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) since the institution’s previous athletics certification self-study and impact (if any) on the areas of the certification program. If this is the institution’s first time to complete a self-study, respond to the question based on the last 10 years:
5. ☐ Other significant events (with dates) in the history of intercollegiate athletics program
since the institution’s previous athletics certification self-study. If this is the institution’s first time to complete a self-study, respond to the question based on the last 10 years:

**Previous Certification Self-Study**

1. ☐ Date of Cycle 2 orientation visit and evaluation visit (if applicable):

2. ☐ Cycle 2 certification-status decision and date rendered by the NCAA Division I Committee on Athletics Certification (if applicable):

3. ☐ Subsequent actions or changes and date(s) in certification status (if any) made by the committee (if applicable):

4. ☐ Changes in key senior-level positions, institutional or athletics program, if any, since the institution’s previous athletics certification self-study. If this is the institution’s first time to complete an athletics certification self-study, respond to the question based on the last 10 years:

5. ☐ Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program), since the institution’s previous athletics certification self-study. If this is the institution’s first time to complete an athletics certification self-study, respond to the question based on the last 10 years:

**Athletics Certification Self-Study Information**

1. ☐ Steering committee chair (name and title).

2. ☐ Report coordinator (name and title).

3. ☐ Campus contact (name and title).

4. ☐ Athletics certification liaison [ACL] (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 a copy of the institution’s written plan for conducting the self-study. [Please use the file upload link contained within this question on the athletics certification system (ACS) database to submit a copy of the institution’s written plan.]

7. ☐ Please provide the institution’s mission, philosophy and goals statement and the athletics program’s mission, philosophy and goals statement. Also, indicate the dates of formal approval for the most recent versions.
Governance and Commitment to Rules Compliance

Operating Principle 1.1
Institutional Control, Presidential Authority and Shared Responsibilities

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

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

Self-Study Items for Operating Principle 1.1

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to NCAA Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each condition, provide:
   a. The original “condition” imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.
Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

### Measureable Standard No. 1
If the institution developed a plan for improvement for Operating Principle 1.1 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

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

   (1) The institution did not possess sufficient funds to implement the plan.
   (2) The institution has had personnel changes since the original development of the plan.
   (3) The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:

   - The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

3. □ Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each additional plan, provide:

   a. □ The additional goal(s);
   b. □ The step(s) taken by the institution to achieve the goal(s); and
   c. □ The date(s) the step(s) was completed.

4. □ 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.

### Measureable Standard No. 2
The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.

5. □ Since the institution’s previous self-study, 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.
Please note, if this is the institution’s first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

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

---

**Measurable Standard No. 3**

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.

---

**Measurable Standard No. 4**

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 certification process.

---

7. Since the institution’s previous self-study, 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.

Please note, if this is the institution’s first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

---

**Measurable Standard No. 5**

The institution must demonstrate, through examples since the institution’s previous self-study, 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).

---

8. Describe how the institution’s governing board decisions regarding the athletics program are consistent with those of other on-campus units.

9. For each of the following individuals or groups:

   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. 6
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.

10. □ 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.

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

12. □ 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. 7
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

13. □ 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. 7
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

14. □ 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.

**Measurable Standard No. 8.**

*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 certification process.*

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

Operating Principle 1.2 - Rules Compliance

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

a. It has in place a set of written policies and procedures that are clearly communicated to athletics staff members and those individuals outside athletics who have rules compliance responsibilities. These written policies and procedures must assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program.

b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of 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, its rules compliance program is the subject of evaluation by an authority outside the department of athletics. This rules compliance evaluation shall include the following areas:

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

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). For each condition, provide:
   a. The original “condition” imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.2 (Rules Compliance). For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Measurable Standard No. 1

If the institution developed a plan for improvement for Operating Principle 1.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

a. The committee will not accept the following explanations for partial completion or noncompletion:
   1. The institution did not possess sufficient funds to implement the plan.
   2. The institution has had personnel changes since the original development of the plan.
   3. The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:

   The institution has implemented a different plan(s) or a taken different action(s) to achieve or make progress toward the same goal outlined in its Cycle 2 plan.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.
3. □ Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance). For each additional plan, provide:

   a. □ The additional goal(s);
   b. □ The step(s) taken by the institution to achieve the goal(s); and
   c. □ The date(s) the step(s) was completed.

4. □ 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. 2
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 certification process.
```

5. □ 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.
6. 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.

7. 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).

8. 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).
9. Indicate by clicking “yes” or “no” in the Athletics Certification System (ACS), 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. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

   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. 8
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 certification process.
10. □ 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. 9**
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 certification process.

11. □ Describe the institution’s rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:

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

**Measurable Standard No. 10**
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.

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

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

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

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

**Measurable Standard No. 11**
The institution must demonstrate that its rules-compliance program is subject to a comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.
13. 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 clicking “yes” or “no” in the ACS 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. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

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

**Measurable Standard No. 12**

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. 13
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.

All rules compliance evaluations conducted on/after September 1, 2008 must include the following new areas: governance and organization; APP; amateurism; and commitment of personnel to rules-compliance activities. If an institution’s rules compliance program has been evaluated at least once in the past four years at the time of the self-study process and the evaluation was conducted prior to September 1, 2008, the institution is not required to include the four new areas in its evaluation or conduct an additional evaluation to include the four new areas. However, the institution must create a plan for improvement demonstrating that the four new areas of review will be included in the next scheduled rules compliance evaluation.

14. □ 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. 12
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.

15. □ Identify any relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 14 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).

16. □ Submit a copy of the report from the institution’s most recent rules compliance evaluation. [Please use the file upload link contained within this question on the ACS to submit]
a copy of the institution’s most recent rules compliance evaluation.]

Measurable Standard No. 14
The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.

17. □ 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

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. If the retention rate of any student-athlete subgroup, is lower than that of all student-athletes, this disparity shall be analyzed, explained and, if necessary, addressed through specific plans for improvement by appropriate institutional authorities;

e. 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

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

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. □ List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). For each condition, provide:
   a. □ The original “condition” imposed;
   b. □ The action(s) taken by the institution;
   c. □ The date(s) of the action(s); and
   d. □ An explanation for any partial or noncompletion of such required actions.

[Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.]

2. □ List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 2.1 (Academic Standards). For each issue identified, provide:
   a. □ The original goal(s);
   b. □ The step(s) taken by the institution to achieve the goal(s);
   c. □ The date(s) the step(s) was completed; and
   d. □ An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Measurable Standard No. 1

If the institution developed a plan for improvement for Operating Principle 2.1 during Cycle, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

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

   (1) The institution did not possess sufficient funds to implement the plan.
   (2) The institution has had personnel changes since the original development of the plan.
   (3) The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:
   • The institution has implemented a different plan(s) or taken different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

[Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.]
3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.1 (Academic Standards), including any plans or recommendations developed through the institution’s involvement in the NCAA Division I Academic Performance Program (APP) Data Review process, if applicable. For each additional plan, provide:
   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

4. 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.

5. 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 subsequent review processes or appeals procedures that may be used when students are not automatically admitted because they do not meet the institution’s published entrance requirements.

6. 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. 5 and the percentage of first-year students in general (including student-athletes) who

---

**Measurable Standard No. 2**
Student-athletes must be governed by the institutional admissions policies that apply to all students.

**Measurable Standard No. 3**
Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

**Measurable Standard No. 4**
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.
were so admitted. Provide these comparative data for the four most recent academic years.

[Note: Use the supplied charts (Special Admissions on Page No. 34 and Special Admissions by Sport Group on Page No. 35) to compile this data.]

7. □ 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).

□ If any of the institution’s sports teams had student-athletes certified through the pilot early academic certification program from August 1, 2007, through July 31, 2008, provide an explanation regarding how the inclusion of these average core-course grade-point averages affects the data provided.

[Note: Use the supplied charts (Test Scores by Gender on Page No. 36, Test Scores by Racial and Ethnic Group on Page No. 37-38, and Test Scores and GPA by Sport on Page No. 39) to compile this data.]

8. □ 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. 5.

Measurable Standard No. 5

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

Measurable Standard No. 6

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.

9. □ 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. 5. 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.
10. 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 of 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 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.

11. 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 of 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. 8
The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

12. 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 of 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. 8
The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

Please use the prepopulated charts on Page Nos. 40-46 to respond to Self-Study Item Nos. 13-17.

13. 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

[Note: Use the supplied chart (Federal Graduation Rates Comparison on Page No. 40) to analyze data.]

