

## INTERIM-REPORT INSTRUMENT

### INTRODUCTION TO THE INTERIM-REPORT INSTRUMENT

Athletics certification was approved for NCAA Division I member institutions at the 1993 Convention as a key part of the NCAA's reform agenda. The initial certification cycle required each Division I institution to complete a self-study of athletics in the first five years of the program.

At the 1997 Convention, the Division I membership voted to change the future certification cycles from at least once every five years to at least once every 10 years, and to provide for a five-year interim status report. This legislation also required the five-year interim status report to be acted upon by the NCAA Division I Committee on Athletics Certification.

In examining the change from a five-year to a 10-year cycle, the committee determined that simply establishing a 10-year cycle at the conclusion of the first five-year cycle would create a five-year interruption in certification activity. With that concern in mind, the committee developed a plan to phase in the new cycle by placing Division I member institutions in a schedule for the second cycle with a range of five to 10 years between evaluation visits. To reduce the administrative burden on institutions with shorter periods of time between self-studies, the committee determined that only those institutions with eight or more years between evaluation visits would be subject to the interim-report requirement at the midpoint between evaluation visits.

This instrument is intended to provide both the institution and the committee with a format for a status report on key activities since the institution's first-cycle evaluation visit. It also provides an opportunity for the institution to receive appropriate feedback and guidance for its next self-study. In reviewing and acting upon the report, the committee is interested primarily in assuring that the institution is progressing appropriately toward its next full self-study.

The operating principles adopted by the Division I membership are the legislative foundation for the athletics certification process. Institutions should refer to the 13 operating principles when preparing the interim report. The operating principles are provided in Appendix A, pages 19-22.

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### GUIDELINES FOR THE COMPLETION OF THE INTERIM REPORT

The individual responsible for an institution's completion of its interim report shall be the institution's chief executive officer. The interim-report instrument should be completed under the direction of a senior-level institutional official designated by the chief executive officer, with assistance from appropriate institutional and athletics personnel (e.g., faculty athletics representative, director of athletics, senior woman administrator). The senior-level official must have the authority to ensure that a thorough and appropriate interim report is developed and must be a member of the chief executive officer's senior management team. The senior-level official may not be an individual who has day-to-day responsibilities in the athletics department. While the process for completing the report will vary from campus to campus, it is imperative that the chief executive officer guide the process and that the interim report, just as the institution's first-cycle self-study, be presented as a report prepared by and speaking for the entire institution.

It is required that a broad-based group (e.g., first-cycle self-study steering committee or subcommittee members, athletics board or committee, faculty-based board or committee), selected by the institution's chief executive officer, review the interim report and recommend to the chief executive officer its approval. The final page of the interim report provides spaces for: (1) identification of the individual(s) who prepared the report, (2) identification of the entity that reviewed and recommended approval of the report, and (3) the chief executive officer's signature approving the report. Questions regarding completion of the interim-report instrument may be directed to the NCAA membership services staff at 317-917-6222.

Once completed, the interim report must be made available to campus individuals and campus groups (e.g., previous self-study committee members).

The institution will be required to submit its interim report to the NCAA not more than six months after the institution's officially designated start of the self-study process. The institution will be able to choose, within the year assigned by the NCAA Division I Committee on Athletics Certification, when it wishes to begin its interim self-study.

### FORMAT OF THE REPORT

The interim report is organized into two sections :

1. **"Introduction"**—These items are intended to identify key changes that have occurred, as well as issues that have arisen, since the institution's first-cycle evaluation visit. The institution is not limited to the space provided in this instrument and should present all relevant information. The text should be concise, and the institution should resist the temptation to embellish.
2. **"Institution's Interim Report"**—The remainder of the report should be presented according to the operating principles. This allows the institution to evaluate and describe the actions it has taken since its first cycle in the areas of governance and commitment to rules compliance, academic integrity, fiscal integrity and equity. The institution will be asked to comment on the "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. The institution must report all actions completed or progress made regarding plans for improvement/recommendations developed by the institution during the first-cycle and any additional plans for improvement/recommendations developed by the institution since its first-cycle certification decision. The institution will not be required to fulfill an element of a first-cycle plan if the element does not affect the institution's conformity with an operating principle. All items in this section should be addressed and the text, again, should be concise. Further, the institution must complete the checklist provided on Pages 13-17 to ensure the interim report is complete.

INTERIM-REPORT INSTRUMENT  
COMPLETION OF THE INTERIM REPORT

To facilitate completion of the interim report, preparation of the report should begin immediately upon identification of the starting time for the process. Upon completion, **five copies** of the report should be returned to the institution's assigned NCAA membership services liaison at the national office. The chief executive officer and his or her designee should feel free to contact the membership services liaison for assistance with particular items or specific issues. The NCAA staff can be contacted at 317/917-6222.

If the institution fails to submit its report by the committee's established deadline, the committee, upon request, may provide the institution with an extended deadline. If the institution does not submit its report by that date, the committee can consider a change in that institution's certification status.

COMMITTEE ACTION ON THE INTERIM REPORT

Upon receipt of the institution's interim report, the Committee on Athletics Certification will assess the adequacy of the report and determine whether to (a) accept the report or (b) require the institution to submit a revised report or additional information by a specific date. If a new report is required but is not submitted by the established deadline, the committee can consider a change in that institution's certification status.

After determining the adequacy of the report, the committee will choose from the following options:

1. Reaffirm the institution's certification status and confirm the date for the institution's next full self-study.
2. Maintain the institution's certification status but place the institution on notice regarding concerns it will need to address in the next full self-study.
3. Identify concerns regarding the institution's progress since the first-cycle evaluation visit and require a response from the institution regarding those issues by a specific date before its next full self-study. If the institution's response is insufficient, the committee can consider other actions (e.g. rescheduling of next full self-study).
4. For serious concerns regarding the institution's progress since the first-cycle evaluation visit, ask the institution to show cause why its certification status should not be changed.

The Committee on Athletics Certification reserves the right to consider changing an institution's certification status under conditions including, but not limited to:

- a. The institution did not adequately address a "strategy for improvement" established by the committee in its original certification-status decision that was due by the time of the institution's next regular or interim self-study.
- b. Problems recurred in an area(s) that had been previously identified by the committee in the first cycle with a "strategy for improvement," a "condition" or a "corrective action."
- c. The institution did not demonstrate adequate follow up to concerns/improvement plans directly related to operating principles that were identified by the institution or the committee during the institution's previous report.

Unlike the full certification process, the interim-report process does not normally involve a campus visit by a peer-review team. However, while campus visits are not anticipated, the committee can consider, for severe cases (e.g., conflicting or misleading information in the report, a series of major infractions cases) a follow-up campus visit by external reviewers.

At the time the committee is rendering its decision, institutional representatives may be asked by the committee to appear in person to clarify factual discrepancies and other matters.

In all instances, the committee shall be obligated to honor an institution's request for a hearing related to a decision by the committee regarding the institution's certification status.

INTERIM-REPORT INSTRUMENT

INTRODUCTION

1. Name of institution: \_\_\_\_\_
2. Date of first-cycle evaluation visit: \_\_\_\_\_
3. Year second-cycle self-study will begin: \_\_\_\_\_
4. Original certification-status decision (and date) rendered by the NCAA Committee on Athletics Certification and subsequent actions or changes in certification status (if any) made by the committee:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Changes in key senior-level positions (institution or athletics program) since the first-cycle evaluation visit:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. Significant changes impacting the institution and/or athletics program (e.g., conference affiliation, sports sponsorship, changes in admissions standards, significant changes in graduation rates, changes in the mission statement of the athletics program, changes in fiscal stability/condition of the athletics program) since the first-cycle evaluation visit: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. Date of NCAA major infractions case (if any) since first-cycle evaluation visit and impact (if any) on the areas in the institution's previous self-study: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
8. Attach a copy of the Committee on Athletics Certification's summary of actions document for the institution's previous self-study.

## INTERIM-REPORT INSTRUMENT

### INSTITUTION'S INTERIM REPORT

The institution shall submit to the NCAA national office its responses to the following items, clearly identifiable and separable, in one document. Provide separate responses for each of the four major certification areas, as listed below.

[Please note: If no "corrective actions," "conditions," or "strategies for improvement" were cited by the committee, please indicate so in the appropriate section(s) of your report. Similarly, if no plans for improvement were included in the self-study instrument, or were developed since the preparation of the self-study instrument, please indicate such in the appropriate section(s) of your report.]

#### **Governance and Commitment to Rules Compliance**

1. List all the "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 governance and commitment to rules compliance 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 those action(s); (d) action(s) not taken or not completed; and (e) an explanation for any partial or noncompletion of such required actions. [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.]
2. Attach a copy of all plans for improvement/recommendations developed by the institution during its first-cycle athletics certification process in the governance and commitment to rules compliance area and list all actions the institution has completed or progress it has made regarding its first-cycle plans in this area. 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) an explanation for any partial or noncompletion of such actions. Please note that your institution will not be required to fulfill an element of a first-cycle plan if the element does not affect the institution's conformity with an operating principle.
3. List any additional plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to governance and commitment to rules compliance. In each case, provide: (a) the plan for improvement and (b) the action(s) and the date(s) of such actions. Provide any additional information that demonstrates the institution's efforts in this area.
4. Attach documentation related to the evaluation of the institution's rules-compliance program by an authority outside athletics at least once every three years. The authority may not have day-to-day compliance responsibilities for the institution's athletics department and must be knowledgeable in NCAA legislation and rules compliance practices. The evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at a minimum, the following areas:
  - a. Initial-eligibility certification.
  - b. Continuing-eligibility certification.
  - c. Transfer-eligibility certification.

- d. Financial aid administration, including individual and team limits.
- e. Recruiting (e.g., official visits, etc.).
- f. Camps and clinics.
- g. Investigations and self-reporting of rules violations.
- h. Rules education.
- i. Extra benefits (compliance with Bylaw 16, e.g., per diem, student host reimbursement, equipment retrieval, etc.).
- j. Playing and practice seasons (compliance with Bylaw 17, e.g., out-of-season activities, voluntary activities, hours per week during season, etc.).
- k. Student-athlete employment.

### Academic Integrity

5. List all the "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to academic integrity 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 those action(s); (d) actions(s) not taken or not completed; and (e) an explanation for any partial or non-completion of such required actions. [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.]
6. Attach a copy of all plans for improvement/recommendations developed by the institution during its first-cycle athletics certification process in the academic integrity area and list all actions the institution has completed or progress it has made regarding its first-cycle plans in this area. 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) an explanation for any partial or noncompletion of such actions. Please note that your institution will not be required to fulfill an element of a first-cycle plan if the element does not affect the institution's conformity with an operating principle.
7. List any additional plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to academic integrity. In each case, provide: (a) the plan for improvement; and (b) the action(s) and the date(s) of such actions. Provide any additional information that demonstrates the institution's efforts in this area.
8. Attach the official NCAA Graduation Rates report for the three most recent academic years for which the information is available. 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 sub-groups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete sub-group, 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 sub-group) rate; and (2) the trends over the three reporting periods in these rate differences.

## **Fiscal Integrity**

9. List all of the "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to fiscal integrity 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 those action(s); (d) action(s) not taken or not completed; and (e) an explanation for any partial or noncompletion of such required actions. [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.]
10. Attach a copy of all plans for improvement/recommendations developed by the institution during its first-cycle athletics certification process in the fiscal integrity area and list all actions the institution has completed or progress it has made regarding its first-cycle plans in this area. 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) an explanation for any partial or noncompletion of such actions. Please note that your institution will not be required to fulfill an element of a first-cycle plan if the element does not affect the institution's conformity with an operating principle.
11. List any additional plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to fiscal integrity. In each case, provide: (a) the plan for improvement and (b) the action(s) and the date(s) of such actions. Provide any additional information that demonstrates the institution's efforts in this area.

## **Equity, Welfare and Sportsmanship**

12. List all the "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to equity and welfare 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 those action(s); (d) action(s) not taken or not completed; and (e) an explanation for any partial or noncompletion of such required actions. [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.]
13. Attach a copy of the gender-equity plan developed by the institution during its first-cycle certification process and provide a status report on the institution's implementation of the plan. Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of those actions; (d) action(s) not taken or not completed; and (e) an explanation for any partial or noncompletion of any actions included in the original plan.
14. List all plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to gender equity issues. In each case, provide: (a) the plan for improvement and (b) the action(s) and the date(s) of such actions. Provide any additional information that demonstrates that the institution is committed to, and has progressed toward, fair and equitable treatment of male and female student-athletes and athletics department personnel.
15. Attach a copy of the minority-opportunities plan developed by the institution during its first-cycle certification process and provide a status report on the institution's implementation of the plan. Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of those

actions; (d) action(s) not taken or not completed; and (e) explanations for partial or noncompletion of any actions included in the original plan.

- 16.** List all plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to minority issues. In each case, provide: (a) the plan for improvement and (b) the action(s) and the date(s) of such actions. Provide any additional information, which demonstrates that the institution is committed to, and has progressed toward, fair and equitable treatment of minority student-athletes and athletics department personnel.
- 17.** Attach a copy of all plans for improvement/recommendations developed by the institution during its first-cycle certification process in the student-athlete welfare area and list all actions the institution has completed or progress it has made regarding its first-cycle plans in this area. 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) explanations for partial or noncompletion of such actions. Please note that your institution will not be required to fulfill an element of a first-cycle plan if the element does not affect the institution's conformity with an operating principle.
- 18.** List any additional plans for improvement or recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification, as they relate to student-athlete welfare. In each case, provide: (a) the plan of improvement and (b) the action(s) and the date(s) of such action(s). Provide any additional information that demonstrates the institution's efforts in this area.
- 19.** Attach the following for the three most recent years for which the information is available. Identify any trends or areas of concern, which may have surfaced since the preparation of the self-study report, and comment on those trends, as appropriate. Further, identify any institutional actions that already have been taken, or are anticipated, on the basis of any trends or areas of concern identified:
  - a. Equity in Athletics Disclosure Act (EADA) survey form and worksheets.
  - b. Racial or ethnic composition of student-athletes and selected institutional personnel. (Note: This item should include completion of Parts A, B and C of Attachment #1 on pages 9 to 10.

**EQUITY, WELFARE AND SPORTSMANSHIP: INTERIM REPORT**

*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).]

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

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	
Senior Administrative Athletics Dept. Staff	F																			
Other Professional Athletics Dept. Staff	F																			
	P																			
Head Coaches	F																			
	P																			
Assistant Coaches	F																			
	P																			
<b>TOTALS</b> (For Athletics Dept. Personnel)	F																			
	P																			
Faculty-Based Athletics Board or Committee Members																				
Other Advisory or Policy-Making Group Members																				

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																		
		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																				

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.]

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																			
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																			
<b>TOTAL</b>																			

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: \_\_\_\_\_

INTERIM-REPORT INSTRUMENT

PREPARATION NOTE

[Note: Please attach this page, signed and dated by the institution's chief executive officer, to the institution's interim report when it is submitted to the NCAA national office.]

Person(s) preparing this report:

Name \_\_\_\_\_ Title \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Please attach additional pages as necessary.

APPROVAL NOTE

The \_\_\_\_\_ has reviewed and recommended approval of the information provided in the interim report attached. The membership of this group included:

Name \_\_\_\_\_ Title \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Please attach additional pages as necessary.

COMPLETION NOTE

This is to certify that I have overseen \_\_\_\_\_'s

completion of the attached interim report for the second cycle of the NCAA Division I athletics certification program and approve of its contents. Participants recommending approval of this report, as well as the individual(s) who prepared the report, are identified above.



Page Numbers B. Academic Integrity.

- \_\_\_\_\_  Item No. 5 – Previous certification actions.
- Original condition or strategy.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation for partial or noncompletion of required actions.

- \_\_\_\_\_  Item No. 6 – Status of first-cycle institutional plans for improvement/recommendations.
- Original plan.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation(s) for partial or noncompletion of such actions.

- \_\_\_\_\_  Item No. 7 – Status of additional plans developed since first-cycle certification decision.
- Original plan.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).

- \_\_\_\_\_  Item No. 8 – Graduation reports.
- Official NCAA graduation-rates reports for the three most recent academic years for which the information is available.
- Year 1: \_\_\_\_\_
- Year 2: \_\_\_\_\_
- Year 3: \_\_\_\_\_

C. Fiscal Integrity.

- \_\_\_\_\_  Item No. 9 – Previous certification actions.
- Original condition or strategy.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation for partial or noncompletion of required actions.

Page Numbers

- \_\_\_\_\_  Item No. 10– Status of first-cycle plans for improvement/recommendations.
- Original plan.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation(s) for partial or noncompletion of such actions.

- \_\_\_\_\_  Item No. 11 – Status of additional plans developed since first-cycle certification decision.
- Original plan.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).

D. Equity, Welfare and Sportsmanship.

- \_\_\_\_\_  Item No. 12 – Previous certification actions.
- Original condition or strategy.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation for partial or noncompletion of required actions.

- \_\_\_\_\_  Item No. 13 – Status of first-cycle gender-equity plan.
- Original plan.
  - Action(s) taken by the institution.
  - Date(s) of the action(s).
  - Action(s) not taken or not completed.
  - Explanation(s) for partial or noncompletion of any actions.

- \_\_\_\_\_  Item No. 14 – Status of plans for improvement/recommendations since first-cycle certification decision related to gender-equity issues.
- Plan for improvement.
  - Action(s) by the institution/date(s) of the action(s).

- \_\_\_\_\_  Item No. 15 – Status of first-cycle minority-issues plan.
- Original plan.

Page Numbers

- Action(s) taken by the institution.
- Date(s) of the action(s).
- Action(s) not taken or not completed.
- Explanation for partial or noncompletion of any actions.

\_\_\_\_\_  Item No. 16– Status of plans for improvement/recommendations since first-cycle certification decision related to minority issues.

- Plan for improvement.
- Action(s) taken by the institution.
- Date(s) of the action(s).

\_\_\_\_\_  Item No. 17 – Status of first-cycle institutional plans for improvement/recommendations in the student-athlete welfare area.

- Original plan.
- Action(s) taken by the institution.
- Date(s) of the action(s).
- Action(s) not taken or not completed.
- Explanation(s) for partial or noncompletion of such action(s).

\_\_\_\_\_  Item No. 18 – Status of plans for improvement/recommendations since first-cycle certification decision related to student-athlete welfare.

- Plan for improvement.
- Action(s) taken by the institution.
- Date(s) of the action(s).

Item No. 19 – Attach the three most recent years for which the information is available.

\_\_\_\_\_  Equity in Athletics Disclosure Act (EADA) survey forms and worksheets:  
Year 1: \_\_\_\_\_  
Year 2: \_\_\_\_\_  
Year 3: \_\_\_\_\_

\_\_\_\_\_  Racial or ethnic composition of student-athletes and selected institutional personnel:

- Part A of Attachment No. 1.

Page Numbers

- Part B of Attachment No. 1.
- Part C of Attachment No. 1.

\_\_\_\_\_

**III. Preparation Note, Approval Note and Completion Note  
Signed by Chief Executive Officer.**

\_\_\_\_\_

Senior-Level Official's Name

\_\_\_\_\_

Senior-Level Official's Signature

\_\_\_\_\_

Date

## PREPARATION FOR THE SECOND-CYCLE SELF-STUDY

Institutions are encouraged to prepare for the next full self-study well in advance of the initial campus visit by the NCAA staff. Changes have been made to a number of operating principles for the second cycle, primarily in the manner in which those principles are organized, to demonstrate a relationship to basic principles of the NCAA and to align them with relevant self-study items.

- Additions to the operating principle in the Academic Integrity area of study now focus attention on (1) the academic profiles and graduation rates of student-athletes as a whole and for specific student-athlete subgroups, and (2) whether academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the general student body or the NCAA's standards, whichever are higher.
- Changes to the Fiscal Integrity operating principles now (1) emphasize demonstration that fiscal practices of the institution assure relatively full and stable participation opportunities for student-athletes, and (2) identify specific areas in which the institution must have fiscal policies and procedures to ensure NCAA rules compliance.
- Plans for improvement to address gender equity and minority opportunities in the intercollegiate athletics program must extend at least five years into the future. Institutions must maintain an active written plan at all times.
- The Division I membership has adopted legislation requiring the enhancement of the operating principle for student-athlete welfare to include a focus on the availability of established grievance or appeal procedures for student-athletes in appropriate areas, and the provision of evidence that institutional programs are in place that protect the health of and provide a safe environment for student-athletes. Such changes necessitated a modification in the title of the Commitment to Equity area to become the Equity, Welfare and Sportsmanship area of study.

## Appendix A – Second-Cycle Operating Principles

### OPERATING PRINCIPLES

#### Governance and Commitment to Rules Compliance

**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:
  - (1) Relate clearly to the mission and goals of the institution;
  - (2) Support the educational objectives, academic progress and general welfare of student-athletes;
  - (3) Support equitable opportunity for all students and staff, including women and minorities;
  - (4) Embrace the Association's principles of sportsmanship and ethical conduct;
  - (5) 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.

**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.

**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.]

#### Academic Integrity

**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.

**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.

**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.

## **Fiscal Integrity**

**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.

**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 provid-

ing all student-athletes with relatively full and stable opportunities for athletics participation.

- 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.

## **Equity, Welfare and Sportsmanship**

- 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.
- 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.
- 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.

**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.