

Note to the reader...

The NCAA Athletics Certification Self-Study Instrument is designed to assist participating NCAA member institutions in the Division I athletics certification program, as well as members of peer-review teams that will be conducting campus evaluation visits. The self-study instrument was developed by the NCAA Committee on Athletics Certification.

The self-study instrument has been organized into four sections, consistent with the certification program's four basic topic areas (governance and commitment to rules compliance, academic integrity, fiscal integrity, and equity, welfare and sportsmanship). Further, each section is formatted so that institutions' self-study reports are completed in as consistent a manner as possible.

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

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

Users of the self-study instrument are encouraged to submit questions or suggestions regarding the use of the publication to:

NCAA Membership Services
P.O. Box 6222
Indianapolis, Indiana 46206-6222
Attention: Athletics Certification Self-Study Instrument
Telephone: 317/917-6222

[Note: Editorial changes approved by the NCAA Committee on Athletics Certification since the self-study instrument's last publication are set off by a gray background.]

NCAA COMMITTEE ON ATHLETICS CERTIFICATION

SELF-STUDY INSTRUMENT

INTRODUCTION TO SELF-STUDY REPORT

[Note: Please complete this form and include it at the beginning of the institution's self-study report.]

Institutional Information

(Name of Institution)

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

Athletics Information

1. Subdivision status of athletics program: I-A I-AA I-AAA
2. Conference affiliation(s) or independent status:
3. Athletics program structure (check 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:
5. Other significant events (with dates) in the history of intercollegiate athletics program:

Previous Certification Self-Study

(Please attach additional pages as necessary in responding to these items.)

1. Date of previous orientation visit, evaluation visit and interim self-study report (if applicable):

2. Initial certification-status decision rendered by the NCAA Committee on Athletics Certification (and date):

3. Subsequent actions or changes in certification status (if any) made by the NCAA Committee on Athletics Certification (and date):

4. Actions taken by the NCAA Committee on Athletics Certification regarding the institution's interim report (if applicable):

5. All actions the institution has completed or progress it has made related to "strategies for improvement" (if any) identified by the NCAA Committee on Athletics Certification in its first-cycle certification-status decision that have not been previously satisfied and approved. [Note: Please do not report on the implementation of gender-issues and minority-issues plans, as they are covered elsewhere in the report.] Specifically, include for each: (a) the first-cycle "strategy," (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.

6. All other actions the institution has completed or progress it has made regarding plans for improvement/recommendations developed by the institution during its most recent regular and interim (if applicable) self-studies. [Note: Please do not report on the implementation of gender-issues and minority-issues plans, as they are covered elsewhere in the report.] Specifically, include for each: (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 completed, and (e) explanation(s) for partial completion.

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

8. 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:

Certification Self-Study Information

1. Steering committee chair (name and title):

2. Chief report writer/editor of self-study report (name and title):

3. Describe the extent of broad-based participation of campus constituencies in the self-study. (Also, attach a copy of the institution's written plan for conducting 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.

SELF-STUDY INSTRUMENT

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

Operating Principle

1.1 **Mission of the Athletics Program and the Institution.**

Maintaining intercollegiate athletics as an integral part of the educational program is a basic purpose of the Association. Consistent with this fundamental policy,

- a. The institution shall demonstrate that the mission and goals of the athletics program:
 - Relate clearly to the mission and goals of the institution;
 - Support the educational objectives, academic progress and general welfare of student-athletes;
 - Support equitable opportunity for all students and staff, including women and minorities;
 - Embrace the Association's principles of sportsmanship and ethical conduct;
 - Are widely circulated among the institution's internal and external constituencies.
- b. The institution shall demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals.

Self-Study Items

1. Please provide mission statements of the institution and athletics program and indicate the date of their last revision.
2. Explain how the mission of the athletics program relates to that of the institution as a whole.
3. Describe how and to whom the athletics program's mission statement is circulated.
4. Describe briefly, using specific examples, how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

Operating Principle

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

- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
- b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.

- c. 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.

Self-Study Items

1. 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).
2. 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.
3. 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. Please provide the composition of the athletics board or committee (including titles and positions).

Information to be available to the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).
- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)

Operating Principle

- 1.3 **Rules Compliance.** Membership in the Association places the responsibility on each institution to assure that its staff, student-athletes, and other individuals and groups representing the institution's athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:
 - a. It has in place a set of written policies and procedures that 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.
 - b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.
 - c. Rules compliance is the subject of an ongoing educational effort.
 - d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
 - e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department. [Note: The effective date of this requirement is January, 1998.]

Self-Study Items

1. 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.
2. Identify, using an organizational or flow chart, 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 (if any), coaches, and other key individuals inside and outside athletics (e.g., administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.
3. Describe the institution's rules-education efforts for student-athletes, athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.
4. Describe the procedures used by the institution to monitor student-athlete employment in compliance with NCAA legislation.
5. Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria and, (d) philosophy statements and other applicable sections of policy manuals.
6. Please provide written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and monitoring recruiting (if not included elsewhere in the report).

Information to be available to the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules.
- Documentation related to periodic evaluation of the institution's rules-compliance program by some authority outside of athletics.
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Organizational charts of the institution and athletics department.

Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, including: (a) issues/problems identified in the self-study, (b) measurable goals the institution intends to attain to address the issues/problems, (c) step(s) to achieve the goals, (d) the specific timetable for completing the work, and (e) individuals/offices responsible for carrying out the actions.

1.1 Mission of the Athletics Program and the Institution.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
a. Does the institution demonstrate that the mission and goals of the athletic program:				
(1) Relate clearly to the mission and goals of the institution?				
(2) Support the educational objectives, academic progress and general welfare of the student-athletes?				
(3) Support equitable opportunity for all students and staff, including women?				
(4) Support equitable opportunity for all students and staff who are minorities?				
(5) Embrace the Association's principles of sportsmanship and ethical conduct?				
(6) Are widely circulated among the institution's internal and external constituencies?				
b. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals?				

	Yes	No
On the basis of the yes/no answers above and the plans for correcting deficiencies below, is the institution in substantial conformity with Operating Principle 1.1 (Mission of the Athletics Program and the Institution)?		

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

1.2 Institutional Control, Presidential Authority and Shared Responsibilities.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that:				
a. The institution’s governing board provides oversight and broad policy formulation for intercollegiate athletics				

-
- in a manner consistent with other units of the institution?
-
- b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?
-
- c. 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?
-

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?		

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

1.3 Rules Compliance.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that:				
a.	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?			
b.	In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?			
c.	Rules compliance is the subject of an ongoing educational effort?			
d.	A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?			
e.	At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?			

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)?		

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

SELF-STUDY INSTRUMENT

ACADEMIC INTEGRITY

Operating Principle

- 2.1 Academic Standards.** The Association's fundamental principles indicate that an intercollegiate athletics program shall be designed and maintained as a vital component of the institution's educational system, and student-athletes shall be considered an integral part of the student body. Consistent with this philosophy, the institution shall demonstrate that:
- a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees.
 - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, the contrast shall be analyzed and explained by appropriate institutional authorities.
 - (2) 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, this disparity shall be analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities.
 - b. 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.
 - c. 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.

Self-Study Items

1. Describe the process by which student-athletes are admitted to your institution, and compare it to the process for admitting students generally. 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.
2. Compare the admissions profiles of student-athletes who received athletes 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 Attachment No. 1 and the graduation-rates disclosure form methodology to compile these data.]
3. (a) Please describe the process by which students may be admitted if they do not meet the institution's standard or normal entrance requirements. 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.

(b) 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 part (a) 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. [Note: Use Attachment No. 2 to compile these data.]

4. 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 the individual(s) with final authority for certifying initial eligibility, and their title(s).
5. 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.
6. Please provide the institution's official NCAA graduation-rates report (institution's two-page report) for the three most recent academic years for which this information is available.
7. Review the graduation rates for student-athletes who received athletics grants-in-aid, various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes.
8. Describe the specific goal(s) that your institution has set for graduation of students generally and for graduation of student-athletes.
9. Please provide 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. Information to be available for review by the peer-review team, if requested:
 - Graduation-rates survey form (GRS-1) for the three most recent years for which this information is available.
 - A copy of the institution's most recent catalog.
 - A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
 - Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).

Operating Principle

- 2.2 Academic Support.** Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational welfare of student-athletes and to assure proper emphasis on educational objectives. Consistent with this responsibility, the institution shall demonstrate that:
- a. Adequate academic support services are available for student-athletes.
 - b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing.
 - c. When it is determined that individual student-athletes have special academic needs, these needs are addressed.
 - d. The support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics.

Self-Study Items

1. Describe the academic support system available to student-athletes. Include: (a) the specific academic support services (e.g., academic advising services related to choice of majors for student-athletes, tutoring, post-eligibility programs, study skills) offered; (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 periodic review and approval by academic authorities outside athletics of these services, and (e) any means of analyzing, explaining and addressing special academic needs (e.g., missed class time) of student-athletes, if any are identified.

2. Identify, using an organizational or flow chart, 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).

Operating Principle

- 2.3 Scheduling.** It is a principle of the Association to ensure that, in the conduct of intercollegiate athletics, student-athletes have sufficient time for their academic programs. In accordance with this principle, the institution shall 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.

Self-Study Items

1. Provide 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.

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

3. Analyze, explain and address (if necessary, through specific plans for improvement) missed class time that has been determined by the institution to be significant or excessive for any sport(s).

Information to be available for review by the peer-review team, if requested:

- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, Forms 48-H and Forms 48-C, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).

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

PART 1-A: Standardized Test Scores, by Gender

Calculate and provide the average (mean) standardized test scores fro all entering freshman students and freshman student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) during the three most recent academic years, by gender. Report all scores as either recentered SAT or sumscores. Individual student-athlete scores should be converted using the table provided on page 21 before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of freshman students generally. Otherwise, the average score for freshman students generally may be converted using the table provided on page 21. List the most recent academic year's data first and include all freshman students entering the institution during the year.

		Gender								
		Male students		Male student-athletes		Female students		Female student-athletes		
Average Standardized Test Score	Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	

❖ Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

Name of person completing this chart:

Title:

Date:

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

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

Calculate and provide the average (mean) standardized test scores for all entering freshman students and freshman student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) during the three most recent academic years, by racial or ethnic group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the table provided on page 21 before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of freshman students generally. Otherwise, the average score for freshman students generally may be converted using the table provided on page 21. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

		Racial or Ethnic Group – All Entering Freshman Students												
		Am.Ind./AN		Asian/PI		Black		Hispanic		White		Other		
Average Standardized Test Score	Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	

		Racial or Ethnic Group – All Entering Freshman Student Athletes on Aid*												
		Am.Ind./AN		Asian/PI		Black		Hispanic		White		Other		
Average Standardized Test Score	Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	

❖ Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

Am.Ind./An – American Indian/Alaskan Native

Asian/PI – Asian/Pacific Islander

Name of person completing this chart:

Title:

Date:

FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID*

PART II: GPA and Test Scores, by Sport Group

Calculate and provide the average (mean) standardized test scores for all entering freshman students and freshman student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) during the three most recent academic years, by racial or ethnic group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the table provided on page 21 before the average (mean) test scores are calculated. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

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

	Year	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.	Core GPA	# of Stu.
Average Core-Course GPA																	

❖ Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

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

Name of person completing this chart:

Title:

Date:

**ACADEMIC INTEGRITY: SELF-STUDY ITEM NO. 3
FOR OPERATING PRINCIPLE 2.1**

Special-Admissions Information

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

Indicate the number percentage of entering freshman students who were admitted through special exception provisions and the number of entering freshman student-athletes receiving athletics aid* (include partial and nonqualifiers who were ineligible for aid) who also were so admitted, by eight sport groups and overall, during the three most recent academic years. List the most recent academic year's data first and include all freshmen students entering the institution during the year.

				Sport Group (Freshman)							
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid**	Baseball	Men's Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	Women's Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits											

❖ Institutions that do not award athletics aid should compile these data for freshman student-athletes who were recruited, as determined by the institution.

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

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

Name of person completing this chart:

Title:

Date:

TABLE 1. ACT/SAT CONVERSION CHART

SAT	ACTSUM	SAT	SATSUM	SAT	SATSUM	SAT	ACTSUM
1600	141	1290	115	980	83	680	56
1590	140	1280	114	970	82	670	55
1580	139	1270	113	960	81	660	54
1570	138	1260	112	960	80	650	53
1560	138	1250	111	950	80	640	53
1550	137	1240	110	940	79	630	52
1540	137	1230	109	930	78	620	52
1530	136	1220	108	920	77	610	51
1520	135	1210	107	910	76	600	50
1510	134	1200	105	900	75	590	50
1500	133	1190	104	890	74	580	49
1490	132	1180	103	880	73	570	49
1480	132	1170	102	870	72	560	48
1470	131	1160	101	860	71	550	47
1460	130	1150	100	860	70	540	47
1450	129	1140	99	840-850	70	530	46
1440	129	1130	98	830	69	520	46
1430	128	1120	97	820	68	510	45
1420	127	1110	96	810	67	500	44
1410	126	1100	95	800	66	490	
1400	125	1090	94	790	65	480	
1390	124	1080	93	780	64	470	
1380	123	1070	92	770	63	460	
1370	123	1060	91	760	62	450	
1360	122	1050	90	740-750	61	440	
1350	121	1040	89	730	60	430	
1340	120	1030	88	730	59	420	
1330	119	1020	87	720	59	410	
1320	118	1010	86	710	58	400	
1310	117	1000	85	700	57		
1300	116	990	84	690	56		

Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, including: (a) issues/problems identified in the self-study, (b) measurable goals the institution intends to attain to address the issues/problems, (c) step(s) to achieve the goals, (d) the specific timetable for completing the work, and (e) individuals/offices responsible for carrying out the actions.

2.1 Academic Standards.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that:				
a.				
The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees?				
(1)				
If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, the contrast is analyzed and explained by appropriate institutional authorities?				
(2)				
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, this disparity is analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities?				
b.				
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?				
c.				
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?

	Yes	No
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On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 2.1 (Academic Standards)?

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1—Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2—Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

2.2 Academic Support.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that:				
a. Adequate academic support services are available for student-athletes?				
b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing?				
c. When it is determined that student-athletes have special academic needs, these needs are addressed?				
d. The support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics?				

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 2.2 (Academic Support)?		

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

2.3 Scheduling.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
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?				

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 2.3 (Scheduling)?		

[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has below a plan to address any "Currently No" response to any element(s) of the operating principle.]

Plan for Improvement #1—Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

SELF-STUDY INSTRUMENT

FISCAL INTEGRITY

Operating Principle

- 3.1. Financial Practices.** The Association's principles include the responsibility of the institution's chief executive officer for approval of the athletics budget and audit of all athletics expenditures. In fulfilling this principle, the institution shall demonstrate that:
- a. All funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight.
 - b. All expenditures from any source for athletics are approved by the institution.
 - c. Budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2:
 - 1.) The institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department.
 - 2.) 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.

Self-Study Items

1. Prepare a list of all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution. Also, prepare a list of 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.
2. 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. Prepare a separate description for those sources of revenue under the institution's direct control and another for revenue sources not under the institution's direct control.
3. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics, including any methods used to ensure the independent nature of the auditor. Also describe relevant corrective actions planned or implemented from the three most recent external audits.
4. 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., state funds vs. restricted/foundation funds).

5. Please provide copies of the management letters (or executive or management summaries) of the institution's three most recent external (those used to satisfy the annual independent financial audit requirement in Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.

Information to be available for review by the peer-review team, if requested:

- Copies of the institution's three most recent external (per Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.
- Copies of all athletics staff members' most recently completed and signed statements related to the reporting and approval of athletically related income and benefits from sources outside the institution, per NCAA Bylaw 11.2.2.

Operating Principle

- 3.2. **Fiscal Management and Stability.** The Association's principles require each institution to administer its intercollegiate athletics program in keeping with prudent management and fiscal practices. To demonstrate fulfillment of this requirement, the institution shall 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.

Self-Study Items

1. Explain the institution's philosophy with respect to the funding of the athletics program.
2. 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. Prepare a separate list for revenues under the institution's direct control and another for revenues not under the institution's direct control.
3. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).
4. Outline the sources, uses and amounts of subsidization of the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.
5. Identify the sources, uses and amounts of athletics department surplus and/or reserve funds.
6. 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.
7. After reviewing the institution's Equity in Athletics Disclosure Act survey forms for the three most recent years for which the information is available, comment on the institution's provision of full and stable opportunities to student-

athletes. In particular, provide comment, sport-by-sport, on per diem, transportation, equipment, percentage of sport budget that has to be obtained via fundraising and other applicable comparisons. Analyze, explain and address (if necessary, through specific plans for improvement) any significant discrepancies.

8. Please provide a copy of the institution's completed forms attesting to compliance with the Division I membership requirements related to minimum financial aid awards (i.e., Part II of the NCAA Sports Sponsorship Report, Form No. 98-7) for the three most recent academic years.

Operating Principle

- 3.3. **Established Fiscal Policies and Procedures.** Membership in the Association places responsibility on each institution to monitor its programs to assure compliance with all applicable rules and regulations of the Association. Consistent with this responsibility, the institution shall demonstrate that it has in place fiscal policies and standard operating procedures to ensure that:
 - a. Prospective student-athletes are not provided with impermissible recruiting inducements.
 - b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation.
 - c. All expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules.

Self-Study Items

1. 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.
2. Describe or provide a copy of the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements and enrolled student-athletes do not receive extra benefits 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.

Information to be available for review by the peer-review team, if requested:

- Monitoring records or other documentation for the most recent year, related to impermissible recruiting inducements and prohibited extra benefits (e.g., official visit records, off-campus recruiting records, team travel forms, records related to distribution of meal money, entertainment expenses, equipment).

Evaluation and Plan for Improvement

Given the responses to the self-study items above, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this Assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a “Currently No” response to the element(s)] or that problems or deficiencies exist in this area, outline the institution’s specific plans for improvement, including: (a) issues/problems identified in the self-study, (b) measurable goals the institution intends to attain to address the issues/problems, (c) step(s) to achieve the goals, (d) the specific timetable for completing the work, and (e) Individuals/offices responsible for carrying out the actions.

3.1. Financial Practices.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that:				
a.				
All funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight?				
b.				
All expenditures from any source for athletics are approved by the institution?				
c.				
Budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2?				
1.				
The institution’s annual budget for athletics is approved by the institution’s chief executive officer or designee from outside the athletics department?				
2.				
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?				

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.1 (Financial Practices)?		

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

3.2. Fiscal Management and Stability.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
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?				
	Yes		No	
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.2 (Fiscal Management and Stability)?				

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

3.3. Established Fiscal Policies and Procedures.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that:				
a. Prospective student-athletes are not provided with impermissible recruiting				

inducements?

b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation?

c. All expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules?

Yes

No

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.3 (Fiscal Policies and Procedures)?

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

SELF-STUDY INSTRUMENT

EQUITY, WELFARE AND SPORTSMANSHIP

Operating Principle

- 4.1 Gender Issues.** Consistent with NCAA Constitution 2.3, it is the responsibility of each institution to implement the Association's principle of gender equity. In accordance with this fundamental principle, the institution shall:
- a. Have implemented its approved gender-equity plan from the previous self-study. If modified or not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
 - b. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel.
 - c. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons Responsible and timetables.

Self-Study Items

1. Explain how the institution is organized to further its efforts related to the gender issues operating principle above for both staff and students and provide evidence that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.
2. For the three most recent academic years for which the information is available, provide a copy of the institution's completed Equity in Athletics Disclosure Act survey form and work-sheets. Analyze, explain and address (if necessary, through specific plans for improvement) discrepancies in the data between male and female student-athletes. Comment on any trends or significant changes.
3. Report on the institution's implementation of its plan to address gender-equity issues from its previous certification self-study. 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.
4. Using the program area checklist for gender issues, provided as Attachment No. 2, please: (a) describe how the institution has ensured a complete study of each of these areas, (b) provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas, and (c) 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.]

5. Please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible, timetables, and means for funding implementation of the plan.

Information to be available for review by the peer-review team, if requested:

- The institution's gender-issues plan from the previous certification self-study.
- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).

Operating Principle

- 4.2. **Minority Issues.** It is a principle of the Association to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination prohibited by federal and state law. Consistent with this fundamental philosophy, the institution shall:
 - a. Have implemented its approved minority-opportunities plan from the previous self-study. If modified or if not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
 - b. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of all minority student-athletes and athletics department personnel.
 - c. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

Self-Study Items

1. Explain how the institution is organized to further its efforts related to the minority-issues operating principle above for both staff and students and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.
2. 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, volunteer and restricted-earnings 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 Attachment No. 1 to compile the data requested in this self-study item and Self-Study Item Nos. 3 and 4. Much of the information can be gleaned from existing NCAA reports.]
3. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally.

4. 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.
5. Report on the institution's implementation of its plan to address minority issues from its previous certification self-study. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion.
6. Using the program area checklist for minority issues, provided as Attachment No. 3, 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, and (c) explain how the institution's future plan for minority issues addresses each of the areas.
7. Please provide a written, stand-alone institutional plan for addressing minority opportunities for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible, timetables, and means for funding implementation of the plan.

Operating Principle

- 4.3. **Student-Athlete Welfare.** Conducting the intercollegiate athletics program in a manner designed to protect and enhance the physical and educational welfare of student-athletes is a basic principle of the Association. Consistent with this fundamental principle, the institution shall:
 - a. Demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students.
 - b. Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.
 - c. Have established grievance or appeal procedures available to student-athletes in appropriate areas.
 - d. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for each of its student-athletes.

Self-Study Items

1. Explain how the institution is organized to further its efforts related to the student-athlete welfare operating principle above and provide evidence that matters concerning student-athlete welfare are monitored, evaluated and addressed on a continuing basis.
2. 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]; academic skills enhancement) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

3. 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.
4. Describe and provide a copy of the institution's grievance or appeals procedures available to student-athletes.
5. Identify the administrator who is responsible for the institutional awareness of health, safety 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.]
6. Describe or provide a copy of the institution's emergency medical plan for practices and games, including its written emergency plan for the athletics program and specific coverage for out-of-season practices, 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.]
7. Using the program area checklist for student-athlete welfare issues, provided as Attachment No. 4, 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.
8. Please provide the institution's student-athlete handbook.
9. Please provide written materials (e.g., forms) used to document student-athlete exit interviews.

Information to be available for review by the peer-review team, if requested:

- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.
- Media guides.

Operating Principle

- 4.4. **Sportsmanship and Ethical Conduct.** It is a principle of the Association that student-athletes, coaches and all others associated with intercollegiate athletics adhere to such fundamental values as respect, fairness, civility, honesty and responsibility. Consistent with this principle, the institution shall:

- a. Demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sportsmanship and ethical conduct.
- b. Have established a set of written policies and procedures for this area.
- c. Demonstrate that educational activities related to sportsmanship and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience.
- d. Provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis.

Self-Study Items

[Note: The NCAA Sportsmanship and Ethical Conduct Committee has developed and adopted the following definitions for sportsmanship and ethical conduct:

- "Sportsmanship" is a set of behaviors to be exhibited by student-athletes, coaches, game officials, administrators and fans in athletics competition. These behaviors are based upon values, including respect, civility, fairness, honesty and responsibility.
 - "Ethical conduct" is a set of guiding principles with which each person follows the letter and spirit of the rules. Such conduct reflects a higher standard than law because it includes, among other principles, fundamental values that define sportsmanship.]
1. Explain how the institution is organized to further its efforts related to the sportsmanship and ethical conduct operating principle on the previous page and provide evidence that matters concerning sportsmanship and ethical conduct are monitored, evaluated and addressed on a continuing basis.
 2. Describe and provide a copy of the institution's written policies and procedures on sportsmanship and ethical conduct, including sanctions that may be levied for inappropriate behavior.
 3. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.
 4. Describe educational activities related to sportsmanship and ethical conduct for student-athletes, coaches, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.
 5. Describe mechanisms the institution has in place to review and monitor the effectiveness of its sportsmanship 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.
 6. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sportsmanship 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).

**EQUITY, WELFARE AND SHPORTSMANSHIP: SELF-STUDY ITEM NOS. 2, 3, AND 4
FOR OPERATING PRINCIPLE 4.2**

Racial or Ethnic Composition

PART A: Athletics and Selected Institutional Personnel

Indicate the number* of individuals in each of the racial or ethnic groups for each personnel group listed below for the three most recent academic years. List the most recent academic year's data first. [Note: (1) Use the definition of staff members that is included in the certification of compliance forms. (2) "F" refers to full-time staff employees who are considered by the institution as 1 FTE (full-time equivalency) in the athletics department(s) and "P" refers to part-time staff employees who are less than 1 FTE in the athletics department(s).]

	Racial or Ethnic Group																		
	Year	Am.Ind.A N (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
Senior Administrative Athletics Dept. Staff	F																		
Other Professional Athletics Dept. Staff	F																		
	P																		
Head Coaches	F																		
	P																		
Assistant Coaches	F																		
	P																		
TOTALS (for Athletics Dept. Personnel)	F																		
	P																		
Faculty-Based Athletics Board or Committee Members																			
Other Advisory or Policy-Making Group Members																			

Am. Ind./AN – American Indian/Alaskan Native

Asian/PI – Asian/Pacific Islander

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

Name of person completing this chart:

Title:

Date:

PART B: STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID*

Indicate the number of students generally and student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.
 Note: Information for students generally and for student-athletes who received athletics aid can be obtained from the enrollment information items included in the institution's completed NCAA Division I graduation-rates disclosure forms. The number of students by gender also can be obtained from the Equity in Athletics Disclosure Act survey form.

	Racial or Ethnic Group																			
	Year	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	
All Students																				
Student-Athletes																				

Am. Ind./AN – American Indian/Alaskan Native
 Asian/PI – Asian/Pacific Islander

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, as determined by the institution.

Name of person completing this chart:

Title:

Date:

PART C: MEN'S AND WOMEN'S SPORTS TEAMS

Indicate the number of student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups for each sport group listed below for the three most recent academic years. List the most recent academic year's data first. [Note: Information concerning student-athletes who received athletics aid by eight sports groups can be obtained from the enrollment information items included in the institution's completed NCAA graduation-rates disclosure form.]

	Racial or Ethnic Group																		
	Year	Am.Ind/AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Sports**		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball																			
Men's Basketball																			
Football																			
Men's Track/Cross Country																			
Men's Other Sports and Mixed Sports																			
Women's Basketball																			
Women's Track/Cross Country																			
Women's Other Sports																			
TOTAL																			

Am. Ind./AN – American Indian/Alaskan Native

Asian/PI – Asian/Pacific Islander

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, as determined by the institution.

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

Name of person completing this chart:

Title:

Date:

PROGRAM AREAS TO BE REVIEWED FOR GENDER ISSUES

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.
2. **Accommodation of Interests and Abilities** – Participation proportionate to enrollment; or, history and continuing practice of program expansion for underrepresented sex; or, fully and effectively accommodate underrepresented sex; equivalent levels of competition.
3. **Equipment and Supplies** – Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.
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.
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.
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.
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.
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.
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.
10. **Housing and Dining Facilities and Services** – Housing provided; special services as part of housing; dining arrangements.
11. **Publicity** – Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.
12. **Support Services** – Administrative, secretarial, and clerical support; office space.
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.

PROGRAM AREAS TO BE REVIEWED FOR MINORITY ISSUES

- 1. Institutional and Athletics Department Commitment** – Development and maintenance of written statements that address the issues of diversity.
- 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.
- 3. Organization and Structure** – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.
- 4. Enrollment** – Goals of the institution for enrollment of minority students and minority student-athletes.
- 5. Comparison of Populations** – Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to the institution's minority student population.
- 6. Graduation Rates** – Establishment of desired graduation rates for minority student-athletes and steps taken to facilitate achievement of those rates.
- 7. Participation in Governance and Decision-Making** – Involvement of minority student-athletes in the governance and decision-making processes of the athletics department.
- 8. 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.
- 9. Programs and Activities** – Establishment of programs that address the needs and issues affecting minority student-athletes.

PROGRAM AREAS TO BE REVIEWED FOR STUDENT-ATHLETE WELFARE ISSUES

- 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 student-athlete welfare.
- 2. Organization and Structure** – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.
- 3. Participation in Governance and Decision-Making** – Involvement of student-athletes in the governance and decision-making processes of the athletics department.
- 4. Programs and Activities** – Establishment of programs that address the needs and issues affecting student-athletes.

Evaluation and Plan for Improvement

Given the responses to the self-study items on pages 30 through 34, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the entire operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

For Operating Principles 4.3 (Student-Athlete Welfare) and 4.4 (Sportsmanship and Ethical Conduct): Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plan for improvement, including: (a) issues/problems identified in the self-study, (b) measurable goals the institution intends to attain to address the issues/problems, (c) step(s) to achieve the goals, (d) the specific timetable for completing the work, and (e) individuals/offices responsible for carrying out the actions.

4.1. Gender Issues.

	Currently Yes	Found on Page(s)	Currently No
Has the institution:			
a.			
b.			
c.			
d.			
e.			

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 4.1 (Gender Issues)?		

[Note: The institution should not indicate "Yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle.]

4.2 Minority Issues.

	Currently Yes	Found on Page(s)	Currently No
Has the institution:			
a.			
Implemented its approved minority-opportunities plan from the previous self-study?			
b.			
Provided an explanation from appropriate institutional authorities if its minority-opportunities plan was modified or not carried out fully?			
c.			
Demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel?			
d.			
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?			
e.			
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?			

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 4.2 (Minority Issues)?		

[Note: The institution should not indicate “Yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle.]

4.3. Student-Athlete Welfare.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution:				
a.				
Demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students?				
b.				
Provide evidence that the welfare of student-athletes and the fairness of				

their treatment is monitored, evaluated and addressed on a continuing basis?

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

d. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes?

	Yes	No
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On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 4.3 (Student-Athlete Welfare)?

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above.]

4.4. Sportsmanship and Ethical Conduct.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicated Plan for Improvement Number
Does the institution:				
a.				
Demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sportsmanship and ethical conduct?				
b.				
Have established a set of written policies and procedures for this area?				
c.				
Demonstrate that educational activities related to sportsmanship and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience?				
d.				
Provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis?				
	Yes		No	
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 4.4 (Sportsmanship and Ethical Conduct)?				

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

Plan for Improvement #1—Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

Plan for Improvement #2–Issues/Problems:

Measurable goals to address the issues/problems:

Step(s) to achieve the goal(s):

Specific timetable for completing the work:

Individuals/offices responsible for carrying out the actions:

[Please include additional plans for improvement related to the operating principle as necessary, using the format above