

**2003-2004**

**DIVISION I**

**ATHLETICS CERTIFICATION**

**SELF-STUDY INSTRUMENT**

**Loyola Marymount University**

# Introduction to Self-Study Report

## Introduction to Self-Study Report

### Institutional Information

1. Type of Institution: Private
2. Year institution was founded: 1911
3. Special Affiliation? Yes Religious - Jesuit, Marymount, and CSJ
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: 7011
6. Number of Faculty [using a full-time-equivalency (FTE) basis]: 650
7. Highest level of academic degree offered: J.D.
8. Institution's governing entity: Board of Trustees
9. a. Regional accreditation agency: Western Association of Schools and Colleges
9. b. Date of most recent regional accreditation self-study: 2003
9. c. Current accreditation status: Accredited

### Athletics Information

1. Subdivision status of athletics program (Academic Year 2004): I-AAA
2. Conference affiliation(s) or independent status (Academic Year 2004):

Baseball	West Coast Conference
Men's Basketball	West Coast Conference
Men's Cross Country	West Coast Conference
Men's Golf	West Coast Conference
Men's Soccer	West Coast Conference
Men's Tennis	West Coast Conference
Men's Water Polo	Western Water Polo Association
Softball	Pacific Coast Softball Conference
Women's Basketball	West Coast Conference
Women's Cross Country	West Coast Conference
Women's Rowing	West Coast Conference
Women's Soccer	West Coast Conference
Women's Swimming	Independent
Women's Tennis	West Coast Conference
Women's Volleyball	West Coast Conference

## Introduction to Self-Study Report

Women's Water Polo Western Water Polo Association

### 3. Athletics program structure ('X' all that apply):

- one combined athletics department
- separate men's and women's departments
- incorporated unit separate from institution
- department within a physical education division

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

None.

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

None.

## Previous Certification Self-Study

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

Former President - Thomas P. O'Malley, S.J.  
 Current President, 1999-present - Robert B. Lawton, S.J.

Former Director of Athletics - Brian F. Quinn  
 Current Director of Athletics, 1998-present - William S. Husak

Former Senior Woman Administrator, Pam Wettig  
 Current Senior Woman Administrator, 2000-present - Betty Werner

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

Dropped Men's Volleyball in 2000.

Changed Softball conference from Western Athletic Conference to Pacific Coast Softball Conference, Spring of 2003.

## Certification Self-Study Information

1. Steering Committee Chair: Al Koppes, O.Carm.

2. Chief report writer/editor of self-study report: William Salvini

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

## Introduction to Self-Study Report

Subcommittees were composed of representatives from students, student-athletes, faculty, staff, and administration. Information sources included all departments University-wide.

### 4. Provide a copy of the institution's written plan for conducting the self-study.

LOYOLA MARYMOUNT UNIVERSITY  
NCAA ATHLETICS CERTIFICATION PROGRAM

Written Plan for Conducting the Self-Study

#### A. Objectives Related to the Self Study

##### 1. Goals:

Loyola Marymount University commits itself to examining its athletic program as it reflects the mission and goals of the University and to satisfy the certification requirements of the NCAA. To accomplish this, the University has established a steering committee consisting of the University President, Faculty, Staff, Administrators, Students, a University Trustee, and a Regent of the University that will oversee the preparation of the NCAA Self-Study according to NCAA guidelines. More concretely, the institutional goals of this self-study are to:

- Foster a broad awareness regarding the Athletic Program and its contributions to the overall mission of the University.
- Review the operating principles and procedures of the Athletics Department in order to identify the strengths and weaknesses and prepare strategies for modification where appropriate.
- Identify possible future needs of the Athletics Department.
- Fully comply with the requirements of the Self-Study.
- Successfully complete the entire NCAA certification process in a timely fashion.

Conference participation: No official participation is planned.

Liaison to NCAA and Peer Review Team: Rev. Al Koppes, O.Carm.

##### 2. First Cycle Institutional Plans for Improvement

Peer-review team recommendations from 1996-97 certification process:

#### Governance and Commitment to Rules Compliance

Recommendation No. 1 (relating to Operating Principle Nos. 2, 3 and 4):

The peer-review team concurs with the institution's recommendation that the athletics advisory board be reconstituted with faculty comprising a majority of the membership. New statutes and bylaws for this board should be drafted that clearly define its authority and responsibilities to provide input into the formulation of policies related to the conduct of the athletics program. It is the understanding of the peer-review team that this process is underway and the athletics advisory board is expected to be operating in accord with this recommendation beginning during Spring 1997.

Action: Committee has been reconstituted and meets monthly.

Recommendation No. 2 (relating to Operating Principle No. 4):

The peer-review team concurs with the institution's recommendation that the faculty athletics representative should be given an annual stipend or reduced teaching load. It is the team's understanding that this recommendation already has been implemented.

Action: Recommendation has been implemented.

Recommendation No. 3 (relating to Operating Principle No. 5):

The peer-review team concurs with the institution's evaluation that the university does not completely comply with the NCAA rules regarding timely notification of student-athletes regarding the rewarding of or increase/decrease/cancellation of athletically related financial-aid awards. The president is committed to ensure that the new procedures are in place so that the university will meet the July 1, 1997, deadline for timely and appropriate notification of student-athletes.

Action: The recommendation has been implemented.

## Introduction to Self-Study Report

Recommendation No. 4 (relating to Operating Principle No. 7):

The peer-review team concurs with the institution's recommendation that the university's internal auditor conduct a periodic review of the rules-compliance program and that the evaluation be instituted no later than the end of the spring semester 1997. The institution should make every effort to assure that all areas such as eligibility, recruiting, financial aid, as well as extra benefits are covered in this review. It is suggested that additional persons who have developed specific expertise in these areas be used to consult with the internal auditor during this process.

Action: The review occurs annually through the Office of the University President.

Recommendation No. 5 (relating to Operating Principle No. 4):

During review of the self-study report and through various interviews on the campus, the team became aware of some lack of communication and cooperation between the office of financial aid and the athletics department. Because of this, it is recommended that a review of all procedures for the awarding, renewal and/or non-renewal of grants-in-aid be implemented to assure that such matters are being handled in accord with all NCAA rules and regulations. This review should be completed by Summer 1997.

Action: This recommendation has been implemented and all actions are within NCAA rules.

### Academic Integrity

Recommendation No. 1 (relating to Operating Principle Nos. 2 and 4):

The peer-review team concurs with the institution's recommendation (No. 8) that the University reexamine the academic support system for student-athletes. It is the recommendation of the peer-review team that this process focus on the creation of a proactive, even intrusive, support process for student-athletes designed to create a broad expectation both of continuing academic achievement and of earning a degree as the normal outcome of a successful undergraduate athletics career. The institution's plan that this process result in recommendations and a written plan to be presented to the senior administration by the end of the spring 1997 semester seems appropriate to the team and conducive to implementation of the recommendations beginning with the 1997-98 academic year.

Action: A new position, Student-Athlete Academic Coordinator, has been created and the recommendations have been implemented.

Recommendation No. 2 (relating to Operating Principle Nos. 2 and 4):

The peer-review team concurs with the institution's recommendation (No. 9) that the University appoint a full-time coordinator for support programs for student-athletes. The peer-review team notes that support for this position was evident from a broad variety of sources interviewed during the visit. The peer-review team believes that such a position, thoughtfully designed, carefully staffed and vigorously supported, can be a powerful tool toward the achievement of Recommendation No. 1 above. The peer-review team expresses the expectation that the design and staffing of this position can be accomplished during the 1997-98 academic year.

Action: This position has been created.

Recommendation No. 3 (relating to various Operating Principles):

Self-study recommendation Nos. 1-7 in the section on academic integrity propose improvements related to Operating Principle Nos. 3 and 4 and to the operation of the athletics program in conformity with the mission and purpose of the institution. The peer-review team concurs that these recommendations are appropriate and encourages their implementation in accordance with the recommended deadlines.

Action: The self-study recommendations 1-7 have been implemented.

### Fiscal Integrity

Recommendation No. 1 (relating to Operating Principle No. 2):

The peer-review team concurs with the institution's recommendation regarding outside income earned by athletics department personnel, namely, that the president define the nominal amount for which he will give blanket approval, and that a detailed accounting for all such income be provided to the president. It is the understanding of the peer-review team that this recommendation has been in effect since fall 1996.

Action: Every staff member completed the Outside Income form and these are signed by the President.

Recommendation No. 2 (relating to Operating Principle No. 2):

## Introduction to Self-Study Report

The peer-review team concurs with the institution's recommendation that athletics contracts include the stipulation that any income and benefits from sources outside the institution must have prior approval of the president. It is the understanding of the peer-review team that this recommendation has been in effect since fall 1996.

Action: This recommendation has been implemented.

Recommendation No. 3 (relating to Operating Principle No. 1):

The peer-review team concurs with the institution's recommendation that the internal auditor be directed by the president to begin biannual audits of the athletics department. The peer-review team recommends that this be accomplished by summer 1997.

Action: This recommendation has been implemented on an annual basis.

Recommendation No. 4 (relating to Operating Principle No. 1):

The peer-review team concurs with the institution's recommendations that a task force be charged with the responsibility to develop policies and procedures that ensure that summer camps are operated in accordance with the operating principles and that there is appropriate institutional oversight in place. The peer-review team recommends that this be accomplished by summer 1998.

Action: This has been implemented.

Recommendation No. 5 (relating to Operating Principle No. 1):

The peer-review team recommends that a review of current telephone procedures be conducted within the next three months and that sufficient controls are added to ensure that abuse of long-distance services by student-athletes or others cannot occur.

Action: This has been implemented.

Recommendation No. 6 (relating to Operating Principle No. 1):

The peer-review team recommends that a long-range financial plan be developed to ensure there are sufficient and relatively full and stable opportunities for all student-athletics. The peer-review team also believes that attention must be given to increasing the recruiting and operating budgets consistent with any increase in grant-in-aid moneys. This long-range plan should be communicated to all athletics staff, student-athletes and other members of the campus community within the next eight months.

Additionally, the peer-review team believes that the status of the varsity sports that are lower-tiered sports be discussed in detail and that their place in the athletics community be communicated to the student-athletes participating in those sports so that their concerns are addressed, or that they be given direction as to the future of their particular sports. Some reallocation of resources with the current budget should address the majority of the concerns of the student-athletes and coaching staff in the sports of men's and women's cross country, men's water polo and tennis, and women's softball and swimming. The team acknowledges that the university does have the freedom to determine which sports to emphasize, but there are some basic needs that all sports should be afforded such as access to sports medicine services, qualified coaching, necessary equipment and equitable accommodations.

Action: The Long Term Plan is in place and implementation has occurred; substantial progress has been made.

Commitment to Equity

Recommendation No. 1 (relating to Operating Principle No. 1):

The peer-review team concurs with the institution's recommendation to develop a formal institutional plan for addressing gender equity. The institution states that it does not have such a plan; however, a plan is included in the self-study document. It is evident that many of the recommendations in this plan have been accomplished and that several others remain to be completed. It is recommended that the suggested actions included in this document be set in motion with the timetables listed.

Action: This has been implemented.

Recommendation No. 2 (relating to Operating Principle No. 2):

The peer-review team recommends that a separate plan be developed for the athletics department that specifically addresses goals for providing equitable opportunities for minority students and institutional personnel. This plan should include clearly defined goals that would enhance the retention of minority student-athletes and increase the

## Introduction to Self-Study Report

opportunities for employment of minority personnel. These recommendations are made in recognition of the widely diverse population of the surrounding community, as well as the relatively diverse population of the student body in general. This plan should be completed before the end of the 1997-98 academic year.

Action: The plan has been implemented and we are in substantial compliance.

Peer review team suggestions from 1996-97 certification process:

Governance and Commitment to Rules Compliance

Suggestion No. 1 (relating to Operating Principle No. 7):

The peer-review team suggests that the West Coast Conference could be involved in the periodic review of the institution's rules compliance program. This may be a separate process or may be done in conjunction with the internal auditor's review.

Action: Implemented.

Academic Integrity

Suggestion No. 1 (relating to Operating Principle No. 4):

The peer-review team suggests that academic support programs be extended to all student-athletes without regard to scholarship status of team or athlete. It is the team's understanding that planning for this move is underway, with expectations for implementation during the coming academic year.

Action: Implemented.

Fiscal Integrity

Suggestion No. 1 (relating to Operating Principle No. 1):

The peer-review suggests that the current practice of allocation of Pride of Lions funds to the various sports programs be reviewed to ensure that gender-equity concerns are not discounted.

Action: Implemented.

Suggestion No. 2 (relating to Operating Principle No. 1):

The peer-review team suggests that the current practice of allocation of the equipment funds transfer from the student affairs budget to the various sports programs be reviewed to ensure that gender-equity concerns are not discounted.

Action: Implemented and in compliance.

Commitment to Equity

Suggestion No. 1 (relating to Operating Principle No. 3):

The peer-review team suggests that, while the institution has shown excellent progress in the area of student-athlete welfare, additional means of gaining input from the student-athletes regarding issues that impact their sports and their lives be investigated. It is suggested that student-athletes be included in all campus or athletics department committees that deal with issues that affect their specific population directly or indirectly. In addition, it is suggested that all recommendations made in the equity plan that address student-athlete welfare issues be implemented as soon as possible.

Action: Implemented.

Suggestion No. 2 (relating to Operating Principle No. 1):

While the institution has developed a plan to address gender equity, it is suggested that a follow-up version of the plan be developed to address concerns relating to the long-term success and development of the program in an equitable manner. The institution may wish to consider recommendations from the coaching staff as well as student-athletes regarding priority issues in light of an evidently insufficient budget allocation.

Action: Implemented.

Suggestion No. 3 (relating to Operating Principle No. 3):

## Introduction to Self-Study Report

While the peer-review team applauds the institution's efforts to include student-athlete input in areas which may affect decision making (Captains' Council, exit interviews), it appears that there are no universal standards for behavior or discipline that are equally enforced by the coaching staff. It is suggested that an expanded, uniform student-athlete code of conduct be developed with input from coaches and student-athletes as well as individuals from outside the athletics department.

Action: Implemented.

Suggestion No. 4 (relating to Operating Principle No. 3):

The peer-review team recognizes that Loyola Marymount is a small institution with limited resources allocated for intercollegiate athletics. It is suggested that ways be investigated to bring the lower-tiered sports to a reasonable level of funding to ensure that the welfare of student-athletes is not compromised.

Action: Substantial progress has been made.

### B. Major Components of the Self Study

#### 1. Appointment of Steering Committee Chair:

Rev. Al Koppes, O.Carm., has been appointed as the Steering Committee Chair by President Robert B. Lawton, S.J. Reverend Koppes is considered a member of the University's senior-management, who has clear authority from President Lawton as well as ready access to him.

#### 2. Appointment of Steering Committee and Subcommittees:

The committee is comprised of an adequate number of individuals to perform the duties and responsibilities. There is an adequate balance between staff members inside and outside of athletics. Each individual has unlimited access to information.

#### Steering Committee Membership

Rev. Al Koppes, O.Carm. Chair, Steering Committee; Dean, School of Education

Rev. Robert B. Lawton, S.J. President

Elana M. Bove, Ed.D. Vice President for Student Affairs

Terry Buckley Regent

Barbara Busse, M.A. Associate Professor & Acting Dean, Communication and Fine Arts

Maria Degitz Student Representative

Thomas Fleming Vice President of Finance

Danny Harper Student Representative

William S. Husak, Ph.D. Athletics Director

Gerald S. Jakubowski, Ph.D. Dean, College of Science and Engineering

Linda McMurdock, Ph.D. Director, Student Psychological Services

Michael Mulvihill, Ph.D. Faculty Athletics Representative; Professor, Civil Engineering

William Salvini Report Writer; Manager, Academic Publications

Lynne Scarboro Vice President for Administration

Terry Seidler Trustee

Rosenia St. Onge Associate Academic Vice President, Records and Registration

Betty Werner Senior Associate Athletics Director/SWA

#### Subcommittee Membership

##### Governance and Commitment to Rules Compliance

Michael Mulvihill, Ph.D. Chair of the Subcommittee; Professor, Civil Engineering

Steven Combs, Ph.D. Assoc. Professor, Communication Studies

Debbie Gormley Manager, Academic Records

Colin Hinds Asst. Director of Alumni Relations

Jaime Kroeze Student-Athlete

Dale Marini Associate Director of Admissions

## Introduction to Self-Study Report

Lisa Piumetti-Farland Director of Alumni Relations  
Daniel Smith Athletics Liaison; Assistant Athletics Director, Compliance

### Academic Integrity

Gerald S. Jakubowski, Ph.D. Chair of the Subcommittee; Dean, College of Science & Engineering  
Matthew Casana Athletics Liaison  
John R. Connolly, Jr., Ph.D. Professor, Theological Studies  
Jennifer L. Eich, Ph.D. Assoc. Prof., Modern Languages & Literature  
Bernie Ochoa Student-Athlete  
Irene Oliver, Ph.D. Associate Professor, Education  
David Ramirez Director, Athletic Training  
Maureen Schaukowitch, EdD. Director of Internship, School of Education  
Dr. Beth Stoddard, Ph.D. Asst. VP for Student Affairs  
Matthew Streb, Ph.D. Asst. Professor, Political Science  
Thomas L. White, Ph.D. Chair of Ethics in Business

### Financial Integrity

Thomas Fleming, Jr. Chair of the Subcommittee Vice President of Finance  
Maria Behm Asst. Athletics Director/Finance Athletics Liaison  
Maureen Cassidy Director, Internal Audit  
Melandy Duval Asst. VP for Development  
Dan Forgeron Asst. VP for Business Affairs  
Linda Lang Asst. VP Facilities Planning & Admin.  
Kate Murray Student-Athlete  
Rob Okum Chair, Athletics Director's Council  
Joe Sabol Chair, Lions Fund

### Equity and Student-Athlete Welfare

Barbara Busse Co-Chair of the Subcommittee; Assoc. Professor & Acting Dean, Communication and Fine Arts  
Linda McMurdock, Ph.D. Co-Chair of the Subcommittee; Director, Student Psychological Services  
Ben Bobo, Ph.D. Professor, Finance/CIS  
Maria Degitz Student-Athlete  
Danny Harper Student-Athlete  
Patricia Oliver Assoc. Prof., Communication Studies  
Abbie Robinson-Armstrong, Ph.D. Asst. to President for Intercultural Affairs  
Betty Werner Athletics Liaison; Senior Assoc. Director of Athletics/SWA  
Debbie Wilson, R.N., M.P.H. Assistant Dean & Director, Student Health Services  
Rev. Mark Zangrando, S.J. Dean of Students

#### 3.a. Steering Committee Responsibilities:

- Appoint members of the four Subcommittees. Ensure campus-wide representation on the Subcommittees.
- Work with Chairs of Subcommittees to establish dates for regular progress reports, draft report, and final reports; this will be done after the NCAA liaison visit. These reports will be reviewed for consistency with the NCAA Operating Principles and plans for improvement as appropriate.
- Meet regularly to hear and offer feedback on Subcommittee reports.
- Respond and give feedback on Subcommittee draft reports.
- Review and edit completed reports of Subcommittees.
- Review and edit draft of self-study to ensure that the final report is consistent with NCAA Operating Principles and provides plans for improvement as appropriate.
- Meet with appropriate individuals or groups as requested by the President to communicate the final results of the Self-Study.
- Publish and disseminate campus-wide final version of the Self-Study report.

#### 3.b. Subcommittees Responsibilities:

- Each Subcommittee will meet independently and review the self-study instrument as it relates to the particular subcommittee (e.g., Equity).
- Each Subcommittee will gather and review all its appropriate information/data.
- Each Subcommittee will provide progress reports to the Steering Committee.

## Introduction to Self-Study Report

- Each Subcommittee will complete its self-study requirements according to the agreed-upon time lines.
- Each Subcommittee will submit its final report to the Steering Committee.

#### 4. Institution Liaison:

Betty Werner, Senior Associate Athletics Director/Senior Woman's Administrator will act as the Institution Liaison. Responsibilities will be to communicate between the committee and the NCAA.

#### 5. Outline and Schedule:

##### 2003

September 15: First Steering Committee Meeting - Plan Draft

October 10: Josh White's NCAA In-Service

October 15-March 15: Data collection work of Subcommittees

December 5: Report due to Steering Committee

##### 2004

February 6: Report due to Steering Committee

March 12: Report due to Steering Committee

March 15: Draft of findings from Subcommittees

April 1: Follow-up from Steering Committee recommendations

April 16: Report due to Steering Committee

May 1: All data collected, findings & conclusions confirmed

May 28: Send final report to Steering Committee

June 15: Committee chair reports completed and into report writer's hands

August 15: Deadline - Completed Self-Study submitted to NCAA

November: NCAA Peer Review Visit

#### 6. Self-Study Report:

Subcommittees will have available to them work-related assistance such as secretarial help and access to fax and photocopying. This assistance comes from the staff and support personnel sub-committee chairs and members and the Athletics Department. They will also be assisted by the self-study chief report writer, William Salvini, Manager of Academic Publications.

#### 7. Steering Committee Reports to Institutional Community

The work of the steering committee will be communicated via e-mail, placed on a web site, and presented to the academic and staff senates. Plans are being discussed regarding the setup of website access.

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.1 Mission of the Athletics Program and the Institution

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

No corrective actions, conditions for certification, or strategies for improvement related to governance and commitment to rules compliance issues were imposed on the University by the NCAA Division I Committee on Athletics Certification in the previous self-study certification.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Original Plan  
Action(s) Taken  
Date of Action(s)  
Action(s) Not Taken or Completed  
Explanation for Partial/Non-Completion

1.1

Original Plan: No Actions  
Action(s) Taken: Legislatively Eliminated

1.2

Original Plan: Reform and restructure the Athletic Advisory Board (AAB) as stated on page 4 of Peer Review Report dated 7/23/97

Action(s) Taken: Completed; periodically reviewed and revised as necessary  
Date of Action(s): Restructuring (May 6, 1997); Minor Revisions (July 12, 1999) (See Appendix - "AAB Roster")  
Action(s) Not Taken or Completed: N/A  
Explanation for Partial/Non-Completion: N/A

1.2

Original Plan: Establish formal AAB agenda and regularly scheduled meetings  
Action(s) Taken: Completed  
Date of Action(s): May 6, 1997 (See Appendix - "AAB Minutes")  
Action(s) Not Taken or Completed: N/A  
Explanation for Partial/Non-Completion: N/A

1.2

Original Plan: Revise AAB membership and composition as stated on page 20 of self study  
Action(s) Taken: Completed  
Date of Action(s): May 6, 1997

## Governance and Commitment to Rules Compliance

Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.2

Original Plan: Provide stipend or reduced teaching load to Faculty Athletics Representative (FAR)  
 Action(s) Taken: Completed prior to conclusion of 1st cycle certification  
 Date of Action(s): Completed  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Establish policies and procedures for renewal/nonrenewal of athletically related financial aid to student-athletes  
 Action(s) Taken: Completed; reviewed and revised annually  
 Date of Action(s): Spring 1997; last revision completed Spring 2003 (See Appendix - "Compliance Handbook Policies and Procedures")  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Periodic review of rules compliance program conducted by University Internal Auditor  
 Action(s) Taken: Partial Completion (See Appendix - "Internal Audit Compliance")  
 Date of Action(s): See schedule  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: University Internal Auditor has reviewed selected areas of compliance program periodically based on resources available to her.

1.3

Original Plan: Periodic review of rules compliance program by an authority outside the University (West Coast Conference)  
 Action(s) Taken: Completed  
 Date of Action(s): November 2000; February 2004 (See Appendix - "Compliance Review, WCC")  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Establish/create policies and procedures manual for rules compliance  
 Action(s) Taken: Completed  
 Date of Action(s): 1999-2000 Academic Year; revised annually; last date of revision = Fall 2003 (See Appendix - "Compliance Handbook Policies and Procedures")  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Timely submission of documents to University Registrar (certification of eligibility)  
 Action(s) Taken: Completed  
 Date of Action(s): Last revised in Fall 2003 (See Appendix - Compliance Handbook Policies and Procedures")  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Attendance at annual NCAA Compliance Workshops by Compliance/Registrar/FAR/Financial Aid  
 Action(s) Taken: Completed  
 Date of Action(s): Attended Summer 2003  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Method of identifying student-athletes on Financial Aid  
 Action(s) Taken: Completed 1997; coded in University Banner System as Student-Athletes  
 Date of Action(s): Revised annually  
 Action(s) Not Taken or Completed: N/A  
 Explanation for Partial/Non-Completion: N/A

## Governance and Commitment to Rules Compliance

1.3

Original Plan: Submission of report by Director of Athletics to AAB -Annual Report

Action(s) Taken: Completed

Date of Action(s): Presented Annually

Action(s) Not Taken or Completed: N/A

Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Analysis of staffing and assignment of personnel to Vice President for Student Affairs

Action(s) Taken: Completed

Date of Action(s): Spring 1997; revised annually

Action(s) Not Taken or Completed: N/A

Explanation for Partial/Non-Completion: N/A

1.3

Original Plan: Rules compliance statements included in contracts for all part-time coaches

Action(s) Taken: Completed

Date of Action(s): Spring 1997 (See Appendix - "Job Descriptions")

Action(s) Not Taken or Completed: N/A

Explanation for Partial/Non-Completion: N/A

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

We did not have an interim report.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

n/a

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.

n/a

7. Explain how the mission of the athletics program relates to that of the institution as a whole.

n/a

8. Describe how and to whom the athletics program's mission statement is circulated.

n/a

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

## Governance and Commitment to Rules Compliance

n/a

### Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Governance and Commitment to Rules Compliance

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Edit element to input the issue.	Edit element to input the goal.	Edit step to input the step to achieve goal.	Edit step to input responsibility.	Edit step to input step's timetable.

## Governance and Commitment to Rules Compliance

### Operating Principle

#### 1.2 Institutional Control, Presidential Authority and Shared Responsibilities

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

n/a

5. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).

The University Board of Trustees has been significantly involved in the following decisions relative to Intercollegiate Athletics. The Board approved the Strategic Plan for the University that included:

- Annual University Budget Approval.
- Capital/Fundraising Campaign for Athletics (May 2002). (See Appendix - "Capital Campaign")

## Governance and Commitment to Rules Compliance

- Approval of the University Strategic Plan that includes the 10-Year Plan for Intercollegiate Athletics. These plans include a formal process for setting goals, benchmarks, and evaluation using a Performance Scorecard (May 2001). (See Appendix - "Strategic Plan")

### 6. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's chief executive officer has been significantly involved.

The President of the University has been significantly involved in the following decisions that affect Intercollegiate Athletics:

- Approved Gender Equity Plan (April 2002).
- Approved Minority Plan (April 2002).
- Approved Strategic/10-Year Plan - including hiring of full-time Head Coaches (May 2001).
- Approve annually Multi-Year and Adjustment Contracts.
- Approved Salary Survey (January 2004-Ongoing).
- Annual Certification of Compliance for the NCAA.

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

Major decisions involving Intercollegiate Athletics at Loyola Marymount University are made by the University Board of Trustees and University President. The organizational structure used by the Board of Trustees and President to make these decisions includes several individuals (see Appendix - "Organizational Chart"). A description of the responsibilities of those individuals is provided below:

#### The Board of Trustees

The University Board of Trustees provides oversight of all University programs and approves all major budget and expenditure proposals. The Board of Trustees retains oversight for broad policy formulation and delegates most decision-making authority to the President of the University. The Board of Trustees Student Life Committee has the specific charge of oversight of Intercollegiate Athletics.

#### The President

The University President delegates most of the decision-making authority to the Vice Presidents of the major areas within the University. Specific to Intercollegiate Athletics, the President delegates oversight authority to the Vice President for Student Affairs. The President and Vice President for Student Affairs meet regularly and Intercollegiate Athletics is a regular item on their agenda. Further, the Vice President for Student Affairs and the Director of Athletics meet monthly with the President to cover issues and make necessary decisions specific to Intercollegiate Athletics. Examples include gender equity, salary issues, contracts, athletic facilities, and capital campaign/fundraising,

#### The Vice President for Student Affairs

The Vice President for Student Affairs delegates most of the decision-making authority to the Director of Athletics. The Vice President for Student Affairs and the Director of Athletics meet weekly to discuss a wide range of issues involving Intercollegiate Athletics. Major decisions normally include but are not limited to hiring of staff and coaches, budget and capital expenditures, policy formation, operations, etc. Additionally, the Vice President for Student Affairs serves as the Institutional Representative to the West Coast Conference.

#### The Director of Athletics

The Director of Athletics (AD) reports directly to the Vice President for Student Affairs. The AD meets weekly with the Vice President for Student Affairs and monthly with the University President to discuss matters relating directly to Intercollegiate Athletics. The AD assumes all responsibilities for operation of the Intercollegiate Athletics program in accordance with the policies, procedures, and regulations of Loyola Marymount University, the West Coast Conference, and the National Collegiate Athletic Association (NCAA). The AD is charged with direct oversight for operation, conduct, and evaluation of Intercollegiate Athletics staff and sports programs. Additionally, the AD is responsible for the fiscal integrity (receivables and expenditures) of the program and is charged with fundraising responsibilities to supplement the Athletics Department budget.

## Governance and Commitment to Rules Compliance

### The Faculty Athletics Representative

The Faculty Athletics Representative (FAR) is a member of the University teaching faculty. Appointed directly by the University President, the FAR serves as an advisor to the President. The FAR, along with the University Registrar, certifies student-athlete eligibility and acts as a liaison between Intercollegiate Athletics and the Faculty. The FAR chairs the Athletics Advisory Board and provides an annual report to the University President regarding the Intercollegiate Athletics Program. The FAR also consults with the Director of Athletics on a wide range of issues. Additionally, the FAR serves in a variety of ways to support student-athlete welfare, and performs other duties as assigned by the University President.

### The Athletics Advisory Board

The Athletics Advisory Board (AAB) is a Presidential committee whose function is to provide oversight of Intercollegiate Athletics program policy, ensuring that it is consistent with the mission, goals, and policies of the University. The composition of the AAB is provided.

8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

Dr. Michael Mulvihill, Chair, Professor, Civil Engineering  
 Dr. Ben Bobo, Professor, Business/CIS  
 Dr. Irene Oliver, Professor, Education  
 Dr. Lane Bove, Vice President, Student Affairs  
 Dr. Matt Streb, Assistant Professor, Political Science  
 Rev. Richard Rolfs, S.J., Professor, History  
 Dan Judnik, Student-Athlete, Cross Country  
 Danielle Kaminaka, Student-Athlete, Softball  
 Dr. William Husak, Director of Athletics, ex officio  
 Betty Werner, Senior, Association Director of Athletics, ex officio

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

## Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.3 Rules Compliance

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Issues in the Self Study  
Measurable Goals  
Steps to Achieve Goals  
Individuals/Officers Responsible for Implementation  
Specific Timetable for Completing the Work

Issues in the Self Study: The Faculty Athletics Representative (FAR) does not meet with athletics teams to discuss his role and responsibility to the Athletics program.

Measurable Goals: Provide a greater awareness to the student-athletes of the roles, responsibilities of the FAR. Provide student-athletes with information about resources and assistance that the FAR can provide. Stress to student-athletes the importance of academics and adherence to NCAA rules.

Steps to Achieve Goals: Meet with each athletics team at the beginning of each academic year.

Individuals/Officers Responsible for Implementation: Coordinate scheduling of each team meeting with Assistant Director of Athletics-Compliance.

Specific Timetable for Completing the Work: September 15, 2004

Issues in the Self Study: A University compliance committee does not exist on campus.

Measurable Goals: Provide greater coordination among campus wide representatives regarding NCAA rules.

Steps to Achieve Goals: Establish a committee composed of representatives from constituencies throughout the University. Departments with representation on the committee will include but are not limited to the FAR, Assistant Director of Athletics-Compliance, Registrar, Admissions, Financial Aid, Academic Deans.

Individuals/Officers Responsible for Implementation: FAR, Assistant Director of Athletics-Compliance

Specific Timetable for Completing the Work: August 30, 2004

## Governance and Commitment to Rules Compliance

Issues in the Self Study: Education regarding NCAA rules is circulated among internal and external constituencies, however, it is not disseminated through the University's quarterly news magazine (Vistas) sent to Alumni and friends of the institution.

Measurable Goals: Provide an additional outlet for NCAA rules education dissemination. Increase athletics boosters' knowledge of NCAA rules.

Steps to Achieve Goals: Publish NCAA rules education information in each issue of Vistas Magazine (quarterly).

Individuals/Officers Responsible for Implementation: Assistant Director of Athletics-Compliance coordinates publishing of appropriate information with University Relations.

Specific Timetable for Completing the Work: By next issue release (Fall 2004)

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. 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.

Booster clubs, support groups, as well as representatives of athletics interests are maintained under the direct control and oversight of the institution by both personnel from Athletics and University Relations. Collection of all donations made to the University is performed by University Relations. All donations and expenditures are recorded and controlled by the Office of the Vice President for University Finance. The following is a description of the fundraising efforts on behalf of the Athletics Department.

Fundraising efforts on behalf of Intercollegiate Athletics are broken into two categories:

A. Organization

1. Booster Clubs
2. LionsFund
3. Athletics Directors Council (ADC)

B. Needs

1. Annual Giving
2. Special Projects
  - a. Facilities (e.g., Tennis Courts, Golf Practice Green)
  - b. Special Programs (e.g., European Trips)
3. Capital Campaign
  - a. Major Construction/Renovation
  - b. Endowment

A description of how these three organizations help meet the needs of the Athletics Department are as follows:

Booster Clubs

Booster clubs consist of individuals who only have a specific interest in a particular sport and wish to support that program only. Gifts under \$100 are directed only to that sport and are used for the general operations of that program. These dollars may be used for any purpose the coach wishes, provided there is an approval made by the program's sport supervisor and Director of Athletics. Priority is given for the support of academic issues such as summer school, tutoring, 5th year scholarships, etc., but are not restricted to these areas.

Donors who give \$100 or more are informed that 50 percent of their gift will be directed to LionsFund, and 50 percent will be held in the sport-specific booster club account that is designated by the donor. The only exception to this policy is if the donor specifies that the gift be directed toward a pre-approved special project. The pre-approval of these special projects are made by the Director of Athletics and the program's head coach. In this case, 100 percent of the donation will be directed toward the special project.

## Governance and Commitment to Rules Compliance

Booster Club income is received from donations and fundraising for individual sports programs. This income is used for various expenses related to the operation of the specific sports program. The funds may be used prior to the depletion of the existing operational budget. The head coach, the sport's supervisor, and the Associate Director of Athletics for Business/Finance (ADA-BF) manage the Fund/Booster Club income. A credit balance in the account must be documented before an expense is charged to the account. All requests for reimbursement or payment must be initiated and approved by the Head Coach, approved by the ADA-BF and processed according to University policies and procedures.

Donations/gifts to the Booster Club accounts that are received by the Athletics Department are presented to the ADA-BF, documented, and sent to University Relations for processing. University Relations may receive other restricted gifts directly. University Relations deposits all donations with the Controller's Office and acknowledges receipt of the gift with the donor. Monthly gift reports are generated by University Relations and sent to the Athletics Department for reconciliation with the aforementioned documentation. The Athletics Department does not directly deposit gifts or donations to the Controller's Office.

### LionsFund

LionsFund (formerly known as Pride of Lions) is a fundraising group that was established in 2000 to promote and support Intercollegiate Athletics as an integral part of the institution and community. LionsFund, which boasts a donor list in excess of 950 members, serves as a clearinghouse for annual giving and assists in providing the resources needed for LMU student-athletes to achieve the highest level of athletic and academic success. Focused on providing a well-rounded athletic and educational experience, LionsFund supports student-athletes and their quest for academic and competitive excellence through scholarship and team support. Its objective is to stimulate and promote many forms of interest in support of Intercollegiate Athletics at the University.

LionsFund provides social, recreational, and educational experiences for its various interest groups, as well as builds volunteer and donor bases to conduct fundraising activities. LionsFund also serves as the parent fundraising organization for smaller, sport-specific booster groups. LionsFund works under the umbrella and control of University Relations to provide a base of professional fundraising services, athletic contributions, and other assistance through which alumni, friends, businesses, parents, and others may enhance the development of the University's Athletics program. LionsFund is spearheaded by the LionsFund Council. (See Appendix - "Fund Raising")

The purpose of the LionsFund Council is to support the student-athletes and teams who represent Loyola Marymount University through annual advancement, fund raising, and direct outreach to former athletes, parents, and fans of LMU Athletics.

Gifts to the LionsFund assist to provide the resources needed for LMU Athletics to achieve the highest level of success both athletically and academically. Focused on providing a well-rounded educational experience, LionsFund supports our student-athletes' quest for academic and athletic excellence through:

### Scholarship

- Athletic Grants in Aid
- Summer school and Fifth Year programs
- Tutoring and academic support

### Athletic Team Support

- Recruitment of top athletes
- Special team travel
- Equipment

### Experience

- Special projects
- Letterman's Awards
- Championship Award

The general account managed directly by University Relations is called the "LionsFund" account. This account captures all of the unrestricted annual giving donations and fundraising proceeds (gift revenues) given to the University on behalf of the Athletics Department.

- Gift amounts under \$100 and designated to a specific sport are credited to that team's booster club to provide funding over and above its annual budget. Expenditures are monitored and approved by the ADA-BF.
- Gift amounts over \$100 which are designated to a specific sport will be credited accordingly:
  - 50% supports the annual scholarship and program needs of that sport through LionsFund
  - 50% supports the sport's booster club to provide additional funds over and above the team's annual budget.

## Governance and Commitment to Rules Compliance

- Funds received with a particular sport specified as the intended recipient are considered restricted and all other funds received without donor-imposed restrictions are classified as unrestricted.

### Athletics Director's Council

The Athletics Director's Council assists the Athletics Department by supporting the mission of the University in providing a quality academic and competitive experience for its student-athletes. Its objective is to provide support to the Athletics Director, administration, coaches, and student-athletes by:

1. Promoting a significantly higher visibility for the LMU Athletics Department locally and nationally by increasing the awareness of the excellence of programs, scope of accomplishments, and the quality of student-athletes.
2. Securing financial support for scholarships, facilities, building funds, and special projects.
3. Building the future of LMU Athletics through endowment and deferred gifts.

The ADC members consist of individuals who dedicate time and resources to build the future of LMU Athletics and believe in the mission and values of the Department and University. The Loyola Marymount University Director of Athletics names a Chair in May at the final meeting of the year. The Chair serves for one year with the possibility of reappointment for two additional single year terms. The term of each Council member of the ADC is three years commencing June 1, with the possible reappointment of additional terms as approved by the presiding Chair of the ADC and LMU Athletics Director. ADC members work with the Chair and Director of Athletics to nominate new members, who are appointed to the ADC by the Director of Athletics. The size of the ADC will not exceed 25 active members. (See Appendix - "Fund Raising")

### Membership Responsibilities and Requirements

The responsibilities, requirements, and expectations of the ADC members are as follows or as changed by majority vote of the Council:

1. Members will support the LMU Athletics Department with a personal gift at \$5,000 minimum per year to the LionsFund.
2. Members will, on the occasion of special funding activities or capital campaigns, provide both the core leadership and support for the objectives and goals of the Department.
3. Members will provide advice and counsel to the Athletics Director on various matters concerning the Department and its programs.
4. Members will identify and recruit new volunteer leadership to the ADC.
5. Members will support the athletic activities of the University teams.
6. Members will assist in developing significantly higher visibility for the Athletics Department by serving as ambassadors to the greater Los Angeles community and beyond.

The ADC holds three regularly scheduled meetings during the academic year. Additional meetings may be called at the discretion of the Director of Athletics and the Chair of the ADC.

### Special Projects

Gifts made to special projects for capital needs are not LionsFund gifts and are not subject to the above guidelines. These projects are special one-time exceptions and require prior approval from the Director of Athletics (AD). These gifts are made independently of LionsFund donations.

### Major Gifts

University Relations staff members, in conjunction with the AD, are responsible for solicitations of major gifts in the amount of \$25,000 or more. Processing of donations made to the Athletics program is performed by University Relations.

University Relations serves as the central organization within the University responsible for fundraising and outreach to various constituencies. Staffing responsibilities for LionsFund and major gifts are borne by University Relations. The Associate Director for Annual Support-Athletic Giving is directly responsible for oversight of all LionsFund activities. The Director of Development for University Athletic Programs is directly responsible for oversight of all major gifts. Both positions report directly to University Relations; however, they have a dotted reporting line to the AD. This process mirrors constituent-based fundraising throughout the University.

### Compliance

The University conveys, interprets, and clarifies NCAA rules applicable to representatives of athletics interests. Members of the Athletics Department are actively involved in LionsFund activities to ensure that they are conducted in accordance with NCAA rules. Rules-compliance is viewed as part of all employees' responsibilities and is the responsibility of the Assistant Director of Athletics for Compliance (ADA-C). Education is achieved through a variety of vehicles including:

- "Reference Guide to NCAA Rules for Boosters" is supplied annually to all Athletics donors. (See Appendix - "Fund

## Governance and Commitment to Rules Compliance

Raising")

- Information posted on compliance section of Athletics website (LMULions.com).
- Periodic rules discussions with boosters and Athletics Director's Council members.
- Periodic rules discussions with LionsFund Council.

6. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.

In order to maintain compliance with NCAA rules, the institution has organized itself with an organizational structure that involves all levels of leadership within the University. The University Board of Trustees provides oversight of all University programs and holds institutional leadership accountable for all compliance efforts. Ultimate responsibility for NCAA and West Coast Conference (WCC) rules and regulation compliance rests solely with the University President. The President delegates specific responsibilities regarding rules compliance to the Vice President for Student Affairs. The Director of Athletics (AD) reports directly to the Vice President for Student Affairs and assumes direct accountability for conducting the Athletics Department in concert with the obligations of membership of the WCC and the NCAA, while maintaining high standards of academic integrity and ethical conduct, consistently promoting the ideals of commitment to honesty and sportsmanship, and fostering the education of the whole person. A description of the roles and responsibilities of those involved with rules compliance are provided below:

#### Director of Athletics

The AD is responsible for the conduct, administration, management, and control of the Athletics Department. The AD is responsible for the development and implementation of all policies and procedures that guide the Athletics Department in complying with NCAA and WCC rules and regulations. The AD is also responsible for conducting the program in accordance with the mission, philosophy, and ideals of the University.

The AD works in conjunction with the ADA-C and the FAR in the investigation of all alleged rules violations and reports findings, as necessary, to the Vice President for Student Affairs, the University President, University Counsel, the Commissioner of the WCC, and the NCAA. The AD collaborates with the ADA-C on necessary interpretations of rules and regulations for purposes of making decisions on issues involving all aspects of the Department of Athletics. Further, the AD, the ADA-C and the FAR collaborate to discuss proposed NCAA legislation. The AD then meets with the Vice President for Student Affairs and the University President to discuss legislative proposals and determine the University's position for voting purposes.

#### Associate Director of Athletics for Compliance

The ADA-C is responsible for direct oversight of all rules compliance related to Intercollegiate Athletics for the University in accordance with LMU, WCC, and NCAA rules and regulations. The ADA-C reports directly to the AD and is responsible for developing, implementing, and monitoring all Department procedures relating to NCAA and WCC compliance and rules education of student-athletes, athletics staff, applicable University staff, and representatives of athletics interests. (See Appendix - "Job Descriptions")

#### Compliance Graduate Assistant

The Athletics Department began employing a Graduate Assistant in Compliance for the first time in August 2003. The Compliance Graduate Assistant works 20 hours per week and assists the ADA-C in monitoring eligibility, recruitment, financial aid, and the NCAA Special Assistance Fund. The Compliance Graduate Assistant helps to maintain all student-athlete records relative to NCAA and West Coast Conference rules utilizing the NCAA CAI software.

#### Faculty Athletics Representative

The current FAR is a Professor of Civil Engineering and has served as the FAR since 2001. The FAR is appointed by the University President and promotes the welfare of student-athletes, helps ensure institutional control over all aspects of Intercollegiate Athletics, and champions the academic integrity of LMU's Athletics programs. The FAR, along with the Associate Academic Vice President for Records and Registration, certifies all student-athlete eligibility. Additionally, the FAR chairs the Athletics Advisory Board and acts as the liaison between the Faculty and the Athletics Department. Further, the FAR plays an integral role in all investigations of alleged rules violations as

## Governance and Commitment to Rules Compliance

well as reporting any findings as deemed appropriate and necessary. The FAR assists in the annual recruitment certification examination process, participates in compliance reviews, and assists in the nomination of student-athletes for academic achievement. The FAR is responsible for reporting annually as well as providing advisement as necessary to the University President. (See Appendix - "Job Descriptions")

### Internal Auditor

The University's Internal Audit department performs annual reviews of selected procedures of the Athletics Department's compliance program. A written report of the findings is completed with each review. A summary of these reports are submitted to the Vice Presidents for Finance and Student Affairs as well as the Board of Trustees Audit Committee. (See Appendix - "Job Descriptions")

### Coaching Staff Members

All coaching staff members (head, assistant, volunteer) are informed of their responsibility to abide by LMU, WCC, and NCAA rules and regulations through job descriptions and annual evaluations, as well as in all contractual agreements. Each head coach is responsible for the conduct of his/her coaching staff and must ensure strict accordance with all facets of eligibility, recruitment, financial aid, awards and benefits, and playing and practice season legislation. All coaches are required to attend monthly coaches meetings where compliance information is shared and reviewed by the ADA-C. All coaches are required annually to pass the recruitment certification examination and to complete all required compliance related paperwork as directed. At the end of each academic year, each head coach is evaluated by his/her sport's supervisor on a wide range of areas, including strict adherence to rules compliance. (See Appendix - "Job Descriptions")

Head coaches for men's basketball, women's volleyball, and baseball report to the AD. Head coaches for men's and women's soccer, men's and women's tennis, men's and women's cross country, women's basketball, women's softball report to the Senior Associate Director of Athletics. The head coaches for men's and women's water polo, women's swimming, men's and women's crew and men's golf report to the ADA-C.

### Associate Director of Athletics for Business/Finance

The ADA-BF works closely with the University Business Office, the University Controller, Student Accounts Office, Housing, Financial Aid and University Relations to ensure that all financial-related transactions are in strict accordance with LMU, WCC, and NCAA rules and regulations. The ADA-BF is responsible for monitoring all financial matters involving the Athletics Department, including but not limited to scholarships, game contracts, recruiting, travel, apparel and equipment, official visits, and fundraising efforts. (See Appendix - "Job Descriptions")

### Athletics Academic Coordinator

The Athletics Academic Coordinator (AAC) reports directly to the Dean of the College of Business Administration and has a dotted reporting line to the AD. The AAC occupies office space in the Athletics Department and is directly responsible for academic advising, study hall, and Learning Resource Center coordination for student-athletes. Additionally, the AAC supports the Champs/Life Skills, SAMS program, and nomination of athletic and academic achievements for various awards for student-athletes. Additionally, the AAC works with the ADA-C to ensure strict adherence to LMU, WCC, and NCAA eligibility rules and regulations. (See Appendix - "Job Descriptions")

### Registrar/Manager of Academic Records

The Associate Academic Vice President for Records and Registration, along with the FAR, serve as the institutional authority for certification for all student-athlete eligibility. The Manager of Academic Records and the ADA-C work collaboratively to prepare all forms of eligibility (initial, transfer, and continuing) for review and approval. Additionally, the Registrar's staff prepares various reports for Intercollegiate Athletics, including but not limited to mid-term deficiencies, term academic performance, graduation rate, ethnicity, transfer evaluation, and financial aid. (See Appendix - "Job Descriptions")

### Financial Aid

The Director of Financial Aid and a designated liaison from Financial Aid work collaboratively with both the ADA-BF and ADA-C on all facets of financial aid for student-athletes including but not limited to scholarships, grants, loans, and all other forms of financial aid. Additionally, Financial Aid provides early estimates for recruitment purposes, and reviews and approves Special Assistance Funding and all Renewals, Non-Renewals and Appeals processes. Financial Aid also verifies Non-Counter Certification for student-athletes. Further, Financial Aid works with the ADA-BF and ADA-C to ensure strict adherence to LMU, WCC, and NCAA rules and regulations. (See Appendix - "Job Descriptions")

### Associate Director of Admissions

The Associate Director of Admissions works directly with the ADA-BF and ADA-C, as well as head coaches on admissibility of prospective student-athletes. The Office of Admissions holds sole authority for all admissions decisions. There is no special admissions policy exclusively for student-athletes. Each student making application to the University is considered on a case-by-case basis. The ADA-C and the Associate Director of Admissions work

## Governance and Commitment to Rules Compliance

collaboratively with the head coaches, utilizing the NCAA CAi software, in the recruitment of prospects and determining admissibility status including necessary evaluation of academic performance relative to NCAA eligibility requirements. The head coach takes direction from the ADA-C and the Associate Director of Admissions on future courses of action. (See Appendix - "Job Descriptions")

### Camps and Clinics Coordinators

Two senior secretaries in the Athletics Department share responsibility for the operation of the Athletics Department's annual camps and clinics. The two secretaries have direct oversight for all scheduling, registrations, discounts, refunds, publicity, and daily operations. The ADA-BF, ADA-C, and the two secretaries work collaboratively to monitor all camp and clinic activities to ensure strict adherence to NCAA rules and regulations. (See Appendix - "Job Descriptions")

## 7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

Rules education efforts at the University involve several constituencies. Rules education programs have been designed and are functioning for a variety of groups including student-athletes, coaches, athletics and institutional staff members, and representatives of athletics interests. A description of this programming is provided below:

### Student-Athletes

Rules education efforts begin during the recruitment process and follow through the end of a student-athlete's eligibility cycle. Prospects are provided graduation rate information, five-visit letters, and NCAA Clearinghouse guidelines prior to admittance. Further, transfer prospects are provided official evaluations of transfer credit and applicable NCAA rules relative to meeting eligibility requirements. While acting in accordance with NCAA rules, the intent is to convey a serious commitment to rules compliance.

Rules education for student-athletes at the University starts with team meetings held at the beginning of each academic year, or in the case of Fall sports, during the pre-season practice period. At these meetings, the ADA-C provides a series of required forms for signature to each student-athlete. In this packet is a 4-page series of rules overview that each student-athlete is required to read and endorse prior to being cleared for practice and/or competition. The team meetings center on prevention and awareness of NCAA rules and regulations and cover areas including eligibility, recruiting, financial aid, amateurism, awards and benefits, gambling and agents, and outside competition. The series of forms to be completed by all student-athletes include: (See Appendix - "Student-Athlete Statement")

- General Information - Cover
- 13-Point Student-Athlete Conduct Review Checklist
- Student-Athlete Financial Aid/Amateurism Statement
- Verification of Use/Ownership of Motor Vehicle
- Release for Withholding Funds
- Acceptance of Student-Athlete Manual
- NCAA Drug Testing Consent
- NCAA Student-Athlete Statement
- Consent For Access to Educational Records
- HIPPA Form
- Judicial Affairs Records Release Form
- Sports Information Questionnaire/Past Participation Forms
- NCAA Eligibility Questionnaire
- Medical History Forms (Physical/Insurance/Acceptance of Risk)
- For International Students Only: International Student-Athlete Amateurism and Eligibility Forms/Eligibility Questionnaire
- Summary of NCAA Regulations
- FAFSA
- LMU Calculation of Charges Worksheet
- LMU Sickness Insurance Waiver Form

### Athletics Department Staff Members and Coaches

Rules education for Athletic Department staff and coaches is an ongoing effort. Compliance newsletters are provided to every member of the staff one time per month to cover NCAA rules, issues, and reminders. The monthly newsletter is distributed at each monthly Athletics Department meeting where portions of the meeting are dedicated for rules education. Further, the ADA-C is responsible for managing the Athletics Department compliance website

## Governance and Commitment to Rules Compliance

and providing useful information relative to NCAA rules compliance. Annually, the Athletics Department conducts a one-day inservice where NCAA Compliance is a major topic of discussion and Compliance Handbooks are distributed and reviewed under the direction of the ADA-C. At this inservice, all institutional control documents are completed and filed as required by NCAA legislations. Additionally, the FAR and the Compliance Officer for the WCC are involved annually in the recruitment examination certification for all coaches on the staff. At this time, a rules education session is conducted to cover pertinent NCAA rules as well as newly adopted legislation. Early in the academic year, the ADA-C distributes proposed NCAA legislation with the coaching staff and appropriate staff members to solicit opinion for the purposes of informing the AD and the University President prior to the voting process. (See Appendix - "Compliance Handbook Policies and Procedures")

### Institutional Staff Members

The ADA-C, the FAR, the Manager for Academic Records, and the Financial Aid Athletics Liaison attend the annual NCAA Rules Compliance seminar. Additionally, the ADA-C meets individually with each of the aforementioned as well as the Undergraduate Coordinators for each of the four colleges and school (Liberal Arts, Business Administration, Science/Engineering, Communication/Fine Arts, Film/Television) to periodically discuss pertinent NCAA rules as well as to provide appropriate interpretations on an as needed basis.

### Representatives of Athletics Interests

The ADA-C annually produces a brochure that includes NCAA rules, regulations, and guidelines that is sent to all LionsFund members. This information can also be found on the Athletics Department website at [www.LMULions.com](http://www.LMULions.com). Further, on an as needed basis, the ADA-C will collaborate and provide rules education and interpretation sessions with the Associate Director for Annual Support-Athletic Giving and the Director of Development for University Athletic Programs.

## 8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.

The University ensures that rules compliance is a central element in personnel matters by providing annually its Athletics Department staff members and coaches, along with appropriate University personnel involved in Intercollegiate Athletics a Compliance Handbook detailing rules and procedures relative to NCAA rules and regulations. Additionally, the University and Athletics Department Organizational Charts specifically outline reporting lines relating to rules compliance. The Compliance Handbook, prepared and distributed to the above aforementioned by the ADA-C, outlines the responsibility of rules compliance that each holder assumes as well as the requirement to complete all required documentation and tasks as deemed necessary by the AD. All job descriptions for all Athletics Department personnel include the following statements of rules compliance:

### NCAA, Conference, and University Rules Compliance

- b. Conduct all aspects of program in accordance with the rules and policies established by Loyola Marymount University, the Athletics Department, all sports conference affiliations, and the NCAA.
- c. Complete all compliance information as directed by the Assistant Director of Athletics for Compliance.

Evaluation criteria (see Appendix - "Staff Development Review") for all coaching staff members include a comprehensive review of rules compliance and completion of required documentation. Contracts for members of the coaching staff include clauses which indicate that failure to comply with or knowingly violating NCAA rules may result in serious disciplinary action that could involve termination of employment. Further, rules compliance issues are covered each month with the coaching and administrative staffs at an Athletics Department meeting. Also distributed at these meetings are Compliance Newsletters designed to assist the Athletics staff and coaches with, but is not limited to, reminders, important dates, recent news, issues, and legislative proposal information.

All coaching staff members are required to satisfactorily complete the annual NCAA recruitment certification examination prior to being certified by the Compliance Office and the WCC to engage in recruitment activities. Finally, all coaches and staff members take part in an annual one-day inservice training session which includes a rules compliance and education component. All staff members are required to attend this inservice training.

## 9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

n/a

## Governance and Commitment to Rules Compliance

- 10.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

### Eligibility Certification

All student-athlete eligibility (e.g., initial, continuing, transfer) at Loyola Marymount University is determined and approved by the Associate AVP for Records and Registration (AAVP, Records & Registration) and the FAR. In the case of initial eligibility, all approvals are issued by the NCAA Clearinghouse and then verified by the AAVP, Records & Registration and the FAR.

- 11.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

### Official Eligibility Rosters

- Names of all incoming freshmen/transfers and returning (continuing) student-athletes on each team must be submitted by each head coach to the ADA-C before July 1 (exception: walk-ons, late admits).
- Compliance Office immediately forwards names to Registrar's Office for processing.
- AAVP, Records & Registration and FAR verify Eligibility and sign rosters.
- Names of eligible student-athletes listed on signed rosters are eligible to compete. (no name on signed copy = not eligible to compete).
- All Eligibility Rosters are forwarded to the WCC for processing prior to the beginning of each sport season.

- 12.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

### Transfer Eligibility

- Head coaches are required to submit transcripts and SAT scores (if necessary) to the Compliance Office for evaluation. Evaluation process includes:
  - Transcripts are forwarded by the Compliance Office to the Undergraduate Coordinator at appropriate college for Preliminary Evaluation:
    - Liberal Arts Cathy Machado
    - Business Suzanne Calderon
    - Science Steve Scheck
    - Engineering Tom Calder
    - CFA Iwona Czarny
    - Film & TV Linda Jorgensen
  - Undergraduate Coordinator returns evaluation to Compliance Office, ideally within 1 to 5 working days.
  - Compliance Office provides Head Coach with evaluation.
  - If further recruitment is desired, evaluation is forwarded by Compliance Office to AAVP, Records & Registration and FAR for an Official Evaluation.
  - Official Evaluation is returned to Compliance Office, ideally within 1 to 5 working days.
  - Compliance Office provides copy of Official Evaluation to Head Coach.

- 13.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

### Policies on Reporting Conference/NCAA Violations

- All faculty and staff members operating within the Intercollegiate Athletics Department are expected to comply with all conference and NCAA regulations.
- Any violation (secondary or major) committed shall be reported orally to the ADA-C within twenty-four (24) hours.

## Governance and Commitment to Rules Compliance

The subsequent official notice of this violation shall be submitted in writing by the person reporting the incident to the ADA-C within one week.

- The ADA-C shall determine if the violation is potentially secondary or major.
- The ADA-C shall inform the AD and the FAR of the violation within twenty-four (24) hours.
- The ADA-C shall conduct preliminary investigation and file a written report to the AD and FAR. If the violation is of a secondary nature, the violation is submitted to the appropriate Conference Commissioner's Office or with NCAA Enforcement, whichever is indicated, with copies to the AD and FAR. The FAR and/or the AD shall notify the Vice President for Student Affairs and the President of the University if judged appropriately.
- In the event of a major violation, the ADA-C shall confer with the AD and FAR. The AD and the FAR will inform the Vice President for Student Affairs, the President and the University's legal counsel of the seriousness of the potential violation. If the allegation or self-reported violation are major in nature, the WCC shall be informed by the AD, and, if appropriate, to the appropriate officials of the NCAA. The ADA-C and the FAR will review the allegations and self-reported violations and make an initial report to the AD. After review of the initial report, a final report will be prepared by the ADA-C, FAR, and the AD and forwarded to the Vice President for Student Affairs, the President, and the University's legal counsel for review prior to submission to the WCC and/or the NCAA.
- The ADA-C shall ensure that copies of all correspondence in connection with any violation are received by the AD and FAR.

### 14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

#### Financial Aid

The Financial Aid Office assists those students who require financial assistance to pursue their higher education at Loyola Marymount University. Financial Aid is awarded in the form of scholarships, grants, loans, and employment both on and off campus. To be eligible for federal, state, or LMU need based financial aid programs awarded by this office, students must be citizens or eligible non-citizens, be making Satisfactory Academic Progress, and be enrolled in at least 6 units in an eligible program. Qualified students must not be in default or owe a refund to any federal program.

#### Financial Aid for Student-Athletes

The Financial Aid Office is responsible for extending all offers of institutional financial assistance to students and student-athletes. The Financial Aid Office is also responsible for extending renewal offers and non-renewal notices of institutional financial aid. The Financial Aid Office is responsible for all appeals processes regarding institutional financial aid issues, non-renewals, violations of NCAA Rules, and denial of transfer releases. Further, the Financial Aid Office is responsible for verifying all Non-Counter Certification for student-athletes.

#### Squad Lists

All squad lists and team equivalencies are monitored by the ADA-C. Maintenance is achieved through use of the NCAA CAi software. Equivalency denominators are derived from budget worksheets provided to the ADA-C by Financial Aid and provided to coaches each Spring. Head coaches provide lists of student-athletes and associated Grant-In-Aid amounts to the ADA-C and ADA-BF for purposes of making offers, tracking, and monitoring for NCAA rules compliance. Coaches have access to their respective teams on the NCAA CAi software for purposes of monitoring team limits as well. Financial Aid provides the ADA-C and ADA-BF with access to Financial Aid package information in the University Banner system for monitoring purposes.

#### National Letters of Intent (NLI)/Athletic Grant-In-Aid Agreements

- Head coaches complete and submit New Student-Athlete Information Request Form to ADA-C.
- Allow 7 days for processing.
- Forms must be filled out completely, including correct address and amount of Athletic Grant-in-Aid to be offered (must have amount approval provided by ADA-BF).
- Athletic Grant-In-Aid offers will not include other offers of financial assistance granted by the Financial Aid Office or other entity.
- All NLIs/Athletic Grant-in-Aid offers will be sent via Federal Express and will include LMU Graduate Rate information.
- NLIs must be signed within 14 days.
- Must be signed by parent/guardian if prospective student-athlete (PSA) is a minor (under 18 years of age).
- 4 copies of Athletic Grant-in-Aid will be sent to PSA for signature.
- 3 copies of NLI will be sent to PSA for signature.
- Head coaches must complete a "Procedural Checklist" that is used for Early Estimates, Admission consideration, and Athletic Grant-In-Aid/NLI Offers.

## Governance and Commitment to Rules Compliance

- Prospective student-athletes who will not be considered for Athletic Grant-In-Aid should contact the Financial Aid Office and follow their procedures for Financial Aid consideration.

### Athletic Grant-In-Aid Renewals/Non-Renewals/Appeals

- Head coach must make renewal/non-renewal recommendations to ADA-BF on or before June 1 of each academic year, or if during academic year, as soon possible (see specific procedures).
- ADA-BF forwards renewal/non-renewal recommendations to Financial Aid and to ADA-C for processing.
- The Financial Aid Office must inform all student-athletes of renewal/non-renewal recommendations prior to July 1 of each academic year.
- Head coach must provide ADA-C up-to-date addresses (including summer addresses if appropriate) for processing.
- 3 copies of Athletic Grant-in-Aid renewal will be sent to student-athlete for signature.

### Non-Counter Certification

- Head coach must designate all prospects who are or are not recruited in the NCAA CAi Software.
- Student-athletes are required to complete a brief series of questions in the Student-Athlete Questionnaire that validates recruitment or non-recruitment.
- ADA-C verifies both documents and generates forms for all non-counters and forwards those to Financial Aid for processing and signature.
- Non-counter certification forms are kept on file in the Compliance Office.

### NCAA Special Assistance Fund

The ADA-C is responsible for oversight and monitoring of all NCAA Special Assistance funding for student-athletes. This is achieved while working in conjunction with the Financial Aid Office to verify and approve funding each academic year. The following policies and procedures are used in distribution of funds:

- Limited funds are available each fiscal year.
- The ADA-C will not process applications without recommendations from the coaching staff in accordance with available funding.
- Coaches will recommend only those student-athletes who have demonstrated need that has been verified and approved by the Financial Aid Office.
- Only student-athletes who demonstrate real need for clothing, medical/dental/optical needs, course supplies (not books), and personal transportation home (round trip) from LMU will be considered.
- Only student-athletes who receive athletic scholarship funding and those who also receive Pell Grants in addition to their scholarship are eligible to receive funds.
- Student-athletes not receiving athletic scholarships are not eligible to receive funds.
- Coaches will assist the ADA-C with the application process and retrieval of receipts of purchase or services rendered.
- Demonstrated need by the student-athlete does not necessarily mean that every eligible student-athlete will receive funding.

### Process

- Oct. 1: Application deadline - Coaching staff submits applications to Compliance Office
- Oct. 2-12: Compliance Office reviews applications, verifies financial need of student-athletes with Financial Aid Office
- Oct. 15: Notification of approval/denial list to coaching staff
- Oct. 27: Coaching staff forwards desired list of recipients to Compliance Office
- Oct. 22-26: Compliance Office processes applications
- Oct. 29: Compliance Office submits applications to West Coast Conference for processing
- Soon After: WCC approval anticipated soon thereafter
- Mid-Nov.: Checks/acceptance forms forwarded to coaching staff for distribution to student-athletes

## 15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

### Telephone Log/Contacts/Evaluation Recording

- All logs, contacts, and evaluations are required to be recorded in the NCAA CAi Software.
- Access to the software is granted by the Compliance Office.
- Coaches are required to be officially certified annually via NCAA recruitment exam and receive a software educational session prior to engaging in recruitment activities.
- Usernames and secure passwords will be issued to each coach that is certified to recruit.
- Coaches should log onto the NCAA Software Website at <https://web1.ncaa.org/compliance> to maintain their

## Governance and Commitment to Rules Compliance

recruitment activities.

- Software is required to be updated at all times by all coaches designated and eligible to recruit.
- Periodically throughout each academic year, the Compliance Office will make appointments with coaches and spot-check progress.
- Paper forms are included for personal use but are not required to be submitted to the Compliance Office.

New Student-Athlete Information Request Form (For all Prospects and Transfers) Is Required Before:

- A prospect makes an official campus visit, signs a Letter of Intent, or becomes a walk-on.
- A formal request can be made on the status of a Prospective Student-Athlete (PSA) from the NCAA Clearinghouse; a report on the status of all athletes in the Clearinghouse will be available upon request (allow 24 hour response).
- A Grant-in-Aid offer can be made to a prospective student-athlete PSA.
- An evaluation can be made on a PSA who wishes to transfer to LMU.

Recruiting/Dead Period Calendars

- Recruiting calendars are provided men's and women's basketball, women's volleyball, baseball, and softball.
- Dead period calendars are provided for all other sports.

NCAA Graduation Rates Report

NCAA Bylaw 13.3.1 requires that a Graduation Rates Report be provided to every prospect and/or their parents that coaches are recruiting. This report must be provided to the prospect as soon as possible following the first arranged meeting between the prospect and the coach. A copy of the most recent Graduation Rates Report is included in this handbook.

Graduation Reports are:

- Sent by most coaches to all recruits the summer prior to their senior year of high school.
- Sent by Compliance Office to prospect and prospect's parents when offered an Official Visit, Athletic Grant-in-Aid, and/or National Letter of Intent.

Clearinghouse Tips and Important Facts About NCAA Eligibility

- NCAA produced publication purchased by LMU and given by coaches to prospects to guide them through all the steps required for entering the Clearinghouse for establishing initial eligibility.

NCAA Clearinghouse Transcript Evaluations

- Coach provides high school prospect's transcript to Compliance Office for evaluation.
- A worksheet is provided in the Compliance Handbook to offer assistance in evaluating the PSA's academic performance as well as to determine whether further recruitment should continue.

Official/Unofficial Visits

- Official visit request form is completed by head coach; presented to Compliance Office 7 days prior to visit.
- Initial approval requires academic documentation.
- All Official Visit documentation will be recorded in the NCAA CAi Software by the Compliance Office.

(The following must be attached to the OFFICIAL VISIT REQUEST FORM prior to visit)

Test Score

- SAT or ACT score required by LMU
- Must have been taken on a National Testing Date under National Testing Conditions
- Score must be presented in writing through an official high school or testing agency document but does not have to be received directly from the testing agency. Compliance Office may also accept automated score verified through the testing agency.

Transcripts

- May be an unofficial photocopy of the official document

Specifics for Two-Year College Transfers

- Two-year college prospects who are in their 1st year of attendance must be certified as a "qualifier" by the Clearinghouse. A non-qualifier cannot be recruited until the beginning of his/her 2nd year at the two-year college.
- Two-year college prospects in the 2nd year or more of attendance do not require Clearinghouse certification.
- Must present a transcript from the two-year college for verification of attendance for at least 1 year and for purposes of evaluating academic performance.

Specifics for Four-Year College Transfers

- Must have letter of release from former institution granting permission to recruit the student-athlete.

## Governance and Commitment to Rules Compliance

### Official Visit Invitation - Letter

- Must be sent by coach and received by prospect prior to visit.
- NCAA Bylaw 13.7.1.2.1 requires LMU to notify prospect in writing prior to visit.
- A photocopy of the invitation letter will be provided to coach.

### Student-Host Instruction/Declaration Form

- Must be signed by student-host for each recruit taking an Official Visit.
- Original must be turned in to Compliance Office immediately following visit.
- A photocopy must be presented to ADA-BF prior to reimbursement of costs for visit.
- Student-hosts are required to submit receipts for entertainment money spent on all Official Visits to the Head Coach immediately following the visit.

### Official Visit Itinerary

- Must be completed by head coach.
- Original must be turned in to Compliance Office immediate following visit.
- A photocopy must be presented to ADA-BF prior to reimbursement of costs for visit.

### Unofficial Visit Log

- Required to be tracked by head coach and input into the NCAA CAi Software.
- Paper form is included for use by coach and is not required to be submitted to the Compliance Office.

### Special Contact/Evaluation Calendars

- Required for selected sports (men's and women's basketball, women's volleyball, baseball, and softball).
- Refer to recruiting calendar included in Compliance Handbook.
- Submit contact/evaluation logs on first working day of month following contact or evaluation periods.

## 16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

The NCAA requires that all institutional camps (owned or operated by institutional staff members) be in compliance with all of the camps and clinics regulations. To ensure compliance in this area, the ADA-C has organized the rules and relevant NCAA interpretations into subject areas. A packet of information is provided to the camp/clinic coordinators as well as each coaching staff conducting a summer camp that is designed to serve as a valuable compliance resource.

Included in this packet are the following documents:

- Camp and Clinic Overview: What are camps and clinics and when can they be conducted?
- Brochures, Advertisements, and Awards
- Group and Reduced Admissions Policy
- Free or Reduced Admission Roster
- Employment
- Student-Athlete Employment List
- Student-Athlete Employment Agreement
- Educational Session - hand-out materials

All of the forms that are underlined must be filled out and returned to the compliance office.

## 17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

### Admissions

#### LMU Admissions Policy

Loyola Marymount University welcomes applications from students who subscribe to the goals of the University and who are qualified to undertake its programs. The University makes selective and individual decisions, and the academic record is the primary consideration. Writing ability; accomplishments in academic, artistic, athletic, co-curricular, or work or service-related endeavors; recommendations; national test scores; and relations to the University are also given significant consideration. Each application is individually evaluated.

Candidates are considered for admission to either the Fall or Spring semester, provided all required documents have been received before the priority dates. The Fall priority date for freshmen applicants is February 1; the transfer applications are due June 1; the Spring priority date for all applicants is December 1. Full consideration

## Governance and Commitment to Rules Compliance

cannot be assured to applicants failing to meet these priority dates. A personal interview is not required, but individual Admissions counseling appointments and campus tours can be arranged through the Office of Admissions.

### Procedures for Admitting Student-Athletes

- Names of all recruited and prospective student-athletes must be entered into the NCAA CAi Software.
- All recruited and prospective student-athletes must be ranked using ranking system provided in this section.
- Head Coach is required to use "Procedural Checklist" in this section for admissions and financial aid consideration.
- Head Coach is responsible for communicating all necessary admissions and financial requirements to prospect(s) (see LMU Undergraduate Bulletin for specific requirements and deadlines).
- Associate Director of Admissions will track required documents via the NCAA CAi Software and through personal communication with each Head Coach.
- Admissibility is determined by the Committee on Admissions. The Committee is comprised solely of representatives from the Academic Dean's Offices as well as representatives of the Admissions Office.
- All prospective student-athletes are required to demonstrate they meet all NCAA initial eligibility and/or transfer eligibility requirements prior to being admitted to the University. Exceptions to this policy may be made in certain cases as determined by the Admissions Office.
- Head Coaches are required to obtain a preliminary initial eligibility evaluation from the Compliance Office or provide Form 48-C from the NCAA Clearinghouse from the prospect to the Compliance Office for all prospects being considered for admission.
- Prospective student-athletes in all sports (both WCC and non-WCC sports) determined to be a non-qualifier by the NCAA Clearinghouse will not be admitted to LMU under any circumstance whatsoever, per WCC rules.

### Playing and Practice Seasons

#### Declaration of Playing and Practice Seasons

- Due mid-July to ADA-C.
- Officially identifies the start of practice, first contest, last practice, number of official dates of competition.
- Worksheet must be signed by AD and Head Coach prior to first date of practice.

#### Countable Athletically Related Activities - Countable Hours Logs

- Countable Athletically Related Activities (Countable Hours) logs are required to be turned in to ADA-C at the end of each month during the academic year.
- Log sheets are used for both in-season and out-of-season permissible activities.
- Form is included in the Compliance Handbook or is available in electronic form from the Compliance Office.
- See guideline sheets in the Compliance Handbook for assistance in determining permissible and non-permissible activities for both in-season and out-of-season segments:
- Defining Countable Athletically Related Activities.
- Participation in Countable Athletically Related Activities Out of Season.
- Voluntary Activities and the Safety Exception.

### Student-Athlete Employment

#### Overview

A Division I student-athlete is permitted to earn legitimate employment income during semester or term time, on- or off-campus under the following conditions:

Student-athletes must inform the Compliance Office if they intend to engage in any type of employment (e.g., on campus work-study, lab assistance, resident director, off-campus work, etc.) during the academic year.

Student-athletes are required to complete an employment approval form with the Compliance Office prior to engaging in work activities, and must abide by all NCAA rules regarding employment (summarized below):

- Student-athlete may receive pay only for work actually performed.
- Student-athlete may receive pay only at a rate commensurate with the going rate in that locality for similar services.
- Student-athlete may not receive pay for services of any kind based on athletics reputation or ability.
- Student-athlete may receive pay based on a commission basis if:
- Student-athlete personally pays for the cost of any required training.
- Personnel so employed in this position are both student-athletes and non-athletes.
- Student-athlete employment does not result in the company's use of student-athlete's athletic reputation for purposes of promoting the sale of the company's product or reputation.
- The company a student-athlete works for must document that non-athletic employees receive earnings from sales commissions at a rate generally equivalent to the same commissions student-athletes may receive.

## Governance and Commitment to Rules Compliance

- Student-athlete may receive compensation for teaching or coaching skills or techniques in his/her sport on a fee-for-lessons basis, provided:
  - Student-athlete does not use LMU facilities.
  - Student-athlete does not teach playing lessons.
  - Student-athlete must provide documentation to the Compliance Office of all fees received for the entire year, not just the academic year.
  - Student-athlete must ensure that the compensation he/she receives is paid by the lesson recipient (or their family) and not by another individual or entity.
  - Student-athlete must provide instruction comparable to the instruction that would be provided during a private lesson when that instruction involves more than one individual at a time.
  - Student-athlete must not use his/her name, picture, reputation or appearance to promote or advertise the availability of fee-for-lessons sessions.
  - Student-athlete may receive compensation for employment in institutional summer camps (LMU or other institutions) as a counselor.

### POLICIES

- Any student-athlete who wishes to engage in employment during the academic year must receive prior approval by the Compliance Office.
- Approval forms must be signed by the student-athlete, employer, and head coach and turned in to the Compliance Office prior to engaging in employment.

Student-athlete and employer must agree to make available, upon request, by an authorized representative of the NCAA, West Coast Conference, or Loyola Marymount University, copies of all documents, earning statements, and other records related to employment.

### Outside/Summer Competition

#### Summer Activities

- In all sports, summer practice is prohibited (see NCAA Bylaw 17.02.12.1).
- In all sports, student-athletes are prohibited from participating in required weight-training and conditioning activities held at the direction of, or supervised by, institutional staff members during summer vacation.
- In swimming, a staff member may provide skill or safety instruction to student-athletes who are participating in voluntary workouts, provided the staff member does not conduct the workout.
- In all individual sports, a coach may participate in individual workout sessions with student-athletes from the coaches team during the summer, provided the request for such assistance is initiated by the student-athlete. Such sessions may involve more than one student-athlete at a time (e.g., group workout), provided the request for such assistance is initiated by each of the student-athletes.
- In basketball, a student-athlete may compete during the period between June 15 and August 31 on a team in a league meeting the following requirements:
  - Not an All-Star game of any kind.
  - The league plays within a 100-mile radius of the student-athlete's official residence at the end of the previous academic year or the institution.
  - No team member makes any payments for play or expenses directly or indirectly to any player.
  - Post-season playoffs or tournaments (with intraleague competition) is completed by August 31.
  - Each team has not more than two (2) players with intercollegiate basketball eligibility remaining.
  - No charge for admission, parking, or any other possible revenues are taken.
  - No one in the league (staff or participant) is employed at any other two-year or four-year college.

Note: The student-athlete must receive written permission from the AD to participate in the league

### BASEBALL SUMMER LEAGUES

- Any baseball player with eligibility remaining could be affected.
- No more than four (4) players from LMU may play on any one team.
- Written approval from AD is required via Summer League Form. Lack of written approval will render the student-athlete ineligible for subsequent collegiate season.

### Other Stipulations

Players who are certified to play in leagues may:

- Be employed in a real and necessary job with compensation for work actually performed at a rate commensurate with similar jobs.
- Be employed as a camp counselor.
- Receive actual round trip transportation costs for coach fare between home and LMU and home community of summer baseball team.

## Governance and Commitment to Rules Compliance

- Receive actual and necessary travel expenses related to practice and competition - No Bonus Is Allowed.
- Receive awards worth no more than \$25 each with total awards received not to exceed \$200 total.

### BASKETBALL SUMMER LEAGUES

- Any basketball player with eligibility remaining could be affected.
- No more than two (2) players from LMU may play on any one team.
- Student-athlete may participate in any NCAA approved league within 100 air miles of his/her official residence. If none within 100 miles, he/she may participate in closest league available.
- Written approval from AD is required via Summer League Form. Lack of written approval will render the student-athlete ineligible for subsequent collegiate season.

### Other Stipulations

- League must be certified by the NCAA.
- May play only between June 15 and August 31.
- No All-Star game of any kind is allowed.
- No payment of any kind, direct or indirect, may be made to the player.
- Players must limit their participation to one team in one league only.
- No revenue shall be realized from any game or game service.
- No intercollegiate athletics staff member may be associated with the team or league in any capacity.

### Promotional Activities

#### Promotional Activities

- A release form with approval from the Director of Athletics is required any time a student-athlete's name, picture, or appearance is used to support a charitable cause.

### Bylaw 12.5

A member institution or recognized entity thereof (e.g., fraternity, sorority, or student government), a member conference, or a charitable, educational, or nonprofit agency may use a student-athlete's name, picture, or appearance to support its charitable or educational activities or to support activities considered incidental to the student-athlete's participation in intercollegiate athletics, provided the following conditions are met:

- The student-athlete receives written permission from the AD, subject to limitations set in Bylaw 17.
- The activity does not involve co-sponsorship, advertisement, or promotion by a commercial agency.
- The student-athlete does not miss class.
- All monies derived from the activity go directly to the institution, conference, or charitable educational or nonprofit agency.
- The student-athlete is given no more than legitimate and normal expenses related to participation in the activity, provided it occurs within the state, or if out-of-state, within a 100-mile radius of the campus.
- The student-athlete's name, picture, or appearance is not utilized to promote the commercial ventures of any nonprofit agency.
- Any commercial items with names or pictures of student-athletes may only be sold at the institution where the student-athlete is enrolled.
- The student-athlete and an authorized representative of the agency involved sign a release statement ensuring that the student-athlete's name, image, or appearance is used in a manner consistent with the requirements of this section.
- The appearance, name or picture of an enrolled student-athlete may be used to promote the fundraising activities of an institution, charitable, educational, or non-profit organization at the location of a commercial establishment, provided the commercial establishment is not a co-sponsor, does not advertise the student-athlete's presence, or is not involved directly or indirectly in promoting the activity.

## 18. Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

At the University's request, a representative of the West Coast Conference (an Associate Commissioner) conducts an evaluation of the University's rules compliance. This individual is clearly removed from day-to-day compliance responsibilities and is very knowledgeable about NCAA legislation and rules. Outside evaluations have been conducted in accordance with NCAA requirements by the West Coast Conference in November 2000 and February 2004. (See Appendix - "Compliance Review, WCC")

## Governance and Commitment to Rules Compliance

**19.** Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

The University's Internal Audit department is responsible for conducting rules compliance evaluations. This department is clearly removed from day-to-day compliance responsibilities. On a rotating basis the Internal Audit reviews specific areas of rules compliance in accordance with the NCAA Audit Program available to members of the Association of College and University Auditors (ACUA).

The annual audit plan includes this testing, though on occasion the testing is deferred due to unplanned projects which arise. The University's Internal Audit department reviewed compliance with Academic Eligibility rules in April 1999 and compliance with Financial Aid rules in Spring 2002. An additional senior auditor will be recruited and hired in 2004-05. This will provide additional audit resources and increase the likelihood that Internal Audit's NCAA compliance reviews will be completed as planned.

Internal Audit conducts its work in accordance with professional standards that require objectivity and independence from the operations review both organizationally and in mental attitude. Organizationally, the Internal Audit function reports to the University President which is a relationship that promotes the independence from operational management, including the management in the Athletics Department, that is required.

The Internal Auditor tests rules compliance using the audit program mentioned above that was developed to encompass NCAA rules. In addition, the testing is performed with reference to the current NCAA manual.

Internal Audit staff have attended continuing education programs which review current NCAA regulations and discuss proven audit procedures to test the institution's compliance with those procedures. (See Appendix - "Internal Audit Compliance")

**20.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

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

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

n/a

## Governance and Commitment to Rules Compliance

### Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

# Academic Integrity

## Operating Principle

### 2.1 Academic Standards

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Original Plan: A protocol needs to be established for certifying eligibility of continuing student-athletes before practice begins.

Action(s) Taken: Completed. The process is discussed in Operating Principle 2.1 study item #6.

Date of Action(s): August 2001

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

Original Plan: It is recommended that the Office of the Registrar send grade reports of student-athletes and a summary statistical report be furnished to the Academic Vice President, Director of Athletics, the appropriate coaches, the Vice President for Student Affairs, and the Athletics Academics Advisors.

Action(s) Taken: Completed

Date of Action(s): Fall 1996 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

## Academic Integrity

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.1 (Academic Standards). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

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

Student-athletes are admitted using the same standards and procedures that apply to all entering students. The admission policies and procedures for admitting students to the University are published in the 2003-2004 Loyola Marymount University Bulletin and can be found on pages 29-32 (See Appendix - "University Bulletin") as well as on the Loyola Marymount University website ([http://registrar.lmu.edu/Bulletins/2003-04\\_Bulletin.pdf](http://registrar.lmu.edu/Bulletins/2003-04_Bulletin.pdf)). The Director of Admissions approves the admission of all students, and the Admissions Office is the agency directly vested with this responsibility.

Decisions by the University's Admissions Office are based on quantitative criteria, which include the student's unweighted high school GPA and his or her scores on either the SAT or ACT. Qualitative indicators of the student's potential for academic success are considered in addition to the contribution the applicant can make to achieve the mission and goals of Loyola Marymount University.

The admissions process begins in the fall when the Planning Group for Enrollment Management recommends to the Academic Vice President the admissions criteria to be used for the following academic year. The Academic Vice President reviews the criteria with the Deans' Council, which is comprised of the Academic Vice President and the Deans of the Colleges/Schools. The Academic Vice President either approves or modifies these recommendations.

The quantitative admissions criterion is the Scholarship Index (SI), which is calculated from the applicant's unweighted high school GPA and non-recentered SAT scores. Currently the SI is calculated as follows:

$$SI = \text{Verbal SAT Score} + \text{Math SAT Score} + (\text{GPA} \times 600)$$

Applicants scoring 3200 or above are eligible for admission, provided they meet the following minimum standards: 500 verbal SAT; 500 math SAT; and 3.00 GPA.

Applicants who receive a score below 2900 are considered for refusal, although the Admissions Office can present a candidate to the Deans if they choose, and the Dean or Associate Dean may recommend the student's admittance upon review. The Admissions Office may also request that the respective Dean or Associate Dean of the appropriate college/school review the case of a student who scores above 3200 and meets all minimum standards if, in their judgment, such review is warranted.

Prospective student-athletes who do not meet the University's standards for admission may be referred back to the Admissions Office by the Athletics Department. The Admissions Office then refers the applicant to the Dean of the appropriate college/school. Generally these prospective student-athletes meet with the Coordinator of Student-Athlete Academic Services, the Vice President for Student Affairs, and the Academic Vice President as well as the Dean of the appropriate college. In addition, the prospective student-athlete may be referred to the Learning Resource Center for testing and evaluation before a decision by the Dean is made.

For students transferring to LMU from a two or four year institution, who would have been eligible for admission as a freshman and are in good standing at the last school they attended, the standard admission requirement is a minimum 2.75 (on a 4-point scale) cumulative GPA for all previous college work and a 2.75 cumulative GPA for the most re-cent college work. Transfer students who would not have been eligible for admission at the time of their

## Academic Integrity

graduation from high school are required to be in good standing at the last school they attended, have achieved a minimum 2.75 cumulative GPA in at least 30 units of transferable college work, and hold a 2.75 cumulative GPA for the most recent college work.

6. Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I graduation rates disclosure form) and for all entering freshmen students (by gender and by racial or ethnic group). [Note: Use the supplied charts and the graduation-rates disclosure form methodology to compile these data.]

See attached charts (gender, ethnic, and sport).

7. Please describe the process by which students may be admitted if they do not meet the institution's standard or normal entrance requirements and identify the agencies vested with this responsibility. This should include any second-level or subsequent review processes or appeals procedures which may be utilized when students are not automatically admitted because they do not meet the institution's published entrance requirements.

All students may request a review of their application in the event that they are not admitted during the first review of student applications. The student submits a written request asking for reconsideration, ideally submitting new/ additional information along with the appeal itself.

In addition, applicants who are not eligible for admission may be accepted in one of four ways:

1. The Admissions Office may ask the respective Dean or Associate Dean of the appropriate college/school to review an applicant with a Scholarship Index of less than 2900 if special circumstances provide evidence of potential academic success.
2. Athletics Department officials may refer prospective student-athletes who do not meet the University's admission standards back to the Admissions Office. The Admissions Office then refers the applicant to the Dean of the appropriate college/school. Generally these prospective student-athletes meet with the Coordinator of Student-Athlete Academic Services, the Vice President of Student Affairs, and the Academic Vice President as well as the Dean of the appropriate college. The prospective student-athlete may be referred to the Learning Resource Center for testing and evaluation before the Dean makes a decision.
3. The case of an applicant not admitted through the admissions process or by the Dean of the appropriate college may be referred to the Special Admissions Committee. This Committee, established in 1986, reviews and recommends appropriate action only in the case of candidates not meeting the qualitative standards for automatic admission or after the Dean's review. An applicant's case is referred to the Committee by the Director of Admissions based on evidence of outstanding potential and motivation for success at the University or the prospective student's ability to make a distinctive contribution to the academic or co-curricular programs of the University. The Committee, which may override previous decisions about a student's candidacy, consists of four faculty members and the Director of Admissions who is a non-voting member.
4. The President may directly admit an applicant to the University.

LMU does not recruit NCAA partial or non-qualified student-athletes.

8. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Number 7 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates supplemental form. [Use the supplied chart to compile these data.]

## Academic Integrity

### I. Admitted freshmen with less than minimum scholarship index.

2001 2002 2003

All freshmen 209 204 234

Freshmen student athletes on athletics aid below minimum index 17 22 21

Baseball 6 3 3

Basketball 1 3 2

Men's Track/Cross Country 0 0 0

Men's Other & Mixed Sports 1 4 6

Women's Basketball 1 1 1

Women's Track/CrossCountry 0 1 1

Women's Other Sports 8 10 8

### II. Students Admitted by President

2001 2002 2003

All freshmen 0 0 1

Athletes 0 0 0

### III. Students Admitted by College Dean

2001 2002 2003

All freshmen 1 2 2

Athletes 0 0 0

### IV. Students Admitted by Special Admissions Committee

2001 2002 2003

All freshmen 26 0 0

Athletes 0 0 0

## 9. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify initial eligibility for transfer student-athletes. Identify by name and title the individual(s) with final authority for certifying initial eligibility.

Head coaches are required to submit transcripts and SAT scores (if necessary) to the Associate Athletics Director for Compliance for evaluation. The Associate Athletics Director for Compliance forwards the student-athlete's transcripts to the appropriate college/school for preliminary evaluation by the Undergraduate Coordinator, who returns an evaluation to the Associate Athletics Director for Compliance within 1-5 working days. The Associate Athletics Director for Compliance then provides the Head Coach with the evaluation, and a decision whether to proceed with further recruitment is made. If this is deemed desirable, the Associate Athletics Director for Compliance then forwards the evaluation to the Associate Academic Vice President for Records and Registration and the Faculty Athletics Representative for an official evaluation. This official evaluation ideally is returned within 1-5 working days, and the Associate Athletics Director for Compliance then provides a copy of the official evaluation to the Head Coach.

The following Undergraduate Coordinators for each college/school are responsible for the certification of the student-athlete's initial eligibility:

Liberal Arts Cathy Machado

Business Suzanne Calderon

Science Steve Scheck

Engineering Tom Calder

Comm/FA Iwona Czarny

Film and Television Linda Jorgensen

In the case of initial eligibility, all approvals are issued by the NCAA Clearinghouse and verified by the Associate Academic Vice President for Records and Registration and the Faculty Athletic Representative, thus the following individuals have final authority for certifying initial eligibility:

Rosenia St. Onge

Associate Academic Vice President for Records and Registration

## Academic Integrity

Michael Mulvihill, Ph.D.  
Faculty Athletics Representative  
Professor, Civil Engineering

- 10.** List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify student-athletes' continuing eligibility. Identify by name and title the individual(s) with final authority for certifying continuing eligibility.

Continuing student-athlete eligibility at Loyola Marymount University is determined and approved by the Associate Academic Vice President for Records and Registration and the Faculty Athletic Representative, listed below. The names of all transfers and returning student-athletes for each team must be submitted to the Associate Athletics Director for Compliance before July 1. Walk-on and late admitted student-athletes are processed in a timely manner as they are identified. The Associate Athletics Director for Compliance immediately forwards these names to the Registrar's Office for processing. The Associate Academic Vice President for Records and Registration and the Faculty Athletic Representative then verify the students' eligibility and sign team rosters. Only eligible student-athletes, whose names are listed on signed rosters, are eligible to compete. All Eligibility Rosters are forwarded to the West Coast Conference office for processing prior to the beginning of each sport season.

### ELIGIBILITY CHECKPOINTS

Prior to certification for practice and competition, all student-athletes must:

- Sign NCAA Student-Athlete Statements
- Sign NCAA Drug Testing Consent Statements
- Complete and Sign LMU Student-Athlete Questionnaire and Physical Forms
- Sign LMU and NCAA Eligibility and Compliance Forms
- Provide Proof of Insurance
- Complete FAFSA Forms
- Complete LMU Calculation of Charges Worksheet

The Associate Academic Vice President for Records and Registration and the Faculty Athletic Representative, have final authority for certifying continuing eligibility of student-athletes:

Rosenia St. Onge  
Associate Academic Vice President for Records and Registration

Michael Mulvihill, Ph.D.  
Faculty Athletics Representative  
Professor, Civil Engineering

- 11.** Review the graduation rates for student-athletes who received athletics grants-in-aid, for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.

(See Appendix - "Graduation Rates")

As a whole, student-athlete graduation rates for the last three cohorts (1994-95, 1995-96, and 1996-97) appear similar to the graduation rates for the university as a whole. The reasons why students do not graduate are individual and complex. In only one cohort was the graduation rate for student athletes receiving athletics aid less than the University as a whole (1995-96, 64% for all student-athletes receiving aid, 68% for all students). For the two remaining cohorts, the student-athlete graduation rate was higher (73% to 70% in both cases).

## Academic Integrity

Analyzing male and female student-athlete graduation rates by ethnicity and sport is more difficult because of the smaller size. No significant trends emerge when looking at male student-athlete graduation rates when broken down by ethnicity. While the evidence is not conclusive, graduation rates for non-white male student-athletes are lower than for white male student-athletes (see especially the four-year class averages). No particular pattern emerges when the graduation rates for female student-athletes are broken down by ethnicity. The graduation rates for African-American female student-athletes is lower than those for other ethnicities, but that could simply be due to the small number of black female student-athletes over the three-year period.

In looking at graduation rates by sport, both baseball and men's basketball stand out. Men's baseball graduated 67% of its players in the 1994-95 cohort and only 50% of its players in the 1995-96 cohort. There was not an appropriate amount of data to analyze the 1996-97 cohort. The lower graduation rates might be attributed to players leaving early because they were drafted.

Men's basketball also has low graduation rates (33% and 25%; there was insufficient data to make any claims about the 1996-97 cohort). A coaching change that occurred in 1997 may explain the low graduation rate.

As should be expected from the aggregate totals, women's sports teams have strong graduation rates. In 1995-96, women's basketball did not graduate a player, but that is likely because of a small size (the data provided indicate the number of graduating players must be less than 5). In 1994-95 and 1996-97, however, women's basketball had graduation rates of 83% and 80%, respectively. The remaining women's sports have graduation rates above the graduation rate for all students as well (75% in 1994-1995, 81% in 1995-1996, and 85% in 1996-97).

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

The LMU Athletics Department is committed to recruiting student-athletes who have the potential and motivation to succeed in completing their degree. Student-athletes at LMU do not have any exceptions in academic standards or policies, other than those afforded to the entire student body. The academic degree requirements and policies of the University are published in the 2003-2004 Loyola Marymount University Bulletin and can be found on pages 58-69 (See Appendix - "University Bulletin") as well as on the Loyola Marymount University website ([http://registrar.lmu.edu/Bulletins/2003-04\\_Bulletin.pdf](http://registrar.lmu.edu/Bulletins/2003-04_Bulletin.pdf)). All students must graduate with at least 120 semester hours, and their coursework must include the required core classes and 45 semester hours of upper-division coursework. All academic work done at LMU must have a cumulative GPA of C (2.0): LMU uses a four-point scale in which an A equals a "4". At least 30 of the last 36 semester hours must be taken in residence at LMU. Any exceptions to the academic standards or policies of the University are handled through the appropriate processes. All student-athletes are required to enroll in at least 15 credit hours per semester.

### Evaluation

1. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is the contrast analyzed and explained by appropriate institutional authorities? **Currently Yes**
2. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is this disparity analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities? **Currently Yes**

## Academic Integrity

3. Does the institution demonstrate that academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher? **Currently Yes**
4. Does the institution demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

# Academic Integrity

## Operating Principle

### 2.2 Academic Support

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Original Plan: It is recommended that all student-athletes, whether on scholarship or not, be extended the privilege to participate in early registration for classes.

Action(s) Taken: Completed

Date of Action(s): Fall 1997

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

Original Plan: Revise the Handbook for Student-Athletes to include the support services and key individuals on campus provided by the University to assist student-athletes.

Action(s) Taken: Completed; updated yearly.

Date of Action(s): Fall 1996 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

Original Plan: Revise the Athletics Department Policy Manual to include an outline of University support provide names of key individuals on campus.

Action(s) Taken: Completed; updated yearly.

Date of Action(s): Fall 1996 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

## Academic Integrity

Original Plan: The Faculty Athletics Representative will give an annual report to the Faculty Senate, the Athletics Advisory Board, and the Vice President for Student Affairs on the University's progress in ensuring the academic integrity of the intercollegiate athletics program.

Action(s) Taken: Completed; provide a new report each September.

Date of Action(s): Spring 1997 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

Original Plan: Reexamine the academic support system for student-athletes to maximize its efficiency and effectiveness.

Action(s) Taken: Completed

Date of Action(s): Fall 2000 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

Original Plan: Appoint a full-time coordinator for all academic and nonacademic support programs.

Action(s) Taken: Completed

Date of Action(s): August 2000

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.2 (Academic Support). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. Identify how the institution is organized to provide academic support and advising services to student-athletes (i.e., reporting lines and identification of who does what).

All students at LMU receive academic support and advising in various ways. Every student and student-athlete has an individual faculty academic advisor in his/her college/school who report directly to the Dean of the specific college/school. Faculty advisors offer students advice about their academic majors and minors, internships, post-graduate work, summer school courses and available career choices.

Additional academic support for student-athletes comes from the Coordinator of Student-Athlete Academic Services (see Appendix - "Job Descriptions"), who reports to the Dean of the College of Business Administration (who in turn reports directly to the Academic Vice President), and the Athletics Director. The final authority is given to Academics (see Appendix - "Organizational Flow Charts").

The Learning Resource Center (see Appendix "Learning Resource Center") assists the Coordinator of Student-Athlete Academic Services in academic monitoring of student-athletes and provides tutoring to all students at LMU.

## Academic Integrity

Periodically, the Director of the Learning Resource Center, who reports directly to the Academic Vice President, conducts a review of the academic progress of student-athletes (see Appendix, "Learning Resource Center").

Additional academic support comes from special offices whose services are available to all students. For instance, the Office of Disability Support Services (DSS) assists all students in need of their services due to diagnosed disabilities (see Appendix - "Disability Support Services"). Student Psychological Services also provides testing for learning disabilities affecting academic performance for all students (see Appendix - "Student Psychological Services").

Ultimately, the Academic Division, led by the Academic Vice President, is responsible for academic support of student-athletes at LMU.

### 6. Using the following program areas for academic support issues as examples, please describe:

- a. The specific academic support services offered to student-athletes (if any);
- b. Any policies that govern which students can use these services;
- c. The mechanisms by which student-athletes are made aware of these services;
- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
- e. The mechanism for periodic review and approval of these services by academic authorities outside athletics of these services.

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

#### 1. **Academic advising.** Course selection, class scheduling, degree program assistance, priority registration.

##### a. The specific academic support services offered to student-athletes, if any.

As part of its educational philosophy of providing close personal attention to each student, LMU provides an assigned academic advisor for each student. At the discretion of each college or school, an academic advising registration hold is often placed on a student's file, assuring that an academic advising appointment precedes each registration period. At LMU, academic records transactions require a signature from the dean, associate dean, or a designated professional staff member. The deans' offices also maintain consistent oversight on issues related to academic probation, grade grievances, transfer credit evaluation, incidents of alleged academic dishonesty, and academic progress. In addition, student athlete academic performance is monitored through direct contact between professors and the Athletics Academic Coordinator, and through a system of midterm grade reports. The Athletics Academic Coordinator also regularly consults with the athletics compliance officer in the Office of the Registrar to assure that all student athletes are enrolled for the appropriate number of units and are making satisfactory progress towards a degree.

##### b. Any policies that govern which students can use these services.

n/a

##### c. The mechanisms by which student-athletes are made aware of these services;

n/a

##### d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

## Academic Integrity

- e.** The mechanism for approval of these services by academic authorities outside athletics.

n/a

- 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.

- a.** The specific academic support services offered to student-athletes, if any.

Learning Resource Center tutoring is available for all students but student-athletes are encouraged specifically to take advantage of this service (see Appendix - "Learning Resource Center"). In addition, tutors are available for all University Core courses; individual departments may also have tutors available.

- b.** Any policies that govern which students can use these services.

n/a

- c.** The mechanisms by which student-athletes are made aware of these services;

n/a

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

- e.** The mechanism for approval of these services by academic authorities outside athletics.

n/a

- 3. Success skills.** Study skills, note and test taking, writing and grammar skills, time management skills.

- a.** The specific academic support services offered to student-athletes, if any.

Learning Resource Center Academic Success workshops are provided throughout each semester and available to all students (see Appendix - "Learning Resource Center").

- b.** Any policies that govern which students can use these services.

n/a

- c.** The mechanisms by which student-athletes are made aware of these services;

n/a

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

## Academic Integrity

- e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**4. Freshman/transfer orientation.** Availability, attendance requirements.

- a. The specific academic support services offered to student-athletes, if any.

Student Orientation is provided for all first-year students during the month of June and in the final week before classes begin in the Fall: attendance is required. A separate orientation is provided for transfer students before each semester.

- b. Any policies that govern which students can use these services.

n/a

- c. The mechanisms by which student-athletes are made aware of these services;

n/a

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

- e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**5. Academic progress monitoring and reporting.** Individual's responsibility, frequency, procedures for periodic grade and attendance checks.

- a. The specific academic support services offered to student-athletes, if any.

The Learning Resource Center offers an academic monitoring program, which is conducted by LRC counselors each semester in the form of a weekly 15-minute meeting between the student and a member of their professional staff in order to evaluate the student's progress (see Appendix - "Learning Resource Center"). This applies specifically to all first year students and first-year transfer students, either individually or in small groups (depending on their GPA), sophomores with a GPA of 2.5 or lower, and juniors and seniors with a GPA of 2.3 or lower. The Associate Director of the Learning Resource Center sends weekly reports to the coaches, Athletics Director, and Coordinator of Student-Athlete Academic Services (see Appendix - "Learning Resource Center").

- b. Any policies that govern which students can use these services.

n/a

- c. The mechanisms by which student-athletes are made aware of these services;

n/a

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

## Academic Integrity

n/a

- e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**6. Study hall.** Availability, facilities, policy for mandatory attendance.

- a. The specific academic support services offered to student-athletes, if any.

Study hall is available for all student-athletes but mandatory for those with a cumulative or semester GPA of 2.5 or lower and all first semester freshman; certain teams have a higher standard and at the discretion of the coach can require athletes over a 2.5 GPA to have study hall (see Appendix - "Athletic Academic Services"). The minimum standard for student-athletes required to attend study hall is four hours per week. Thirty hours of study hall are available each week in the library; paid graduate students supervise study hall hours. Coaches also conduct study hall sessions during road trips, and these hours are reported to the Coordinator of Student-Athlete Academic Services and included in the four required hours.

- b. Any policies that govern which students can use these services.

n/a

- c. The mechanisms by which student-athletes are made aware of these services;

n/a

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

- e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**7. Assistance for special academic needs.** Provisions for diagnosis and treatment of learning disabilities.

- a. The specific academic support services offered to student-athletes, if any.

n/a

- b. Any policies that govern which students can use these services.

n/a

- c. The mechanisms by which student-athletes are made aware of these services;

n/a

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

## Academic Integrity

e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**8. Learning assessments.** Provisions for testing and evaluation (e.g., placement testing).

a. The specific academic support services offered to student-athletes, if any.

Placement exams for specific areas of study (i.e., languages, math, etc.) are provided on the first day of each orientation session and throughout the semester.

b. Any policies that govern which students can use these services.

n/a

c. The mechanisms by which student-athletes are made aware of these services;

n/a

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

**9. Mentoring.** Availability of mentors, identification and assignment methods, frequency of interaction.

a. The specific academic support services offered to student-athletes, if any.

Mentoring is also available. Several coaches have informal and formal mentor programs within their individual teams. Under the supervision of the Coordinator of Student-Athlete Academic Services, a Student-Athlete Mentoring Program is being created for the benefit of all student-athletes at LMU (see Appendix - "Student-Athlete Mentor Program").

b. Any policies that govern which students can use these services.

n/a

c. The mechanisms by which student-athletes are made aware of these services;

n/a

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

e. The mechanism for approval of these services by academic authorities outside athletics.

## Academic Integrity

n/a

### 10. Assistance for at-risk students. Availability including institution-wide assistance.

#### a. The specific academic support services offered to student-athletes, if any.

Upon the recommendation of the Athletics Department, Admissions evaluates at-risk students to determine their chances of success at LMU. Moreover, in the event that a high-risk student is admitted, particular academic support services are required, many of which have been described above.

#### b. Any policies that govern which students can use these services.

n/a

#### c. The mechanisms by which student-athletes are made aware of these services;

n/a

#### d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

#### e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

### 11. Post-eligibility programs. Availability of scholarships, assistantships and academic support.

#### a. The specific academic support services offered to student-athletes, if any.

Scholarship funding is available for student-athletes requiring a fifth year to complete their course of studies for graduation. In support of the Athletics Department's goal of graduating all student-athletes, application forms are available through the Assistant Director of Athletics for Finances. Various post-graduate scholarships are available through the NCAA, coaches and eligible student-athletes are informed of the process by the Coordinator of Student-Athlete Academic Services.

#### b. Any policies that govern which students can use these services.

n/a

#### c. The mechanisms by which student-athletes are made aware of these services;

n/a

#### d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

n/a

#### e. The mechanism for approval of these services by academic authorities outside athletics.

n/a

## Academic Integrity

### Evaluation

1. Does the institution demonstrate that adequate academic support services are available for student-athletes? **Currently Yes**
2. Does the institution demonstrate that student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing? **Currently Yes**
3. Does the institution demonstrate that, when it is determined that student-athletes have special academic needs, these needs are addressed? **Currently Yes**
4. Does the institution demonstrate that the support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Academic Integrity

### Operating Principle

#### 2.3 Scheduling

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.3 (Scheduling). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.3 (Scheduling). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Original Plan: The University should strive for a consistent policy regarding student-athletes' absence from class due to practice and game schedules.

Action(s) Taken: Completed

Date of Action(s): Fall 2002 semester

Action(s) Not Taken or Completed: n/a

Explanation for Partial/Non Completion: n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.3 (Scheduling) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.3 (Scheduling). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. Describe the institution's written policies related to the scheduling of intercollegiate athletics competitions and practices and describe how they minimize interference with class time and examination periods.

## Academic Integrity

The University requires that the Head Coaches prepare schedules as early as possible and give preference to two-year scheduling. They also require that planning should be discussed with their supervisor on a regular basis. They also require that Head Coaches adhere to the written policies contained in the NCAA Manual with regard to scheduling of sports events so that class absences may be minimized. No competition can be scheduled on Thanksgiving Day, Christmas Day, Good Friday, Easter Sunday, Commencement Day or during final exam week except as required by conference rules or for approved post-season/pre-season competition. Travel is not permitted during final exam week or the weekend preceding final exams except as required by conference rules or for approved post-season/pre-season competition. Any changes must be requested by their supervisor after approval by the coach of the affected team, the facility manager, Assistant Athletics Director-Business Affairs, and the Athletics Director. (see Appendix - "Athletics Department Handbook").

The Athletics Department also requires that individual team coaches schedule team practices in accordance with the policies contained in the NCAA Manual.

### 6. Describe the procedures used by the institution to monitor missed class time for student-athletes.

Each team's coach advises his or her student-athletes at the beginning of the year that they may not miss more classes than those covered by their participation in a sporting event. Policies regarding class time missed in excess of that required by the student-athletes' participation in athletic events varies according to the specific guidelines outlined by the instructor of the course.

The necessity for monitoring class absences arises on a case-by-case basis as the faculty member affected reports it. In addition, student-athletes are expected to attend all classes other than those missed due to their participation in intercollegiate athletic events. Missed class time reported to a coach is handled on an individual basis, and there is no standard institutional procedure for monitoring of missed class time by either faculty or coaches.

### 7. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).

There is no standard determination of excessive missed class time at the University as individual professors draw up guidelines regarding grade penalties regarding this point.

### 8. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes.

Each team's coach advises his or her student-athletes at the beginning of the year that they may not miss more classes than those covered by their participation in a sporting event. Policies regarding class time missed in excess of that required by the student-athletes' participation in athletic events varies according to the specific guidelines outlined by the professor of the course. Course policies, such as a missed class policy regarding the consequences for absences, are listed on the class syllabus and calendar that is distributed to all students at the beginning of every semester.

Departmental and individual instructor's course policies in regard to class absences arise on a case-by-case basis as the faculty member affected monitor and report it to the Coordinator of Student-Athlete Academic Services via documents such as mid-term deficiency reports. There is no institutional standard or written procedure for missed class time as it varies according to the department, instructor, and course.

## Evaluation

1. Does the institution demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Academic Integrity

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1. The eligibility policy needs to be more explicitly stated in both the Student-Athlete Handbook and Athletics Department Manual that a student-athlete cannot practice until the eligibility process is complete.	Include this statement in the eligibility policy in both the Student-Athlete Handbook and the Athletics Department Handbook.	Write this statement and add it to the policy to be included in the Student-Athlete Handbook and Athletics Department Handbook.	Coordinator of Student-Athlete Academic Services, Associate Athletics Director for Compliance, and Senior Associate Athletics Director	June 1, 2004
2. Formalize the procedure on reporting of the Academic Progress of Student-Athletes at LMU.	Prepare and send a statistical report to the Athletics Director and the Associate Vice President or his/her designee containing pertinent information regarding the academic progress of student-athletes at LMU.	This report should be sent at the beginning of the following semester.	Coordinator of Student-Athlete Academic Services, Associate Athletics Director for Compliance	September 1, 2004
3. The Athletics Department, in conjunction with other academic departments, needs to implement a mechanism to review the quality of academic support services for student-athletes at LMU.	A committee to review the support services for student-athletes needs to be organized every three-five years.	This committee should conclude whether or not the student-athletes academic support needs are being met and come up with a plan for improvement if they are not being met.	The Academic Vice President or his designee, in conjunction with the Athletics Director	October 1, 2004
4. It is recommended that the Academic Vice President send his/her letter on student-athletes' participation in intercollegiate athletics competitions to instructors at the beginning of each semester, instead of only the Fall semester.	This letter should be sent to faculty at the start of the semester to remind them of the University's policy on missing class due to athletic competition.	The Academic Vice President should send this letter the first week of school in both the Fall and Spring semesters.	The Academic Vice President	August 2004 and January 2005

## Academic Integrity

### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-A: Standardized test Scores, by Gender

		Gender							
		Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2000-2001	1186	500	1073	19	1123	758	1065	31
	2001-2002	1174	476	1098	18	1126	731	1051	29
	2002-2003	1186	494	1057	20	1122	841	1084	27

Name of person completing this chart: Robert Nitsos  
 Title: Associate Univ. Registrar, Student Records Systems

## Academic Integrity

### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

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

		Racial or Ethnic Group - All Entering Freshman Students											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2000-2001	1127	3	1175	156	1044	84	1086	237	1178	658	1154	120
	2001-2002	1063	3	1183	130	1052	76	1072	235	1170	640	1177	123
	2002-2003	1173	14	1150	175	1054	119	1091	236	1176	784	1093	7
		Racial or Ethnic Group - All Entering Freshman Student-Athletes on Aid											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2000-2001			1172	5	895	2	1013	4	1098	29	987	10
	2001-2002			1100	1	1010	4	1018	4	1085	30	1067	8
	2002-2003			1028	5	1005	4	1017	7	1103	31		

Name of person completing this chart: Robert Nitsos  
 Title: Associate Univ. Registrar, Student Records Systems

# Academic Integrity

## FOR FRESHMAN ON ATHLETICS-AID

### PART II: GPA and Test Scores, by Sport Group

		Sport Group																
		Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports		
		Academic Year	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core Course GPA	2001-2002				3.019	2	3.271	7	3.76	2	3.259	8	3.693	3	3.967	1	3.448	27
	2002-2003				2.958	5	3.386	6			3.302	11	3.179	4	3.584	3	3.494	23
	2003-2004				2.452	1	3.059	3			3.438	16	2.999	3	3.607	2	3.476	22
		Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2001-2002				920	2	1040	7	1240	2	1119	9	1010	3	1100	1	1062	27
	2002-2003				1000	5	1118	6			1099	13	995	4	1033	3	1049	24
	2003-2004				923	1	1073	3			1078	16	1077	3	1120	2	1075	22

Name of person completing this chart: Dan Smith

Title: Athletics - Compliance

## Academic Integrity

### SPECIAL-ADMISSIONS INFORMATION

#### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID, BY YEAR

			Sport Group (Freshman)								
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid **	Baseball	M e n ' s Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	W o m e n ' s Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits	2000-2001	0	0	0	0		0	0	0	0	0
	2001-2002	0	0	0	0		0	0	0	0	0
	2002-2003	0	0	0	0		0	0	0	0	0

Name of person completing this chart: Dan Smith

Title: Athletics - Compliance

## Fiscal Integrity

### Operating Principle

#### 3.1 Financial Practices

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Financial Practices). In each case, provide: (a) the original "corrective action," "condition," or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process that relate to Operating Principle 3.1 (Financial Practices). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Financial Practices) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.1 (Financial Practices). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. List all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution.

n/a

6. List all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

## Fiscal Integrity

n/a

7. Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures.

n/a

8. Prepare a description for those sources of revenue under the institution's direct control and prepare a description for revenue sources not under the institution's direct control.

n/a

9. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics that verifies the institution is in compliance with Constitution 6.2.3, including any methods used to ensure the independent nature of the auditor.

n/a

10. Describe the institution's efforts to ensure the audit that verifies the institution is in compliance with Constitution 6.2.3 meets the standards of the NCAA Financial Audit Guidelines.

n/a

11. Describe relevant corrective actions planned or implemented from the three most recent external financial audits.

n/a

12. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., booster and support group funds, state funds vs. restricted/foundation funds).

n/a

### Evaluation

1. Does the institution demonstrate that all funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight? **Currently Yes**
2. Does the institution demonstrate that all expenditures from any source for athletics are approved by the institution? **Currently Yes**
3. Does the institution demonstrate that budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2? **Currently Yes**
4. Does the institution demonstrate that the institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department? **Currently Yes**
5. Does the institution demonstrate that an annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department? **Currently Yes**

## Fiscal Integrity

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Fiscal Integrity

### Operating Principle

#### 3.2 Fiscal Management and Stability

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). In each case, provide: (a) the original "corrective action," "condition," or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process that relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.2 (Fiscal Management and Stability) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. Explain the institution's philosophy with respect to the funding of the athletics program.

n/a

6. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. To add a sport to the list, please click "Add Sport to List."

## Fiscal Integrity

1. n/a

a. Revenues by source.

n/a

b. Expenditures by budget category.

n/a

7. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).

n/a

8. Outline the sources, uses and amounts of funds received by the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.

n/a

9. Identify the sources, uses and amounts of athletics department surplus and/or reserve funds.

n/a

10. Describe how the university will accommodate future financing needs of the intercollegiate athletics program or plans to respond to changing conditions based upon the institution's future financing projections.

n/a

11. Using the institution's Equity in Athletics Disclosure Act survey forms, athletic department budget reports, and other appropriate documentation for the three most recent years for which the information is available, evaluate each of the following areas for every sport sponsored by the institution. On the basis of this review, state the institution's determination of its ability to provide relatively full and stable opportunities to student-athletes in each sport in the specific areas of:

- a. Coaching;
- b. Scholarships;
- c. Recruiting;
- d. Operating expenses (e.g., travel, facilities, equipment); and
- e. Percentage of the sport budget that has to be obtained each via fundraising (i.e., by institutional entities, department, team and individual student-athletes).

To add a sport to the list, please click "Add Sport to List."

1. n/a

a. Coaching.

n/a

b. Scholarships.

## Fiscal Integrity

n/a

**c. Recruiting.**

n/a

**d. Operating Expenses (e.g., travel, facilities, equipment).**

n/a

**e. Percentage of the sport budget that has to be obtained via fundraising (i.e., by institutional entities, department, team and individual student-athletes).**

n/a

**12. Using your institution's NCAA Sports Sponsorship Report for the three most recent academic years indicate whether the institution meets the Division I membership requirements for sports sponsorship and scholarships.**

n/a

### **Evaluation**

**1. Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation? **Currently Yes****

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. **Yes****

## Fiscal Integrity

### Operating Principle

#### 3.3 Established Fiscal Policies and Procedures

##### Self-Study Items

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

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process that relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.3 (Established Fiscal Policies and Procedures) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

n/a

5. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA, conference and institutional rules including:
  - a. Identification of person(s) responsible for these areas; and
  - b. Means of monitoring compliance with these rules.

## Fiscal Integrity

n/a

6. Describe the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements (e.g. official visit procedures, policies regarding staff travel advances for recruiting trips/expenses, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
  - b. Means of monitoring compliance with these rules; and,
  - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

n/a

7. Describe the university's policies and standard operating procedures for ensuring that enrolled student-athletes do not receive extra benefits (e.g., per diem policies, student-host reimbursement procedures, financial aid review policies, equipment checkout/retrieval procedures, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
  - b. Means of monitoring compliance with these rules; and,
  - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

n/a

### Evaluation

1. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that prospective student-athletes are not provided with impermissible recruiting inducements? **Currently Yes**
2. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation? **Currently Yes**
3. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that all expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.1 Gender Issues

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.1 (Gender Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Pertaining to Equity, the NCAA Committee on Athletics Certification made the following statements in its letter to President O'Malley and Summary of Actions (November 17, 1997, excerpts).

"Strategies for Improvement

...the Committee received the self-study report and additional correspondence with the understanding that any plans for improvement outlined by the institution will be implemented according to the deadlines the institution has established but not later than the time of the institution's next certification self-study...In any event, the plans must be carried out sufficiently in advance of the institution's next self-study...to permit a thorough evaluation of the effectiveness of those actions.

In addition, the committee considered recommendations of the institution and the peer-review team and determined that the institution shall be required to complete the following "strategies for improvement:...

5. Identify components of the institution's gender-equity plan that have been completed, and indicate the individuals who will monitor the completion of the remaining tasks.

6. Provide evidence that the institution's plan for addressing minority issues in the intercollegiate athletics program has been developed through broad-based campus participation and is considered to be an institutional plan; further, include the names of those individuals who will monitor the implementation of the plan.

In regards to...these items..., the university will be expected to submit to the Committee on Athletics Certification as soon as practicable but not later than March 1, 1998, evidence that these required actions have been taken by the institution."

Strategies for Improvement from 1997 Certification Report

Action Taken/Date of Action

Identify components of the institution's gender equity plan that have been completed, and indicate the individuals who will monitor the completion of the remaining tasks.

See AAB plan and the "original" plan, 1st cycle on subsequent pages; Completed/reviewed/completed/1997-2002

## Equity, Welfare and Sportsmanship

2. Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

Original Plan  
 Action(s) Taken  
 Date of Action(s)  
 Action(s) Not Taken or Completed (all n/a)  
 Explanation for Partial/Non Completion (all n/a)

1. Increase number of women and ethnic minorities, in both coaching and staff positions

- a. continue to follow the University's policy on Affirmative Action and the Division of Student Affairs guidelines for hiring to hire the most qualified applicant, keeping in mind our belief that diversity strengthens the University community
- b. when openings occur continue the policy of actively encouraging women and ethnic minorities to apply using advertisements in the NCAA News, minority publications, minority coaches networks, and West Coast Conference.
- c. Include the University Affirmative Action Officer in the annual review of staff in the Department, which monitors progress toward achieving diversity and gender, effective 1996-97
- d. Appoint the Senior Woman Administrator within the Athletics Department to serve as the Title IX coordinator for the Department. She should prepare an annual report, in consultation with the chair of the University's Committee on the Status of Women, for the Athletics Director, Athletics Advisory Board and the Student Affairs Committee of the Board of the Trustees, effective 1996-97.

Completed and ongoing yearly (for Ethnic Minority comment see Ethnic Minority Issues, Operating Principle 4.2)

1996 and each year thereafter

2. Ensure equitable and competitive compensation plans for coaches and staff

- a. conduct annual survey of coaches' salaries in various conferences in which LMU holds membership to establish appropriate marketplace comparison, effective 1996-97
- b. conduct an annual survey of staff salaries which includes WCC and LMU Human Resources data to establish an appropriate marketplace comparison, effective 1996-97
- c. increase part-time head coaches' salaries to a minimum salary of \$5000
- d. continue implementing policy that coaches' salaries will be based on marketplace comparison data and the standard LMU Human Resources criteria, e.g., experience, education, grade of position and responsibilities

Completed with annual review

1998 and each year thereafter continually

3. Encourage diverse representation on the various Athletics Boards

- a. amend bylaws of Captains Council (SAAC) and Pride of Lions (Lions Fund) with statement advocating increased diversity representation; present annual report to Athletics Advisory Board

Completed

1998; reviewed yearly

4. Increase number of participation opportunities for the under represented sex

- a. select an additional women's sport effective June 1997 based on evaluation of existing club teams, high school sports offerings within LMU recruiting area, and number of NCAA division I teams in LMU geographical area
- b. increase number of participants in women's crew by developing a marketing plan to attract more women to crew, and by adding tuition waivers to women's crew to recruit more student athletes, effective 1997-98
- c. set maximum number of participants in men's baseball to 30 and men's soccer to 25

Completed

## Equity, Welfare and Sportsmanship

1997

5. Increase the understanding of issues relating to gender and ethnicity as they relate to the Athletics Department, coaches, staff and students

- a. appoint Senior Woman Administrator to coordinate annual workshops on gender issues and sexual harassment, effective Spring 1997
- b. assign new Assistant Athletics Director the responsibility of coordinating annual workshops and lectures on issues relating to diversity and interculturalism effective Spring 1997
- c. evaluate number of NCAA Division I teams in LMU's geographical area

Completed and ongoing

1997

6. Provide adequate and equitable facilities by 1998-99 (Appendix 5-4)

- a. in the projected new athletics complex, which includes the renovation of Gersten Pavilion, the following facilities will be provided:
  - adequate locker rooms, including at least 2 additional locker rooms for women's sports
  - an athletics weight room adequate for all athletics teams
  - accommodations for all staff in the Department

Partially completed and ongoing

2000-current

7. Provide equitable budgets for both men's and women's sports for recruiting, equipment, travel, operations, and grants-in-aid by

- a. conducting a study to determine equitable funding levels for these areas in 1996-97
- b. creating a 3-year funding plan in 1996-97
- c. implementing the funding plan in 1997-98

Complete and ongoing

1998; reviewed yearly

### COMMENTARY

1.a. LMU is committed to developing diverse applicant pools and recruiting individuals from protected class for jobs from which they have been excluded or underrepresented.

1.b. Weekly job openings are sent to the State of California Employment Development Department (EDD). When a recruitment opens, a list of diversity websites are reviewed with the hiring supervisor. To promote diversity within the university, Human Resources will use these diversity websites, such as Saludos, Affirmative Action Registrar, and Hispanic Outlook. Other resources for job announcements have been the Long Beach Career Center, City of Los Angeles One Stop Career Centers, and local churches. When a vacancy open, Human resources may provide Staff Ethnicity by Department reports to a hiring department head.

1.c. The Director of Human Resources acts on behalf of the University as the Affirmative Action Officer. As a function of standard operating procedure, annual reviews of staff are conducted by department heads using Human Resource provided forms. At the end of the year, data is compiled and completed. Copies of the reviews are filed with the Director of Human Resources for review.

1.d. The position entitled Senior Woman Administrator was instituted in 1996 and the position was filled. The job description for the position has specific duties assigned for monitoring compliance with Title IX. Beginning with the appointment of the current Senior Woman Administrator an annual review of Title IX compliance is conducted for the Athletics Department and the findings are reported to the Athletics Advisory Committee; the report is also submitted to the LMU Commission on the Status of Women and the Vice President for Student Affairs.

2.a., b, & d. An annual survey is conducted on staff salaries by Human Resources, which includes West Coast Conference, College and University Professional Association for Human Resources (CUPA), and Association of Independent California Colleges & Universities (AICCU). Since 1999, LMU Human Resources compiles data to establish an appropriate marketplace comparison. Copies of this data are filed with the Director of Human Resources for review. Each year Human Resources participates in a number of surveys in order to have current competitive market salary rates. When a salary survey is sent, LMU Human Resources staff may contact or meet with the department head. The University strives, to the extent possible, to offer salaries that are competitive with salaries offered by local businesses, professional organizations, and academic institutions. To align compensation

## Equity, Welfare and Sportsmanship

and pay strategy, LMU uses a recently updated and sound compensation system for non-faculty and staff. The evaluation tool is used to ensure internal equity, facilitate legal compliance, and establish pay for jobs that cannot be market priced. When necessary meetings are held with supervisors to confirm the compensable factors on a position. During 2003-04, the university contracted with a major salary review organization; athletics was included in this review.

(commentary provided by Human Resources, e-mail, Nov. 17, 2003; reference LMU Staff Policy Manual, Employment)

3.a. Diverse representation on the Student Athlete Advisory Committee (formerly Captain's Table) and LionsFund Council is assured through the Constitution and Bylaws of each organization and is reflective of the Mission of the University and Athletics Department. Further, the Athletics Director is responsible for oversight.

(See Appendices - "Student Athlete Advisory Committee, Constitution & Bylaws, and LionsFund Council Bylaws")

4.a. Women's Water Polo was added in 1997-98 athletic season.

4.b. Four tuition waivers were added to Women's Crew in 1998 and a recruitment effort began. Squad size has been 40 (2000-01), 49 (2001-02), and 42 (2002-03).

4.c. Roster sizes for all sports have been established.

5.a. & b. An annual report of Title IX compliance is prepared by the Senior Woman Administrator and presented to the Athletics Advisory Board. The report is available for review by all staff members. All athletics staff members are required to attend seminars conducted by Human Resources on diversity, harassment, and interculturalism. These seminars are entitled "Sexual Harassment" and "Intercultural Diversity." The Senior Woman Administrator advises the staff on a regular basis about gender equity and is available to all staff on an exclusive basis to monitor gender issues.

5.c. The Senior Woman Administrator is responsible for maintaining a continuing sensitivity to gender equity in all decisions made by and on behalf of the Athletics staff and student-athletes. She is given this authority through job description. In presenting the annual report of Title IX compliance to the Athletics Advisory Board, educating the members of the Board is a component of the presentation.

6. In a letter dated February 18, 1998, David Trump, Vice President of Facilities Management, sent a letter to the NCAA Committee on Athletics Certification stating "Loyola Marymount University is currently in the design stage of planning for new athletic, health and recreation facilities...new, remodeled and expanded facilities which will provide the needed locker and team rooms, as well as training and equipment space, to support our women's athletic programs...anticipate construction of these facilities to begin this year, with completion planned for the 1999-2000 academic year. The facilities in support of our gender equity efforts are of the highest priority in this facilities program and we are attempting, as funding allows, to construct these improvements as early in the program as possible."

In a letter dated February 18, 1998, President Thomas O'Malley, S.J., sent the NCAA Committee on Athletic Certification a Gender Equity Plan. This letter was also copied and presented to the Athletics Certification Advisory Committee. President O'Malley indicated that, among other actions to be taken, "LMU has included the renovation of athletic facilities in its capital campaign. Construction on the new recreation/athletics/health center and swimming pool is expected to begin in 1998. Included in the construction will be offices for coaches and staff, new locker rooms, an expanded weight room, and a larger training room."

In response to the Committee's recommendation, facility planning was initiated. A plan was approved and notification given to and accepted by the Committee that implementation was scheduled. Further review of the plan, coinciding with personnel and facility changes (new Athletics Director, May 1998 and new president, June 1999, planning for and acquisition of University Hall, 1999), was conducted. In this review, the plan was deemed to be inadequate to address the concerns identified by the Committee and as assessed by the new administrators in place. A decision was made to initiate and complete the Burns Recreation Center and Pool (opened Fall 2000), which would partially address needs identified by the Committee. The Burns Recreation Center and Pool added locker room facilities for Women's Water Polo and Women's Swimming as well as Men's Water Polo, weight training and cardiovascular training, and office space for the Head Men's and Women's Water Polo Coach, Assistant Water Polo Coach and Head Swimming Coach. Space was also allocated in Gersten Pavilion for weight training. Also in Gersten, locker room space dedicated to 4 women's sports was renovated to complement similar space in the men's locker room.

In an effort to identify remaining improvement needed, the Athletics Advisory Board reviewed facilities as part of their compliance review with the Title IX mandate. At the request of the President, the Athletics Advisory Board

## Equity, Welfare and Sportsmanship

submitted recommendations to Fr. Lawton regarding inclusion of athletics needs in the strategic plan that was being developed.

After a review of the Athletics Strategic Plan by a Board of Regents Task Force, the facilities improvement for athletics was included in the University's Strategic Plan that Fr. Lawton presented to the Board of Trustees.

7. Since 2000-01, an annual review of funding levels is conducted as part of the annual equity review. The review indicates conformity to Title IX. Additionally, a rolling 10-year plan has been developed to ensure continued opportunity and equity.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.1 (Gender Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

N/A

5. Explain how the institution is organized to further its efforts related to the gender issues operating principle for both athletics department staff and student-athletes and provide evidence that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.

The Director of Intercollegiate Athletics reports directly to the Vice President for Student Affairs, who reports to the President of the University. The Director of Intercollegiate Athletics is also accountable to the Faculty Athletics Representative and to the University Board of Trustees and Board of Regents and reports regularly on the activities of the Athletics Department to those entities. The Senior Associate Athletics Director is responsible for monitoring gender equity plans and makes annual status reports to the Athletics Advisory Committee and the University Committee on the Status of Women. Additionally, the Athletics Advisory Committee has a president-approved gender equity plan in place which is reviewed annually.

6. Using your institution's completed Equity in Athletics Disclosure Act survey form and worksheets for the three most recent academic years for which the information is available, analyze, explain and address discrepancies in the data between male and female student-athletes and comment on any trends or significant changes.

### Participation

Academic Year	Undergraduate Female Population	Student-Athlete Female Population	Female Roster Management Target	Student-Athlete Female Population
2000-01	57.5%	55.2%	51.8%	
2001-02	58.2%	55.8%	55.1%	
2002-03	59.3%	56.4%	54.4%	

The University's undergraduate female population for the last three academic years (2000-2001, 2001-2002, 2002-2003) has been in line with the national trend. Female student-athlete participation ratios have improved over the same time period. The female student-athlete improvement is a result of eliminating a male sport after the 1999-2000 academic year and aggressively managing team rosters. At that time female participation increased 4%. This is an indication of the success of the efforts of the University to bring the student-athlete participation into line with the University undergraduate population.

### Coaching Assignments

## Equity, Welfare and Sportsmanship

### Female Coaches

Head FT Head PT Asst. FT Asst. PT

Men's Teams

00-01 0 0 1

01-02 0 0 1

02-03 0 0 0

Women's Teams

00-01 1 0 4 4

01-02 1 0 4 4

02-03 1 0 4 3

### Male Coaches

Head FT Head PT Asst. FT Asst. PT

Men's Teams

00-01 4 4 5 7

01-02 4 4 5 5

02-03 5 3 5 7

Women's Teams

00-01 4 4 1 7

01-02 4 4 1 6

02-03 4 4 1 8

The University believes that equity in hiring females to coach athletic teams is a main criterion, but is also cognizant of providing the best-qualified individual for the position. The University is committed to identifying top female candidates for head coaching positions as they become available. Quality, availability, and market value are also considered when recruiting and retaining female coaches.

During this period of time there was stability of staff and were no vacancies for head coaches on the women's sports coaching staff; where vacancies occurred for Assistant Coaches, they were part-time vacancies.

### Operating Expenses

% of Total - Men % of Total - Women

2000-01 52% 48%

2001-02 51% 49%

2002-03 52% 48%

Operating expenses have remained consistent for women and men over the past 3 years. With the elimination of a men's sport at the end of the 1999-2000 academic year, funds were reallocated to women's sports to improve the percentage allocated to women by 5%. Beginning with 2002-03 academic year, budgets were built using the "zero base" methodology, which creates a yearly fluctuation based on individual sport needs and allows better use of the limited funding available.

### Recruiting Expenditures

% of Total

Men's Teams

00-01 49%

01-02 50%

02-03 50%

Women's Teams

00-01 51%

01-02 50%

02-03 50%

In the most recent 3-year history, recruiting expenditures for women and men have been equal and stable. Issues related to recruiting expenses in relation to participation rates are subject to ongoing discussion and review.

### Athletically-Related Student Aid

## Equity, Welfare and Sportsmanship

% of Total  
 Men's Teams  
 00-01 41%  
 01-02 39%  
 02-03 37%

Women's Teams  
 00-01 59%  
 01-02 61%  
 02-03 63%

In the most recent 3-year history, females have been awarded athletically related student aid in excess of proportionality. With the elimination of a men's sport at the end of the 1999-2000 academic year, funds were reallocated to women's sports to improve the percentage allocated to women by 14%.

### Revenues

% of Total  
 Men's Teams  
 00-01 48%  
 01-02 46%  
 02-03 44%

Women's Teams  
 00-01 52%  
 01-02 54%  
 02-03 56%

### Head Coaches' Salaries

Average Salary Dollars per FTE FTEs Dollars per position Number of Positions

Men's teams  
 00-01 \$ 72,100 4.93 \$ 44,459 8  
 01-02 \$ 76,028 5.16 \$ 49,038 8  
 02-03 \$ 71,598 5.95 \$ 53,251 8

Women's teams  
 00-01 \$ 51,554 6.18 \$ 35,383 9  
 01-02 \$ 54,128 6.39 \$ 38,431 9  
 02-03 \$ 56,341 6.46 \$40,440 9

The University is committed to the equitable compensation of coaches. Using comparisons with the West Coast Conference schools and other similarly comparable west coast institutions and comparable local professional positions, benchmarks have been established. Factors that affect coaches' salaries are market value, experience, the ability to perform, and added expectations. Men's basketball drives the men's salaries higher based on benchmarks.

### Assistant Coaches' Salaries

Average Salary \$ per FTE FTEs \$ per position # of Positions

Men's teams  
 00-01 \$ 36,562 6.24 \$ 28,535 8  
 01-02 \$ 38,633 6.25 \$ 30,182 8  
 02-03 \$ 39,132 6.67 \$ 29,001 9

Women's teams  
 00-01 \$ 35,127 6.79 \$ 21,672 11  
 01-02 \$ 37,335 6.72 \$ 22,808 11  
 02-03 \$ 37,065 7.16 \$ 22,115 12

The University is committed to the equitable compensation of coaches. Using comparisons with the West Coast Conference schools and other similarly comparable west coast institutions and comparable local professional positions, benchmarks have been established. Factors that affect coaches' salaries are market value, experience, and the ability to perform. Men's basketball drives the men's salaries higher based on benchmarks.

## Equity, Welfare and Sportsmanship

### 7. Using the program areas for gender issues, please:

- a. describe how the institution has ensured a complete study of each of the areas,
- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for gender issues addresses each of the areas.

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

#### **1. Athletics Scholarships.** Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

% of Total  
Men's Teams  
00-01 41%  
01-02 39%  
02-03 37%

Women's Teams  
00-01 59%  
01-02 61%  
02-03 63%

In the most recent 3-year history, female participation was 53, 55, and 54% of the total athletic participants. During the same period of time, females were awarded athletically-related financial aid in excess of proportionality.

- c. Identify areas of deficiency and comment on any trends.

n/a

- d. Explain how the institution's future plan for gender issues addresses this area.

n/a

#### **2. Accommodation of Interests and Abilities.** Participation proportionate to enrollment; history and continuing practice of program expansion for underrepresented sex; and/or, fully and effectively accommodate underrepresented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.

- a. Describe how the institution has ensured a complete study of this area.

## Equity, Welfare and Sportsmanship

n/a

- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.**

Academic Year	Undergraduate Female Population	Student-Athlete Female Roster Management	Target Student-Athlete Female Population
2000-01	57.5%	55.2%	51.8%
2001-02	58.2%	55.8%	55.1%
2002-03	59.3%	56.4%	54.4%

The University's undergraduate female population for the last three academic years (2000-2001, 2001-2002, 2002-2003) has been in line with the national trend. Female student-athlete participation ratios have improved over the same time period. The female student-athlete improvement is a result of eliminating a male sport after the 1999-2000 academic year and aggressively managing team rosters. At that time female participation increased 4%. This is an indication of the success of the efforts of the University to bring the student-athlete participation into line with the University undergraduate population. The Department continues to aggressively manage rosters.

- c. Identify areas of deficiency and comment on any trends.**

n/a

- d. Explain how the institution's future plan for gender issues addresses this area.**

n/a

**3. Equipment and Supplies.** Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.

- a. Describe how the institution has ensured a complete study of this area.**

n/a

- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.**

All student-athletes are provided equipment of the same quality specific to the sport in the same or proportionate amount. Equipment is monitored by respective sport coaches and is stored in a variety of locations convenient to the sport; these locations are of adequate size and easily accessible. Several sports have team managers who assist with laundry and maintenance. All student-athletes are provided uniforms under an agreement with a uniform company. Several sports have also negotiated equipment providers as appropriate. Budgets are established to meet the competitive goals for each sport and include equipment and supplies required to meet the established competitive goals.

- c. Identify areas of deficiency and comment on any trends.**

n/a

- d. Explain how the institution's future plan for gender issues addresses this area.**

n/a

**4. Scheduling of Games and Practice Time.** Number of games; number, length, and time of day of practices; time of day of games; preseason and postseason opportunities.

- a. Describe how the institution has ensured a complete study of this area.**

## Equity, Welfare and Sportsmanship

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All sports operate within the NCAA maximum competitive and practice limits for regular seasons and non-traditional seasons. Competitive events are scheduled on days and at times appropriate to the sport. All sports are allowed to accept invitations to post season events specific to the sport. In the sport of basketball, only one date is scheduled as a traditional double-header, and it is with the "cross town rival" by mutual agreement of both genders.

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

- 5. Travel and Per Diem Allowance.** Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Per Department Policy, student-athletes are discouraged from driving vans or personal vehicles to athletic competitions. Bus travel is encouraged for team travel over 100 miles. Per department practice, travel party size is not limited by distance of travel or mode of transportation. Student-athletes are housed in moderate and acceptable quality hotels. Department policy dictates conformity for all teams regarding arrival and departure and per diem allowances. Coaches have financial management responsibility and are expected to conform to policy and/or acceptable practices relative to location.

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

- 6. Tutors.** Availability ? procedures and criteria for obtaining assistance; Assignment ? qualifications, training, experience, etc.; Compensation ? rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

## Equity, Welfare and Sportsmanship

Tutors are available on the same basis for all student-athletes and are the same for all LMU students through the University Learning Resource Center.

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

**7. Coaches.** Availability ? full time, part time, assistant, and graduate assistants; Assignment ? training, experience, professional standing, and other professional qualifications; Compensation ? rate of compensation, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions, and other terms and conditions of employment.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

There is equity in the number of coaches for each sport by gender. Men's sport coaches are compensated at a slightly higher rate than coaches of women's sports. Men's basketball coaches' salaries affect this rate. The discrepancy is due to quality, availability, and market value. Coaching salaries are benchmarked. There are no inequities in regard to duration of contracts, conditions relating to contract renewal, and other terms and conditions of employment.

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

**8. Locker Rooms, Practice and Competitive Facilities.** Quality, availability, and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Practice and competitive facilities are equitable for both genders.

- c.** Identify areas of deficiency and comment on any trends.

The University recognizes that not all sports have locker room facilities and has addressed additional locker room facilities in the Strategic Plan.

## Equity, Welfare and Sportsmanship

- d. Explain how the institution's future plan for gender issues addresses this area.

n/a

**9. Medical and Training Facilities and Services.** Availability of medical personnel; availability and quality of weight training, and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All student-athletes have the same services and quality of services available to them in terms of medical services, weight training and conditioning facilities, insurance coverage.

- c. Identify areas of deficiency and comment on any trends.

n/a

- d. Explain how the institution's future plan for gender issues addresses this area.

n/a

**10. Housing and Dining Facilities and Services.** Housing provided; special services as part of housing; dining arrangements.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Housing and dining facilities and services for student-athletes are not different than those for all University students and are equitable.

- c. Identify areas of deficiency and comment on any trends.

n/a

- d. Explain how the institution's future plan for gender issues addresses this area.

n/a

**11. Publicity.** Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.

- a. Describe how the institution has ensured a complete study of this area.

n/a

## Equity, Welfare and Sportsmanship

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Sports Information personnel equitably divide sport responsibilities among all sports. All sports receive the same services including media guides, press releases, and pictures. Men's and Women's Basketball games are broadcast live on the radio and webcasts. Some Baseball games are webcasted. Televised events in this period were affected by decisions beyond the Department's control with regards to selection of men's or women's events.

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

**12. Support Services.** Administrative, secretarial, and clerical support; office space.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Three secretarial support personnel are assigned to 17 sports. Their duties and responsibilities are divided equitably. All coaches and support staff have computers, printers, and access to copy machines, VCRs, and televisions.

- c.** Identify areas of deficiency and comment on any trends.

The University recognizes that, while everyone has office space, the existing space is inadequate and inappropriate; this has been addressed in the Strategic Plan.

- d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

**13. Recruitment of Student-Athletes.** Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities, and treatment of prospective athletes.

- a.** Describe how the institution has ensured a complete study of this area.

n/a

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Recruiting budgets and expenditures have been approximately 50-50 for the last 3 years.

- c.** Identify areas of deficiency and comment on any trends.

n/a

## Equity, Welfare and Sportsmanship

**d.** Explain how the institution's future plan for gender issues addresses this area.

n/a

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

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

The following stand-alone, institutional plan for addressing gender equity for the future in the intercollegiate athletics program was developed through broad based participation of student-athletes, coaches, administrators, faculty, and staff. The plan was developed in 2002 as part of the ongoing review of gender equity conducted by the Athletics Advisory Board that addressed program areas where deficiency was identified. The Athletics Advisory Board independently identified an area to address (c.f., assessment, below). Data collected for Board review have been analyzed yearly, beginning with Academic Year 2001 and includes all 13 program areas. Subsequently, the Athletics Advisory Board Gender Equity Plan was approved by the President of the University; the plan is reviewed yearly by the Board.

Issue

Measurable Goal

Steps to Achieve Goal

Individuals/Officers Responsible for Implementation

Timetable to complete work

1. Assessment

1. Ensure compliance with Gender Equity

1. Conduct an assessment of all components of Title IX for presentation to the Athletics Advisory Board and the University President

1. Athletics Director

1. Annually

2. Participation opportunities should reflect the general student body

2. a. Increase women's participation in existing sports

2.b. Increase women's participation opportunities by adding a women's sport

2.c. Implement more aggressive recruitment of male students

2. a. Manage team rosters by establishing participation goals for each sport

2.b. Survey current and potential student interests, evaluate feasibility of adding one women's sport, make recommendation to add one women's team sport

2.c. Monitor recruitment efforts by Admissions with reports on goals, objectives and progress

2.a. Athletics Director

2.b. Athletics Advisory Board

2.c. Admissions Director

2.a. Annually

2.b. Fall 2002, Spring 2003, Spring 2004

2.c. Annually

3. Facilities

3. Increase available space, quality and exclusivity for women in locker rooms, Athletic Training, work/office space, practice and competitive facilities

3.a. Include facilities improvement in University's Strategic Plan

3.b. Approve Strategic Plan

3.c. Develop plan to raise capital funds including assignment of fund raiser, identification of donors and

## Equity, Welfare and Sportsmanship

implementation of strategies  
 3.d Implement plan  
 3.a. Athletics Director  
 3.b. President, Board of Trustees  
 3.c. Vice President, University Relations  
 3.d. Vice President, University Relations  
 3.a. Spring 2002  
 3.b. Spring 2002  
 3.c. Spring 2002  
 3.d. Fall 2002

Based upon the current certification requirement to provide a plan addressing all 13 of the program areas, the following expands upon the existing stand-alone and approved plan.

### Issue

Measurable Goal

Steps to Achieve Goal

Individuals/Officers Responsible for Implementation

Timetable to complete work

### Accommodation of Interests and Abilities

Ensure student-athlete participation is proportionate to enrollment

Review data on student-athlete participation and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Athletics Scholarships

Ensure that scholarships are awarded to women and men at the same proportion as the respective rate of participation

Review data on student-athlete scholarships and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Equipment and Supplies

Provide each sport with equipment and supplies that are equitable in quality, amount, suitability, ability to be maintained and/or replaced, and availability.

Review inventories and purchases and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Scheduling of Games and Practice Times

Ensure equity in the number of games scheduled; number, length, and time of day of practices; time of day of games; pre-season and post-season opportunities

Review written policies, procedures, and criteria for scheduling games and practices; review all schedules for practice and competition; and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Travel and Per Diem Allowance

Provide equitable modes of transportation and housing during travel, length of stay before and after competitions, dining, and per diem allowances

Review policies, procedures, and criteria for travel arrangements and per diem allowances and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Tutors

Provide equity in the availability, assignment, and compensation of tutors for all student-athletes

Review policies, procedures, and criteria for obtaining tutors, assigning tutors, payment of tutors and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

## Equity, Welfare and Sportsmanship

### Coaches

Provide equity in the availability, assignment, and compensation of coaches all sports

Review availability, assignment, and compensation of coaches for all sports and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Locker Rooms, Practice and Competitive Facilities

Provide equitable practice and competitive facilities

Review all facilities for quality, availability, exclusivity, maintenance and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Medical and Training Facilities and Services

Provide equitable medical and training facilities and services

Review the availability and utilization of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of personnel; availability of insurance; and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Housing and Dining Facilities and Services

Provide equity in housing, special services, and dining arrangements for all student-athletes

Review policies, procedures, and criteria for providing housing and dining facilities and recommend modifications if necessary.

Athletics Advisory Board

Annually in the Fall

### Publicity

Provide equitable availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices

Review sports information personnel assignments, publications, and promotions materials for equity in quality and availability; and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Support Services

Provide equitable administrative, secretarial, and clerical support services as well as equitable work space

Review policies, procedures, and criteria for accessing support services. Review assignments and work spaces/supplies/equipment; and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

### Recruitment of Student-Athletes

Provide equitable opportunities for professional personnel to recruit. Provide equitable recruiting funds and resources, equivalent benefits, opportunities, and treatment of prospective athletes.

Review current practices and budgets for recruiting student-athletes; and recommend modifications if necessary

Athletics Advisory Board

Annually in the Fall

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

In 2001, the Athletics Advisory Board directed the Athletics Director to provide an annual report to the Board on the status of gender equity in intercollegiate athletics at Loyola Marymount University. The Senior Associate Athletics Director undertakes an in-depth review in the Fall coinciding with the annual EADA Report and reports the findings to the Board. The Athletics Advisory Board, representing a broad base of the LMU population, developed a plan for addressing existing deficiencies in gender equity and the plan was approved by the President of the institution (see Appendix - "Athletics Advisory Board").

## Equity, Welfare and Sportsmanship

### Evaluation

1. Has the institution implemented its approved gender-equity plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
<p>The subcommittee questioned the effectiveness of the way student athletes become acquainted with processes for discussing a concern or initiating a grievance regarding sexual harassment or discrimination based on gender or sexual orientation. Printed information appears to be available, however this may not be sufficient to provide student athletes with accurate information about grievance processes. Additionally, all members of the University community, most especially the Athletics Department, should be informed on a regular basis about the appropriate routing of concerns and grievances about gender issues.</p>	<p>During student-athlete orientation programming, introduce appropriate University personnel who manage grievances. Provide training on sexual harassment/gender/sexual orientation issues. Assure that student athletes have accurate information about routing complaints to the appropriate individuals.</p>	<p>Develop Orientation module as described above. Periodically assess student athletes' familiarity with the processes by which they may initiate a grievance or discuss a concern on gender issues.</p>	<p>Athletics Director or designate; Sexual Harassment Compliance Officer</p>	<p>Annually beginning in '04-'05. More frequently as required.</p>

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.2 Minority Issues

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.2 (Minority Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. Report on the implementation of the plan to address minority issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.2 (Minority Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.2 (Minority Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

n/a

5. Explain how the institution is organized to further its efforts related to the minority-issues operating principle for both athletics department staff and student-athletes and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.

In order to provide support for minority students, faculty, and staff, Loyola Marymount created the position of Assistant to the President for Intercultural Affairs and hired a person to fill the role in August 2001. The Assistant has a direct reporting line to the President, and performs the following essential duties: articulates vision and

## Equity, Welfare and Sportsmanship

provides leadership to foster equal opportunity for all faculty, staff, and students; collaborates with members of the campus community to identify and implement strategies designed to help LMU achieve its diversity and intercultural goals, including the use of diversity metrics to identify trends and recommend solutions to promote educational equity and retention of underrepresented students, faculty, and staff; and conduct studies to identify student, faculty, and staff perceptions of institutional climate.

In order to bring about change in an institution of higher education, individuals must see the magnitude of inequities between students from different ethnic groups. In this report, we examined data, disaggregated by ethnicity and gender, to foster institutional change and focus on closing access and/or achievement gaps for historically underrepresented students at Loyola Marymount University. Utilizing the Diversity Scorecard, we applied this approach to all institutional diversity initiatives, including those designed to diversify the faculty, staff, student body, Board of Trustees, and curriculum.

Equity is the ultimate benchmark in the Diversity Scorecard. Equity is defined as the point at which the share of the students of a given ethnic group with a particular academic feature is equal to that same group's share of the total student population. For example, if 25 percent of the student body is Latino, equity would be reached when 25 percent of the Pool of Athletes is also Latino. If this is not the case, the Athletic Department should focus on improvement targets, which are annual, mid-range goals to achieve equity.

The Athletics Department Mission Statement contains principles and values that describe expectations of staff and student athletes. According to the Mission, the purpose of the Intercollegiate Athletics Program is to support the mission, goals and objectives of Loyola Marymount University. The Athletics Department Mission focuses attention on cultural diversity, gender equity, and academic growth of the whole person, ideas that emanate from the Jesuit and Marymount traditions.

In addition, the Athletics Advisory Board creates, monitors, and maintains the Athletics Minority Opportunity Plan which was approved by the President in March 2002. This plan addresses the recruitment of minority athletes, administrators and coaches, and the inclusion of minorities in Athletics advisory groups (see Appendix - "Athletics Advisory Board").

6. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part-time assistant coaches (including graduate assistant and volunteer coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). [Note: Use the supplied chart to compile the data requested in this self-study item.]

Table 1: Full-time Senior Administrative Athletics Department Staff by Ethnicity and Gender 2001-2004

Gender	African American	Asian/Pacific	American European	American Latino	Native American	Decline to State
Male	0	0	2	0	0	0
TOTAL	0	0	2	0	0	0
Female	0	0	2	0	0	0
TOTAL	0	0	2	0	0	0
TOTALSTAFF	0	0	4	(100%)	0	0
Pool of Athletes	5%	6%	65%	11%	<1%	13%

The European American share of the full-time senior administrators was 100% while the share of the pool of student athletes was 65%. European Americans were overrepresented in this staff category.

Table 2: Full-time Professional Athletic Staff 2001-2004

Gender	African American	Asian/Pacific	American European	American Latino	Native American	Decline to State
Male	2	0	6	4	0	0
TOTAL	2	0	6	4	0	0
Female	0	0	3	0	0	0

## Equity, Welfare and Sportsmanship

TOTAL 0 0 3 0 0 0  
 TOTAL STAFF 2 13% 0 9 60% 4 27% 0 0  
 Pool of Athletes 5% 6% 65% 11% <1% 13%

When the full-time professional staff was compared to the pool of athletes, it becomes obvious that African Americans, European Americans, and Latino were overrepresented in the full-time professional staff. All other ethnic groups were underrepresented.

Table 3: Full and Part-time Head Coaches 2001-2004

Gender African American Asian/Pacific American European American Latino Native American Decline to State  
 Male 0 0 10 4 0 0  
 TOTAL 0 0 10 4 0 0  
 Female 0 0 2 0 0 0  
 TOTAL 0 0 2 0 0 0  
 TOTAL STAFF 0 0 12 (75%) 4 (25%) 0 0  
 Pool of Athletes 5% 6% 65% 11% <1% 13%

During the last three years, European Americans and Latinos were overrepresented in the full-time part-time head coach category. All other ethnic groups were underrepresented.

Table 4: Part-time Assistant Coaches 2001-2004

Gender African American Asian/Pacific American European American Latino Native American Decline to State  
 Male 1 1 8 1 0 0  
 TOTAL 1 1 8 1 0 0  
 Female 1 0 6 0 0 0  
 TOTAL 1 0 6 0 0 0  
 TOTAL STAFF 2 11% 1 (5%) 14 (78%) 1 5% 0 0  
 Pool of Athletes 5% 6% 65% 11% <1% 13%

European Americans and African Americans were overrepresented in this staff category. All other ethnic groups were underrepresented.

Table 5: SAAC Rosters, 2001 - 2004

Ethnicity 2001-2002 2002-2003 2003-2004 TOTAL Pool of Athletes  
 African American 5 0 2 7 7% 5%  
 Asian Pacific Islander 3 1 0 4 3% 6%  
 European American 25 27 24 76 65% 65%  
 Latino 3 4 2 9 8% 11%  
 Native American 0 0 0 0 (<1) <1%  
 Decline to State 4 3 4 11 9% 13%

During the last three academic years, African Americans were overrepresented in SAAC. The following ethnic groups were underrepresented: Asian Pacific Islanders, and Latinos. Students in the Decline to State category were also underrepresented.

Note: It was impossible to determine the level of participation of various ethnic groups in the Athletics Advisory Board, LionsFund Council and Athletic Director's Council due to the unavailability of data.

- For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart to compile the data requested in this self-study item.]

Note: See Part B: Students Generally and Student - Athletes on Athletic Aid, page 50

During the last three years, athletes received 656 (20%) financial aid packages. The general student body received 2525 (80%) financial aid packages. 7% of the aid went to Asian/Pacific Americans; their share of the LMU student body was approximately 11%. African Americans received 6% of the aid; their share of the student body ranged between 6% and 7% during the same period. Latinos received 9% of the aid; their share of the student body was 19% to 18% during the same three-year period. European Americans received 60% of the aid; their share of the student body was 51% to 54%. American Indians received <1% of the aid; their share of the student body was <1%.

## Equity, Welfare and Sportsmanship

European Americans were overrepresented (60% versus 51 to 54%) in financial aid packages during the three most recent academic years. All other ethnic groups, except African Americans and Native Americans were underrepresented.

8. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport. [Note: Use the supplied chart to compile the data requested in this self-study item.]

Note: See Part C: Men's and Women's Sports Teams, Page 51

The ethnic representations in the undergraduate student body were compared to ethnic composition of student-athletes who received athletic aid in each sport.

Baseball - During the three most recent academic years, 67 athletes in the baseball program received athletic aid.

Men's Basketball - Thirty-seven (37) athletes in the Men's Basketball program received athletic aid.

Men's Track/Cross Country - Between 2001 and 2004, 10 athletes who participated in Men's Track/Cross Country received athletic aid.

Men's Other Sports and Mixed Sports - 162 athletes received athletic aid between 2001 and 2004.

Women's Basketball - Forty-two (42) females in the Women's Basketball program received athletic aid.

Women's Track/Cross Country - Twenty-four females in Women's Track/Cross Country received athletic aid.

Women's Other Sports - 305 female athletes who participated in other sports received athletic aid.

### Summary

Forty-one (41) African Americans received a 6% share of athletic aid. 44 Asian/Pacific Islanders received a 7% share of aid. 56 Latinos received 9% of the aid packages, 392 European Americans received 61% of the aid, and 113 students who chose Decline to State received a 17% share of aid. Native Americans received <1% share of athletic aid.

When these percentages were compared with the ethnic proportions in the student body, European American athletes, and those in the Decline to State category received more than their share of financial aid. Other ethnic groups were underrepresented in financial aid packages awarded to athletes.

9. Using the program areas for minority issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's commitment across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for minority issues addresses each of the areas.

**1. Institutional and Athletics Department Commitment** Development and maintenance of written statements that address the issues of diversity.

- a. Describe how the institution has ensured a complete study of this area.

Loyola Marymount University declares its purpose to be the encouragement of learning, the education of the whole person, and the service of faith and the promotion of justice. The mission of the Division of Student Affairs and the Athletics mission statement are congruent with the mission of the institution. The Athletics Department Mission Statement speaks to "Pursuing Victory with Honor" and emphasizes the need for athletes to operate under the framework of the following character-building principles:

## Equity, Welfare and Sportsmanship

trustworthiness, respect, responsibility, fairness, caring, and good citizenship. (See Appendix - "Mission Statements")

- b.** Provide data demonstrating the institution's commitment across this area.

n/a

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for minority issues addresses this area.

n/a

**2. Evaluation** Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.

- a.** Describe how the institution has ensured a complete study of this area.

The Athletics Advisory Board is charged with developing, monitoring, and maintaining the Department's Minority Opportunity Plan. (See Appendix - "Athletics Advisory Board")

- b.** Provide data demonstrating the institution's commitment across this area.

n/a

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for minority issues addresses this area.

n/a

**3. Organization and Structure** Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.

- a.** Describe how the institution has ensured a complete study of this area.

Loyola Marymount University has long been committed to ideals and benefits of diversity and promotes respect for and sensitivity to the dignity of every person. The University is dedicated to non-discrimination. This can be found in the Mission Statements of the University, the Division of Student Affairs, and the Department of Intercollegiate Athletics, the charge to the Athletics Advisory Board, and the By Laws of associated advisory boards. The University has created a number of policies and procedures based upon affirmative action law and committees, such as the Intercultural Advisory Committee, the newly formed University Intercultural Council, and the Ethnic Minority Affairs Committee of the Faculty Senate to support its efforts and commitment in this area.

As members of the Division of Student Affairs, all members of the Athletics Department Staff are required to complete a University-provided Intercultural Awareness workshop.

To further support the University commitment to diversity and minorities, the President has created the position of Assistant to the President for Intercultural Affairs to articulate vision and provide leadership to foster equal opportunity for all faculty, staff, and students. This position reports directly to the President and has direction to identify and implement strategies throughout the campus designed to help LMU achieve its diversity goals.

## Equity, Welfare and Sportsmanship

The hiring process follows the University guidelines which encourage and support a diverse staff. The Assistant to the President for Mission and Identity and the Assistant to the President for Intercultural Affairs provide professional development to faculty in reference to recruiting and hiring a diverse population.

The Director of Athletics is responsible for overseeing the application of the University's goals regarding the Athletics Department and instructs and encourages minority recruitment of student-athletes and staff. Culturally diverse search committees are appointed. The Director of Athletics reviews qualitative data to determine needs relative to gender and ethnicity as well as skill sets; the Director informs each search committee of the departmental needs.

- b.** Provide data demonstrating the institution's commitment across this area.

n/a

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for minority issues addresses this area.

n/a

**4. Enrollment** Goals of the institution for enrollment of minority students and minority student-athletes.

- a.** Describe how the institution has ensured a complete study of this area.

Loyola Marymount University seeks to enroll talented students from all backgrounds who represent the realm of human diversity, including gender, ethnicity, religion, geographic origin, socio-economic status, and academic interest. The goal is to build a student body that represents the cultural complexities of society at large to ensure that our students learn to examine their talents and their lives from the widest possible variety of perspectives.

- b.** Provide data demonstrating the institution's commitment across this area.

Table 7: Total Pool of Athletes by Sport, 2001-2004

Sport	African American	Asian	Pacific Islander	European American	Latino	Native American	Decline to State
Men's Baseball	2	11	45	21	0	19	
Men's Basketball	15	0	18	0	0	6	
Women's Basketball	17	3	15	1	0	8	
Men's Cross Country	0	0	25	7	0	0	
Women's Cross Country	0	1	15	9	1	3	
Men's Golf	0	4	21	1	0	1	
Men's Soccer	0	8	41	24	0	8	
Women's Soccer	0	5	52	9	1	9	
Women's Softball	0	7	43	7	0	6	
Women's Swimming	2	2	48	1	0	6	
Men's Tennis	1	4	17	0	0	5	
Women's Tennis	0	2	17	4	0	3	
Women's Volleyball	4	6	32	0	0	6	
Men's Water Polo	0	0	17	1	0	12	
Women's Water polo	0	1	44	0	0	7	
Crew	1	1	117	12	0	14	
TOTAL	42	5%	55	6%	56	7%	56
SHARE of the Student Body	6%	to 7%	11%	51%	to 54%	19%	to 18%
	<1%	7%	to 11%				

- c.** Identify areas of deficiency and comment on any trends.

## Equity, Welfare and Sportsmanship

n/a

- d. Explain how the institution's future plan for minority issues addresses this area.

n/a

**5. Comparison of Populations** Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's commitment across this area.

The European American share of the student body was 51% to 54% during the last three academic years; their share of the pool of student-athletes was 65% during the same period. European Americans were overrepresented in athletics.

The Decline to State Category ranged between 7% and 11% during the three most current academic years; their share of the pool of athletes was 13% during this period. Students in the Decline to State category were overrepresented in athletics during the last three years. African Americans, Asian/Pacific Islanders and Latinos were underrepresented in athletics.

- c. Identify areas of deficiency and comment on any trends.

n/a

- d. Explain how the institution's future plan for minority issues addresses this area.

n/a

**6. Participation in Governance and Decision-Making** Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's commitment across this area.

n/a

- c. Identify areas of deficiency and comment on any trends.

African Americans were overrepresented in SAAC during the last three academic years. The following ethnic groups were underrepresented: Asian Pacific Islanders, and Latinos. Students in the Decline to State category were also underrepresented.

Note: It was impossible to determine the level of participation of various ethnic groups in the Athletics Advisory Board, LionsFund Council and Athletics Director's Council due to the unavailability of data. We are recommending that the University create databases to manage and monitor this information in the future.

## Equity, Welfare and Sportsmanship

- d. Explain how the institution's future plan for minority issues addresses this area.

n/a

**7. Employment Opportunities** Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.

- a. Describe how the institution has ensured a complete study of this area.

n/a

- b. Provide data demonstrating the institution's commitment across this area.

n/a

- c. Identify areas of deficiency and comment on any trends.

n/a

- d. Explain how the institution's future plan for minority issues addresses this area.

According to the Athletics Department's Minority Opportunity Plan, the University has a goal to diversify the athletic staff. However, the Plan lacks specific strategies for achieving this stated goal. We recommend that LMU revise the Minority Opportunity Plan during the 2004-2005 academic year, and create databases to manage and monitor employment related information.

**8. Programs and Activities** Establishment of programs that address the needs and issues affecting minority student-athletes.

- a. Describe how the institution has ensured a complete study of this area.

LMU has a number of programs designed to address the academic and social/emotional needs of athletes. Academic programs include The Learning Community (TLC), a cohort-based program for African American students; the Academic Community of Excellence, an achievement program designed to prepare African American and Latino students for graduate and professional programs. The Academic Persistence Program (APP) provides underrepresented tutors for minority students. Students may request and receive tutoring in all areas of the curriculum. The First Year Institute (FYI) is designed to meet the needs of students, regardless of their ethnicity, who do not declare a major upon entry to the University.

The University also has several programs and activities designed to meet the needs of underrepresented athletes and students in general. The Division of Student Affairs has a complete department devoted to meeting the needs of underrepresented students. The department of Ethnic and Intercultural Services (EIS) is divided into four offices: (1) Office of Asian/Pacific American Student Services, Office of Black Student Services, and the Office of Chicano/Latino Student Services.

In addition to the three offices above, the department of Ethnic and Intercultural Services (EIS) administers the Office of Intercultural Affairs which is housed in the Division of Student Affairs. This office is charged with the responsibility of providing services that are designed to help students understand their own cultures within the context of their histories and the cultures of others within the United States and the world. Currently, the University provides a student leadership program, Dialogue on Diversity, which is designed to provide opportunities for underrepresented, European American and student of other ethnic groups to work together for the purpose of developing an understanding of individuals other than themselves and building leadership skills.

Additionally, the Office of International Student Services (OISS) provides services for international athletes and other students. These offices provide services designed to meet their constituency's social, emotional and cognitive needs.

## Equity, Welfare and Sportsmanship

The University also provides ethnic-specific graduation ceremonies designed to meet the needs of African Americans, Chicano/Latino, and Asian/Pacific Americans. These ethnic groups also celebrate their histories during the academic year, including African American History Month, Chicano/Latino History Month, and Asian/Pacific American History Month.

In addition, numerous clubs and organizations are designed to meet specific needs of underrepresented students. Examples of some of these organizations include the Black Student Union, MEChA, The Brothers of Consciousness, the Asian/Pacific American Student Organization, and Sistah Friends.

The Assistant to the President for Intercultural Affairs acts as an advocate for underrepresented students (as well as for other ethnic groups). Students bring their issues to the Assistant to the President, who provides the guidance necessary for resolving issues. The Assistant presents some student issues to the President for the purposes seeking a quick and appropriate resolution; others are presented to the appropriate administrator for the same purpose.

- b.** Provide data demonstrating the institution's commitment across this area.

n/a

- c.** Identify areas of deficiency and comment on any trends.

n/a

- d.** Explain how the institution's future plan for minority issues addresses this area.

n/a

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

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

Issue

Measurable Goal

Steps to Achieve Goal

Individuals/Officers

Responsibility for Implementation

Timetable to complete work

Staffing

Ensure that the ethnic proportion of each staff category is aligned with the ethnic proportion of the Pool of Athletes, first and the student body second

Review the Athletics Department's Minority Opportunity Plan

Vice President for Student Affairs

2004-2005 academic year, and annually thereafter

Train staff who sit on Selection Committees to apply proactive recruitment and hiring strategies

Individual designated to conduct training

2004-2005 academic year and ongoing

Databases

Manage and monitor the ethnic and gender compositions of athletes, staff and members of governing boards to

## Equity, Welfare and Sportsmanship

ensure that these constituencies reflect the student body Create several databases, including the Pool of Athletes, SAAC, staff, LionsFund Council, etc. by ethnicity and gender  
Athletics Director  
2004-2005 academic year and annually thereafter

### "Racial" Terminology

Eliminate the practice of using racial terms to describe students and staff. Review the American Anthropological Association's Statement on Race (May 17, 1998), which is attached in Appendix A Athletic Director  
2004-2005 academic year, and annually thereafter  
Collaborate with the Associate Academic Vice President for Records and Registration to determine the acceptable terms that describe one's ethnicity rather than the non-existent "race."  
Individual designated to conduct training  
2004-2005 academic year and ongoing

### Enrollment

Develop written goals to ensure that the gender and ethnic Pool of Athletes reflect the gender and ethnic and gender of the student Body  
Collaborate with Admissions to manage and monitor the ethnic and gender composition of the Pool of Athletes  
Athletic Director  
Annually  
Athletic Advisory Board  
Annually  
Implement more aggressive recruitment of minority students  
Director of Admissions  
Annually

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

The Athletics Department Minority Plan was developed by the Athletics Advisory Board and approved by the President. Members of the Athletics Advisory Committee include faculty, staff, and students; the Athletics Director and Vice President for Student Affairs are ex-officio members of the committee.

## Evaluation

1. Has the institution implemented its approved minority-opportunities plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its minority-issues plan was modified or not carried out fully? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Staffing	Ensure that the ethnic proportion of each staff category is aligned with the ethnic proportion of the Pool of Athletes first and the student body second.	Review the Athletic Department's Minority Opportunity Plan.	Vice President for Student Affairs	2004-2005 academic year and annually thereafter
		Train staff who sit on Selection Committees to apply proactive recruitment and hiring strategies.	Individual designated to conduct training	2004-2005 academic year and ongoing
Databases	Manage and monitor the ethnic and gender compositions of athletes, staff and members of governing boards to ensure that these constituencies reflect the student body.	Create several databases, including the Pool of Athletes, SAAC, staff, Lion'sFund Council, etc. by ethnicity and gender.	Athletics Director	2004-2005 academic year and annually thereafter
"Racial" Terminology	Eliminate the practice of using racial terms to describe students and staff.	Review the American Anthropological Association's Statement on Race (May 17, 1998), which is attached.	Athletics Director	2004-2005 academic year and annually thereafter
		Collaborate with the Associate Academic Vice President for Records and Registration to determine the acceptable terms that describe one's ethnicity rather than the non-existent "race."	Individual designated to conduct training	2004-2005 academic year and ongoing
Enrollment	Develop written goals to ensure that the gender and ethnic Pool of Athletes reflect the gender and ethnic make-up of the student body.	Collaborate with Admissions to manage and monitor the ethnic and gender composition of the Pool of Athletes.	Athletics Director and Athletics Advisory Board	Annually
	Implement more aggressive recruitment of minority students.		Director of Admissions	Annually

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.3 Student-Athlete Welfare

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

No corrective actions, conditions for certification, or strategies for improvement related to Student-Athlete Welfare Operating Principle (4.3) were imposed on the University by the NCAA Division I Committee on Athletics Certification in the previous self-study certification.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no recommendations for improvement for related to Student-Athlete Welfare Operating Principle (4.3) in the previous self-study certification.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.3 (Student-Athlete Welfare) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Upon complete review of each of the operating principles, the list below represents those items the sub-committee believes should be recommended for improvement.

1. Evaluation and monitoring of issues related to student-athlete welfare (Item 5)

a. Athletic Department Exit Interviews (Group Format) - A summary report of the data should be provided to the Intercollegiate Athletics Director who reviews the data, develops a plan to address any areas of concern and identify strengths. This plan is then submitted to the Vice President for Student Affairs and the Athletics Advisory Board for review.

b. The Vice President for Student Affairs' Individual Exit Interview data should be summarized in an aggregate format to preserve confidentiality of the student-athlete. Senior and Freshman Feedback Session data should identify any student-athlete specific issues in a summary report to the Intercollegiate Athletics Director for review. The Athletic Director provides a summary report based on the individual exit interview and feedback session data sets to the Vice President for Student Affairs for evaluation, planning and the development of actions plan(s) if necessary.

2. Education enhancement programs related to NCAA Sports Medicine Guideline 1-E (Item 6)

a. Formalize the implementation of alcohol and drug guideline item 8, which states, "discuss nutritional supplements and their inherent risks."

## Equity, Welfare and Sportsmanship

b. Formalize the implementation of alcohol and drug guideline item 9, which states, "allow time for questions from student-athletes" in discussions or lectures on alcohol, tobacco and other drug education programs.

3. The institution's and/or the Athletics Department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation and in areas such as harassment, hazing, abusive behavior, and sexual orientation. Also, the identification of individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and the means by which this information is communicated to student athletes and staff (Item 8).

a. Create a brochure for Sexual Orientation issues similar in format to the Sexual Harassment or Ethnic/Racial Discrimination brochures currently distributed through the Division of Student Affairs to all students.

b. The Committee on Sexual Harassment should update and distribute a brochure to all students.

c. Create information/education sessions as part of athletic orientation programs. Individuals responsible for handling complaints would be introduced to student athletes. Present information about how to report a complaint and how the University responds to such reports.

d. Continue to publish and distribute informational materials concerning these issues.

e. Assure that an annual report concerning the management and status of any complaints received be communicated directly to the Vice President for Student Affairs. In particular cases, the confidentiality of the complainant and the respondent are protected by relevant policies/professional practices. In these cases, non-identifying information will be presented to the VPSA. These reports may include suggestions that the VPSA would implement at her discretion.

f. Monitor the number/nature of complaints. Report benchmarked comparisons to the general student population.

g. Work proactively with University committees and individuals who have demonstrated a commitment to the fair treatment and welfare of students (Committee on the Status of Women, Committee on Sexual Harassment, Assistant to the President for Intercultural Affairs, among others).

4. The institution's educational and support programs for students in particular, the provision of a safe environment for student-athletes with diverse sexual orientations (Item 9).

a. Distribute information about the student organizations/meeting schedules for the Gay Straight Alliance (sponsored by the Student Affairs) and Beati (sponsored by Campus Ministry).

b. Include informational pamphlets about sexual orientation and gender identity on the brochure rack outside of the training room. The brochure rack is a place where the student-athlete can obtain information on different topics related to student-welfare.

5. Issue: The subcommittee questioned the effectiveness of the way student athletes become acquainted with processes for discussing a concern or initiating a grievance regarding sexual harassment or discrimination based on gender or sexual orientation. Printed information appears to be available, however this may not be sufficient to provide student athletes with accurate information about grievance processes. Additionally, all members of the university community, most especially the Athletics Department, should be informed on a regular basis about the appropriate routing of concerns and grievances about gender issues.

a. Recommendation/Measurable Goals: During student-athlete orientation programming, introduce appropriate University personnel who manage grievances. Provide training on sexual harassment/gender/sexual orientation issues. Assure that student-athletes have accurate information about routing complaints to the appropriate individuals.

b. Steps to achieve goal: Develop Orientation module as described above. Periodically assess student-athletes' familiarity with the processes by which they may initiate a grievance or discuss a concern on gender issues.

c. Specific timetable: Annually beginning in '04-'05. More frequently as required.

d. Individual/Offices responsible for carrying out specific action: Athletics Director or designate; Sexual Harassment Compliance Officer

## Equity, Welfare and Sportsmanship

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

The University did not have an interim report.

5. Explain how the institution is organized to further its efforts related to the student-athlete welfare operating principle and provide evidence that matters concerning student-athlete welfare are monitored, evaluated and addressed on a continuing basis.

The LMU mission supports a student-centered University. Intercollegiate Athletics is a department within the Division of Student Affairs. The Director of Intercollegiate Athletics is a member of the Student Affairs Management Team, which facilitates a shared vision regarding the development of all students through the education of the whole person. (See Appendix - "Organizational Flow Charts")

Intercollegiate athletics takes advantage of University support services available to assist the student-athlete with a successful academic and personal growth experience. There are close relationships for coordinated services with the Learning Resource Center, Residence Life, Student Health Services, Student Psychological Services, Campus Recreation, Career Development Services, Judicial Affairs, First Year Programs, Paw Prints Freshman Orientation Program, Student Life, and Campus Ministry. (See Appendix - "Student Affairs Programs")

As part of its educational philosophy of providing close personal attention to each student, LMU provides an assigned academic advisor for each student. At the discretion of each college or school, an academic advising registration hold is often placed on a student's file, assuring that an academic advising appointment precedes each registration period. At LMU, academic records transactions require a signature from the dean, associate dean, or a designated professional staff member. The deans' offices also maintain consistent oversight on issues related to academic probation, grade grievances, transfer credit evaluation, incidents of alleged academic dishonesty, and academic progress. In addition, student athlete academic performance is monitored through direct contact between professors and the Athletics Academic Coordinator, and through a system of midterm grade reports. The Athletics Academic Coordinator also regularly consults with the athletics compliance officer in the Office of the Registrar to assure that all student athletes are enrolled for the appropriate number of units and are making satisfactory progress towards a degree.

Additionally, the University demonstrates its commitment to the student-athletes' academic development through specific programs. In the Division of Academic Affairs, the Athletics Academic Coordinator is responsible for the development and implementation of a variety of educational support services for academic and life skills enhancement. The programs are:

- Foundations of Academic Achievement (Course #LIBA 125)
- Student-Athlete Academic Support Services
- NCAA CHAMPS/Life Skills Program
- Student-Athlete Mentors (SAM)

The Foundations of Academic Achievement Course objective is to increase the student-athlete's self-awareness about their learning style, career interests, and life skills necessary for academic success. The course is mandatory for all athletes. There are guest lecturers and experiential learning opportunities are offered over the semester by the Director of Intercollegiate Athletics, the Athletic Compliance Officer, faculty members, the Learning Resource Center, and the Director of Career Development Services. The Heads Up! Alcohol Awareness and Prevention Program was included in the class schedule in the Fall 2003 semester. (See Appendix - "LIBA 125")

Student-athlete academic support services are integrated with the implementation of the CHAMPS Life Skills program. The Athletics Academic Coordinator develops creative programming with the Learning Resource Center and Career Development Services to enhance their academic success/skill development from making decisions about their major to time management. The Athletics Academic Coordinator distributes information encourages the student-athlete to be aware of on-campus resources in the area of health and mental health.

The Student-Athlete Mentors (SAM) is a program with at least two student-athletes who have been nominated and elected by their peers based on personal characteristics associated with peer advisors or natural helpers. The

## Equity, Welfare and Sportsmanship

Student-Athlete Mentor receives training from qualified University staff and faculty about how to assess and respond to issues involving destructive and unhealthy behaviors (e.g., substance abuse, eating disorders), stress and personal difficulties. The SAM strengthens their leadership and communication skills, develops prevention programs and benefits from making a positive difference in the lives of their teammates. The SAM Program helps to create a healthy atmosphere for teammates, improves personal relations, and facilitates communication between coaches and student-athletes. The SAM manual covers peer support topics to assist the SAM with responding appropriately to a student-athlete with a drug/alcohol or sexual assault or harassment concern. The manual includes the University and the NCAA policies related to alcohol/drug use, and the University policy on sexual assault and sexual harassment. (See Appendix - "Student-Athlete Mentors")

Evidence that student-athlete welfare is monitored, evaluated and addressed on a continuing basis is demonstrated by processes employed by the Student Athlete Advisory Council, Student "Feedback Sessions" for freshman and seniors, exit interviews for graduating seniors, Judicial Affairs, Athletics Academic Coordinator Progress Reports, the Athletic Advisory Board and the Athletic Director's Management Team.

The Student Athlete Advisory Council (SAAC) meets twice monthly and consists of a minimum of two members from each team who have been selected by their teammates as representatives. The President of SAAC provides regular input to the Director of Intercollegiate Athletics through the Assistant Director of Intercollegiate Athletics for Compliance regarding such student-welfare issues as safe traveling in vans, missed class time, amount of time spent practicing and playing, study halls, academic advising, athletic training, and special issue programming.

Athletes are invited to freshman and senior "Feedback Sessions" hosted by the Office of the Vice President for Student Affairs. These sessions provide an open forum for students to give frank feedback about their LMU experiences to the Vice President for Student Affairs and members of the Vice President's Management Team.

Graduating student-athletes are encouraged to complete the "LMU Student-Athlete Exit Interview," which is a written exit interview survey. The surveys are completed in a group format. The content areas assessed are identified as sport specific, coaching staff, academic services, overall experiences, LMU mission, and LMU goals (see Appendix - "Exit Interview"). If a student-athlete has specific issues they wish to discuss, they are invited to do so in the group forum or schedule an appointment with the Director of Athletics after the group interview. Additionally, all student-athletes who have exhausted their eligibility and/or are graduating seniors receive an invitation to speak personally with the Vice President for Student Affairs to discuss their experiences as a student-athlete at LMU. Results from the LMU Student-Athlete Exit Interviews and the Vice President for Student Affairs conversations are shared with the Athletics Management Team for action.

After some initial difficulties refining the process of soliciting participation in the completion of evaluation surveys, the Athletics Department has considerably increased the number of responses over the past year. It is expected that continuous improvement procedures will increase the input from student-athletes.

Judicial Affairs provides incident reports to the Intercollegiate Athletics Director for any violations of the University Student Conduct Code by student-athletes on a weekly basis. The student-athlete is held accountable as a member of the University community. All guidelines and policies identified in the Student Handbook are applied and followed as they would be for any LMU student. (See Appendix - "Student Handbook, p. 135")

The Athletics Academic Coordinator provides monthly progress reports to the Athletics Management Team regarding the various educational enhancement programs and academic performance for the student-athletes and graduation rates.

The Athletic Advisory Board is a Presidential Committee, which oversees the policies of the Athletics Program to ensure their consistency with University policies, goals and mission of the University. The Board membership is composed of five full-time faculty, including the Faculty Representative for Athletics (at least two are female); two full-time students (one female, one male; one shall be an athlete); and two Ex-Officio members (the Vice President for Student Affairs and the Director of Intercollegiate Athletics). The terms of office are three years for faculty and two years for student members. In compliance with NCAA rules, the Athletic Advisory Board is not a University Standing Committee.

The Athletics Management Team (AMT) annually reviews areas recommended by the aforementioned monitoring entities and/or evaluation data for strengthening or enhancement. The AMT consists of the Director of Intercollegiate Athletics, the Senior Associate Director of Intercollegiate Athletics, the Associate Director of Intercollegiate Athletics-Business and the Associate Director of Intercollegiate Athletics-Compliance.

## Equity, Welfare and Sportsmanship

6. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

The University's educational enhancement programs for student athletes includes required attendance of two sections of the Career Development Strategies (CDS) for Student-Athletes class for all incoming student-athletes. The instructor is a Career Development Counselor. The class objectives are to assist the student with identifying their area(s) of career interest and developing a strategy that will enhance their ability to become the candidate of choice for internships with potential employers. The class encourages students to arrange informational interviews and/or attend pre-professional conferences. Further, CDS offers Sophomores the "Explore To Learn More" class that addresses basic budgeting and financial planning. A new program initiated in Fall 2003 for which Junior and Senior student-athletes are eligible to participate in the "Your Turn to Intern Awards". This class enables student-athletes to apply for funds to get reimbursed for unpaid internships.

In the Spring 2004 semester, Career Development Services and the Athletics Department offered a workshop on interviewing and another one on resume writing.

Career Development Services is using technology to enhance access to career development for all students. One particular technique, "Cybercounseling," may open up "on-line accessibility" for athletes whose schedules do not allow them to attend the CDS events/counseling sessions during normal business hours. Relatedly, in Summer 2004, an on-line course will be offered for the first time to allow athletes the opportunity to complete an internship during the "off-season" when they may not have had the opportunity to do so when their sport was "in-season".

The student-athlete has access to personal counseling support services through Student Psychological Services (SPS). SPS offers individual counseling on a variety of issues. Students often address problems related to adjustment, conflict resolution, eating disorders, substance abuse, depression, anxiety, gender identity and others. There are online screening tools for depression, eating disorders, and alcohol abuse. The SPS web page provides links to consumer education sites, which provide self-help information on several topics related to college life. SPS offers learning disability assessment and collaborates with the Athletics Academic Coordinator and Disability Support Services. The Athletics Department coaches, trainers, and administrators collaborate and consult with SPS regarding concerns about the student's behavioral and/or emotional functioning. SPS provides a Staff and Faculty Guide for addressing concerns about students emotional health (see Appendix - "Student Affairs Programs").

The Student Health Center (SHC) provides a myriad of support services for the student-athlete. For example, the SHC provides random drug testing, consultation regarding orthopedics, general medical support services and emergency treatment. The Emergency Medical Students (EMS) organization provides after hours response for the University and is under the clinical supervision of the SHC Medical Director. The EMS responders are an integral part of the University Emergency Medical Response protocol and follow the NCAA Sports Medicine Guidelines.

The University adheres to the alcohol and other drug guidelines outlined in the NCAA Sports Medicine Guidelines Handbook [No. 1-E]. The University policies related to alcohol and drug use found in the Student-Athlete Student Handbook are reviewed annually at the beginning of the fall semester prior to the start of classes with all student-athletes by the Associate Director of Athletics for Compliance and the Athletics Trainer. There are informational brochures publicly available on alcohol, drugs, tobacco, and other health related topics. They are located outside of the athletic training room. Additionally, the Athletics Department sponsors guest speakers on these topics over the course of the year.

The Student Affairs Division provides a wide range of activities to the LMU student body related to alcohol, drug, and sexual assault prevention (see Appendix - "Student Affairs Programs").

Safety information is provided in the Student-Athlete Student Handbook. Residence Life provides information and programming on safety and protection issues to all residents.

7. Describe the institution's process for conducting the student-athlete exit interviews required by NCAA Constitution 6.3.2 and the means by which this information is used to better the student-athlete experience. Describe other avenues available to student-athletes to provide input.

Graduating student-athletes are required to complete the "LMU Student-Athlete Exit Interview," which is a written exit interview survey. The surveys are completed in a group format. The content areas assessed are identified as

## Equity, Welfare and Sportsmanship

sport specific, coaching staff, academic services, overall experiences, LMU mission, and LMU goals (see Appendix - "Exit Interviews"). If a student-athlete has specific issues they wish to discuss, they can do so in the group forum or schedule an appointment with the Director of Athletics after the group interview. Additionally, all student-athletes who have exhausted their eligibility and/or are graduating seniors receive an invitation to speak personally with the Vice President for Student Affairs to discuss their experiences as a student-athlete at LMU. Results from the LMU Student-Athlete Exit Interviews and the Vice President for Student Affairs conversations are shared with the Athletics Management Team for action.

Other avenues available to the student-athlete for input include their representation on the Student Athlete Advisory Committee and informal "open door policies" adhered to by the Athletics Department staff. The student-athlete is a member of the University community and has access to all Student and Academic Affairs resources on campus for students.

**8. Describe the institution's and/or athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e. financial aid and transfers) and in other areas (e.g. harassment, hazing, abusive behavior, sexual orientation). Also, identify the individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and describe the means by which the grievance and/or appeals procedures are communicated to student-athletes and staff.**

The University and the Athletics Department's written grievance and appeals procedures for student-athletes are in compliance within areas mandated by NCAA legislation for financial aid and transfers (see Appendices - "Student-Athlete Handbook"; "Compliance Handbook Policies and Procedures").

The Financial Aid Office provides a formal financial aid appeal process that is available to all students (on web, in Undergraduate Bulletin). An appeal form and instructions are available on the website. The Vice President of Academic Affairs, and the Director of Financial Aid determine appeals policies and procedures, and funding levels. The Associate Director of Financial Aid reviews appeals. The Financial Aid Director or Associate Director receives financial aid grievances or complaints. Grievances and complaints are received in-person, and/or in writing. All grievances and complaints receive written response. All appeal procedures and packaging practices are derived from federal, state and institutional regulations and are applicable to all LMU students.

As a member of the LMU community, the student-athlete is treated no differently than other students in other areas such as harassment, hazing, abusive behavior and sexual orientation. The student-athlete is expected to adhere to the University Student Conduct Code policies regarding hazing, abusive behavior, and harassment of any kind. Grievance and appeal procedures related to such matters can be found in the Student-Athlete Student Handbook. Additionally, the Office of the Vice President for Student Affairs makes brochures about Sexual Assault, Ethnic and Racial Discrimination, and Resource Cards (through the Office of the Dean of Students) available to the all of the student body. The Resource Cards identify the contact person for the following areas:

- A Complaint Against a Student
- A Complaint Against a Staff Member
- A Complaint Against a Faculty Member
- An Incident of Racial Harassment (Faculty/Staff/Student - each has a different contact person)
- An Incident of Sexual Harassment (Faculty/Staff/Student - each has a different contact person)
- A Crime on Campus
- Student Issues
- Faculty Issues
- Staff Issues
- Religious Issues
- Public Safety/Environmental Health and Safety Issues
- Student Health
- Student Housing
- Student Psychological Services
- Disabled Students
- Ethnic Faculty
- Ethnic Students
- Gay & Lesbian Students
- International Students
- Social Justice

## Equity, Welfare and Sportsmanship

- Women
- Commuters

The brochures and resource cards are also available in all of the department offices and in the Malone Student Building. (See Appendix - "Student Affairs Programs")

In order to assess whether student athletes have reported a disproportionate number of formal complaints in the areas of harassment, hazing, abusive behavior or sexual orientation or are experiencing significant problems in these areas, the "Questionnaire Concerning LMU Student Athletes and Issues of Sexual Harassment, Racial Discrimination and Harassment, and Sexual Orientation" (see Attachment 11) survey was conducted by the subcommittee. The survey was mailed to those directly responsible for receiving complaints, including the Sexual Harassment Compliance Advisor, the Dean of Students, the Associate Dean of Ethnic and Intercultural Services, and professional staff in Student Psychological Services. All surveys were returned. (See Appendix - "Questionnaire")

The only individual reporting student athlete complaints was the Sexual Harassment Compliance Advisor (SHCA). The SHCA felt that the Athletics Department staff was "cooperative and helpful in the investigation/management of the complaint." No respondent felt student-athlete complaints were disproportionate in relation to the number of complaints by other students. No respondent felt the complaints were qualitatively different than other complaints received. Half of the respondents made a comment in the free response section. One respondent felt that LMU could "do a better job on educating the campus community on these issues" and remarked that "Athletics is in a position to create a 'captive audience' by hosting their own (education/information) sessions." Another respondent suggested that discussions should accompany handouts to assure that student athletes "know operational definitions, in other words, students may not always know that what is happening to them is in fact harassment, discrimination, etc." Another respondent asked, "Do student-athletes get advice and information on avenues to pursue/support should they encounter harassment/discrimination?"

In discussions in the subcommittee, it also became clear that there was some confusion about how complaints should be routed and that at times student athletes were told to report concerns directly to the Athletics Academic Coordinator. If accurately reported, this would not be consistent with University policy in relevant areas.

### 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.

Presently there are no specific educational programs in the area of sexual orientation for students.

As a student-centered, Catholic University, Loyola Marymount is committed to the creation of a campus community in which all members are appreciated, respected and free to develop their personal gifts. The University recognizes the importance of student organizations in fostering the educational mission of the University and provides support through Student Life. Student Life provides advisement to over 100 student organizations reflecting academic, cultural, professional, service, athletic, and social diversity. In addition, ASLMU provides limited financial support and the opportunity for collaborative programming. The Gay Straight Alliance is a student organization that specifically addresses the needs and provides support for lesbian, gay, bisexual and transgender students.

In the Fall semester (2003) Ethnic and Intercultural Student Services and the LMU Gay Straight Alliance co-sponsored a panel discussion for the LMU community, which addressed issues of bisexuality.

The University's Campus Ministry Department offers the Beati student faith support group. Beati is sponsored through Campus Ministry in affiliation with the Archdiocese of Los Angeles Office of Ministry with Lesbian and Gay Catholics. Recognizing that gay and lesbian students, faculty, and staff at LMU are an important and gifted resource on the LMU campus, and recognizing that the gay and lesbian community has often been marginalized, Campus Ministry has made a commitment to the needs of this community. Beati offers programming on AIDS and HIV education, homophobia, discrimination in the workplace and the classroom, resident hall life and legislative issues, and workshops on prayer, spirituality and on-going theological reflection. According to the Director of Campus Ministry, Beati is not active this academic year. It is hoped that the student organization will again become active during the 2004-2005 academic year. (See Appendix - "Student Affairs Programs")

Student Psychological Services provides counseling support to students with gender identity and/or sexual orientation issues through individual counseling. SPS will provide workshops on the topics related to gender identity and support groups in the next year.

## Equity, Welfare and Sportsmanship

The Student Health Center provides anonymous HIV testing and has a Nurse Practitioner who is a certified HIV-AIDS Counselor. These services are available to all students.

- 10.** Identify the mechanisms in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The Athletics Department adheres to the NCAA Sports Medicine Guideline No. 1-A. The mechanisms that are in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies are outlined in the LMU Athletic Medicine Handbook and Policies and Procedures Manual (see Appendix - "Athletic Medicine"). These policies and guidelines are disseminated to all athletics management team members, coaches and assistant coaches. The information is reviewed in detail with the incoming student-athletes during their orientation along with all of the NCAA regulations.

- 11.** Describe the institution's emergency medical plan for practices and games. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The Athletics Department adheres to the NCAA Sports Medicine Guideline No. 1-A. The emergency protocol is clearly outlined in the LMU Athletic Medicine Handbook and Policies and Procedures Manual.

- 12.** Describe the institution's written emergency plan for the athletics program and specific coverage for out-of-season workouts, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The Athletics Department adheres to the NCAA Sports Medicine Guideline No. 1-A. The emergency protocol is clearly outlined in the LMU Athletic Medicine Handbook and Policies and Procedures Manual. Additionally, there is a specific flow chart for Student-Athlete Injury/Sickness Procedure for Road Trips.

- 13.** Using the program areas for student-athlete welfare issues please:

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

**1. Evaluation.** Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to studentathlete welfare, including the evaluation of the effectiveness of mechanisms to ensure the health and safety of student-athletes.

- a. Describe how the institution studies these topics as they apply to all student-athletes.

The Athletic Advisory Board reviews the performance of the Athletics Department based on data provided by the Director of Intercollegiate Athletics and the Senior Associate Athletics Director.

## Equity, Welfare and Sportsmanship

- b.** Provide data demonstrating the institution's commitment to these issues for all student-athletes.

Examples of the data provided to the Board includes but is not limited to student-athlete exit interviews, staff exit interviews, staff development performance reviews, the Athletics Management Team, the Title IX Report, Student Affairs Learning Outcomes and Student Affairs Magis strategic five-year planning objectives.

- c.** Explain how the institution will address these topics in the future for the welfare of all student-athletes.

Upon review of the data, the Athletics Advisory Board has the authority to make recommendations to the President of the University.

**2. Organization and Structure** Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.

- a.** Describe how the institution studies these topics as they apply to all student-athletes.

The University Undergraduate Bulletin and the Mane Event: A Guide to Registration are two publications which describe the University organization and policies, related to student welfare for all students. The Student-Athlete LMU Student Handbook defines the NCAA Regulations as well as the University Student Conduct Code, University policies related to conduct code violations, harassment or discrimination, sexual assault, University resource/support services, and a student life calendar of events.

- b.** Provide data demonstrating the institution's commitment to these issues for all student-athletes.

n/a

- c.** Explain how the institution will address these topics in the future for the welfare of all student-athletes.

n/a

**3. Participation in Governance and Decision-Making** Involvement of student-athletes in the governance and decision-making processes of the athletics department (including the student-athlete advisory committee).

- a.** Describe how the institution studies these topics as they apply to all student-athletes.

Student-athletes are involved in the governance and decision making process of the Athletics Department through their participation in the Student Athlete Advisory Committee and the Athletics Advisory Board.

- b.** Provide data demonstrating the institution's commitment to these issues for all student-athletes.

n/a

- c.** Explain how the institution will address these topics in the future for the welfare of all student-athletes.

n/a

## Equity, Welfare and Sportsmanship

**4. Programs and Activities** Establishment of programs that address the needs and issues affecting student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The many programs offered through the University enhance the welfare of all students. For example, the Learning Resource Center, Student Health, Student Psychological Services, Campus Ministry, the Office of Ethnic and Intercultural Student Services, the Office of International Scholars and Students, and Residence Life. Programs that are specifically designed for the student-athlete are offered through the Office of the Academic Coordinator and Career Development Services. Examples of these support services are the CHAMPS/Life Skills Program, Student-Athletes Mentors and the Career Development Strategies classes.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

n/a

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

n/a

### Evaluation

1. Does the institution demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students? **Currently Yes**
2. Does the institution provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis? **Currently Yes**
3. Does the institution have established grievance or appeal procedures available to student-athletes in appropriate areas? **Currently Yes**
4. Does the institution provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. No**

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1. Evaluation and monitoring of issues related to student-athlete welfare	1a. Athletics Department Exit Interviews (Group Format) Summary report	Exit interview data will be compiled into a summary report and given to the Intercollegiate Athletics Director who reviews the data, develops a plan to address any areas of concern, and identifies strengths. This plan is then submitted to the Vice President for Student Affairs and the Athletics Advisory Board for review.	Intercollegiate Athletics Director, Associate Athletics Director, the Vice President for Student Affairs, and the Athletics Advisory Board	Annually, beginning 2004-2005 academic year.
	1b. Vice President for Student Affairs' Individual Exit Interview Data Summary Report	Vice President for Student Affairs' Individual Exit Interview data for seniors and freshmen will be in an aggregate summary report (to preserve confidentiality of the student-athlete) and will include any specific student-athlete issues. The aggregate summary report will be given to the Intercollegiate Athletics Director for review. The Athletics Director will provide a summary report based on the individual exit interview and feedback session data sets to the Vice President for Student Affairs for evaluation, planning and the development of actions plan(s) if necessary.	Intercollegiate Athletics Director, Associate Athletics Director, the Vice President for Student Affairs, and the Athletics Advisory Board	Annually, beginning 2004-2005 academic year.

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
2. Education enhancement programs related to NCAA Sports Medicine Guideline 1-E	2a. There will be formal implementation of the discussion of nutritional supplements and their inherent risks to all student-athletes.	Student-athletes will obtain formal instruction about nutritional supplements and their inherent risks. The Intercollegiate Athletics Director will designate an identified athletics staff person to conduct the formal instruction.	Intercollegiate Athletics Director and designated Instructor	During the Fall semester of each academic year, beginning 2004-2005
	2b. There will be formal implementation of the alcohol and drug guideline to allow time for questions from student-athletes in discussions or lectures on alcohol, tobacco, and other drug education programs.	Student-athletes will obtain formal instruction about alcohol, tobacco, and other drugs and their inherent risks. The Intercollegiate Athletics Director will designate an identified athletics staff person to conduct the formal instruction.	Intercollegiate Athletics Director and designated Instructor	During the Fall semester of each academic year, beginning 2004-2005
3. The institution's and/or the Athletics Department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation and in areas such as harassment, hazing, abusive behavior, and sexual orientation.	3a. Create a brochure for Sexual Orientation issues similar in format to the Sexual Harassment or Ethnic/Racial Discrimination brochures currently distributed through the Division of Student Affairs to all students.	Sexual Orientation Brochure will be created.	Office of the Vice President for Student Affairs	2005-2006; annual revisions as deemed necessary
	3b. The Committee on Sexual Harassment should update and distribute a brochure to all students.	Sexual Harassment brochure will be created, distributed and made available with other resource information materials (e.g., information rack near Training Room).	Office of the Vice President for Student Affairs; Intercollegiate Athletics Director designee for distribution	2005-2006; annual revisions as deemed necessary

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
	3c. Create information/education sessions as part of Athletics orientation programs. Individuals responsible for handling complaints would be introduced to student athletes. Present information about how to report a complaint and how the University responds to such reports.	During the student-athlete orientation information/education sessions about how to make a complaint and the University policy/procedure regarding such complaints will be implemented and individuals responsible for managing the complaints will be introduced.	Intercollegiate Athletics Director's designee for student-athlete orientation programming.	2004-2005; annually thereafter
	3d. Continue to publish and distribute informational materials concerning these issues.	Materials will be published and distributed to student-athletes regarding these issues.	Intercollegiate Athletics Director's designee for resource information and distribution to student-athletes.	2004-2005; ongoing
	3e. Assure that an annual report concerning the management and status of any complaints received be communicated directly to the Vice President for Student Affairs. In particular cases, the confidentiality of the complainant and the respondent are protected by relevant policies/professional practices. In these cases, non-identifying information will be presented to the VPSA. The report may include suggestions that the VPSA would implement at her discretion.	The Intercollegiate Athletics Director will complete a report, which will include aggregate and non-identifying data concerning the frequency, nature and status of such complaints.  The report may include suggestions that the VPSA would implement at her discretion.	Intercollegiate Athletics Director; Associate Director of Athletics; Vice President for Student Affairs	2004-2005 and ongoing
	3f. Monitor the number/nature of complaints. Report benchmarked comparisons to the general student population.	The Intercollegiate Athletics Director's report will include benchmarked comparisons to the general student population.	Intercollegiate Athletics Director	2004-2005 and ongoing

## Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
	3g. Work proactively with University committees and individuals who have demonstrated a commitment to the fair treatment and welfare of students (Committee on the Status of Women, Committee on Sexual Harassment, Assistant to the President for Intercultural Affairs, among others).	The Athletics Department will be represented on University committees related to fair treatment and welfare of students. The Athletics Department will work proactively with the Office of the Assistant to the President for Intercultural Affairs, and others.	Intercollegiate Athletics Director; Associate Athletics Director and their designees for special committees.	2004-2005 and ongoing
4. The institution's educational and support programs for students, in particular, the provision of a safe environment for student-athletes with diverse sexual orientations.	4a. Information will be distributed about the student organizations/meeting schedules for the Gay Straight Alliance (sponsored by the Student Affairs) and Beati (sponsored by Campus Ministry).	Information/brochures will be distributed and made available with other resource information materials (e.g., the information rack near Training Room).	Intercollegiate Athletics Directorb019s designee for resource information and distribution to student-athletes	2004-2005 and ongoing

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.4 Sportsmanship and Ethical Conduct

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

n/a

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

n/a

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.4 (Sporting and Ethical Conduct) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

n/a

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

n/a

5. Explain how the institution is organized to further its efforts related to sporting and ethical conduct and provide evidence that matters concerning sporting and ethical conduct are monitored, evaluated and addressed on a continuing basis.

n/a

6. Provide the institution's written policies and procedures on sporting and ethical conduct.

n/a

## Equity, Welfare and Sportsmanship

7. Describe any sanctions that may be levied for inappropriate behavior by all individuals associated with the intercollegiate athletics program.

n/a

8. Describe the institution's method(s) for communicating the institution's sporting and ethical conduct policies and procedures to all individuals associated with the intercollegiate athletics program.

n/a

9. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.

n/a

10. Describe educational activities related to sporting and ethical conduct for student-athletes, coaches, institutional staff members, boosters, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.

n/a

11. Describe mechanisms the institution has in place to review and monitor the effectiveness of its sporting and ethical conduct policies and procedures. Also, provide a brief description of incidents that have been reviewed through these mechanisms in the last three years.

n/a

12. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sporting and ethical conduct (e.g., citations or sanctions from the conference office, sanctions or reprimands from the NCAA for conduct during its championships, awards received by the institution or its athletes for exemplary behavior in this area).

n/a

### Evaluation

1. Does the institution demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sporting and ethical conduct? **Currently Yes**

2. Does the institution have established a set of written policies and procedures for this area? **Currently Yes**

3. Does the institution demonstrate that educational activities related to sporting and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience? **Currently Yes**

4. Does the institution provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION ATHLETICS AND SELECTED INSTITUTIONAL PERSONNEL

		Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Year																			
Senior Administrative Athletics Dept. Staff	F										4	4	4						
Other Professional Athletics Dept. Staff	F							2	2	2	2	3	4	8	8	7			
	P																		
Head Coaches	F										3	4	4	11	10	10			
	P																		
Assistant Coaches	F				1	1		2	1	1	1	1	1	12	14	14			
	P																		
Totals (for Athletics Dept. Personnel)	F	0	0	0	1	1	0	4	3	3	10	12	13	31	32	31	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Faculty-Based Athletics Board or Committee Memebtrs								1	1	1				7	7	7			
Other Advisory or Policy-Making Group Memebtrs																			

Name of person completing this chart: Abbie Robinson-Armstrong

Title: Asst. to the President, Intercultural Affairs

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

	Racial or Ethnic Group																				
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)					
	Year	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3		
All Students																					
Student-Athletes	0	0	1	16	15	13	16	13	12	18	19	19	132	130	130	31	43	39			

Name of person completing this chart: Dan Smith & Cara Hanelin

Title: Athletics - Compliance Office

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION MEN'S AND WOMEN'S SPORTS TEAMS

Sports** Year	Racial or Ethnic Group																	
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball	0	0	0	1	3	3	1	1	0	4	3	4	12	11	9	3	6	6
Men's Basketball	0	0	0	0	0	0	6	5	5	0	0	0	4	4	4	3	3	3
Football																		
Men's Track / Cross Country	0	0	0	0	0	0	0	0	0	1	1	1	3	2	2	0	0	0
Men's Other Sports and Mixed Sports	0	0	0	5	6	3	2	0	0	8	7	8	35	30	33	3	12	10
Women's Basketball	0	0	0	1	1	1	5	6	5	0	0	0	5	5	5	3	3	2
Women's Track / Cross Country	0	0	0	0	0	0	0	0	0	2	2	1	4	8	6	1	0	0
Women's Other Sports	0	0	1	9	5	6	2	1	2	3	6	5	69	70	71	18	19	18
Total	0	0	1	16	15	13	16	13	12	18	19	19	132	130	130	31	43	39

Name of person completing this chart: Dan Smith & Cara Hanelin

Title: Athletics - Compliance Office