### Measurable Standard No. 9

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.

14. ☐ 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

[Note: Use the supplied charts (Federal Graduation Rates by Sport on Page No. 41 and Federal Graduation Rates by Racial and Ethnic Group on Page No. 42) to analyze data. In addition, please refer to Page No. 78 for an explanation regarding the required analysis.]

### Measurable Standard No. 10

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.

15. ☐ Analyze, explain and address any differences between the corresponding Federal Graduation Rate projected by the most recent NCAA Division I Academic Progress Rate (APR) for each sports team and the most recent multiyear four-class average Federal Graduation Rate for all students.

☐ If there is a difference that cannot be adequately explained between a sports team’s projected Federal Graduation Rate 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 Academic Progress Rates Report (APR multiyear rate column)
- NCAA Projected Federal Graduation Rates Conversion Chart

[Note: Use the supplied chart (Academic Progress Rates on Page No. 43) to analyze data.]

16. [ ] Analyze, explain and address any differences between the most recent four-cohort average Graduation Success Rate (GSR) for each sports team and the most recent four-cohort GSR for all student-athletes.

[ ] If there is a difference that cannot be adequately explained between the most recent four-cohort GSR for any sports team and the GSR for all student-athletes, the institution must develop a plan for improvement to address the issue.

[ ] If the data in the charts on Page No. 44 include sports that are not used by the institution for NCAA sports sponsorship and/or sports in which the NCAA does not conduct a championship, the institution may provide an explanation of how the inclusion/exclusion of the sport(s) impacts the analysis of the data.

Information obtained to complete this chart:

- NCAA Graduation Success Rates Report
- NCAA Federal Graduation Rates Report

[Note: Use the supplied chart (Graduation Success Rates on Page No. 44) to analyze data.]

17. [ ] Analyze, explain and address any differences between the most recent four-class retention rate for student-athlete subgroups (i.e., sport, gender, ethnicity, ethnicity within team) and the most recent four-class retention rate for all student-athletes, including comparable student-athlete subgroups (i.e., gender, ethnicity).
If there is a difference that cannot be adequately explained between the most recent four-class retention rate for any student-athlete subgroup and the retention rate for all student-athletes or comparable student-athlete subgroup, the institution must develop a plan for improvement to address the issue.

Information obtained to complete this chart:

• NCAA Academic Progress Rates Report (retention multiyear rate column)

[Note: Use the supplied charts (Retention Rates-Men’s Sports on Page No. 45, Retention Rates-Women’s Sports on Page No. 46) to analyze data.]

Measurable Standard No. 13

The institution must analyze, explain and address any differences between the most recent four-class retention rate of student-athlete subgroups (i.e., sport, gender, ethnicity) and the most recent four-class retention rate of all student-athletes. If there is a difference that cannot be adequately explained between the most recent four-class retention rate of any student-athlete subgroup and the four-class retention rate of student-athletes generally, the institution must develop a plan for improvement to address the issue.

18. □ 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. 14

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 certification process.

19. □ Describe the institution’s written missed-class policies for all students, including any exceptions or differences that exist for student-athletes.

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

Measurable Standard No. 15

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.

21. □ 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. 18) and the institution’s missed-class policies (as described in Self-Study Item No. 19) are directly communicated in writing to student-athletes, department of athletics staff members and appropriate faculty and administrative staff.

Measurable Standard No. 16

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.

Page No. 24
22. ☐ If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational experience of student-athletes and to ensure proper emphasis on educational objectives. Consistent with this responsibility, the institution shall demonstrate that:

a. Adequate academic support services are available for student-athletes;

b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing;

c. When it is determined that individual student-athletes have special academic needs, these needs are addressed either through institutional programming or through student-athlete support services;

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

e. There is a commitment to the fair and equitable treatment of student-athletes, in support of their academic endeavors; and

f. Academic-improvement plans developed during the previous self-study or as required by the APP have been implemented. After initial campus approval of an academic-improvement plan, if the plan is modified or not fully implemented, the institution shall provide a written explanation prepared and approved by appropriate institutional authorities.
Self-Study Items For Operating Principle 2.2

Self-Study Items [Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). For each condition, provide:
   a. The original “condition” imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

[Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.]

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 2.2 (Academic Support). For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

[Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.]

---

**Measurable Standard No. 1**

If the institution developed a plan for improvement for Operating Principle 2.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

a. The committee will not accept the following explanations for partial completion or noncompletion:
   1. The institution did not possess sufficient funds to implement the plan.
   2. The institution has had personnel changes since the original development of the plan.
   3. The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:
   - The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.2 (Academic Support). For each additional plan, provide:
a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goal(s); and
c. The date(s) the step(s) was completed.

4. 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 of reporting lines and responsibilities assigned to specific staff members.

5. 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).

6. 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 click “Add Academic Support Area” in the ACS.

   (1) Academic counseling/advising: Course selection, class scheduling, priority registration.
   (2) Tutoring: Availability; procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
   (3) Academic progress monitoring and reporting: Individual’s responsibility,
frequency, procedures for periodic grade and attendance checks.

(4) Assistance for special academic needs: Provisions for diagnosis and treatment of education-impacting disabilities (EID).

(5) Assistance for at-risk students: Availability including institution-wide assistance.

(6) Academic support facilities: Availability of study rooms, computers and labs.


(8) Student-athlete degree selection: Degree program assistance.

(9) Learning assessments: Provisions for testing and evaluation (e.g., placement testing).

(10) Success skills: Study skills, note and test taking, writing and grammar skills, time-management skills.

(11) Study hall: Availability, facilities, attendance policies.

(12) First year/transfer orientation: Availability, attendance requirements.

(13) Mentoring: Availability of mentors, identification and assignment methods, frequency of interaction.

(14) Posteligibility programs: Availability of scholarships, assistantships and academic support.

Measurable Standard No. 5
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. 6
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. 7
The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors, academic administrators of the institution or noninstitutional academic support specialists). 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 certification process.

7. Please submit a copy of the written report from the most recent academic support services evaluation. [Please use the file upload link contained within this question on the ACS to submit a copy of the institution’s most recent academic support services evaluation.]
Measurable Standard No. 7
The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors, academic administrators of the institution or noninstitutional academic support specialists). 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 certification process.

Measurable Standard No. 8
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. Posteligibility programs; and
o. Any other relevant service provided to student-athletes.

Measurable Standard No. 9
The institution must submit a copy of the written evaluation of the academic support services. Please note that institutions that do not have a separate academic support program for student-athletes are not required to ensure that its academic support program for students generally is subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.

Measurable Standard No. 10
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 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
9. 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.

10. 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.

11. Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 10 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).

12. List the most recent APR Improvement Plans developed and approved by the institution for any team if required by the NCAA Division I Committee on Academic Performance. In each case, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve

   Measurable Standard No. 11
   The institution must provide evidence that the most recent NCAA Division I Academic Progress Rate improvement plans developed and approved by the institution during the previous self-study or as required by the NCAA Division I Committee on Academic Performance have been implemented. If the plan(s) was modified or not fully implemented, the institution must provide a written explanation prepared and approved by appropriate institutional authorities.
13. 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.
Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.1 Gender Issues

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

a. Have implemented its approved gender-equity plan from the previous self-study. If the plan was modified or not fully implemented, provide an acceptable explanation from appropriate institutional authorities.

b. 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.

c. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains, or continues progress toward, a program that is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.
Self-Study Items for Operating Principle 3.1

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. □ List all “conditions for certification” imposed by the Committee on Athletics Certification in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.1 (Gender Issues). For each condition, provide:

   a. □ The original “condition” imposed;
   b. □ The action(s) taken by the institution;
   c. □ The date(s) of the action(s); and
   d. □ An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

2. □ Report on the implementation of the plan for improvement to address gender issues developed by the institution during its Cycle 2 certification process. For each issue identified, provide:

   a. □ The original goal(s);
   b. □ The step(s) taken by the institution to achieve the goal(s);
   c. □ The date(s) the step(s) was completed; and
   d. □ An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

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

1. The institution did not possess sufficient funds to implement the plan; and
2. The institution has had personnel changes since the original development of the plan.
3. The institution does not have documentation of actions taken to implement the plan.

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

• The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 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.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.1 (Gender Issues). For each additional plan, provide:
   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

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

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

6. 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. 2
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.

7. ☐ 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.

Measurable Standard No. 3
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.

8. ☐ 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. 3
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.

9. ☐ Using the program areas for gender issues, provided on Page Nos. 75-76:
   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. 4
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 (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program. Please note, any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and

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 in (c) above.

Measurable Standard No. 5
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.]

10. 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
institutions 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.

11. ☐ 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.

12. ☐ 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 (e.g., five years) of this plan, including the specific years this plan will be active.

Class 3 Self-Study Report Checklist
Measurable Standard No. 8

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.

[Please Note: If a plan concludes before the commencement of the institution’s next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution’s original plan were ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle.]
Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle - 3.2. Diversity Issues

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

a. Have implemented its approved minority-issues plan from the previous self-study. If the plan was modified or not fully implemented, provide an acceptable explanation from appropriate institutional authorities.

b. 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

c. 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 athletics certification, 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 Athletics Certification expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or underrepresented groups include, but are not limited to: race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.
Self-Study Items for Operating Principle 3.2

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the Committee on Athletics Certification in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.2 (Minority Issues). For each condition, provide:
   a. The original “condition” imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

   Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

2. Report on the implementation of the plan for improvement to address minority issues developed by the institution during its Cycle 2 certification process. For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

   The committee will not accept the following explanations for partial or noncompletion:
   1. The institution did not possess sufficient funds to implement the plan; and
   2. The institution has had personnel changes since the original development of the plan.
   3. The institution does not have documentation of actions taken to implement the plan.

   The committee will accept the following explanation for partial completion or noncompletion:
   • The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 minority-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. 1**
The institution must demonstrate that it has implemented its Cycle 2 minority-issues plan or provide an explanation for partial completion of the plan.

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

1. The institution did not possess sufficient funds to implement the plan.
2. The institution has had personnel changes since the original development of the plan.
3. The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:

- The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress towards the same goal outlined in its Cycle 2 minority-issues plan.

---

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the Committee for Operating Principle 3.2 (Minority Issues). For each additional plan, provide:

   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

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

5. 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. 2**
The institution must demonstrate how the institution’s and department of athletics’ written commitment and expectations related to diversity are communicated directly to department of athletics staff, coaches and student-athletes.

---

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

7. 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. 3
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.

8. 

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. 4
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.

9. 

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. 5
The institution must provide evidence that an assessment and comparison of the institution’s and department of athletics’ hiring practices has occurred at least once every five years.

10. 

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 since the previous self-study for any positions (e.g., coaches, staff) determined to be high profile at your institution.

### Measurable Standard No. 6
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.

11. 

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

   a. 

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

c. ☐ Full- and part-time head coaches;

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

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

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

[Note: Use the supplied chart (Racial or Ethnic Composition of Personnel on Page Nos. 62-63) to compile the data requested in this self-study item.]

12. ☐ 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 Nos. 64-65) to compile the data requested in this self-study item.]

13. ☐ 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 Nos. 66-67) to compile the data requested in this self-study item.]

14. ☐ Using the program areas for diversity issues, provided on Page No. 77.

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 institution s 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. 7
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 Equity 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.

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.

15. ☐ 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.

16. 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.

17. 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.

*If a plan concludes before the commencement of the institution’s next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution’s original plan was ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle.

Please note that all institutional plans must contain all of the committee’s required elements.
Measurable Standard No. 12
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.
Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle - 3.3 Student-Athlete Well-Being

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

Consistent with this fundamental principle, the institution shall:

a. Provide evidence that the well-being of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.

b. Have established grievance or appeal procedures available to student-athletes in appropriate areas.

c. Provide evidence that the institution has in place programs that protect the health of and provide a safe and inclusive environment for each of its student-athletes.
Self-Study Items for Operating Principle 3.3

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). For each condition, provide:
   a. The original “condition” imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

<table>
<thead>
<tr>
<th>Measurable Standard No. 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the institution developed a plan for improvement for Operating Principle 3.3 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>a. The committee will not accept the following explanations for partial completion or noncompletion:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) The institution did not possess sufficient funds to implement the plan.</td>
</tr>
<tr>
<td>(2) The institution has had personnel changes since the original development of the plan.</td>
</tr>
<tr>
<td>(3) The institution does not have documentation of actions taken to implement the plan.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>b. The committee will accept the following explanation for partial completion or noncompletion:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.</td>
</tr>
</tbody>
</table>
3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.3 (Student-Athlete Well-Being). For each additional plan, provide:
   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed;

4. Please submit a copy of the student-athlete exit-interview instrument with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of your current student-athlete exit-interview instrument.]

5. 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’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 certification process.

---

Measurable Standard No. 3

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 certification process.
6. 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).

7. 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.

8. 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.

9. 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.

10. □ 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.

11. □ 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).

12. □ List the department of athletics and/or other institutional programs in place that address the needs and issues affecting student-athletes (e.g., CHAMPS/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.

13. □ 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.

14. □ Please submit a 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). [Please use the file upload link contained within this question on the ACS to submit a copy of the department of athletics and/or institution’s written travel policies).

15. □ 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.
16. Please submit a 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. [Please use the file upload link contained within this question on the ACS to submit a copy of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions].

17. 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.

18. Please submit a copy of the department of athletics written emergency medical plan for out-of-season workouts with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of the department of athletics written emergency medical plan for out-of-season workouts].

19. 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.

20. Please submit a copy of the athletics department’s athletic training and sports medicine policies and procedures with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of the department of athletics athletic training and sports medicine policies and procedures].
21. ☐ 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. 13
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.

22. ☐ 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) for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval.