, the committee will render separate decisions for each team.

Committee decisions will include consideration of the following: *(Revised: 10/08)*

- The waiver directive approved by the Committee on Academics (See [Appendix 4C](#)) including:
 - (1) Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - (2) Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, and student-athlete(s) and had a direct impact on the team's APR;
 - (3) Size of variance between the team's APR and the penalty "benchmark;"
 - (4) Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and
 - (5) Any proposed penalties; and
 - (6) Other factors deemed relevant to the case.

Hearing Procedures

1. Documents Reviewed by the Committee.

The Committee on Academics will receive and review the penalty report, penalty assignment application (including any supporting documents), the team's APP data, the APR Improvement Plans, and any other information it deems appropriate.

Any additional documentary information/data that the institution would like the committee to review must be received by the case staff at least 14 calendar days prior to the hearing. The case staff must distribute the documents to the committee, institution and individuals whose presence is requested by the Committee on Academics or the institution not less than seven calendar days prior to the scheduled hearing.

Prior to the hearing, the staff will distribute to the committee, the institution and individuals whose presence has been requested by the committee an agenda of the team(s) to be discussed and a list of specific documents that comprise the record the committee will review.

Subject to the approval of the Committee on Academics for good-cause shown, additional documents may be submitted at the hearing, provided copies (at least 40), are available for all in attendance.

The Committee on Academics also may request additional documentation during the hearing or the committee's deliberations, with copies provided to all parties.

2. Hearing Participants.

The following individuals must participate in the in-person hearing:

- a. The institution's chancellor or president;
- b. The director of athletics;
- c. The head coach of the penalized team(s);
- d. The chief academic officer of the institution; and
- e. Any other individuals whose presence was requested by the committee.

If any of these individuals are not available (e.g., individual is no longer employed by institution) for the hearing, the institution must notify the committee at least 14 calendar days prior to the scheduled hearing. The committee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the hearing may proceed without the unavailable individual. When extenuating circumstances exist, the chair has the discretion of allowing an otherwise unavailable individual to participate in the hearing via videoconference or teleconference, which will be coordinated by the staff members supporting the work of the committee. (*Revised: 12/08; 07/12*)

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have outside legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

The Committee on Academics has the authority to request that institution officials and staff members, including coaches, appear before it. Further, the committee has the authority to request that former institutional staff or conference office members appear before it. These individuals will be referred to as "involved individuals." An involved individual may have legal counsel present; however, the involved individual must be present at the hearing and counsel may not speak on the individual's behalf. All other individuals must be approved by the committee.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at a hearing involving a conference member.

The staff members supporting the work of the committee must participate in all portions of the hearing, including deliberations. In addition, the case staff must participate in the hearing and present to the committee. Case staff and the staff supporting the APP Appeals Subcommittee shall not be present for committee deliberations. Other staff members may participate at the discretion of the chair.

At the request of a member institution or at its own discretion, the committee may exclude an individual from certain portions of the hearing. Such decisions may be made by the chair or acting chair.

3. **Introduction.**

The Committee on Academics chair, or acting chair, will call the meeting to order and introduce the members of the committee and staff members supporting the committee.

The institution will introduce its representatives followed by any involved individual and conference office representatives. The case staff will then introduce themselves. After introductions, the committee chair may make announcements.

4. **Opening Statements.**

The case staff and institution each will be provided an opportunity to make a brief opening statement to the committee.

An opening statement shall be limited to not more than 20 minutes. The case staff will first provide opening statements, followed by the institution.

The case staff will provide a review of the team's APP history, data and information (e.g., APR, GSR, penalty information, APR Improvement Plan review), as well as any relevant academic-waiver data (e.g., progress-toward-degree information, initial-eligibility information) and information requested by the committee.

The institution's president or chancellor must provide an opening statement. In addition, the institution will provide a brief summary of the case and set forth the rationale for the request and may include comments in rebuttal to the staff's opening statement. The institution must also provide a brief summary of the relief it is requesting in its waiver and set forth the rationale for the requested relief. Both summaries may be made by any of the institution's representatives. All speakers in the opening statement are included in the institution's 20 minute time limit.

Committee members may ask questions regarding the requested relief and discuss other possible areas of relief from the penalty elements.

Following the opening statement and committee's questions, the institution may amend its waiver regarding the relief originally requested in the waiver application. The institution shall make this amendment orally before the committee. If an institution does not amend the waiver, the hearing shall proceed to the question and answer period. *(Revised: 07/09)*

The committee chair, or his or her designee, is responsible for monitoring the time.

5. Question and Answer.

Following opening statements, the committee members may ask questions of all participants. Additionally, committee members may ask questions at any time during the discussion of a waiver. Any institutional representative, conference office representative or involved individual may be questioned by the committee on any relevant issue. It is possible that the parties will be asked to respond to questions prior to their formal presentations.

If the institution or the case staff wishes to ask a question of another party, that question should be directed to the Committee on Academics chair, who will then decide if the question is appropriate and will direct it to the appropriate individual.

The length of time for questions and answers shall be left to the discretion of the chair of the Committee on Academics.

6. Closing Statements.

After the question and answer period, the Committee on Academics will hear brief closing statements from the case staff and institution. The closing statement must be made by the institution's spokesperson and the case staff member who presented the case. The closing statement may not exceed 10 minutes.

The case staff will make its closing statement first, followed by the institution.

Closing statements are not intended to discuss the details of the waiver request, present new information or to make new assertions. The closing statement provides the staff and institution an opportunity for each party to summarize the discussions that occurred during the hearing and to provide a brief statement regarding the case. The institution's closing statement also allows the institution an opportunity to rebut any statements made by the case staff.

7. Deliberations and Decision.

At the conclusion of the hearing, the committee members will deliberate. The committee may request additional information from any appropriate source, including the institution or the case staff. In this event, the institution and the case staff will be given an opportunity to be present at the time such information is provided to the committee.

Only the Committee on Academics members and staff supporting the committee (but not the staff member who presented the case) may be present for the deliberation. Other staff may be present for the deliberations at the discretion of the committee chair or acting chair. However, the case staff who presented the case and the staff supporting the Board of Directors APP Appeals Subcommittee shall not be present.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

- a. **Full Approval:** The committee determines the institution's request demonstrated evidence that waiver of Bylaw 14.8.1.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to Level-Three penalty elements or additional penalties from the menu of penalties.
- b. **Partially Approved:** The committee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Three penalty elements, but rather some elements will be waived. Partial approvals may include situations where the committee deems the self-imposed penalties from the institution to be sufficient, and does not impose additional penalties on the institution from the menu of penalties.
- c. **Conditionally Approved (Full or Partial):** The committee determines that the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1.2.3 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Three penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied at the next available opportunity.
- d. **Denied:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1.2.3. The institution will be responsible for applying the designated penalty at the originally prescribed times.

- e. **Additional Penalties:** The committee has the ability to levy additional penalties in Level-Three hearings in addition to the default penalties from Level-One and -Two. These penalties will be outlined by the committee within its decision report, and the institution will be responsible for applying the designated penalties.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the hearing.

Reporting Committee Decisions

The committee shall annually submit summaries of all in-person hearing decisions made by the committee to the Board of Directors APP Appeals Subcommittee. The summaries shall not provide institutional names. The subcommittee's review of these summaries may not result in a different outcome for a particular case or a rehearing of the case. However, given the Board of Directors broad policy oversight for all APP matters, annual case review may result in the subcommittee recommending the Board of Directors consider a policy matter . (Adopted: 10/08)

Committee Reconsideration

After the Committee on Academics has acted on a waiver request, the institution may ask the committee to reconsider its decision if the institution submits new relevant information that is not data related and that was not available to institution at the time the original appeal was filed. Any data issues not identified prior to the original waiver decision will be resolved the following academic year in accordance with established policies and procedures. Requests with new information may not be considered by the Board of Directors APP Appeals Subcommittee until the committee has reviewed the new information. An explanation must be included to clarify the reason(s) the new information was not originally available. The committee will determine if information is new for all reconsideration requests. If the information is new, the committee will re-open the case, and make a decision based on the new information. This process does not require another in-person hearing and may be done in any manner deemed appropriate by the committee. If the information is not considered new, the committee decision will not be reconsidered, but the case may be appealed to the Board of Directors APP Appeals Subcommittee. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. (Adopted: 04/10; Effective: 04/10; Revised: 07/12; Effective: 07/12)

Committee Review of Remanded Waiver

The committee will review such cases through a submission of documentation from the involved institution, the staff and the Board of Directors APP Appeals Subcommittee. The member institution may provide additional written materials that it believes relevant to the subcommittee's decision to remand the case. However, any additional materials submitted by the institution must be relevant to the issues outlined by the subcommittee in its remand decision. All such materials must be provided by the institution to the staff supporting the committee within 14 calendar days of receipt of the remand decision of the board APP Appeals Subcommittee. In addition, the staff supporting the committee may provide relevant written materials to the committee in order to assist the committee in its remand consideration. The committee chair may request specific documentation from the institution or staff, if deemed necessary for the committee's deliberations.

The committee will deliberate via teleconference, videoconference or in-person meetings. Institutional representatives shall not be present for or participate in this review by the committee, other than by providing documents as noted. *(Adopted: 10/09.) Effective: Immediately.)*

Appeal of Committee Decisions to the Division I Board of Directors APP Appeals Subcommittee

A subcommittee of the Board of Directors, selected at the Board's discretion in number and members, has legislated authority to consider appeals of committee decisions involving Bylaw 14.8.1.1.2.3 Level-Three penalties provided the basis for appeal meets the review standard.

After the Committee on Academics has rendered a decision, the institution may appeal the decision to a subcommittee of the Board of Directors. The subcommittee's decision is final and is not subject to further review by any other authority. Appeals must be submitted within seven calendar days of the institution's receipt of the Committee on Academics decision. The chair of the Board of Directors' subcommittee may provide an extension of this timeline. Such requests will be considered on a case-by-case basis and will take into consideration the mitigation presented for the extension. *(Adopted: 06/10. Effective: 06/10)*

In appealing a Committee on Academics decision, the institution must demonstrate that the committee abused its discretion in applying the legislation and/or policy and procedures of the APP. The institution may not present new information or data in its appeal that was not presented to the Committee on Academics.

Generally, the subcommittee will make the determination as to whether this criteria has been met. However, the chair, or acting chair, does have the discretion to determine that an institution's appeal does not meet the review standard. If he or she determines that the appeal does not meet the review standard, the chair will notify the institution that the appeal will not be heard by the subcommittee. The chair's decision is final and not subject to further review.

Scope of Review

Abuse of discretion occurs when the Committee on Academics fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision by the Committee on Academics.

Recording

The board subcommittee may record and/or have presented a recording clerk during all Level-Three appeal hearings.

Board of Directors APP Appeals Subcommittee Conflict of Interest

A Board of Directors subcommittee member must recuse himself or herself from participation in an appeal (i.e., representing his or her institution or deliberating as a subcommittee member) in which he or she is personally connected with an institution or conference (e.g., previous employer, alma mater). A Board of Directors subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an appeal. However, a subcommittee member that recused himself or herself may participate in the preparation of the appeal for their own institution, including but not limited to drafting the appeal application, preparing appeal arguments and gathering appeal materials.

It is the responsibility of the Board of Directors subcommittee member to remove himself or herself if a conflict exists. Institutional objections to a Board of Directors subcommittee member participating in the review of an appeal must be raised with and resolved by the chair or acting chair of the subcommittee as soon as recognized, but will not be considered unless the concern is raised prior to the scheduled appeal. Participation by a subcommittee member in previous APP matters involving the institution or with regard to general policy (e.g., an Level-Three waiver appeal) does not constitute a conflict of interest requiring recusal.

In the event that the Board of Directors subcommittee chair must recuse himself or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the appeal. If the acting chair finds that no conflict exists, the chair may resume his or her role. *(Revised: 12/08)*

Board of Directors APP subcommittee members may not discuss a pending request with the committee members or institutional representative(s) without all parties having the opportunity to participate. The staff supporting the Board of Directors APP Appeals Subcommittee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an applicant's request. Further, the APP Appeals Subcommittee members may contact the staff supporting the subcommittee to request that additional information about the case be submitted or to obtain procedural information.

Hearing Timeframe

An appeal of the committee's decision regarding a Level-Three penalty will be heard via teleconference before a subcommittee of the Board of Directors. After notice of the intent to appeal, the staff supporting the subcommittee will schedule a teleconference and notify the institution of the date and time. When setting the date and time for the teleconference, the subcommittee will attempt to accommodate the schedule of the institutional representatives and involved individuals. Any conflicts with the teleconference date should be communicated as soon as possible to the staff supporting the subcommittee.

Appeal Procedures.

All appeals must be submitted electronically to the national office using the LSDBi portal. The online appeal application program will produce a signature page that must be signed by the president or chancellor. All appeals must be submitted within seven calendar days of written notification of the Committee on Academics' decision. *(Adopted: 06/10. Effective: 06/10)*

An institution will be required to submit an appellate brief explaining its rationale for appealing the committee's decision. Specifically, the institution's appellate brief may only address how it believes that the committee abused its discretion in applying the legislation and/or policy and procedures, and how these abuses reasonably could have

resulted in a different decision. The subcommittee may not hear a case de novo (e.g., over again, anew). The Committee on Academics chair, or acting chair, has the authority to review the submitted appellate brief to determine whether it raises any arguments, data or information not previously presented to the committee. If the committee chair finds that new arguments, data or information has been raised, he or she may raise the issue before the subcommittee. See Committee Issues below for more detail. (*Revised: 10/08*)

In addition, the appeal must identify all team penalties that the institution is appealing. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

Any appeal filed after seven calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the APP Appeals Subcommittee will determine whether any appeal filed after the seven calendar days may be considered. (*Adopted: 06/10. Effective: 06/10*)

The staff supporting the committee will work with the institution prior to the teleconference to prepare for the appeal. This must be done prior to the case being forwarded to the APP Appeals Subcommittee.

1. Documents Reviewed by the Board Subcommittee.

The Board of Directors APP Appeals Subcommittee will receive and review the notice of penalty, appeal application (including supporting documents), applicant team(s) APP data and committee's decision and rationale and all documents which form the record.

Prior to the teleconference, the subcommittee will distribute to the institution an agenda of the teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

The subcommittee also may request additional documentation during the teleconference or the subcommittee's deliberations, with copies provided to all parties.

2. Appeal Participants.

The following individuals must participate in the appeal:

- a. The institution's chancellor or president;

- b. The director of athletics;
- c. The head coach of the penalized team(s);
- d. Committee on Academics chair or, if different, the individual who chaired the Committee on Academics hearing; and
- e. Any other individuals whose presence was requested by the committee.

Of these groups of people only those individuals who were present for the hearing before the committee may be present during the teleconference. If any of these individuals are not available (e.g., individual is no longer employed by institution, family illness) for the hearing, the institution must notify the Board of Directors APP Appeals Subcommittee at least 14 calendar days prior to the scheduled hearing. The subcommittee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the appeal may proceed without the unavailable individual.

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at a waiver hearing involving a conference member.

An individual whose presence was requested by the committee may have legal counsel present; however, the individual must be present for the teleconference and counsel may not speak on the individual's behalf.

All other individuals must be approved by the Board of Directors APP Appeals Subcommittee.

In addition, of these groups of people only those individuals who were present for the hearing before the committee may be present on for the teleconference.

The staff members supporting the subcommittee must participate in all portions of the waiver appeal, including deliberations. In addition, the staff supporting the committee must participate in the appeal but may not be present for deliberations. Other staff members may participate at the discretion of the chair. At the request of a member institution or in the exercise of its own discretion, the subcommittee may exclude an individual from certain portions of the appeal.

The Board of Directors chair has the discretion to appoint a substitute subcommittee member from the Board of Directors in the event that a member(s) is unavailable to hear an appeal. (*Revised: 07/09*)

3. **Introductions.**

The subcommittee chair or acting chair will call the meeting to order and introduce the members of the subcommittee and the staff supporting the Board of Directors APP Appeals Subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (designated spokesperson).

The institution will introduce its representatives, followed by conference representatives who are present.

The Committee on Academics chair or acting chair will introduce himself or herself and any other committee member present on the teleconference.

The staff will then introduce themselves.

After introductions, the subcommittee chair may make announcements.

4. **Committee Issues.**

Prior to the review of the appeal, the committee chair may raise any issues he or she has regarding the documentation filed by the institution. Specifically, whether he or she believes that any of the arguments, data or information in the appellate brief is new and was not provided to the committee during the waiver hearing and the new argument, information or data would have reasonably led to a different decision at the committee level.

Following the committee chair's presentation, the institution will have an opportunity to respond.

After the committee chair's presentation and the institution's response, the subcommittee will deliberate. The subcommittee chair or acting chair will ask everyone, other than subcommittee members and staff supporting the subcommittee to disconnect from the teleconference while they deliberate. After the subcommittee has deliberated appeal participants will be notified that the teleconference will resume.

The subcommittee may render one of the following decisions:

- a. The arguments, data or information is not new and the appeal may continue as scheduled; or
- b. The arguments, data or information is new and must be remanded back to the committee for reconsideration. (*Adopted: 10/08*)

5. **Review of the Appeal.**

The institution is provided an opportunity to present its basis for appealing the Committee on Academics' decision to the subcommittee. The institution's appeal should be based on the appellate brief submitted to the subcommittee. The institution's brief may only address, based on the facts that were presented to the Committee on Academics, how it believes that the committee abused its discretion, as outlined in the review standard section, in applying the legislation and/or its policies and procedures and how such abuses could have reasonably resulted in a different outcome.

The appeal may not exceed one hour in length. The one-hour time period will conform to the following process:

The Committee on Academics chair, or acting chair, will have 15 minutes to describe the facts of the appeal, applicable case precedent, the committee's decision and rationale and address the allegations that it abused its discretion in applying the legislation and/or its policies and procedures. The staff supporting the committee may participate in the opening statement as long as their comments are included in the 15 minute time limit. (*Revised: 10/08*)

The institution's designated spokesperson will then have 15 minutes to describe the case and to address how it believes the committee abused its discretion in applying the legislation and/or its policies and procedures and may include comments in rebuttal to the committee's opening statement. The institution's president or chancellor and director of athletics may participate in the opening statement as long as they are employed full time by the institution and their comments are included in the 15 minute time limit.

Following opening statements from the chair, or acting chair, of the Committee on Academics and the institution, the Board of Directors APP Appeals Subcommittee members may ask questions of all participants, including staff member supporting the committee. Once all questions have been answered, the teleconference will conclude with the committee and institution each providing a five-minute closing statement. The closing statement must be made by the institution's spokesperson and the committee member who presented the case.

The subcommittee may ask questions at any time. Any institutional representative, committee member or staff supporting the committee may be questioned on any relevant issue. It is possible that the parties will be asked to respond to questions prior to their formal presentations. The one hour period includes questioning by the subcommittee. (*Revised: October 2008*)

If the institution or Committee on Academics desires to ask a question of another party, that question should be directed to the subcommittee chair, who will then decide if the question is appropriate and, if so, will direct it to the appropriate individual. The chair of the Board of Directors APP Appeals Subcommittee, or his or her designee, is responsible for monitoring the time.

6. Subcommittee Deliberations and Decision.

At the conclusion of the appeal, the subcommittee members will deliberate. The subcommittee may request additional information from any appropriate source, including the member institution or the Committee on Academics. In this event, the institution and the Committee on Academics chair, or acting chair, will be given an opportunity to be represented at the time such information is provided to the subcommittee. Otherwise, only subcommittee member and that staff supporting the subcommittee may be present for the deliberation.

The standard of review for the subcommittee is that it must determine whether the institution demonstrated that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. As part of its deliberation, the APP Appeals Subcommittee may:

- a. Uphold the committee's decision; or
- b. Reverse or remand the decision if it finds the Committee on Academics abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably

could have resulted in a different decision by the committee. (*Revised: 07/09*)

If the subcommittee finds that the decision of the Committee on Academics abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee, the subcommittee may render one or more of the following decisions: (*Revised: 07/09*)

- a. **Approved:** The subcommittee determines the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined that a waiver of Bylaw 14.8.1.1.2.3 was warranted. In such instances, the team will not be subject to Level-Three penalties.
- b. **Partially Approved:** The subcommittee determine the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined a partial waiver of Bylaw 14.8.1.1.2.3 was warranted. The subcommittee may require a team to satisfy specified conditions in order to receive relief from the portion of the penalty that is waived. The subcommittee may also provide a partial waiver and remand the case back to the Committee on Academics to consider whether additional conditions should be imposed in light of the reasoning of the subcommittee and in accordance with the committee's policies and procedures. (*Revised: 07/09*)
- c. **Remand:** The subcommittee determines that the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined that the matter should be remanded to the Committee on Academics to be reconsidered in light of the subcommittee's decision and in accordance with the committee's policies and procedures. (*Adopted: 07/09*)

Only subcommittee members and staff supporting the Board of Directors APP Appeals Subcommittee may be present for the deliberation. A simple

majority of the subcommittee members present and voting is necessary for a decision. *(Revised: 07/09)*

Written (e.g., electronic) confirmation of the decision will be provided by the Board of Directors APP Appeals Subcommittee to the institution and the committee within 21 calendar days from the date of the teleconference.

Review of Conditionally Approved Level-Three APP Penalty Waivers

The NCAA staff has the authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did not meet the stated conditions. The staff's decision may be appealed to the Committee on Academics. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The NCAA staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the staff will notify the institution in writing that the condition was met and the penalty has been waived.

If the condition(s) was not satisfied, the staff will provide written notification that the previously conditionally-approved waiver is denied and the team must impose the Level-Three penalties at the next available opportunity. Furthermore, the staff will notify the institution that it may appeal the staff decision by providing an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

That request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) was not met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it met the stated condition(s). The institution may submit additional

information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and student-athlete(s).
2. Size of variance between the team's most recent single-year APR and the APR required as the condition.
3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years.
4. Review of implementation of the APR Improvement Plan submitted with the original waiver.
5. Any additional information provided by the institution.

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team avoids Level-Three APP penalties.
2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief from the conditional approval and as a result, the team must impose its Level Three penalties at the next available opportunity.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academics. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the national office via the LSDBi portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 14.8.1.1.2.3 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Committee Review Factors

Committee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and student-athlete(s).
2. Size of variance between the team's most recent single-year APR and the APR required as the condition.
3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years.
4. Review of implementation of the APR Improvement Plan submitted with the original waiver.
5. Any additional information provided by the institution.

Committee Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Generally, the committee will consider such appeals via teleconference, while reserving the opportunity to forward cases to in-person meetings of the committee as needed. Such deliberations shall include only committee members and staff members supporting the committee. *(Revised: 07/09)*

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the team avoids Level-Three APP penalties.
2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief from the conditional approval and as a result, the team must impose its Level Three penalties at the next available opportunity.

If relief is not provided, the institution will be notified to impose the penalty the academic year subsequent to notification. If the team remains in the penalty structure, these penalties will be in addition to any new penalties.

The committee's decision is final and not subject to further review by any other authority. Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

NCAA Division I Academic Performance Program APR Improvement Plans

APR Improvement Plans are meant to encourage teams and institutions to make immediate improvements in student-athlete academic performance. An APR Improvement Plan should be developed through broad-based campus participation and should identify and address the critical issues impacting a team's student-athlete academic performance, retention and graduation.

Plan Development and Submission Requirements

Each institution with a team(s) with a multiyear APR below 930 must develop and submit an APR Improvement Plan to the national office. [Note: All institutions with multiyear rates including at least two years of APR data are subject to the plan development and submission requirements.] Teams that have a squad-size adjusted APR above 930 are not subject to this requirement. The institution's president or chancellor must approve the institution's APR Improvement Plan in writing. *(Revised: 10/11. Effective: 10/11)*

Institutions selected for an APP data review may be required to submit plans to the national office. Further, these institutions must submit copies of all previous APR Improvement Plans, progress reports of those plans and any intended plan amendments. *(Adopted: 04/07. Effective: 04/07)*

Any institution that received a conditionally approved waiver of an APP penalty that must demonstrate acceptable implementation of its APR Improvement Plan as a condition of its waiver must submit information regarding implementation of its plan to the national office by the prescribed deadline.

Third parties hired by the institution to assist with the development of an APR Improvement Plan are permitted. However, all communication will take place between NCAA staff and the institutional contact. NCAA staff will not communicate with third parties unless authorized to do so by the institution. Such authorization must include a signed statement from the director of athletics expressly granting permission for the staff to communicate with the third party. If any third party attempts to contact the staff about an improvement plan, the staff will direct that person back to the institutional contact.

See [Appendix 4E](#) for APR Improvement Plan Requirements. The online submission system can be found at the following link:

<https://web1.ncaa.org/AppPlan/exec/login>

The following link allows access to educational materials you may find helpful in developing and submitting your institution's APR Improvement Plan and record of implementation:

<http://www.ncaa.org/governance/committees/division-i-committee-academic-performance>

As of August 1, 2010, an online searchable database became available for institutions to review APR improvement strategies. Users are able to search, based on a number of criteria, strategies being used to address common issues impacting academic performance. To access the online searchable database, access the link at <https://web1.ncaa.org/AppPlan/exec/login> and click on "APR Improvement Plans" – Search.

See [Appendix 4D](#) for frequently asked questions on APR Improvement Plans.

APR Improvement Plan Submission Dates

Institutions required to submit new APR Improvement Plans and implementation reports on plans from a previous year must do so via the online submission system by the established deadline communicated to the institutions each year. The committee established the following dates for the submission of APR Improvement Plans and/or evidence of implementation of the previous year's plan for the **2014-15** academic year:

2014-15 APR Improvement Plan Reporting Requirements Date

Institution with team(s) that received a conditional waiver of APP penalties in 2013-14 (implementation only).	October 1
SSF recipient institutions (implementation only).	October 1
Limited-resource institutions hoping to meet the "improvement plus" filter in 2014-15 (implementation and new plan).	October 1
Institutions with team(s) with a multiyear APR below 930.	November 1

Institutions requesting a waiver of an APP penalty
(implementation of previous plans and any new plans)

November 1
(or with waiver request;
whichever is earlier)

(Adopted: 04/10. Revised: 10/11. Effective: 10/11. Revised: 07/12. Effective: 07/12)

Implementation of APR Improvement Plans

Except in unique circumstances (e.g., natural disaster), the staff should not favorably consider any explanation offered by an institution for not implementing all critical element(s) of an APR Improvement Plan. However, the staff may favorably consider the following when evaluating implementation of an institution's plan:

1. Evidence that a critical element of the plan was addressed effectively by an alternate initiative or method not reflected in the original plan; or
2. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s). *(Adopted: 07/09)*

A plan is considered implemented when:

1. The institution demonstrated that the essential steps outlined for every critical issue have been completed;
 - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.
2. The institution achieved or demonstrated progress toward the measurable goals for every critical issue;
3. The individuals/officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and
4. If institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:
 - a. Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or
 - b. Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).

Plans are considered not implemented when:

1. The institution did not demonstrate that the essential steps outlined for every critical issue have been completed;
2. The institution did not demonstrate progress toward the measurable goals for every critical issue;
3. The institution did not implement the steps outlined in the plan that address a critical issue, the institution did not provide:
 - a. Evidence that a critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan; or
 - b. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s); and
4. The individuals/officers responsible for the goals/steps of every critical issue did not participate in the completion or attempted completion of the goals/steps.

Failure to Develop a Required APR Improvement Plan

An institution that is required to create and/or submit an APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. Ineligibility to receive SSF grant monies for one year;
2. A presumption that any related penalty waiver(s) will be denied; and
3. Notification to the institution's chancellor or president and conference office that the institution failed to create or submit an acceptable APR Improvement Plan.
(Adopted: 07/09)


Staff Evaluation of New APR Improvement Plans and the Implementation of Previous APR Improvement Plans

1. Staff evaluation of Implementation of APR Improvement Plans:
 - a. The staff does not determine if the implementation of an APR Improvement Plan is acceptable or unacceptable.

- b. Institutions with a conditional waiver of APP penalties will meet the implemented APR Improvement Plan requirement when:
 - (1) The institution demonstrated that the essential steps outlined for every critical issue have been completed;
 - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.
 - (2) The institution achieved or demonstrated progress toward the measurable goals for every critical issue;
 - (3) The individuals or officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and
 - (4) If the institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:
 - (a) Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or
 - (b) Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).
2. Staff evaluation of APR Improvement Plans:
 - a. The staff does not determine if an APR Improvement Plan is acceptable or unacceptable.
 - b. The staff will confirm that each APR Improvement Plan has the following elements: developed through broad-based participation, meaningful data analysis and presidential approval.
 - c. If any of the above elements are missing, the plan has not met submission requirements and the staff will return the plan to the institution for revision.
 - d. The staff's written evaluation of the APR Improvement Plan will provide:

- (1) Assessment of broad-based participation in plan's development, institution's data analysis and approval of plan.
 - (2) Identification of potentially critical issues not addressed by the institution.
 - (3) Assessment of the effectiveness of the plan's initiatives focusing on:
 - (a) Individuals responsible for implementation and oversight.
 - (b) Specificity and adequacy of steps to achieve goal.
 - (c) Effectiveness to address issue.
3. Updating plans after receipt of staff evaluation:
- a. Institutions are no longer required to amend or update its plan after receiving the staff's evaluation.
 - b. If an institution has submitted its plan as part of an APP penalty waiver or SSF request, it will have two weeks after receiving the staff evaluation, to update its APR Improvement Plan.
 - c. The staff will not consider plans submitted after this period as new information for purposes of APP penalty waivers.

NCAA Division I Academic Performance Program Public Recognition Program



During the 2005-06 academic year, the Committee on Academic Performance instituted a team-centered public recognition program that highlights the academic performance of the top 10 percent of teams in each sport based on APR. In order to be eligible for the Public Recognition Awards list, a team must have reported at least two years of APR data. The list of recognized institutions is posted on the NCAA website and institutions are encouraged to celebrate APR success throughout the year. The committee will continue attempts to identify and implement additional, meaningful incentives in future years. *(Adopted: 04/07. Effective: 04/07)*

NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals Interpretations

Interpretations

The Committee on Academics shall oversee all aspects of the APP. These responsibilities include interpreting all APP penalty and appeal legislation and policies and procedures, including, but not limited to those referenced in Bylaws 14, 15.01.8 and 18.4.2.3. The Committee on Academics has the exclusive authority to interpret and provide written interpretations for all aspects of the APP. Neither the NCAA Division I Legislative Review and Interpretations Committee, nor the NCAA Division I Legislative Council Subcommittee for Legislative Relief has the authority to provide any type of relief or render a decision for a request that involves legislation and/or policies and procedures relative to the APP.

The Committee on Academics shall render decisions related to legitimate interpretative inquiries regarding the application of APP legislation and policies and procedures. The committee does not have the authority to make or change legislation, but shall interpret legislation and policies consistent with its intent.

The Committee on Academics also shall consider and recommend editorial revisions and official interpretations it has issued for inclusion into the NCAA Division I Manual and will review all related staff interpretations to maintain the integrity of the interpretation process.

Interpretive Request Process

1. Types of Interpretations.

The committee/subcommittee shall issue an official interpretation only when it is determined by that group that the issue is one of national significance. When an official interpretation is issued, it will be issued as either a confirmation or determination. Listed below is the distinction between the two.

- a. A confirmation is a verification of the legislation and or policies and procedures. The confirmation is responsive to an inquiry, and is binding on all institutions for present and past actions.

- b. A determination is an interpretation issued when an issue or fact is not clearly addressed by the legislation and/or policies and procedures. It is binding on the institution making the request and other institutions once it is published to the Division I membership.

2. Receipt of the Interpretive Request.

Generally, the subcommittee will review interpretative requests in the following situations:

- a. Referrals from the NCAA academic and membership affairs staff regarding the application of legislation, other interpretations, and/or policies and procedures.
- b. Referrals from Division I governance entities (e.g., cabinets/committees) of issues related to the application of legislation and/or policies and procedures.
- c. A request by a member institution or conference to review an interpretation provided by the academic and membership affairs staff or the application of the APP legislation and/or policies and procedures, provided the legislation, policies or other official interpretations do not address the issue.

When necessary, member institutions and/or conferences must make all interpretative requests prior to filing an appeal of an APP penalty. Further, the interpretations process must be complete, including final review of any interpretive appeals, prior to proceeding with a related appeal of any penalties. Once an appeal has been filed, it will be assumed that the institution does not have any outstanding interpretative questions or concerns related to the imposed penalties.

3. Required Documentation.

Interpretative requests from a member institution or conference must be submitted in writing. Requests from a member institution may be submitted by the institution's conference or by one of the five individuals authorized to request such interpretations on behalf of the institution (i.e., chancellor or president, faculty athletics representative, athletics director, senior woman administrator or compliance coordinator).

When seeking an interpretive clarification, an institution or conference must submit an interpretive request and supporting documentation outlining the issue in question. The request must outline the limitations in the applications of

current legislation and/or official interpretations to the institution's specific circumstances.

4. Staff and Committee/Subcommittee Interpretations/Legislation Review.

- a. **Staff Review:** All interpretative requests must be forwarded in writing to the staff liaisons to the Committee on Academics. The staff liaisons will review each request and, if possible, will provide a written response. If appropriate, the staff will issue a staff interpretation. The Committee on Academics or one of its subcommittees will review all staff interpretations.
- b. **Committee Review:** If the staff is unable to render a decision or if the issue is of national significance, the staff may forward the interpretative request to the Committee on Academics and/or a subcommittee of Committee on Academics based on the topical nature of the request. The committee and/or subcommittees shall review the following issues:
 - (1) **Subcommittee on Data:** All issues related to the following: defining the APR cohort, filing APR, APC or GSR data, notification of Level-One and -Two penalties, appeals/extension requests and all other matters referred to the subcommittee by the Committee on Academics chair for review.
 - (2) **Subcommittee on Penalties and Appeals:** All issues related to the imposition and/or appeal of Level-One and -Two penalties, any other matters related to appeal, and all other matters referred to the subcommittee by the Committee on Academics chair for review.
 - (3) **Full Committee:** All issues related to the penalties and rewards structure. All issues related to the imposition and appeal of Level-Three penalties. In addition, the Committee on Academics will be the final authority to hear appeals of subcommittee interpretations, as well as to review all subcommittee interpretations. (*Revised: 04/07; Effective: 04/07*)

5. Meeting Protocol.

Committee meetings may occur in person, by teleconference, by email or by any other means deemed appropriate by the chair. The respective subcommittee or committee shall meet as often as necessary during the academic year to review interpretative issues related to the application of legislation and/or policies and procedures. All subcommittee decisions will be reviewed by the full committee.

All materials provided by the entity requesting the interpretation, along with a summary/background information sheet prepared by the staff, shall be forwarded to the appropriate subcommittee prior to the request being reviewed.

The staff liaison will provide a brief summation of the issue and will provide any legislative or interpretative assistance as needed or requested by the committee/subcommittee. Only the staff liaisons and committee or subcommittee members shall participate in review of the issue, unless additional individuals are invited to be on the teleconference by the chair of the committee or subcommittee.

In order for the committee or subcommittee to deliberate and render a decision, a quorum of more than 50 percent of the committee or subcommittee members eligible to vote must be present.

The conflict of interest section of this document applies to the committee members' involvement in interpretive matters.

6. Issuance of Interpretations.

Interpretations issued by the committee/subcommittee/staff shall be binding immediately on notification to the affected institution or conference. Institutions will be notified initially by telephone and subsequently in writing after the committee/subcommittee's minutes of the meeting have been finalized. All other member institutions are bound by the committee subcommittee's interpretation after publication and circulation to the membership. If an issue is of national significance, an official interpretation shall be issued and published on the Legislative Services Database for the Internet (LSDBi).

7. Review/Appeals.

The Committee on Academics shall review all interpretations issued by the subcommittees and may approve, reverse or modify such interpretations. A member institution or conference may appeal an interpretation of the subcommittee(s) to the Committee on Academics within 30 calendar days following the subcommittee's decision. Such appeals must be submitted in writing by the institution's chancellor or president, faculty athletics representative or director of athletics and must set forth an interpretative argument as to why the decision of the subcommittee is erroneous.

The Committee on Academics interpretive decisions are final and no additional appeal opportunity exists for a member institution or conference.

8. Ex Parte Communication.

In order to maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with non-committee members (e.g., the public or the membership) prior to discussion by the committee.

APPENDIX 4A**NCAA Division I Academic Performance Program Penalty and Loss of Access to Postseason Competition Scenarios**

The following scenarios are designed to assist institutions in understanding the progressive and cumulative nature of NCAA Division I Academic Performance Program (APP) penalties as well as the loss of access to postseason competition.

Example One – Baseball Team

- Year 1:** Team's multi-year NCAA Division I Academic Progress Rate (APR) is below 930 and team receives a Level-One Penalty consisting of a four-hour and one-day reduction in countable athletically related activities (CARA) during the playing and practice season as well as the loss of access to postseason competition in the following academic year. CARA time must be replaced with academic activities.
- Year 2:** Team's multi-year APR is above 930. No penalty. This qualifies as clean year number one.
- Year 3:** Team's multi-year APR is below 930 but team satisfies the improvement filter. The team is eligible for the improvement filter because it would have been subject to a Level- Two Penalty and loss of access to postseason competition for the second time. No penalty or loss of access to postseason. This qualifies as clean year number two.
- Year 4:** Team's multi-year APR is below 930 but team receives an APP Penalty Waiver as well as a waiver of loss of access to postseason competition. This qualifies as clean year number three. No penalty and team is reset to Level-One in the penalty structure if it falls below the benchmark in the future.
- Year 5:** Team's multi-year APR is below 930. Team is again subject to Level-One Penalty of four-hour and one-day CARA reduction in the playing and practice season as well as postseason ineligibility. Because the team is back at Level-One Penalty it is not eligible for the improvement filter.

Example Two - Football Team:

- Year 1:** Team's multi-year APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day CARA reduction in the playing and practice season as well as the loss of postseason competition. CARA time must be replaced with academic activities.

- Year 2:** Team's multi-year APR is below 930 but satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two penalty and loss of access to postseason competition for the second time. No penalty or loss of postseason. This qualifies as clean year number one.
- Year 3:** Team's multi-year APR is below 930 but satisfies the improvement filter. No penalty or loss of postseason. This qualifies as clean year number two.
- Year 4:** Team's multi-year APR is below 930 but does not satisfy the improvement filter and team is subject to Level-One and -Two Penalties, including, but not limited to, a four-hour and one-day CARA reduction in the playing and practice season and elimination of spring football and the spring game. The team is subject to the loss of postseason competition for the second time.
- Year 5:** Team's multi-year APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three Penalties, including, but not limited to, a four- hour and one-day CARA reduction in the playing and practice season, and elimination of spring football and the spring game and additional penalties from the penalty menu. The team is also subject to the loss of postseason competition for the third time.

Example Three - Basketball Team:

- Year 1:** Team's multi-year APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day CARA reduction in the playing and practice season. CARA time must be replaced with academic activities. The team is subject to the loss of postseason competition for the first time.
- Year 2:** Team's multi-year APR is below 930 but team satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two Penalty and loss of access to postseason competition for the second time. This qualifies as clean year number one.
- Year 3:** Team's multi-year APR is below 930 but team satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number two.
- Year 4:** Team's multi-year APR is below 930 but team does not satisfy the improvement filter and is subject to Level-One and -Two Penalties, including a four-hour and one-day reduction in CARA in the playing and practice season, a four-hour reduction in the amount of CARA out-of-season, and a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games). The team is subject to the loss of postseason competition for the second time.

- Year 5:** Team's multi-year APR is below 930 but satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number one.
- Year 6:** Team's multi-year APR is below 930 but satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number two.
- Year 7:** Team's multi-year APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three penalties, including but not limited to a four-hour and one-day CARA reduction in the playing and practice season, a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games), and several penalties from the penalty menu. The team is subject to the loss of postseason competition for the third time.
- Year 8:** Team's multi-year APR is below 930 but does not satisfy the improvement filter and is subject to Level-Three penalties again. Penalties will include a four-hour and one-day reduction in CARA in the playing and practice season, a four-hour reduction in the amount of CARA out-of-season, and a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games) as well as several penalties from the penalty menu. It is likely that the penalties selected from the menu of options will be more severe. The team is subject to the loss of postseason competition for the fourth time.

APPENDIX 4B**Frequently Asked Questions on Penalty Application and Reporting Requirements**

The following will assist institutions in ensuring the countable athletically-related activity (CARA) penalties are imposed correctly:

Question No. 1: When does the four-hour countable athletically-related activity (CARA) restriction apply?

Answer: The Level-One APP penalty CARA restriction applies only during the period when the team is subject to the 20 hour per week limitation. The Level-Two APP penalty CARA restriction applies during the period when the team is subject to the eight hour per week limitation.

Question No. 2: Do the hour or additional day-off restrictions apply when there are no daily and weekly hour limits per the bylaws (e.g., vacation periods)?

Answer: No, the CARA restriction only applies during the time period when the team is subject to the daily and weekly hour limits (e.g., 20 hours per week, required day off). Because the reduced CARA time is to be supplemented with academic activities the restriction does not apply when no classes are in session.

Question No. 3: Do the hour and/or additional day-off restrictions apply to CARA related to conference and/or postseason championships?

Answer: The weekly hour restrictions and day-off restriction applies during a week in which a team is participating in conference and/or postseason championships. The exception to the one-day off per week does not apply to the required day off per the team's penalty.

Question No. 4: In the sport of basketball, does the additional day-off restriction apply when a team is participating in three contests a week?

Answer: The exception to the one-day off per week does not apply to the team's penalty. Therefore, a basketball team subject to the additional day off as part of its APP penalties must take that day off during a week in which the team participates in three contests.

Question No. 5: In the sport of basketball, how does Bylaw 17.1.6.4.7 affect a team subject to the additional day-off penalty?

Answer: If the institution uses the legislated exception for the one-day off per week requirement when it has three contests in the same week, the following requirements apply:

- (a) The team will not impose the additional day-off penalty during the week the team satisfies the condition of the legislated exception (i.e., the week it does not engage in any countable athletically related activities for two days); and
- (b) The team will replace the four hours of missed C A R A time for one of those two days with approved academic support activities that must be completed on the same day.

Question No. 6: Do the weekly C A R A restrictions apply to a student-athlete who is also a member of another team at the institution that is not subject to an APP penalty?

Answer: No, the C A R A restriction applies to the team's weekly C A R A limitations and does not apply to the individual student-athlete limitations for those student-athletes who are members of more than one team at the institution.

The following will assist institutions in ensuring that the policy of replacing C A R A time with academic activities is imposed correctly:

Question No. 1: What are acceptable academic activities?

Answer: The following activities are acceptable academic activities:

- (a) Study hall.
- (b) Tutoring.
- (c) Meeting with academic support personnel.
- (d) Meeting with departmental academic advisor.
- (e) Meeting with professor.
- (f) Meeting with formal study group.

- (g) Meeting with informal study group.
- (h) Faculty mentoring.
- (i) Peer mentoring.
- (j) Meeting with career counselor.
- (k) Career development seminar.
- (l) Life skills development session.
- (m) Campus seminars.
- (n) Supplemental instruction session.
- (o) Study skills seminars.

The following activities would **NOT** be considered acceptable academic activities:

- (a) Meeting with coaches in their offices to study.
- (b) Academic activity while traveling (e.g., on a bus, plane, at hotel).
- (c) Academic meetings with coaches.
- (d) Community service with athletics team/department.
- (e) Promotional activities.
- (f) Hosting recruits for official or unofficial visits.
- (g) Team meetings (not related to academics).

Question No. 2: Does the institution have to document the academic activities for student-athletes who are not in the APR cohort?

Answer: No.

Question No. 3: Do all student-athletes on the penalized team have to complete the same academic activity?

Answer: No, institutions can determine what academic activities are most appropriate for each student-athlete on the penalized team. But all student-athletes in the team's cohort must participate in some academic activity to replace the CARA time. This must be documented.

Question No. 4: Should the academic activities be related to the elements included in the team's/institution's NCAA Division I Academic Progress Rate (APR) Improvement Plans?

Answer: It is not necessary that the activities be specifically related to the issues identified within the APR Improvement Plan, however, this is encouraged.

Question No. 5: Can individual student-athletes be exempt from the academic activities if they are doing everything they can to meet the mission of the athletics department, university and the NCAA (e.g., student-athletes meeting all progress-toward-degree requirements, institutional requirements)?

Answer: No, CARA penalties are team penalties. The intent of the penalty structure is for all student-athletes on a penalized team to engage in more academic activities and less athletics time. The institution does not have the discretion to excuse high performing student-athletes from the required academic activities. As stated above, all team members do not have to participate in the same academic activities. However, every student-athlete in the penalized team's APR cohort is required to participate in monitored academic activities. This participation should be logged to demonstrate that the penalty was taken as prescribed.

(Revised:

10/09; 10/10)

Question No. 6: Who is responsible for monitoring the academic activity?

Answer: Each institution must designate the staff member(s) responsible for monitoring the activities. All team members' time must be monitored and recorded so that it can be reported back to the staff. *(Revised: 10/10)*

The following addresses frequently asked questions with respect to teams that are subject to contest and season reduction penalties:

Question No. 1: When must the 10 percent season reduction be taken?

Answer: The 10 percent season reduction penalty must be taken at the beginning of the regular playing and practice season. For example, a basketball team subject to a reduction of the playing and practice season must start its regular season 10 days later than the first permitted day of in-season practice.

Question No. 2: For the sports of men's and women's basketball, how is the 10 percent contest reduction calculated?

Answer: The APP penalty requiring a reduction of 10 percent of the number of contests results in a three-game reduction from the maximum number of permissible contests.

The following outlines the reporting requirements for APP penalties:

Question No. 1: When does an institution have to report how the team applied the penalty?

Answer: All materials must be submitted to the NCAA national office not later than August 1 following the academic year in which the penalty was applied. For example, teams applying the penalty during the 2014-15 academic year must submit an electronic report to the NCAA Division I Committee on Academics not later than August 1, 2015.

Question No. 2: May an institution provide a squad list to document that a financial aid penalty was imposed?

Answer: The institution may submit a squad list. Squad lists submitted to document appropriate application of financial aid penalties must include all required signatures. (*Adopted: 10/09*)

Question No. 3: What will an institution have to report regarding the academic activities in which the team participated in place of CARA time?

Answer: The institution will need to include a narrative completed by a person who works with academic support for student-athletes. The narrative must describe the academic activities the student-athletes on the team participated in to replace the reduced CARA. The narrative should

demonstrate how all student-athletes used the added academic time, even if all student-athletes did not participate in the same activities. The institution should also include logs of student-athletes participating in the academic activities.

Question No. 4: How will an institution report reductions in playing and practice time, seasons of competition and nonchampionship segments of the team's playing and practice season?

Answer: The institution will need to include CARA logs and a record of the team's completed schedule to indicate these penalty elements were taken appropriately.

Question No. 5: What if a team does not impose all or part of the penalty?

Answer: The institution shall report a violation to the NCAA enforcement staff.

[References: Bylaws 17.1.1 (playing season), 17.1.6.3.6 (vacation periods and between terms), 17.1.6.3.8 (multisport participant); 17.1.6.4 (required day-off – playing season), 17.1.6.4.7 (exceptions – basketball), 17.1.7 (general regulations for computing playing seasons applicable to all sports), 23.2.1 (penalties) and 23.2.1.2.2 (financial aid, playing and practice seasons and recruiting limitations)]

The following outlines the impact of Level-Two APP penalties:

***All teams in Level-Two are subject to the following penalties:**

1. Reduction of the penalized teams' CARA time by four hours and one day per week of countable athletically related activity *during* the playing season. This results in 16 hours per week and five days per week of countable athletically related activities allowed. The reduced CARA time must be replaced with academic support activities.
2. Reduction of the penalized teams' CARA time by four hours per week *outside* of the playing season. This results in four hours per week of countable athletically related activities allowed. The CARA time must be replaced with academic support activities. Note that when an institution's indoor and outdoor track teams are subject to the four-hour reduction in out-of-season countable athletically related activity, those hours are combined so that the teams are not left with any out-of-season activity. (Revised: 1/15. Effective: Immediately)

***The following charts indicate the application of all other Level-Two penalties: Sports with Nonchampionship Season Elimination**

Sport	Penalty
Cross Country, Men's and Women's (but does not sponsor indoor or outdoor track and field)	No dates of competition during segment other than segment in which NCAA championship is conducted.
Field Hockey, Women's	No dates of competition during segment other than segment in which NCAA championship is conducted.
Lacrosse, Women's	No dates of competition during segment other than segment in which NCAA championship is conducted.
Soccer, Men's and Women's	No dates of competition during segment other than segment in which NCAA championship is conducted.
Softball, Women's	No contests during nonchampionship segment.
Volleyball, Men's and Women's	No dates of competition during segment other than segment in which NCAA championship is conducted.

Sports with 10 Percent Reduction in Contests and Playing Season

Sport	Game Reduction	Season Reduction
Baseball	56 to 50 contests.	132 day season to 119 day season.
Basketball, Men's and Women's	29 to 26 contests. ¹	Reduction of 10 percent of playing and practice days between first allowable practice and end of playing season. ²
Bowling, Women's	26 to 23 dates of competition.	144 day season to 130 day season.
Cross Country, Men's and Women's	7 to 6 dates of competition.	144 day season to 130 day season.
Equestrian	15 to 13 dates of competition.	144 day season to 130 day season.
Fencing	11 to 10 dates of competition.	144 day season to 130 day season.
Golf, Men's and Women's	24 to 22 dates of competition.	144 day season to 130 day season.
Gymnastics, Men's and Women's	13 to 12 dates of competition.	144 day season to 130 day season.
Ice Hockey, Men's and Women's	34 to 31 contests.	132 day season to 119 day season.
Lacrosse, Men's	17 to 15 dates of competition.	132 day season to 119 day season.
Rifle, Mixed	13 to 12 dates of competition.	144 day season to 130 day season.
Rowing, Women's	20 to 18 dates of competition.	156 day season to 140 day season.
Rugby, Women's	11 to 10 contests.	132 day season to 119 day season.
Sand Volleyball, Women's	16 to 14 dates of competition.	132 day season to 119 day season.
Skiing, Men's and Women's	16 to 14 dates of competition in both alpine and Nordic events.	144 day season to 130 day season.

Sport	Game Reduction	Season Reduction
Squash	15 to 13 dates of competition.	144 day season to 130 day season.
Swimming and Diving, Men's and Women's	20 to 18 dates of competition.	144 day season to 130 day season.
Tennis, Men's and Women's	25 to 22 dates of competition.	144 day season to 130 day season.
Track and Field, Men's and Women's (Indoor or Outdoor Only)	18 to 16 dates of competition.	144 day season to 130 day season.
Track and Field, Men's and Women's (Indoor and Outdoor)	18 to 16 dates of competition.	156 day season to 140 day season.
Water Polo, Men's and Women's	21 to 19 dates of competition.	132 day season to 119 day season.
Wrestling	16 to 14 dates of competition.	132 day season to 119 day season.

Football

Sport	Penalty
Football	Fifteen postseason practice sessions allowed under Bylaw 17.9.6.4 are eliminated, including spring football game.

¹ For teams that plan to participate in a qualifying regular season multiple-team event (e.g., Maui Invitational), the reduction would be from 28 to 25 contests (includes the event as one contest).

² The start date for men's and women's basketball will vary depending on the year, however the penalized team's playing and practice season must start 14 days later than the first permitted day of in-season practice. The 14-calendar days that are removed from the start of the regular season will be considered out-of-season and will be governed by the out-of-season legislation.

APPENDIX 4C**NCAA Division I Committee on Academics NCAA Division I Academic Performance Program Access to Postseason and Penalty Waiver Directive****Background**

The central purpose of the NCAA Division I Academic Performance Program (APP) is to ensure that the NCAA Division I membership is dedicated to providing student-athletes with an exemplary education and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions while enhancing the ability of student-athletes to earn a degree. Additionally, the program provides an academic access point to NCAA benefits including postseason competition.

When a team's academic performance, measured by the multiyear NCAA Division I Academic Progress Rate (APR), falls below 930, that team loses access to postseason competition and is subject to penalties. Filters are applied to teams' data to account for improvement and resources in the penalty calculation. NCAA Bylaws 14.8.1.2.3, 14.8.2 and 18.4.2.3.1 provide for waivers of APP penalties or access to postseason competition. The committee has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals in reviewing APP penalty waiver requests.

Guiding Principles

1. Requests to waive loss of access to postseason competition and APP Level- One, -Two and -Three penalties will be considered independently. The requests are filed simultaneously, but the access to postseason competition and APP penalties have different standards for relief.
2. APP penalty and postseason waiver requests involve a review of the entire athletics team's overall academic performance. The APR is a team rate and not based on the academic performance of a single student-athlete. Therefore, the review of waiver requests shall consider all student-athletes included in the team's multiyear APR. This approach considers the loss of all APR points, not just those of select students. This approach could be referred to as the "top-down approach" (e.g., start at an APR of 1000 and explain the loss of all points). To that end, all data issues must be resolved prior to the review of a waiver request.

3. NCAA Division I APR Improvement Plans are reviewed with the waiver request. Plans should be designed to assist teams in achieving APRs above the penalty benchmarks in a reasonable time by identifying and addressing issues impacting a team's APR with measurable goals, steps to achieve the stated goals, and a timetable for implementation.

4. The identification of academically underperforming teams that are subject to an APP penalty includes consideration of resource level and squad size. Therefore, the staff/subcommittee/committee will generally not consider these elements in its review of APP penalty waiver or loss of access to postseason waiver requests.

Waivers of Loss of Access to Postseason Competition

1. First Occasion Team Loses Access to Postseason Competition. Institutions are permitted to submit a waiver request the first occasion a team loses access to postseason competition. The committee has established a high threshold for relief in these cases and generally relief will not be provided.

- Factors to be Considered. The staff/subcommittee will consider the following factors in reviewing such a request:
 - (1) Extraordinary Mitigating Circumstances. The institution's cited mitigation must be clearly out of the control of the institution, the athletics department and the team's student-athletes. It must pertain to matters not previously addressed in the APP (e.g., small squad size, institutional mission, adjustments to APP data). Finally it must have impacted the team over the multiple years that make up the four-year APR. An example of mitigation that would be considered extraordinary is a natural disaster that impact a team's APR over multiple years. An example of mitigation that would not be considered extraordinary would be head coaching change, significant leadership change at the institution, or institutional reclassification or institutional dismissal of student-athletes.

If an institution cannot demonstrate extraordinary mitigating circumstances impacted a team the first time it loses access to postseason competition, the waiver request will be denied. (*Revised 1/15. Effective: Immediately*)

- (2) **APR Improvement Plan.** An institution's commitment to improving the penalized team's academic performance as outlined in the APR Improvement Plan must be considered in reviewing a waiver requesting relief of the loss of access to postseason competition. Previous plans will be reviewed for a sense of the institution's history of implementing initiatives to address critical issues. Current plans will be reviewed for identification of critical areas impacting academic success as well as other components demonstrating the institution's accountability toward meeting the stated goals of the APP (e.g., graduating student-athletes).
 - (3) **Academic Factors.** A waiver request must include a comprehensive review of the team's historical academic performance to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly event (see the list on Page No. 4). Overall academic performance will be evaluated to determine if the team is demonstrating sustainable academic improvement.
 - (4) **Alternative Penalty Options.** Within the waiver request, an institution may ask that an alternative to the loss of access to postseason competition be imposed on the team. The institution must include an explanation of how this proposal equates to a loss of postseason access.
2. **Second Occasion Team is Subject to Loss of Postseason Competition.** Institutions are permitted to request a waiver of a team's loss of access to postseason competition.
 - **Factors to be Considered.** The second or subsequent time a team loses access to postseason competition, the staff/subcommittee/committee will review the request using the same factors used in considering an APP penalty waiver (see Page Nos. 4 – 7 for more information). If a team has demonstrated meaningful improvement and some of the factors in item 3-b below are present, the level of mitigation required to receive relief may be less stringent than what is required the first time a team lost access to postseason competition.
3. **Notes on Outcomes.** A loss of access to postseason competition waiver request will be approved, conditionally approved or denied.

- a. Waiver requests will be denied the first time a team loses access to postseason competition if the institution cannot demonstrate extraordinary mitigating circumstances as described on Page No. 2. *(Revised 1/15. Effective: Immediately)*
- b. Waiver requests should be denied the second and subsequent times a team loses access to postseason competition if the institution cannot demonstrate:
 - (1) Significant academic improvement that is sustainable;
 - (2) Mitigating circumstances as defined on Page No. 7;
 - (3) An APR Improvement Plan that demonstrates the institution's commitment to improving the team's academic performance by identifying critical issues that have impacted the team's APR and addressing those issues with clear steps and specific, measurable goals. Additionally, the institution is expected to demonstrate a history of implementation of initiatives designed to address critical issues from any previous APR Improvement Plans; and
 - (4) An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time.

APP Penalty Waivers

Institutions are permitted to request a waiver of a team's APP penalties. The staff/subcommittee/committee will consider the following factors in reviewing such a request:

1. Academic Factors. Evaluating a team's academic performance is an important part of the APP penalty waiver process. The staff/subcommittee/committee's review of a team's academic performance may include consideration of the following elements:
 - a. A comprehensive review of the team's historical APP performance, including any penalty history and academic trends to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly. Overall academic performance will be evaluated to determine if the team is demonstrating sustainable academic improvement.

- b. The team's Graduation Success Rate and Federal Graduation Rate, if available.
- c. Eligibility and Retention. The team's eligibility and retention will be compared against the following:
 - d. The team's academic profile including hours earned, grade-point average, eligibility and retention points.
 - e. The academic profile of the team when admitted to the member institution, including admissions status as compared to the general student-body and/or other student-athletes at the institution.
 - f. The number of graduates the team has generated over the four years that make up the multiyear rate.
 - g. The number of student-athletes who were not academically eligible and not retained included in the multiyear APR.
 - h. Other academic data elements that may be relevant to the case.
2. Other Factors. The staff/subcommittee/committee's review of a team's academic performance may also include consideration of the following elements:
 - a. Size of variance between the team's APR and the applicable APP penalty benchmark (930).
 - b. The team's single-year APRs that comprise the multiyear rate. Specifically, the number of single-year APRs above or below the penalty benchmark (930).
 - c. The institution's history of implementation of initiatives to address critical issues identified in its previous APR Improvement Plan(s) as well as the current plan's ability to identify and address critical issues that have impacted the team's APR with clear steps and specific, measurable goals.
 - d. Mitigating circumstances that have affected the team's APR (see below).

- e. An institution may request that an alternative penalty be imposed in lieu of the assigned APP penalty or a penalty option from the menu offered at Level-Three. Should an institution offer an alternative penalty, the staff/committee/subcommittee would consider the various factors as well as the alternate penalty in the decision. The institution must demonstrate how the alternate penalty equates to the penalty it would replace.
 - f. Teams asserting that they have advanced in the penalty structure due to corrections to APP data identified in an APP data review must demonstrate that the current penalty is due to a lost opportunity for the institution to identify academic issues impacting the teams academic performance; to develop an appropriate APR Improvement Plan and to have an opportunity to rectify academic issues. If the institution can demonstrate this lost opportunity to identify and correct academic issues affecting the team's academic performance the staff and/or subcommittee/committee may consider this a mitigating circumstance warranting relief from a penalty, however all such requests will be reviewed on a case-by-case basis to allow for other factors to be reviewed as well.
3. Mitigating Circumstances. Circumstances will be considered as compelling mitigating factors if the institution can demonstrate that it had a direct correlation, supported by objective documentation, to the team's ability to earn eligibility/graduation and/or retention points. The institution may reference mitigation that was considered in a previous waiver request if the impact of the mitigation is evidenced in the current APR. A team whose APR is negatively affected by a unique one-time circumstance, but otherwise is not historically an underperforming team, should be treated differently than a team that has a history and pattern of academic underachievement.

Circumstances not considered compelling mitigation may include, but are not limited to, the following:

- a. Unreasonable reliance by a student-athlete on misinformation from an institutional staff member (e.g., misadvisement);
- b. Institutional lack of understanding regarding the APP;
- c. Failure to develop and implement an APR Improvement Plan;
- d. Conferences and/or institutions with more stringent academic standards than NCAA Division I progress-toward-degree requirements; or

- e. Circumstances submitted in a request to receive an adjustment of an individual student-athlete's APR retention and/or eligibility or graduation point if the institution received relief for those circumstances by way of an APR adjustment.

Institutions are limited to submitting information concerning mitigating circumstances only for the academic years used to calculate that team's current multiyear APR. However, the staff, subcommittee and committee reserve the right to consider any relevant information that would explain the team's historical performance.

4. Level-Three Penalty Options. An institution with a team subject to Level-Three penalties must propose penalties from a list of menu options. These penalties are in addition to the prescribed penalties. The institution may also elect to request an alternative penalty be imposed. The staff/committee will consider the institution's proposed penalty elements in the waiver decision. The staff/committee can also prescribe additional penalties for the team.
5. Notes on Outcomes. An APP penalty waiver request will be partially or fully approved or conditionally approved, or denied. Requests will likely be denied if the institution cannot demonstrate:
 - a. Significant academic improvement that is sustainable; OR
 - b. The team is performing well academically but for one or more years of APP data impacted by compelling, documented mitigating circumstances;
 - c. The institution's history of implementation of initiatives to address critical issues identified in its previous APR Improvement Plan(s) as well as the current plan's ability to identify and address critical issues that have impacted the team's APR with clear steps and specific, measurable goals.
 - d. An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time; and
 - e. Appropriate self-proposed penalties at Level-Three.

Use of Conditional Approvals

Waivers of APP penalties and ineligibility for postseason competition may receive conditional approval. A waiver that is conditionally approved does not waive the team's penalty unless the team satisfies the stated condition(s). These conditions may include, but are not limited to:

1. Demonstrated implementation of the institution's written APR Improvement Plan, especially issues identified as critical to the team's academic improvement or any element specifically required by the staff/subcommittee/committee;
2. Attendance at mandatory educational sessions;
3. Meeting or maintaining single-year eligibility and retention goals and/or, meeting or maintaining a specified single-year APR without the inclusion of delayed-graduation points;
4. Requiring the institution to demonstrate it has satisfied its commitment of resources to enhance academic support initiatives that are part of the institution's APR Improvement Plan or cited in its APP penalty waiver/hearing rationale;
5. Requiring the institution to impose limits, restrictions or penalties that are part of its APR Improvement Plan or cited in its waiver/hearing rationale (e.g., withhold a head coach from contests); and
6. Requiring an institution comply with identified minimal academic profiles for entering student-athletes that are part of its APR Improvement Plan or its waiver/hearing rationale. (*Revised: 10/08; 10/10*)

An institution/team that fails to meet the stated condition(s) by the given timeframe shall have the waiver decision converted to a denial and the APP penalty must be applied to the team within the prescribed period of time.

Review of Conditionally Approved Penalty Waivers

At some point established by the committee, the staff verifies that all established conditions were satisfied (e.g., single-year APR, acceptable implementation of APR Improvement Plan). If the staff concludes that the team has not satisfied the established condition(s), the subcommittee or staff may consider mitigating circumstances presented by the institution. Such reviews shall occur on a case-by-case basis, and shall include consideration of any mitigation for the team's failure to reach the target APR, as well as the totality of the team's circumstances

with regard to the imposed conditions. In such cases, the staff will review factors including improvement in the single-year and multiyear APRs, how close the team came to meeting the target and mitigating circumstances. This action does not change an institution's opportunity to explain why it failed to meet the condition(s) or to appeal a decision by the staff. Appeals of the staff determinations will be heard by the body that reviewed or would have reviewed the original waiver. That body's decision is final.

Finally, if it is determined that a conditional waiver is not satisfied and the waiver is denied, the institution must impose the resulting penalties in the time period prescribed by the committee, but generally the academic year following denial of the appeal or, if there was no appeal, following determination that the conditions were not met (e.g., determined condition was not met in 2011-12 results in the imposition of the penalties in 2012-13).

If the team is subject to a penalty in the next academic year, the team is potentially subject to the penalty level that was conditionally waived and the next penalty level if it fails to meet the conditions of the waived penalty.

APR Improvement Plans

APR Improvement Plans are meant to encourage institutions that have a team with an APR below 930 to develop and implement strategies to improve the academic performance, eligibility, retention and graduation rates of the student-athletes on the team. Institutions seeking relief from an APP penalty are expected to demonstrate that the team's academic performance will improve and the team will achieve an APR of 930 in a reasonable period of time. Therefore, APR Improvement Plans submitted with a waiver request will be reviewed as follows:

1. Institutions/teams will be accountable for identifying issues impacting the penalized team's ability to move its APR above the established benchmark. The following shall be addressed:
 - a. Using data analysis, identify any issues impacting the academic performance, eligibility, retention and graduation of the team's student-athletes and develop meaningful initiatives to address the issues.
 - b. Develop specific and measurable goals to address the issues, steps to meet the goals, timetables for implementation and identify persons responsible for each step outlined in the plan.

- c. Identify specific target APR goals for the team(s) for the current and future academic years that will assist the team in meeting the 930 benchmark in a reasonable period of time.
 - d. Demonstrate implementation of initiatives the institution has developed in any previous APR improvement plan(s) that address the critical issues impacting the team's academic success.
2. If an institution fails to create and submit an appropriate APR Improvement Plan, as defined by the committee, there is a presumption that any penalty waiver request will be denied.

APPENDIX 4D

Frequently Asked Questions on NCAA Division I Academic Progress Rate Improvement Plans

Question No. 1: When do I have to file an NCAA Division I Academic Progress Rate (APR) Improvement Plan with the NCAA national office?

Answer: An institution is required to file an APR Improvement Plan if a team's multiyear NCAA Division I Academic Progress Rate (APR) is below 930, if the institution is requesting a penalty waiver, or if the institution is requesting NCAA Division I Academic Performance Program Supplemental Support Fund (SSF).

Question No. 2: Do I need to submit an APR Improvement Plan if the team is eligible to use the squad size adjustment?

Answer: It depends. If the team's APR is below 930 WITH the squad size adjustment, that team IS REQUIRED to submit an APR Improvement Plan to the NCAA staff. If the team's score is above 930 WITH the squad size adjustment, the team IS NOT required to submit an APR Improvement Plan.

Question No. 3: If my institution is requesting funds from the SSF, do I need to submit my APR Improvement Plan to the NCAA national office?

Answer: Yes, if your institution is requesting funds from the SSF, your institution is required to submit an APR Improvement Plan.

Question No. 4: Is a data analysis required for APR Improvement Plan submission?

Answer: Yes, institutions must provide a meaningful analysis of the team(s)'s most current APR data. The expectation is that an institution will complete a thorough data analysis before the creation of the APR Improvement Plan. Plans must include an assessment and evaluation of the academic admissions profiles and academic outcomes for all student-athletes on teams with a multiyear APR below 930. The plan must include any initiatives (e.g., changes to the entering profile) based on this evaluation.

APPENDIX 4E**NCAA Division I Academic Progress Rate Improvement Plan 2014-15 Requirements****Purpose of the NCAA Division I Academic Progress Rate Improvement Plan**

The purpose of the NCAA Division I Academic Progress Rate (APR) Improvement Plan is to allow an institution to demonstrate its commitment to the NCAA Division I Academic Performance Program (APP). The plan serves as a framework for an institution to improve teams' APRs by monitoring each team's academic, retention and graduation performance; identifying critical issues impacting any team with a multiyear APR below 930; and developing initiatives to address an underperforming team's critical issues.

Institutions that have at least one team with an APR below 930 are required to develop and submit an APR Improvement Plan. The first section of this document outlines the standards by which APR Improvement Plans will be reviewed to determine if an institution has implemented its improvement plan submitted for the previous academic year. Implementation of APR Improvement Plans is used in the analysis of APP waiver requests, the distribution of the NCAA Division I Academic Performance Program Supplemental Support Fund (SSF) dollars, and access to a longer transition to the 930 benchmark for limited-resource institutions. The second section of this document outlines the minimum requirements for new or revised APR Improvement Plans.

Key Terminology.

- Data analysis** is the review of APP and other data (e.g., incoming student-athlete profiles, progress of "at-risk" student-athletes, progress of student-athletes admitted under the institution's regular admission standards) with the focus on determining what points are being lost and who is losing them. The institution is encouraged to look for common themes in the point loss over the four years that make up the multiyear APR cohort in order to identify critical issues impacting the team's academic success.
- Critical issues** are those issues, identified by the institution through data analysis, that impact the underperforming team's academic, retention or graduation performance. For example, if the institution has concluded that a large number of APR points are lost by 2-4 transfers, the institution should review its data to determine what kinds of points this group is losing (eligibility or retention), and what common factors are in play with student-athletes in this group that lose points. Narrowed down, these identified points become the team's critical issues.

3. **Initiatives** are the specific plans of action the institution intends to take to address the critical issues identified as impacting the underperforming team. For example, an initiative an institution might develop is evaluating incoming two-year transfers for academic risk. Generally, if initiatives to address critical issues are implemented, they are expected to have a strong likelihood of assisting the team's APR improvement.
4. **Steps** are the specific actions or processes designed to bring the initiative to life. They usually include the individuals responsible for components of the process, and possible timelines as well. In the example above, the steps in the initiative might include coordinating with the admissions office to design an "at-risk" evaluation.
5. **Goals** are targets within the initiatives, but they should tie back to the critical issue. They should be specific and measureable in order for the institution to be able to demonstrate if its initiatives were effective. In the example above, the goal may be to reduce the number of eligibility points lost by two-year transfer student-athletes by 50 percent.

Submission Requirements.

Each institution with a team(s) with a multiyear APR below 930 must develop and submit an APR Improvement Plan to the national office, even if the team is not subject to APP penalties or the loss of postseason competition. [Note: All institutions with multiyear rates including at least two years of APR data are subject to the plan development and submission requirements.] Teams that have a squad-size adjusted APR above 930 are not subject to this requirement.

Institutions selected for an APP data review may be required to submit plans to the national office if they have a team with a multiyear APR below 930.

Institutions that received a conditionally approved waiver of an APP penalty that must demonstrate acceptable implementation of its APR Improvement Plan as a condition of its waiver, must submit information regarding implementation of its plan to the national office by the prescribed deadline.

Institutions Requesting and/or Receiving SSF

Each institution requesting or receiving SSF dollars must develop and submit an APR Improvement Plan for the institution regardless of whether it has any team(s) with a multiyear APR below 930. The plan must outline which initiatives are or will be funded in whole or in part with SSF monies. Additionally, institutions that received SSF monies must submit information regarding implementation of its plan to the national office by the prescribed deadline. (*Adopted: 04/10*)

Limited-Resource Institutions Requesting Access to a Longer Transition to the 930 APP Benchmark

Limited-resource institutions can be considered for longer transitioning to the new APP penalty structure and academic access to postseason competition, provided the institution has submitted an APR Improvement Plan that meets an established criteria. Limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the NCAA Division I Committee on Academics uses for other purposes), excluding all Football Bowl Subdivision institutions.

Failure to Develop a Required APR Improvement Plan

An institution that is required to create and/or submit an APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. Ineligibility to receive SSF grant monies for one year;
2. A presumption that any related penalty waiver(s) will be denied; and
3. Notification to the institution's chancellor or president and conference office that the institution failed to create or submit an acceptable APR Improvement Plan.

Implementation Requirements.

An APR Improvement Plan is considered to be implemented when:

1. The institution demonstrated that the essential steps outlined for initiatives designed to address critical issues have been completed;
2. The institution achieved or demonstrated progress toward the measurable goals in the initiatives established to address critical issues;
3. The individuals responsible for the goals/steps of initiatives designed to address critical issues contributed to their completion and/or attempted completion; and
 - a. If the institution did not implement the steps outlined in the plan, the institution provided:

- b. Evidence that the team's critical issue was effectively addressed by an alternative initiative or method not reflected in the original plan, or
- c. Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s) academic, retention or graduation performance.

An APR Improvement Plan is considered not implemented when:

1. The institution demonstrated that the essential steps outlined for initiatives designed to address critical issues have not been completed;
2. The institution did not achieve or demonstrate progress toward the measurable goals in the initiatives established to address critical issues;
3. The individuals responsible for the goals/steps of initiatives designed to address critical issues did not contribute to their completion and/or attempted completion; and
4. If the institution did not implement the steps outlined in the plan, the institution did not provide:
 - a. Evidence that the team's critical issue was effectively addressed by an alternative initiative or method not reflected in the original plan, or
 - b. Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s) academic, retention or graduation performance.

New or Revised APR Improvement Plan Requirements.

APR Improvement Plans must have the following elements to meet submission requirements and receive a staff evaluation:

1. Broad-Based Participation.
 - The APR Improvement Plan shall be developed with significant input from appropriate institutional constituent groups inside and outside of athletics.

2. Institutional Approval.

- The completed APR Improvement Plan must be reviewed and approved by at least three of the individuals listed below, one of whom must be the chancellor/president, to ensure that it represents the commitment and support of the entire institution to improve the team's APR. The institution must report the specific dates (e.g., month, day, year) when the plan was approved by each individual.
 - (1) Chancellor/president (required) signature page provided in the "Upload/View Documents" section of the APR Improvement Plan website;
 - At the NCAA staff's discretion, the institution's chancellor/president may be required to sign an additional statement verifying his or her approval if the plan has been edited after the initial submission.
 - (2) Provost;
 - (3) Director of athletics;
 - (4) Faculty athletics representative;
 - (5) Head coach;
 - (6) Compliance director; and/or
 - (7) Director of academic support.

3. Analysis of Data.

- a. Institutions must provide a meaningful analysis of the team(s)'s most current APR data. To document the analysis, the institution must upload any documents, charts, spreadsheets, etc. that were used by the APR Improvement Plan team during its analysis of data. The NCAA also provides a data analysis tool on the Committee on Academics portion of the NCAA website.
- b. The data analysis submitted by the institution must include the following information:

- (1) The entering profile of student-athletes in the four-year cohort of the affected team(s) (e.g., high school core-course grade-point average, two-year transferable credits, ACT/SAT score, risk-factor score from Facilitating Learning and Achieving Graduation/Graduation Risk Overview, etc.);
 - (2) An accounting of all points lost over the four years making up the multiyear APR. This should include a summary of lost eligibility and retention points, indication why points were lost as well as any themes in the point loss;
 - (3) Reasons for loss of eligibility point. Specifically, the progress-toward-degree requirement not satisfied by the student-athlete;
 - (4) Circumstances surrounding loss of retention point (e.g., professional departure, lack of playing time, suspension/dismissal, etc.); and
 - (5) Analysis of patterns and trends in the historical academic data (e.g., low average credit hours earned and term grade-point average in the fall, significant amount of "o/zs" by two-year transfers in final term of eligibility).
4. Additional Required Elements of the APR Improvement plan.
- a. Plan Activity/Assessment.
 - The APR Improvement Plan is a dynamic document. The institution should conduct regular assessments to determine if the critical issues, measurable goals and steps are still appropriate.
 - b. Timely Development of Plan.
 - The APR Improvement Plan must be developed in time for it to be effective for the current academic year.
 - c. Identification of Issues.
 - Institutions must identify critical issues currently impacting the team(s) APR based on the analysis of the team(s)'s APR data.

- d. Program Areas.
- The institution must identify one or more of the program areas identified by the committee for each of the critical issues addressed by the institution.
- e. Specific and Measurable Goals.
- (1) The institution must identify at least one goal per issue. However, the issue may lead to multiple goals.
 - (2) Goals must be established in terms that are specific and measurable in order for the institution to determine if the goal has been achieved.
- f. Steps to Achieve Goals.
- The APR Improvement Plan must include specific, detailed steps the institution will take to achieve the goals in each initiative.
- g. Responsible Individuals.
- The institution must identify at least one institutional staff member responsible for carrying out the step(s) to achieve the goals.
- h. Timeline to Complete Initiatives and Meet Goals.
- (1) The institution must include specific timetable(s) to complete the steps to achieve the goals and timeline(s) to meet the goals.
 - (2) The timeline(s) should refer to a point within the academic year, but need not be the next academic year if it is expected that the goal cannot be met immediately.

APPENDIX 4F

Limited-Resource Institutions NCAA Division I Academic Progress Rate Improvement Review

In April 2012, the NCAA Division I Board of Directors accepted the recommendation of the NCAA Division I Committee on Academic Performance to amend the transition to the new 930 NCAA Division I Academic Progress Rate (APR) benchmark for NCAA Division I Academic Performance Program (APP) penalties and access to postseason competition for limited-resource institutions.

For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all Football Bowl Subdivision (FBS) institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

These recommendations impact both access to postseason competition and Level-One, -Two and-Three penalties. They include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:

Multiyear APR Data Years	APP Penalty and Postseason Access Benchmark
2007-08, 2008-09, 2009-10, 2010-11 (data submitted in fall 2011).	Four-year APR of 900 OR two most recent year APR of 930.
2008-09, 2009-10, 2010-11, 2011-12 (data submitted in fall 2012).	Four-year APR of 900 OR two most recent year APR of 930.
2009-10, 2010-11, 2011-12, 2012-13 (data submitted in fall 2013).	Four-year APR of 910 OR two most recent year APR of 940.
2010-11, 2011-12, 2012-13, 2013-14 (data submitted in fall 2014).	Four-year APR of 920 OR two most recent year APR of 940.
2011-12, 2012-13, 2013-14, 2014-15 (data submitted in fall 2015).	Four-year APR of 930.

2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark from penalties and loss of access to postseason competition if the team meets the following criteria:

- Demonstrates meaningful APR improvement as defined by the Committee. The team satisfies one of the five APR improvement tests from the previous APP penalty structure (see below). The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:
 - (1) 900 in the 2010-11 and 2011-12 data years.
 - (2) 930 in the 2012-13 and 2013-14 data years.

The committee will use the improvement filter that was part of the previous APP penalty structure only during the four-year transition period outlined in the chart above.

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of the significant and critical elements from an institution's APR Improvement Plan, if a plan was previously required.
2. Identification of critical issues supported by data.
3. Development of meaningful initiatives that address critical issues.
4. Broad-based participation in the development, assessment and oversight of the plan.
5. Approval by president or chancellor.
6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period.

Team Improvement Tests

Team APR data will be examined to identify squads making meaningful improvement toward an APR of 930. The committee defined meaningful improvement as a change in APR that is greater than would be expected due to typical year-to-year fluctuations. A statistical analysis will be used to identify meaningful APR improvement. This analysis takes into account the differences in squad size that could be perceived as impacting

observed APR variations (for example, a 20-point jump in a football team's APR is more meaningful than the same increase for a smaller squad). If a team fails to demonstrate meaningful improvement, it fails the improvement review and may seek relief from the penalty through the waiver process.

Based on this standard, the following chart was developed to provide the minimum improvement needed based on an average cohort size.

Average Cohort Size	Increase in APR Needed to Demonstrate Improvement
2	250
3	150
4	110
5	90
6	80
7	70
8-9	60
10-11	50
12-18	40
19-30	30
31+	20

For teams with a four-year multiyear APR, results of the following five tests are compared to the above chart to ensure that varied patterns of improvement are correctly credited. Having a single-year APR at or above 930 in the most recent year and meeting the standard indicated on the chart for any one of the five following tests indicates the team has made significant APR improvement:

1. Comparing the most recent single-year APR to the previous single-year APR (e.g., 2013-14 single-year APR compared to 2012-13 single-year APR);
2. Comparing the most recent single-year APR to the multiyear APR for the previous two years (e.g., 2013-14 single-year APR compared to 2012-13 and 2011-12 multiyear APR);
3. Comparing the most recent single-year APR to the multiyear APR for the previous three years (e.g., 2013-14 single-year APR compared to 2012-13, 2011-12, and 2010-11 multiyear APR);
4. Comparing the multiyear APR from years four and three to the multiyear APR from years two and one (e.g., 2013-14 and 2012-13 multiyear APR compared to 2011-12 and 2010-11 multiyear APR).

5. Comparing the initial single-year APR to the multiyear APR for the three most recent years (e.g., 2010-11 single-year APR compared to , 2011-12, 2012-13 and 2013-14 multiyear APR). *(Adopted: 01/09; Effective with the collection of 2008-09 APR data; not retroactive to any prior year penalties.)*

For teams with a three-year APR (e.g., new programs or reclassifying institutions), improvement will be evaluated using tests one and two only.

To determine if a team has demonstrated meaningful improvement, the steps listed below will be reviewed electronically.

EXAMPLE ONE

Step One: Determine if team's most recent single-year APR is at or above 930 in 2012-13 and 2013-14.



Step Two: Determine variables for each test.

Determine the different variables to be used in each of the four tests. Please note that the APR adjusted for squad size should **NOT** be used for any variable in any of the five tests.

All multiyear APRs are calculated by adding all APR points and delayed-graduation points earned for the noted academic years and dividing that number by the total possible points that could have been earned. The raw APR is multiplied by 1000 to achieve the final APR.

For a team at an institution on a quarter calendar, the APR should be calculated based on the computation approved by the committee as outlined in the Data Collection portion of this manual.

- Test One:** Variable One – 2013-14 single-year APR.
Variable Two – 2012-13 single-year APR.
- Test Two:** Variable One – 2013-14 single-year APR.
Variable Two – 2012-13 and 2011-12 multiyear APR.
- Test Three:** Variable One – 2013-14 single year APR.
Variable Two – 2012-13, 2011-12, and 2010-11 multiyear APR.
- Test Four:** Variable One – 2013-14 and 2012-13 multiyear APR.
Variable Two – 2011-12 and 2010-11 multiyear APR.
- Test Five:** Variable One – 2013-14, 2012-13, and 2011-12 multiyear APR.
Variable Two – 2010-11 single-year APR.



Step Three: Calculate results for each test.

Insert variables in the respective formula and determine the result:

- Test One:** Variable One (2013-14 single-year APR) minus Variable Two (2012-13 single-year APR).
- Test Two:** Variable One (2013-14 single-year APR) minus Variable Two (2012-13 and 2011-12 multiyear APR).
- Test Three:** Variable One (2013-14 single-year APR) minus Variable Two (2012-13, 2011-12, and 2010-11 multiyear APR).
- Test Four:** Variable One (2013-14 and 2012-13 multiyear APR) minus Variable Two (2011-12 and 2010-11 multiyear APR).
- Test Five:** Variable One (2013-14, 2012-13, and 2011-12, multiyear APR) minus Variable Two (2010-11 single-year APR).



Step Four: Determine the average cohort size.

Add the number of student-athletes in the cohort for each cohort year being used in the particular test and divide by the number of cohort years being compared. Average cohort sizes should be rounded appropriately to the nearest whole number.



Step Five: Review results.

Review the above chart to determine if the results from Step Two are equal to or greater than the improvement corresponding to the average cohort size from Step Three. If it is equal to or greater for any one of the five tests, the team has demonstrated meaningful improvement.

EXAMPLE:

A basketball team had the following APR data for the past four cohort years:

- 2010-11: 12 Student-athletes in the cohort.
40 APR points earned out of 48 possible APR points.
0 Delayed-graduation points. Single-year APR of 833.
- 2011-12: 13 Student-athletes in the cohort.
38 APR points earned out of 52 possible APR points.
0 Delayed-graduation points. Single-year APR of 731.
- 2012-13: 14 Student-athletes in the cohort.
52 APR points earned out of 56 possible APR points.
0 Delayed-graduation points. Single-year APR of 929.
- 2013-14: 13 Student-athletes in the cohort.
45 APR points earned out of 50 possible APR points.
1 Delayed-graduation point. Single-year APR of 920.

Step One: Determine if team's most recent single-year APR is at or above 930.



Step Two: Determine variables for each test.

Test One: Variable One – 2013-14 single-year APR = 920.
Variable Two – 2012-13 single-year APR = 929.

Test Two: Variable One – 2013-14 single-year APR = 920.
Variable Two – 2012-13 and 2011-12 multiyear APR = 833.

$$\frac{52 + 38}{56 + 52} * 1000 = 833$$

Test Three: Variable One – 2013-14 single-year APR = 920.
Variable Two – 2012-13, 2011-12, and 2010-11 multiyear APR = 833.

$$\frac{52 + 38 + 40}{56 + 52 + 58} * 1000 = 833$$

Test Four: Variable One – 2013-14 and 2012-13 multiyear APR = 925.

$$\frac{46 + 52}{50 + 56} * 1000 = 925$$

Test Five: Variable One – 2013-14, 2012-13, and 2011-12 multiyear APR = 861.

$$\frac{46 + 52 + 38}{50 + 56 + 52} * 1000 = 861$$

Variable Two – 2010-11 single-year APR = 833.



Step Three: Calculate result for each test.

Test One: Variable One (2013-14 single-year APR) minus Variable Two (2012-13 single-year APR).

$$920 - 929 = -9$$

Test Two: Variable One (2013-14 single-year APR) minus Variable Two (2012-13 and 2011-12 multiyear APR).

$$920 - 833 = 87$$

Test Three: Variable One (2013-14 single-year APR) minus Variable Two (2012-13, 2011-12, and 2010-11 multiyear APR).

$$920 - 833 = 87$$

Test Four: Variable One (2013-14 and 2012-13 multiyear APR) minus Variable Two (2011-12 and 2010-11 multiyear APR).

$$925 - 780 = 145$$

Test Five: Variable One (2013-14, 2012-13, and 2011-12 multiyear APR) minus Variable Two (2010-11).

$$861 - 833 = 28$$



Step Four: Determine the average cohort size.

Test One: $\frac{2013-14 + 2012-13 \text{ cohorts}}{2 \text{ (number of years)}}$ = Average cohort

$$13 + 14 = 27/2 = 13.5 \text{ (round to nearest whole number) Average cohort} = 14$$

Test Two: $\frac{2013-14 + 2012-13 + 2011-12 \text{ cohorts}}{3 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 = 40/3 = 13.33 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Three: $\frac{2013-14 + 2012-13 + 2011-12 + 2010-11 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Four: $\frac{2013-14 + 2012-13 + 2011-12 + 2010-11 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Five: $\frac{2013-14 + 2012-13 + 2011-12 + 2010-11 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$



Step Five: Review results.

- Test One:** Step Three result = -9.
Average cohort size = 14.
APR improvement needed = 40 points.
Improvement **IS NOT** met.
- Test Two:** Step Three result = 87.
Average cohort size = 13.
APR improvement needed = 40 points.
Improvement **IS** met.
- Test Three:** Step Three result = 87.
Average cohort size = 13.
APR improvement needed = 40 points.
Improvement **IS** met.
- Test Four:** Step Three result = 145.
Average cohort size = 13.
APR improvement needed = 40 points.
Improvement **IS** met.
- Test Five:** Step Three result = 28.
Average cohort size = 13.
APR improvement needed = 40 points.
Improvement **IS NOT** met.