

# SELF-STUDY INSTRUMENT



2015-16  
NCAA® Division I  
Institutional Performance Program  
Self-Study Instrument for Reclassifying Institutions

2015-16

RECLASSIFYING INSTITUTIONS

## The NCAA Institutional Performance Program (IPP) Self-Study Instrument

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### *Introduction*

The self-study instrument is designed to assist participating NCAA Division I reclassifying institutions in the NCAA Division I Institutional Performance Program. The self-study instrument was developed by the NCAA Division I Committee on Institutional Performance.

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

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

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

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

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

Users of the self-study instrument are encouraged to submit questions or suggestions regarding the use of the publication to their NCAA Institutional Performance Program staff liaison.

*NCAA Academic and Membership Affairs  
Division I Institutional Performance Program Team*

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

Information regarding the Institutional Performance Program can be obtained via the Internet at [www.NCAA.org](http://www.NCAA.org) [[NCAA Division I Institutional Performance Program](#)]

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## Introduction to Self-Study Report

### *Institutional Information*

(Name of Institution)

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

### *Athletics Information*

1. Subdivision status of athletics program:  FBS  FCS  Division I (without football)
2. Conference affiliation(s) or independent status:
3. Athletics program structure (check all that apply):
  - One combined department of athletics.
  - Separate men's and women's departments.
  - Incorporated unit separate from institution.
  - Department within a physical education division.
4. Date of NCAA major infractions case(s) (if any) in the last 10 years and impact (if any) on the areas of the Institutional Performance Program.
5. Other significant events (with dates) in the history of intercollegiate athletics program in the last 10 years.
6. Changes in key senior-level positions, institutional or athletics program in the last 10 years.

7. Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program) in the last 10 years.

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*Institutional Performance Program Self-Study Information*

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

## Governance and Commitment to Rules Compliance

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### *Operating Principle 1.1 Institutional Control, Presidential Authority and Shared Responsibilities*

The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:

- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
- b. The chancellor or president is assigned ultimate responsibility and authority for the operation, fiscal integrity and personnel of the athletics program.
- c. Appropriate campus constituencies have the opportunity, under the purview of the chancellor or president, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

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### *Self-Study Items for Operating Principle 1.1*

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

<i>Measurable Standard No. 1</i>
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<i>The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.</i>
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2. In the last 10 years, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:
  - a. Chancellor or president;
  - b. Athletics board or committee;
  - c. Faculty senate (or other faculty governing body);
  - d. Student-athlete advisory committee;
  - e. Director of athletics;
  - f. Faculty athletics representative;
  - g. Senior woman administrator; and/or
  - h. Other individual(s) or campus constituencies.
3. Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board. Describe how the written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

<i>Measurable Standard No. 2</i>
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<i>The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.</i>
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*Measurable Standard No. 3*

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

4. In the last 10 years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been involved and describe the extent of the governing board's involvement with those decisions.

*Measurable Standard No. 4*

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

5. Describe how the institution's governing board decisions regarding the athletics program are consistent with those of other on-campus units.
- a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
  - b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of the department of athletics policies (e.g., review admissions data, review academic performance data, receive periodic reports from the department of athletics); and
  - c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.
    - (1) Athletics board or committee;
    - (2) Faculty senate (or other faculty governing body);
    - (3) Faculty athletics representative;
    - (4) Student-athlete advisory committee; and/or
    - (5) Other individual(s) or campus group(s)

*Measurable Standard No. 5*

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

7. Describe how the activities of the institution's athletics booster groups, support groups and other representatives of the institution's athletics interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster club, support group or foundation boards.
8. Provide the composition of the athletics board or committee (including titles and positions).
9. Describe how the institution's chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:

- a. Budget, including all sources of funding;
- b. Accounting;
- c. Purchasing; and
- d. Debt management.

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

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

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

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

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

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

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



## Governance and Commitment to Rules Compliance

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### *Operating Principle 1.2 Rules Compliance.*

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

- a. It has in place a set of written policies and procedures that are clearly communicated to athletics staff members and those individuals outside athletics who have rules compliance responsibilities. These written policies and procedures must assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program.
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside the department of athletics. The responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes must be vested in the same agencies that have authority in these matters for students in general.
- c. Rules compliance is the subject of a continuous, comprehensive educational effort to a wide range of constituencies.
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
- e. At least once every four years, the rules compliance program is the subject of evaluation by an authority outside the department of athletics. This rules compliance evaluation shall include the following areas:
  - (1) Governance and organization.
  - (2) Initial-eligibility certification.
  - (3) Continuing-eligibility certification.
  - (4) Transfer-eligibility certification.
  - (5) NCAA Division I Academic Performance Program (APP).
  - (6) Financial aid administration, including individual and team limits.
  - (7) Recruiting (e.g., contacts and evaluations, official and unofficial visits).
  - (8) Camps and clinics.
  - (9) Investigations and self-reporting of rules violation(s).
  - (10) Rules education.
  - (11) Extra benefits.
  - (12) Playing and practice seasons.
  - (13) Student-athlete employment.
  - (14) Amateurism.
  - (15) Commitment of personnel to rules compliance activities.

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*Self-Study Items for Operating Principle 1.2*

1. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals within the department of athletics. Specifically, the institution must provide written evidence that all individuals inside the department of athletics (e.g., coaches, staff) have statements regarding the importance of rules compliance in all of the following documents:
  - a. Contracts or letters of appointment;
  - b. Job descriptions; and
  - c. Performance evaluations.

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

*Measurable Standard No. 1*

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

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

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

*Measurable Standard No. 2*

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

3. Provide the name(s) and title(s) of the institutional staff member outside the department of athletics who has ultimate responsibility in determining student-athletes' admission to the institution, certification of academic standing and conferment of academic degrees.

*Measurable Standard No. 3*

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

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

*Measurable Standard No. 4*

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

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

*Measurable Standard No. 5*

*The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.*

*Measurable Standard No. 6*

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

6. Indicate by answering "yes" or "no" whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules

compliance. Please note, all policies and procedures must be available during the evaluation visit. If the institution indicates a specific written policy and step-by-step procedure is not applicable, the institution must provide an explanation.

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

*Measurable Standard No. 7*

*The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:*

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

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

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

*Measurable Standard No. 8*

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

8. Describe the institution's rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:
- Boosters;
  - Student-athletes;
  - Department of athletics staff;
  - Coaches;
  - Faculty; and
  - Institutional staff outside the department of athletics.

*Measurable Standard No. 9*

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

9. In regard to the institution's most recent rules compliance evaluation:
- Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules compliance evaluation;
  - Describe the process used in selecting this authority outside the department of athletics to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution's department of athletics and is knowledgeable of NCAA legislation and rules compliance practices; and
  - Provide the date of the institution's most recent rules compliance evaluation.

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

*Measurable Standard No. 10*

*The institution must demonstrate that its rules-compliance program is subject to comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

10. The rules compliance evaluation must determine that the institution's compliance practices are engaged and functioning and must include the required areas listed below. Indicate by answering "yes" or "no" which areas were included in the institution's most recent rules compliance evaluation. If the institution indicates a specific area is not applicable, the institution must provide an explanation.
- Governance and organization.
  - Initial-eligibility certification.
  - Continuing-eligibility certification.

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

*Measurable Standard No. 11*

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

*Measurable Standard No. 12*

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

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

11. Describe the process used by the institution during the development of the self-study to review the most recent rules compliance evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.

*Measurable Standard No. 11*

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

12. Identify any relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 11 or actions previously planned or implemented from the most recent rules compliance evaluation. Provide:
- a. The plan(s) or action(s) implemented; and
  - b. The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s).

*Measurable Standard No. 14*

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

13. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

## Academic Integrity

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### *Operating Principle 2.1* *Academic Standards*

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

- a. The institution admits all student-athletes as regularly enrolled, degree-seeking students in accordance with the regular, published entrance requirements that apply to all students;
- b. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees;
  - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is lower than that of other student-athlete or comparable student-body groups or subgroups, the contrast shall be analyzed and explained by appropriate institutional authorities.
  - (2) If the measures of academic performance of student-athletes, as a whole or for any student-athlete subgroup, are lower than that of other student-athlete or comparable student-body groups or subgroups, this disparity shall be analyzed, explained and, if necessary, addressed (through specific plans for improvement) by appropriate institutional authorities.
- c. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or conference or Association standards, whichever are higher;
- d. Written policies related to scheduling are established in all sports to minimize student-athlete conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of NCAA Constitution 3.2.4.14; and
- e. Assessment, evaluation and plans for improvement exist to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution's special-admission process or, for those institutions without a special-admission process, student-athletes in the lower quartile of the institution's student academic profile.



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*Self-Study Items for Operating Principle 2.1*

1. Describe the process by which student-athletes are admitted to the institution and identify the agencies vested with this responsibility. In what ways (if any) do the process and/or criteria used for the admission of student-athletes differ from the process for admitting students in general? Be specific and give careful attention to key decision points (e.g., second-level or subsequent review process, appeals procedure) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the department of athletics plays (if any) in the admissions process for student-athletes.

*Measurable Standard No. 1*

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

*Measurable Standard No. 2*

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

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

*Measurable Standard No. 2*

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

*Measurable Standard No. 3*

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

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

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

4. Compare and explain any differences in the admissions profiles of student-athletes who received athletics aid with the profiles of students in general by submitting the following information for the four most recent academic years: average standardized test scores for first-year student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups) and for all entering first-year students (by gender and by racial or ethnic group).

Note: Use the supplied charts (Test Scores by Gender on Page No. 29, Test Scores by Racial and Ethnic Group on Page No. 30, and Test Scores and GPA by Sport on Page No. 31) to compile this data.]

*Measurable Standard No. 4*

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

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

*Measurable Standard No. 5*

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

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

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

*Measurable Standard No. 6*

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

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

*Measurable Standard No. 7*

*The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.*

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

*Measurable Standard No. 7*

*The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.*

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

*Measurable Standard No. 7*

*The institution must have written step-by-step policies and procedures for the certification of initial, transfer and continuing eligibility.*

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

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

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

Information obtained to complete this chart:

- NCAA Federal Graduation Rates Report.

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

[Note: Use the supplied chart (Federal Graduation Rates Comparison on Page No. 32) to analyze data.]

*Measurable Standard No. 8*

*The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of student-athletes as a whole and the most recent four-class average Federal Graduation Rate of students generally. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of student-athletes and the most recent four-class average Federal Graduation Rate of students generally, the institution must develop a plan for improvement to address the issue.*

11. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate for all students, including comparable student-body subgroups (i.e., gender, ethnicity).

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

Information obtained to complete this chart:

- NCAA Federal Graduation Rates Report.

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

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

*Measurable Standard No. 9*

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

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

*Measurable Standard No. 10*

*The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

13. Describe the institution's written missed-class time policies for all students, including any exceptions or differences that exist for student-athletes.
14. Provide supporting data to analyze, explain and address missed class time for the last two years for each sports team.

*Measurable Standard No. 11*

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

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

*Measurable Standard No. 12*

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

16. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.1, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

## Academic Integrity

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### *Operating Principle 2.2 - Academic Support*

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

- a. Adequate academic support services are available for student-athletes;
- b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing;
- c. When it is determined that individual student-athletes have special academic needs, these needs are addressed either through institutional programming or through student-athlete support services;
- d. The support services are evaluated and approved at least once every four years by appropriate academic authorities outside the department of intercollegiate athletics (e.g., faculty members or academic administrators of the institution); and
- e. There is a commitment to the fair and equitable treatment of student-athletes, in support of their academic endeavors.

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*Self-Study Items for Operating Principle 2.2*

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

*Measurable Standard No. 1*

*Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.*

*Measurable Standard No. 2*

*The institution must demonstrate that its institutional structures and reporting lines for student-athlete academic support services are organized such that academic advising for student-athletes is an integral part of the institution's educational system.*

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

*Measurable Standard No. 3*

*The institution must demonstrate that its staffing, physical space and financial support for student-athlete academic support services have been reviewed by appropriate institutional authorities and determined to meet the academic needs of student-athletes at the institution. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

3. Using the program areas for academic support services listed below, describe the following (this program analysis must be conducted as part of the self-study process):
  - a. The specific academic support services offered to student-athletes (if any);
  - b. Any policies that govern which students can use these services; and
  - c. The mechanisms by which student-athletes and staff are made aware of these services;

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

- (1) Academic counseling/advising: Course selection, class scheduling, priority registration.
- (2) Tutoring: Availability, procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
- (3) Academic progress monitoring and reporting: Individual's responsibility, frequency, procedures for periodic grade and attendance checks.
- (4) Assistance for special academic needs: Provisions for diagnosis and treatment of education-impacting disabilities (EID).

- (5) Assistance for at-risk students: Availability including institution-wide assistance.
- (6) Academic support facilities: Availability of study rooms, computers and labs.
- (7) Academic evaluation of prospective student-athletes: Review of academic profiles of prospective student-athletes.
- (8) Student-athlete degree selection: Degree program assistance.
- (9) Learning assessments: Provisions for testing and evaluation (e.g., placement testing).
- (10) Success skills: Study skills, note and test taking, writing and grammar skills, time-management skills.
- (11) Study hall: Availability, facilities, attendance policies.
- (12) First year/transfer orientation: Availability, attendance requirements.
- (13) Mentoring: Availability of mentors, identification and assignment methods, and frequency of interaction.
- (14) Post-eligibility programs: Availability of scholarships, assistantships and academic support.

*Measurable Standard No. 4*

*Information related to all academic support services must be clearly communicated to student-athletes and staff (e.g., through inclusion in the student-athlete handbook, discussion during team meetings, through inclusion in personnel manuals, review during staff orientation).*

*Measurable Standard No. 5*

*The institution must provide effective support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support services.*

*Measurable Standard No. 6*

*The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors or academic administrators of the institution). The institution's faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

- 4. Please submit an electronic copy of the written report from the most recent academic support services evaluation.

*Measurable Standard No. 6*

*The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors or academic administrators of the institution). The institution's faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*



*The Measurable Standard No. 7*

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

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

*Measurable Standard No. 8*

*The institution must submit a copy of the written evaluation of the academic support services. Please note that the institutions that do not have a separate academic support program for student-athletes are not required to ensure that its academic support program for students generally is subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.*

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

*Measurable Standard No. 9*

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

6. If the institution used an outside individual or entity (e.g., conference office, peer colleagues) to assist in the coordination or facilitation of the academic support services evaluation, provide the name(s) and affiliation(s) of the individual(s). Further, describe the process used in selecting this authority outside the institution to ensure the individual(s) is knowledgeable of academic support services. Also, provide a description of the authority's involvement in the academic support services evaluation.
7. Describe the process used by the institution during development of the self-study to review the most recent academic support services evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.

*Measurable Standard No. 9*

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

8. Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 7 or actions previously planned or implemented from the most recent academic support services evaluation. Provide:
  - a. The plan(s) or action(s) implemented; and
  - b. The date(s) of actions taken or specific timetable(s) for completion of the plan(s).
9. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

**Special-Admissions  
FOR FIRST-YEAR STUDENTS GENERALLY  
AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID\***

**Operating Principle 2.1, Self-Study Item No. 3**

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

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

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

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

		1	2
<b>Year</b>		<b>All First-Year Students</b>	<b>All First-Year Student-Athletes on Athletics Aid</b>
<b>Percent of Specially Admitted Students</b>			

\*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).  
Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of Person completing this chart:

Title:

**Special Admissions by Sport**  
**FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID BY SPORTS GROUP\***

**Operating Principle 2.1, Self-Study Item No. 3**

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

Academic Year:	All First-Year Student-Athletes		Baseball		Men's Basketball		Football		Men's Track / Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track / Cross Country		Women's Other Sports		
	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	

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

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

Name of Person completing this chart:

Title:

**Test Scores by Gender  
FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR  
STUDENT-ATHLETES ON ATHLETIC AID\***

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

Calculate and provide the average (mean) standardized test scores for all entering first-year students and first-year student-athletes who received athletics aid (include nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by gender. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the conversion chart before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of first-year students generally.

	Academic Year:	Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score									

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

Name of person completing the chart:

Title:

**Test Scores by Racial or Ethnic Group - New Race/Ethnicity Categories Chart (IPEDS)  
FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID\***

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

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

Racial or Ethnic Group - All Entering First-Year Students																			
		American Indian/AN		Asian		Native Hawaiian/IP		Black/African American		Hispanic/Latino		White/Non-Hispanic		NR Alien		Two or More Races		Unknown	
Academic Year:		Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students
Average Standardized Test Score																			

Racial or Ethnic Group - All Entering First-Year Student-Athletes on Aid																			
		American Indian/AN		Asian		Native Hawaiian/IP		Black/African American		Hispanic/Latino		White/Non-Hispanic		NR Alien		Two or More Races		Unknown	
Academic Year:		Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students	Score	No. of Students
Average Standardized Test Score																			

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

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

Name of Person completing this chart:

Title:

**Test Scores and GPA by Sport  
FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID  
Operating Principle 2.1, Self-Study Item No. 4**

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

Sport Group																	
	Academic Year:	Football		Men's Basketball		Baseball		Men's Track/ Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track / Cross Country		Women's Other Sports	
		Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core-Course GPA																	

Sport Group																	
	Academic Year:	Football		Men's Basketball		Baseball		Men's Track/ Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track / Cross Country		Women's Other Sports	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score																	

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

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

Name of Person completing this chart:

Title:

## Federal Graduation Rates - Comparison Chart

Operating Principle 2.1, Self-Study Item No. 10

Information obtained to complete this chart

- NCAA Federal Graduation Rates Report

	FGR
All Students	
Student-Athletes	



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

Information obtained to complete this chart

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

1	2	3	4	5	6
<b>Men's Team</b>	<b>Team FGR</b>	<b>All Students FGR</b>	<b>All Male Students FGR</b>	<b>All SAs FGR</b>	<b>All Male SAs FGR</b>
<b>Baseball</b>					
<b>Basketball</b>					
<b>CC Track</b>					
<b>Football</b>					
<b>Men's Other Sports and Mixed Sports</b>					

1	2	3	4	5	6
<b>Women's Team</b>	<b>Team FGR</b>	<b>All Students FGR</b>	<b>All Female Students FGR</b>	<b>All SAs FGR</b>	<b>All Female SAs FGR</b>
<b>Basketball</b>					
<b>CC Track</b>					
<b>Women's Other Sports</b>					

## Federal Graduation Rates by Racial and Ethnic Group

### Operating Principle 2.1, Self-Study Item No. 11

Information obtained to complete this chart

- NCAA Federal Graduation Rates Report

Men's Team	Team FGR by Racial and Ethnic Group										Team FGR	All SA's	All Male SA's	All Male Students	All Male Students FGR by Racial and Ethnic Group													
	Am. Ind./AN	Asian	Native Hawaiian/PI	Black /African American	Hispanic /Latino	White/ Non-Hispanic	NR Alien	Two or More Races	Un-known	Am. Ind./AN					Asian	Native Hawaiian/PI	Black /African American	Hispanic /Latino	White/ Non-Hispanic	NR Alien	Two or More Races	Un-known						
Baseball																												
Basketball																												
CC Track																												
Men's Other Sports and Mixed Sports																												

Women's Team	Team FGR by Racial and Ethnic Group										Team FGR	All SA's	All Female SA's	All Female Students	All Female Students FGR by Racial and Ethnic Group													
	Am. Ind./AN	Asian	Native Hawaiian/PI	Black /African American	Hispanic /Latino	White/ Non-Hispanic	NR Alien	Two or More Races	Un-known	Am. Ind./AN					Asian	Native Hawaiian/PI	Black /African American	Hispanic /Latino	White/ Non-Hispanic	NR Alien	Two or More Races	Un-known						
Basketball																												
CC Track																												
Women's Other Sports																												

All Students	All Students FGR by Racial and Ethnic Group									
	Am. Ind./AN	Asian	Native Hawaiian/PI	Black /African American	Hispanic /Latino	White/ Non-Hispanic	NR Alien	Two or More Races	Un-known	

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

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*Academic Integrity*

SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM
1600	144	1290	115	980	83	680	56
1590	140	1280	114	970	82	670	55
1580	139	1270	113	960	81	660	54
1570	138	1260	112	960	80	650	53
1560	138	1250	111	950	80	640	53
1550	137	1240	110	940	79	630	52
1540	137	1230	109	930	78	620	52
1530	136	1220	108	920	77	610	51
1520	135	1210	107	910	76	600	50
1510	134	1200	105	900	75	590	50
1500	133	1190	104	890	74	580	49
1490	132	1180	103	880	73	570	49
1480	132	1170	102	870	72	560	48
1470	131	1160	101	860	71	550	47
1460	130	1150	100	860	70	540	47
1450	129	1140	99	840-850	70	530	46
1440	129	1130	98	830	69	520	46
1430	128	1120	97	820	68	510	45
1420	127	1110	96	810	67	500	44
1410	126	1100	95	800	66	490	44
1400	125	1090	94	790	65	480	43
1390	124	1080	93	780	64	470	42
1380	123	1070	91	770	63	460	42
1370	123	1060	90	760	62	450	41
1360	122	1050	89	740-750	61	440	41
1350	121	1040	88	730	60	430	40
1340	120	1030	87	730	59	420	39
1330	119	1020	86	720	59	410	38
1320	118	1010	86	710	58	400	37
1310	117	1000	85	700	57		
1300	116	990	84	690	56		

## Gender/Diversity Issues and Student-Athlete Well-Being

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### *Operating Principle 3.1 Gender Issues*

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

- a. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel.
- b. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains, or continues progress toward, a program that is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

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### ***Self-Study Items for Operating Principle 3.1***

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

1. Explain how the institution is organized to further its efforts related to the gender-issues operating principle for department of athletics staff, coaches and student-athletes.
2. Describe how matters concerning gender equity for department of athletics staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.
3. Describe the programs and activities that the institution has in place for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

***Measurable Standard No. 1***

*The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.*

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

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

***Measurable Standard No. 2***

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

5. For the three most recent academic years in which information is available, analyze the institution's NCAA financial report (specified expense categories). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement. See Appendix H for specified expense categories.

*Measurable Standard No. 2*

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

6. Using the program areas for gender issues provided on Page Nos. 55-56:
  - a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;
  - b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;
  - c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and
  - d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.

*Measurable Standard No. 3*

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

*The review must:*

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

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

*Measurable Standard No. 4*

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

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

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

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

*Measurable Standard No. 5*

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

8. Describe how the institution will annually compare its gender-issues plan with its EADA reports and NCAA financial reports to determine if the course of action is still appropriate. Further, please provide the names and titles of the individuals who will be responsible for this review.

*Measurable Standard No. 5*

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

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

*Measurable Standard No. 6*

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

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

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

- a. Be committed to paper and be a stand-alone document.*
- b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.*
- c. Must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.*



## Gender/Diversity Issues and Student-Athlete Well-Being

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### *Operating Principle - 3.2. Diversity Issues*

It is a principle of the Association to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination. In accordance with this fundamental principle, the institution shall:

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

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

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### *Self-Study Items for Operating Principle 3.2*

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

1. Explain how the institution is organized to further its efforts related to the diversity-issues operating principle for department of athletics staff, coaches and student-athletes.
2. Describe the institution's written statements (e.g., vision statements, mission statements, diversity statements, policies, plans) that address issues of diversity, including where the statements are published. Describe how the institution's written statements are communicated directly to department of athletics staff, coaches and student-athletes.

*Measurable Standard No. 1*

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

3. Describe how matters concerning diversity issues for department of athletics staff, coaches, and student-athletes are monitored, evaluated and addressed on a continuing basis.
4. Describe the programs and activities the institution has in place for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of the underrepresented groups or individuals of diverse backgrounds.

*Measurable Standard No. 2*

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

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

*Measurable Standard No. 3*

*The institution must demonstrate through actions and strategies how it actively recruits department of athletics staff, coaches, and student-athletes from underrepresented groups or diverse backgrounds from those currently represented in athletics.*

6. Describe institutional and department of athletics hiring practices to ensure the department of athletics demonstrates a commitment to diversity in hiring procedures for department of athletics staff and coaches. Compare and explain any differences that exist between institutional hiring practices and department of athletics hiring practices. Please provide the date of your most recent assessment and comparison of the institution's and athletics department's hiring practices. Note: this assessment and comparison must occur at least once every five years.

*Measurable Standard No. 4*

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

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

*Measurable Standard No. 5*

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

8. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for the following:
- Full-time senior administrative department of athletics staff members (i.e., assistant director of athletics up through the director of athletics level);
  - Other full- and part-time professional (i.e., nonclerical) department of athletics staff members (such as directors of operations, athletic trainers, ticket managers, academic support staff and facility managers, even if the position is not funded by or does not report to the department of athletics);
  - Full- and part-time head coaches;
  - Full- and part-time assistant coaches (including graduate assistant and volunteer coaches);
  - Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and
  - Other advisory or policy-making group (e.g., governing board subcommittee for athletics, student-athlete advisory committee) members (if any).

[Note: Use the supplied chart (Racial or Ethnic Composition of Personnel on Page No. 47) to compile the data requested in this self-study item.]

9. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for student-athletes who received athletics aid and for all students.

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

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

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

11. Using the program areas for diversity issues provided on Page No. 57:
  - a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;
  - b. Provide data demonstrating the institutions' status and commitment across each of the four areas;
  - c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and
  - d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.

*Measurable Standard No. 6*

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

*Measurable Standard No. 7*

*The review must:*

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

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

- b. *Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;*
- c. *Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes, coaches, and athletic department staff with diverse racial, ethnic and other backgrounds. Please note, any deficiencies should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and*
- d. *Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four program areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.*

*Measurable Standard No. 8*

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

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

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

*Measurable Standard No. 8*

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

13. Describe how the institution will periodically compare its diversity-issues plan with its assessment of the campus diversity climate (see Program Area No. 1) using the four diversity program areas to determine if the course of action is still appropriate. Further, provide the names and titles of the individuals who will be responsible for this review.

*Measurable Standard No. 9*

*The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on annual basis to determine if the course of action is still appropriate. This information must be included in the institution's diversity-issues plan.*

*Measurable Standard No. 10*

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

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

*Measurable Standard No. 11*

*The institution's diversity-issues plan must include the following requirements:*

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

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

- a. Be committed to paper and be a stand-alone document.*
- b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.*
- c. Must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.*

## Racial or Ethnic Composition of Personnel - New Race/Ethnicity Categories Chart (IPEDS)

### Operating Principle 3.2, Self-Study Item No. 8

Indicate the number\* of individuals in each racial or ethnic group for each personnel group listed below for the three most recent academic years. List the most recent academic year's data first.

Note: (1) Use the definition of staff members that is included in the certification of compliance forms. (2) "F" refers to full-time staff employees who are considered by the institution as 1 FTE (full-time equivalency) in the athletics department(s) and "P" refers to part-time staff employees who are less than 1 FTE in the athletics department(s).

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

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

**Name of person completing the chart:**

**Title:**

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

Indicate the number of students generally (including student-athletes) who received athletics aid\* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.

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

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

Name of person completing the chart:

Title:



## Racial or Ethnic Composition of Student-Athletes by Sport Group - New Race/Ethnicity Categories Chart (IPEDS) Operating Principle 3.2, Self-Study Item No. 10

Indicate the number of student-athletes who received athletics aid\* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.

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

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

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

Name of person completing the chart:

Title:

## Gender/Diversity Issues and Student-Athlete Well-Being

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### *Operating Principle 3.3 Student-Athlete Well-Being*

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

Consistent with this fundamental principle, the institution shall:

- a. Provide evidence that the well-being of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.
- b. Have established grievance or appeal procedures available to student-athletes in appropriate areas.
- c. Provide evidence that the institution has in place programs that protect the health of and provide a safe and inclusive environment for each of its student-athletes.

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### *Self-Study Items for Operating Principle 3.3*

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

*Measurable Standard No. 1*

*The institution's instrument used to conduct student-athlete exit interviews must contain questions related to the following: (Note: Institutions should note the list of examples below is not an exhaustive list and institutions are not limited to addressing only those provided.)*

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

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

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

*Measurable Standard No. 2*

*The institution must demonstrate that it conducts exit interviews via in-person meetings and/or conference calls in each sport with a sample of student-athletes (as determined by the institution) whose eligibility has expired in accordance with NCAA Constitution 6.3.2. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

3. Describe opportunities other than the student-athlete exit-interview process that are available to student-athletes to provide input regarding student-athlete well-being issues (e.g., student-athlete advisory committee; open-door policy of athletics administrators, including the director of athletics, senior woman administrator, and/or faculty athletics representative).

4. Describe the department of athletics written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e., financial aid and transfers). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

*Measurable Standard No. 3*

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

*Measurable Standard No. 4*

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

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

*Measurable Standard No. 5*

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

*Measurable Standard No. 6*

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

6. Describe the institution's educational and support programs in the area of sexual orientation. Also, describe the institution's structure and/or policies that ensure the provision of a safe environment for all students, including student-athletes with diverse sexual orientations.
7. Describe the policies, organization and structure of the department of athletics and how it enhances student-athlete well-being. Further, describe the commitment of the institution to enhance the overall student-athlete educational experience including how issues are monitored, evaluated and addressed on a continuing basis.

8. Describe how student-athletes are involved in the governance and decision-making processes of the department of athletics, including the role of the student-athlete advisory committee (SAAC).

*Measurable Standard No. 7*

*The institution must demonstrate that it has an active SAAC pursuant to Constitution 6.1.4. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

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

*Measurable Standard No. 8*

*The institution must demonstrate that it has an active Life Skills program (or an equivalent program) pursuant to NCAA legislation with programming to address nonacademic areas (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.*

10. Describe how the department of athletics monitors student-athlete time demands, including travel commitments, missed class time, final exam schedules, summer vacation periods and intercession periods. Further, describe methods used to educate coaches and student-athletes about time demands and opportunities to integrate into campus life.
11. Please submit an electronic copy of the department of athletics and/or institution's written travel policies to ensure the safety and well-being of student-athletes with the submission of your self-study report (e.g., road travel; air travel, including charter policies; driver selection; training; privately owned vehicles).
12. Describe the annual evaluation of the department of athletics and/or institution's travel policies to ensure these policies are effective. Further, describe how the travel policies are directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

*Measurable Standard No. 9*

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

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

*Measurable Standard No. 10*

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

15. Please submit an electronic copy of the department of athletics written emergency medical plan for out-of-season workouts with the submission of your self-study report.
16. Describe the annual evaluation of the department of athletics written emergency medical plan for out-of-season workouts to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for out-of-season workouts is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

*Measurable Standard No. 11*

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

17. Please submit an electronic copy of the athletics department's athletic training and sports medicine policies and procedures with the submission of your self-study report.

18. Describe the annual evaluation of the department of athletics written athletic training and sports medicine policies and procedures. Further, describe how the department of athletics athletic training and sports medicine policies and procedures is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in these areas.

*Measurable Standard No. 12*

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

19. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 3.3, describe the institution's efforts to ensure the plan(s) has received formal institutional approval.

**Program Areas to be Reviewed for Gender Issues**

<b>PROGRAM AREA</b>	<b>PROGRAM AREA DESCRIPTIONS</b>
<b>1. Accommodation of interests and abilities.</b>	Participation proportionate to enrollment; and/or history and continuing practice of program expansion for the under-represented gender within the athletics program; and/or fully and effectively accommodating the under-represented gender within the athletics program; and equivalent levels of competition. Institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities when presenting gender-issues plans for the future.
<b>2. Athletics scholarships.</b>	Athletics scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.
<b>3. Equipment and supplies.</b>	Quality, amount, suitability, maintenance and replacement and availability of equipment and supplies.
<b>4. Scheduling of contests and practice time.</b>	Number of contests; number, length, and time of day of practices; time of day of contests; preseason and postseason opportunities, including foreign tours.
<b>5. Travel allowance.</b>	Modes of transportation, housing furnished during travel, length of stay before and after competitive events, dining arrangements and per diem for institutional competition and other competitive opportunities (e.g., under NCAA Division I Bylaw 16.8.1.1).
<b>6. Academic support services.</b>	Availability of, and equitable access to, academic support services that meet the needs of student-athletes based on individual student-athlete academic profiles and/or performance, and equitable criteria for obtaining assistance.
<b>7. Coaches.</b>	Availability of full time, part time, assistant and graduate assistants. Training, experience, professional standing, and other professional qualifications. Total rate of compensation package, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions, and other terms and conditions of employment.



<b>PROGRAM AREA</b>	<b>PROGRAM AREA DESCRIPTIONS</b>
<b>8. Locker rooms, practice and competitive facilities.</b>	Quality, availability and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.
<b>9. Medical and training facilities and services.</b>	Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage; provision of medical and training expenses.
<b>10. Housing, dining facilities and services.</b>	Housing provided; special services as part of housing; dining arrangements.
<b>11. Publicity and awards.</b>	Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices; availability and quality of institutional awards; opportunity for application and/or nomination for other outside awards (e.g., NCAA, national or conference awards).
<b>12. Support services.</b>	Administrative, secretarial, clerical support and office space.
<b>13. Recruitment of Student-Athletes.</b>	Equitable opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective student-athletes.
<b>14. Retention</b>	Programs and services to address retention of staff, coaches and student-athletes from the under-represented gender within the athletics program; review of retention and promotion of staff and coaches from the under-represented gender within the athletics program, including professional development opportunities (e.g., mentoring programs), rate of compensation, duration of contracts, conditions relating to contract renewal; programs and services to address retention of student-athletes who are members of the under-represented gender within the athletics program.
<b>15. Participation in governance and decision making.</b>	Involvement of department of athletics staff, coaches and student-athletes from the under-represented gender within the athletics program in the governance and decision-making processes of the athletics department; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and department of athletics staff and coaches (e.g., participation at the conference and/or national level).

**Program Areas to be Reviewed for Diversity Issues**

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

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

**Federal Graduation Rates by Racial and Ethnic Group**  
Operating Principle 2.1, Self-Study Item No. 11

Information obtained to complete this chart

- NCAA Federal Graduation Rates Report

Men's Team	Team FGR by Racial and Ethnic Group										Team FGR	All SA's	All Male SA's	All Male Students	All Male Students FGR by Racial and Ethnic Group									
	Am. Ind./AN	Asian	Native Hawaiian/PI	Black/African American	Hispanic/Latino	White/Non-Hispanic	NR Alien	Two or More Races	Un-known	Am. Ind./AN					Asian	Native Hawaiian/PI	Black/African American	Hispanic/Latino	White/Non-Hispanic	NR Alien	Two or More Races	Un-known		
Baseball	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					
Basketball	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					
CC Track	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					
Men's Other Sports and M... S...	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					

  

Women's Team	Team FGR by Racial and Ethnic Group										Team FGR	All SA's	All Female SA's	All Female Students	All Female Students FGR by Racial and Ethnic Group									
	Black/African American	Hispanic/Latino	White/Non-Hispanic	NR Alien	Two or More Races	Un-known	Am. Ind./AN	Asian	Native Hawaiian/PI	Black/African American					Hispanic/Latino	White/Non-Hispanic	NR Alien	Two or More Races	Un-known					
Baseball	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					
CC Track	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					
Women's Other Sports	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%					

Compare to:

1. Team FGR
2. All Student-athletes
3. All Male Student-athletes
4. All Male Students
5. All Asian Male Students
6. All Asian Students

Note:  
The above comparisons should be made for each racial/ethnic group for each sport.

Compare to:

1. All Student-athletes
2. All Male Student-athletes
3. All Male Students
4. All Students

All Students	All Students FGR by Racial and Ethnic Group									
	Am. Ind./AN	Asian	Native Hawaiian/PI	Black/African American	Hispanic/Latino	White/Non-Hispanic	NR Alien	Two or More Races	Un-known	
	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

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

**Required Comparisons**

Team Comparisons

- All SAs
- All SAs of same gender
- All students of same gender
- All students

**Group Comparisons**

- Team FGR
- All SAs
- All SAs of same gender
- All students of same gender
- All students of same gender and racial/ethnic group
- All students of same racial/ethnic group

## Requirements for Institutional Plans for Improvement

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

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

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### *Required Elements of the Plans*

Institutional plans must include the following requirements:

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

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

1. **Stand Alone and in Writing.** Each plan shall be committed to paper and be a stand-alone document.
2. **Broad-Based Campus Participation.** Each plan shall be developed with opportunities for significant input from appropriate constituent groups inside and outside of athletics.
3. **Institutional Approval.** Each plan must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution. If funding is needed for a

plan element, approval of the plan by the appropriate institutional authority signifies the institution's commitment to fund the plan.

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### *Sample Formats for Plans*

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

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

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

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

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

1. Specifically references, in the plan or in a separate document, the intercollegiate athletics program.
2. Addresses diversity opportunities and needs for **student-athletes** and **department of athletics personnel**.
3. Satisfies the committee's **minimum expectations** for a plan. (See Required Elements of the Plans on the previous page.)

**Sample Rules Compliance Plan**

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

## **Sample Plan Format – Gender Issues**

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

**Sample Gender-Issues Plan (2012-2017)**

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
1. Accommodation of Interests and Abilities	Participation ratio is not proportional for women's athletics teams vs. men's athletics teams.	Increase the ratio of participation on women's teams between two to five percent.	Add additional roster spots for women's teams. Manage rosters of following sports: <ul style="list-style-type: none"> <li>• 90 on football (down from 105)</li> <li>• 25 on men's ice hockey (down from 30)</li> <li>• 30 on men's track and field (down from 40).</li> </ul>	Director of Athletics; Senior Associate Director of Athletics; and Coaches. Athletics Council; Director of Athletics; and the Chancellor.	Five-year plan (2012-17). Annually monitor participation numbers on men's and women's team. Set roster-size goals on an annual basis.
		Add women's rowing in 2014-15 based on response in 2011-12 survey to students at institution.			Implementation of new sport will begin in 2013-14 with hiring of head coach and assistant coaches. <ul style="list-style-type: none"> <li>• \$20,000 dollars will be allocated for recruiting during 2013-14.</li> <li>• Team will commence competition in 2014-15.</li> </ul>
2. Athletics Scholarships	Women's sports teams are deficient in the number of scholarships annually awarded by the athletics department when compared to men's program.	Increase athletics scholarships for women's sports by an additional 14.5 full grants-in-aid over the next five years.	Proposed scholarship increases will be funded through endowment sources. The annual " <u>Women's Walk for Scholarships</u> " will secure additional funds for the increase in scholarships. <ul style="list-style-type: none"> <li>• Four scholarships to softball;</li> <li>• Five scholarships to women's track and field;</li> <li>• Three scholarships to women's soccer; and</li> <li>• Two and one-half scholarships to women's water polo.</li> </ul>	Vice President of University Advancement; and Director of Athletics Development.	Scholarships divided up equally over four sports (softball, women's track and field, women's soccer and women's water polo) each year.  2012-13: Two and one-half grants-in-aid. 2013-14: Three grants-in-aid. 2014-15: Four grants-in-aid. 2015-16: One and one-half grants-in-aid. 2016-17: Three and one-half grants-in-aid.



Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
3. Equipment and Supplies	Apparel is superior for men's sports vs. women's sports.	Provide comparable quality apparel to women's soccer, women's golf and women's gymnastics to reflect similar conference sports (men's soccer, men's golf and men's gymnastics).	Purchase new apparel for women's soccer, women's golf and women's gymnastics for 2012-13 and order and upgrade uniforms as needed.  Biannual review of uniform quality for all sports.	Associate Director of Athletics with sport oversight responsibilities in cooperation with the equipment manager and budget manager.	2012-13 with biannual review thereafter.
Equipment and Supplies	Equipment is not equitable for comparable women's sports in ice hockey.	Provide comparable quality equipment to the women's ice hockey team to reflect men's ice hockey team equipment.	Purchase new ice hockey sticks for the women's ice hockey team.  The athletics department will continue to monitor the amount of equipment, quality of equipment and apparel and the quality of management over those areas.	Senior Associate Director of Athletics.	2012-13 and monitoring will continue each year thereafter.
4. Scheduling of Contests and Practice Times	No issues identified within program area evaluation. Maintenance plan included.	Provide equivalent opportunities for men's and women's teams in all aspects of competition and practice times including: number of contests, practice opportunities and time of day for each and preseason and postseason competition.	Practice: Adjust the men's and women's soccer practice time by one-half hour to allow for the equivalent amount of practice time for each team.  Request practice schedules to be developed and submitted by all coaches in accordance with established policies to facilitate review by the facilities director as well as the head athletics trainer.  Adjust as determined by annual review.	Director of Athletics; Head Coaches; Facilities Director; and Head Athletics Trainer.	Fall 2012 and ongoing each year subsequent.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
5. Travel Allowance	No issues identified within program area evaluation. Maintenance plan included.	Provide equitable modes of transportation and housing during travel, length of stay before and after competitions, dining and per diem allowances.	Assign to the Equity, Well-Being and Sportsmanship Committee the responsibility of annually reviewing and modifying as needed the written policies, procedures and criteria for travel arrangements and per diem allowances.	Equity, Well-Being and Sportsmanship Committee; Director of Athletics; Senior Woman Administrator; and Athletics Business Manager.	Beginning in 2012 and ongoing thereafter.
6. Academic Support Services	Lack of academic support services for women's track and field and women's volleyball.	Hire two new graduate assistants to work in the academic support services department of the athletics department.  The two new academic counselors will assist the sports of women's track and field and women's volleyball.	2012-13 raise funds necessary for two new academic counselor positions and director of academic services.  2013-14 hire all three positions and begin reassignments within academic support services.	Senior Associate Director of Athletics for Internal Affairs.	Beginning in 2012 and reviewed annually thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
7. Coaches	Salaries are deficient in women's golf.	Increase assistant women's golf coaches' salaries to align with comparable salaries for men's golf.	Prepare appropriate forms for processing/implementation at salary adjustment for specific coaches.	Director of Athletics and Human Resources Office.	June 2013.
8. Locker Rooms, Practice and Competitive Facilities	Lockers are deficient for women's tennis.	Build new lockers for women's tennis team in locker room.	Details are included in the master plan for facilities renovation from 2011-14.	Athletics Director; and Assistant Athletics Director for Facilities and Operations.	2013-14.
Locker Rooms, Practice and Competitive Facilities	Softball facility needs upgrade.	Build new softball facility comparable to baseball stadium.	Details are included in facility renovation plan from 2011-14.	Athletics Director; and Assistant Athletics Director for Development.	Building starts January 2012. Date of completion scheduled for January 2013.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
9. Medical and Training Facilities and Services	No issues identified within medical services.	Continue to provide high-quality services to all students, taking particular care that students have full access to gender-specific medical services.	Hire a trainer who has experience in dealing with women student-athletes.	Director of Athletics; and Head Athletics Trainer.	Hire the trainer by June 2012.
Medical and Training Facilities and Services	Strength and conditioning programs in all sports need to be comparable. Currently, more attention is paid to revenue-producing sports.	Provide consistent athletics strength training for all sport programs, regardless of gender.	<ol style="list-style-type: none"> <li>1. Assignments for strength coaches for male and female sports will be monitored for workload equivalence.</li> <li>2. Hire strength coaches with equal experience to that of men's football and basketball for women's volleyball and soccer.</li> <li>3. Salaries of strength coaches for male and female sports will be equal starting in 2012-13.</li> </ol>	Director of Strength and Conditioning. Monitoring will be performed by Director of Health and Physical Education.	Beginning in June 2013 and ongoing thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
10. Housing, Dining, Facilities and Services	No issues identified within program area evaluation. Maintenance plan included.	Provide equivalent housing and dining facilities for all student-athletes receiving scholarships by 2013-14.	<p>Continue to monitor housing and dining options for student-athletes on scholarship.</p> <p>Director of University Housing will conduct a survey to determine needs for all student-athletes on scholarship during the fall 2012 to determine needs of all scholarship student-athletes.</p> <p>Adjust as determined by annual review.</p>	<p>Associate Director of Athletics/Senior Woman Administrator; Athletics Budget Director; Head Athletic Trainer; and Director of Athletics.</p> <p>Monitoring performed by Vice-Chancellor of Student Affairs; and Director of University Housing.</p>	Beginning in fall 2012 and ongoing thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
11. Publicity and awards	All aspects of publicity need to be enhanced for women's sport teams.	Enhance marketing of women's sports in regional area to equal efforts of marketing for men's sports.	Launch live Internet coverage for volleyball, women's soccer and softball.	Associate Director of Athletics/Senior Woman Administrator; and Sports Information Director.	Beginning in Fall 2012 for volleyball and women's soccer. Start spring 2011 for softball.
			Increase coaches' television show opportunities for women's teams by converting the baseball coaches show into a shared show with softball.	Associate Athletics Director/Senior Woman Administrator; Sports Information Director; and Baseball and Softball coaches.	Beginning in spring 2013.
			Recognize women's teams for winning conference titles during men's basketball or men's football home games.	Senior Associate Director of Athletics.	Fall 2012 and ongoing thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
12. Support Services	More staff support needed in women's soccer, softball and women's volleyball.	Provide equitable support services for men's and women's sports and continue to monitor the quality of these support services annually.	Assign one additional support staff in women's soccer, softball and volleyball, respectively.	Director of Athletics; and Director of Organizational Effectiveness, Office of Human Resources.	Additional support staff will be hired over the next two academic years (2012-13).
Support Services	Senior administrative oversight and support of women's sports teams are currently deficient.	Provided equitable support services for men's and women's sports and continue to monitor the quality of these support services annually.	<ol style="list-style-type: none"> <li>1. Assign senior athletics department personnel to be in attendance at all women's sports home contests.</li> <li>2. Monitoring function will be performed by Gender-Equity Subcommittee.</li> </ol>	<p>Director of Athletics; and Associate Athletics Directors with sport oversight responsibilities.</p> <p>Monitoring will be performed by the Director of Organizational Effectiveness in the Office of Human Resources.</p>	<p>Senior athletics department personnel will be in attendance at all 2012-13 contests and thereafter.</p> <p>Monitoring component will begin spring 2013 and annually thereafter.</p>

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
13. Recruitment of Student-Athletes	No issue identified within program area evaluation. Maintenance plan included.	Continue to provide equal opportunities to recruit student-athletes among men's and women's sports.	<ol style="list-style-type: none"> <li>1. Continue to monitor the opportunities of coaches and other personnel to recruit.</li> <li>2. Continue to monitor whether financial and other recruiting resources are adequate for men's and women's programs.</li> <li>3. Continue to monitor prospective student-athletes for men's and women's programs to ensure their treatment during campus visits is adequately equivalent.</li> <li>4. Adjust as determined by annual review.</li> </ol>	<p>Associate Directors of Athletics with sport oversight responsibilities.</p> <p>Monitoring component will be performed by Vice-Chancellor.</p>	<p>Fall 2012 and annually thereafter.</p> <p>Monitoring component will begin in the spring 2013 and will continue annually each spring.</p>
14. Retention	Retention level amongst females is 20 percent below the general female student body retention level.	Increase retention of members of female student-athletes.	<ol style="list-style-type: none"> <li>1. Conduct exit interviews with departing students to ascertain reasons for departure.</li> <li>2. Develop and implement female student-athlete mentoring program</li> </ol>	<p>Program administrators (Director; Associate Director, and Assistant Director, Compliance and Operation).</p>	<p>Fall 2012 and ongoing each year subsequent.</p>



Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
15. Participation in governance and decision making	Student-athletes are not aware of leadership opportunities within the athletics department.	Maintain priority on selecting gender diverse representation on the Student-Athlete Advisory Committee (SAAC).	<ol style="list-style-type: none"> <li>1. Target male and female student-athletes on each team to generate interest in serving on SAAC.</li> <li>2. Implement recruitment of new SAAC members' initiative with current SAAC members.</li> </ol>	Senior Associate Athletics Director for Student Development and Well-Being.	Beginning in fall 2012 and ongoing thereafter.
Evaluation of Plan	No formal procedure in place to annually review gender-issues plan.	Create a procedure to annually review gender-issues plan including a comparison with EADA report and NCAA financial report.	<ol style="list-style-type: none"> <li>1. Create an athletic gender equity committee that includes athletics and institutional personnel and establish a quarterly meeting schedule.</li> <li>2. Implement a timeline for athletic gender equity committee to conduct an annual review of gender-issues plan, including a comparison of plan with EADA report and NCAA financial report to determine if stated goals in plan are still appropriate.</li> <li>3. Modify plan as necessary if deficiencies are identified during annual reviews.</li> </ol>	Athletic Gender Equity Committee.  Director of Athletics.  Senior Woman Administrator.  Title IX Officer.	Beginning in fall 2013 and ongoing annually thereafter.

## **Sample Plan Format- Diversity Issues**

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

**Sample Diversity-Issues Plan (2014-2019)**

Program Area	Elements		Steps to Achieve Goal	Steps	
	Issue(s)	Measurable Goals		Individuals Responsible for Implementation	Specific Timetable for Completing the Work
1. Assessment	Athletics department does not collect or review data related to monitoring the department's commitment to diversity.	Monitor the athletics department activities and commitments to diversity.	<ol style="list-style-type: none"> <li>1. Include written goals and objectives related to the commitment to diversity as part of the executive staff's strategic planning process and distribute them.</li> <li>2. The executive staff member assigned to diversity will be responsible for collecting data designed to assess progress toward achieving the athletics department's written goals and objectives that support the department's commitment to diversity.</li> <li>3. Data will be collected concerning diversity issues from an annual student-athlete survey and exit interviews and reviewed by senior staff and the athletics council annually.</li> <li>4. Demographic data on student-athletes/staff/coaches to reviewed by senior staff the athletic council annually.</li> </ol>	Associate Athletics Director for Academics (executive staff); and Minority/Equity Council.	Fall 2014 and ongoing each year subsequent.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable For Completing the Work
2. Retention	Athletics department retention programs do not work in conjunction with the institution's programs for all students.	<p>1. Increase retention of minority student-athletes.</p> <p>2. Enhance retention programs for student-athletes by working with institution's diversity office.</p>	<p>1. Require head coaches to provide info at institution's diversity office in recruiting process.</p> <p>2. Meet quarterly with diversity office to review progress.</p> <p>3. Incorporate institution-wide programs and athletic department programs to enhance programs and services to student-athletes.</p> <p>4. Evaluate retention data annually to determine if adjustments should be made.</p>	Program administrators (Director; Associate Director, Programs and Facilities and Assistant Director, Compliance and Operation).	Fall 2014 and ongoing each year subsequent.
3. Partnerships	Lack of communication between athletics department and career services office.	Develop and implement programs related to career services for minority student-athletes in conjunction with campus career services office.	<p>Assistant AD for student-athlete services will meet on a quarterly basis with the director of career services.</p> <p>Career services programming for minority students will occur on a biannual basis.</p> <p>Assistant AD for student-athlete services will advertise the availability of the programming to all minority student-athletes via email and postings.</p>	Athletics Director; Assistant AD for student-athlete services; director of career services	Spring 2015 and once per semester thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
4. Participation in Governance and Decision Making	Minority student-athletes not aware of leadership opportunities within the athletics department.	Maintain priority on selecting diverse representation on the Student-Athlete Advisory Committee (SAAC).	<ol style="list-style-type: none"> <li>1. Target minority student-athletes on each team to generate interest in serving on SAAC.</li> <li>2. Involve minority coaches and staff on search committees for new coaches.</li> <li>3. Encourage minority staff and coaches to be involved with campus-wide activities and events.</li> </ol>	Associate Athletics Director for Student-athlete services. .	Beginning in fall 2014 and ongoing thereafter.
Participation in governance and decision making	Lack of leadership opportunities for minority coaches and staff.	Increase involvement of minority coaches and staff in decision making and governance.	<ol style="list-style-type: none"> <li>1. Target minority student-athletes on each team to generate interest in serving on SAAC.</li> <li>2. Involve minority coaches and staff on search committees for new coaches.</li> <li>3. Encourage minority staff and coaches to be involved with campus-wide activities and events.</li> </ol>	Associate athletics director for student-athlete services	Beginning in fall 2014 and ongoing thereafter.

Elements			Steps		
Program Area	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
Evaluation of Plan	No formal procedure in place to annually review diversity-issues plan.	<p>1. Create a procedure to annually review diversity-issues plan.</p> <p>2. Create a procedure to biannually compare diversity-issues plan with assessment of campus diversity climate including the ten diversity program areas.</p>	<p>1. Create an athletic diversity issues committee that includes athletics and institutional personnel.</p> <p>2. Implement a timeline for athletic diversity issues committee to conduct an annual review of gender-equity plan to determine if stated goals in plan are still appropriate.</p> <p>3. Implement a timeline for athletic diversity issues committee to biannually compare diversity-issues plan with written assessment of campus diversity climate including the ten diversity program areas to determine if stated goals in plan are still appropriate.</p> <p>3. Modify plan as necessary if deficiencies are identified during annual and biannual reviews.</p>	<p>Athletic Gender Equity Committee.</p> <p>Director of Athletics.</p> <p>Senior Woman Administrator.</p> <p>EEO Officer.</p>	<p>Beginning in fall 2015 and ongoing annually thereafter.</p> <p>Beginning in fall 2016 and biannually thereafter.</p>

## Helpful Hints for Gender-Issues and Diversity-Issues Plans for Improvement

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1. Example of measurable goals versus vague goals.
  - a. Measurable goal: To provide comparable quality apparel to women's soccer, women's golf and women's gymnastics to reflect conference comparable sports (men's soccer, men's golf and men's gymnastics).
  - b. Nonmeasurable goal: To enhance equipment and supplies for women's athletics teams.
2. Example of specific steps versus plan-to-plan steps.
  - a. Specific step (to achieve measurable goal): Athletics department will offer internships to minority students and will provide professional development programs for minority students.
  - b. Nonspecific step or plan-to-plan step: Assess whether or not athletics department can create development programs for minority students.
3. Example of specific timelines.
  - a. Specific timeline: One additional support staff for women's soccer will be hired during the next two academic years (2014-16). Two additional support staff for all other women's sports will be added during the 2015-16 academic year.
  - b. Nonspecific timeline: Three support staff will be hired as the budget permits.
4. Ensure all 15 program areas for gender equity and four program areas for diversity issues are addressed before submission.
5. If there is a deficiency identified in the program area evaluation, include the deficiency as an issue within the stand-alone gender-issues or diversity-issues plan. Then, rectify the deficiency with measurable goals and steps to achieve the goals as outlined above.
6. If there is NOT a deficiency identified in the program area evaluation, the measurable goal should indicate that there will be an effort to maintain the current state in the program area and the specific steps should reflect how to achieve the maintenance.

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**Documents to be Available for Peer-Review Team Visit**

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***Operating Principle 1.1***

1. Minutes of athletics board or committee meetings.
2. Composition of the institution's governing board (including titles and positions).
3. Minutes of the institution's governing board meetings (Please flag those that relate to the athletics program or athletics interests).
4. Published policies of the institution's governing board that relate to the athletics program or athletics interests.
5. Institutional organizational chart.
6. Department of athletics organizational chart.
7. List of athletics booster organizations and their officers.
8. Description of athletics booster group policies and procedures (e.g., constitution and bylaws).

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***Operating Principle 1.2***

1. Job descriptions for individuals *inside* the department of athletics and individuals *outside* the department of athletics who are involved in rules compliance activities.
2. Contracts or letters of appointment for individuals *inside* the department of athletics and individuals *outside* the department of athletics who are involved in rules compliance activities.
3. Performance evaluation criteria for individuals *inside* the department of athletics and individuals *outside* the department of athletics who are involved in rules compliance activities.
4. Rules compliance policies and procedures for all of the following areas: initial-eligibility certification, continuing-eligibility certification, transfer-eligibility certification, NCAA Division I Academic Performance Program, financial aid administration, recruiting, camps and clinics, investigations and self-reporting of rules violations, rules education, extra benefits, playing and practice seasons, student-athlete employment, and amateurism.
5. Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, samples of recruiting logs, samples of eligibility files).
6. Documentation related to secondary rules violations for the last three years and the institutional response to these violations.
7. Conference manual.



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

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*Operating Principle 2.1*

1. Most recent Federal Graduation Rates report.
2. Most recent Academic Progress Rate report.
3. Most recent Graduation Success Rate report.
4. Most recent institutional catalog and/or bulletin.
5. Institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
6. Information regularly reported to the chancellor or president, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
7. A random sampling of student-athlete eligibility files (including, when appropriate, final high school transcripts, high schools' lists of approved core courses and final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
8. Athletics department manual and/or policies and procedures.
9. Student-athlete handbook.
10. Institutional handbook for students.
11. Scheduling policies.
12. Missed class policies.

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### *Operating Principle 3.1*

1. Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
2. Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]
3. NCAA financial reports for the three most recent academic years.

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### *Operating Principle 3.2*

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

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### *Operating Principle 3.3*

1. Facilities schedules for practice and competition.
2. Sports schedules.
3. Institution's student-athlete handbook or, if no such handbook exists, institution's method(s) for conveying athletics policies and procedures to student-athletes.
4. Compilation of results from student-athlete exit interviews.
5. Institution's and/or department of athletics' written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.

**Operating Principle 3.1, Self-Study Item No. 5, Measurable Standard No. 2  
Analysis of NCAA Financial Reports**

*NCAA Financial Reports-Expense Categories to be Reviewed*

EXPENSE CATEGORY	EXPENSE CATEGORY DESCRIPTIONS
1. Athletics Student Aid.	Include the total amount of athletically related student aid awarded, including summer school and tuition discounts and waivers (including aid given to student-athletes who have exhausted their eligibility or who are inactive due to medical reasons). Athletics aid awarded to nonathletes (student managers, graduate assistants, trainers) should be reported as Expenses Not Related to Specific Teams. It is permissible to report only dollars in the Expenses Not Related to Specific Teams row as long as you have reported non-zero entries for Equivalencies, Number of Students and Dollars (all 3 required) for at least one sport.
2. Coaching Salaries, Benefits and Bonuses.	Include gross salaries, bonuses and benefits provided to head and assistant coaches, which includes all gross wages, benefits and bonuses attributable to coaching that would be reportable on university and related entities (e.g., foundations, booster clubs) W-2 and 1099 forms (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, supplemental retirement allowance, compensation from camps, radio income, television income, tuition remission, earned deferred compensation benefits). Place any payment made to previous coaches to satisfy a contractual agreement for coaching in Category 23 (Severance Payments).
3. Coaching, Other Compensation and Benefits Paid by a Third Party.	Include all compensation paid to the coaching staff by a third party and contractually guaranteed by the institution, but not included on the institution's W-2 (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, compensation from camps, radio income, television income, and shoe and apparel income).
4. Support Staff/ Administrative Salaries, Benefits and Bonuses Paid by the University and Related Entities.	Include gross salaries, bonuses and benefits paid to administrative staff (i.e., football secretary, sport-specific trainer) that would be reportable on university and related entities (e.g., foundations, booster clubs) W-2 and 1099 forms (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, supplemental retirement allowance, compensation from camps, radio income, television income, tuition remission, earned deferred compensation benefits). Staff members responsible for the gender-specific athletics department, but not a specific sport (i.e., director of men's athletics), will have their compensation figures reported as

	Expenses Not Related to Specific Teams fields. Athletics department staff members who assist both men's and women's teams (sports information director, academic advisor) will be reported as Not Allocated by Gender column.
5. Support Staff/ Administrative Other Compensation and Benefits Paid by a Third Party.	Include all compensation paid to the support staff by a third party and contractually guaranteed by the institution, but not included on the institution's W-2 (e.g., car stipend, country club membership, entertainment allowance, clothing allowance, speaking fees, housing allowance, compensation from camps, radio income, television income, and shoe and apparel income).
6. Recruiting.	Include transportation, lodging and meals for prospective student-athletes and institutional personnel on official and unofficial visits, telephone call charges, postage and such. Include value of use of institution's own vehicles or airplanes as well as in-kind value of loaned or contributed transportation.
7. Team Travel.	Include air and ground travel, lodging, meals and incidentals for competition related to preseason, regular season and postseason. Amounts incurred for food and lodging for housing the team before a home game also should be included. Include value of use of the institution's own vehicles or airplanes as well as in-kind value of donor-provided transportation.
8. Equipment, Uniforms and Supplies.	Include items that are provided to the teams only. Equipment amounts are those expended from current or operating funds.
9. Game Expenses.	Include game-day expenses other than travel that is necessary for intercollegiate athletics competition, including officials, security, event staff, ambulance and such.
10. Fundraising, Marketing and Promotion.	Include costs associated with fundraising, marketing and promotion for media guides, brochures, recruiting publications and such.
11. Sports Camp Expenses.	Include all expenses paid by the athletics department, including nonathletics personnel salaries and benefits, from hosting sports camps and clinics. Athletics personnel salaries and benefits should be reported in Categories 4, 5 or 6.

12. Medical Expenses and Medical Insurance.	Include medical expenses and medical insurance premiums for student-athletes.
13. Memberships and Dues.	Include memberships, conference and association dues.
14. Total Operating Expenses.	Add Categories 1 through 13.

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF.

Name and title of person completing this form:

Date: