INITIAL-ELIGIBILITY WAIVER

ADVICEMENT PROCESS PLAN

When an institution cites institutional misadvisement or lack of advisement as mitigation for a recruited student-athlete, it must submit an advisement process plan that (a) outlines current processes and/or policies related to initial-eligibility advising, (b) identifies where and why the breakdown occurred, and (c) specifies corrective measures to avoid similar situations in the future, as well as to improve processes and/or policies overall. Further, the advisement process plan must be submitted on institutional letterhead and signed by the senior compliance administrator and director of athletics.

The institution should consider the following topics (not exhaustive) in specifying its policies and procedures and identifying corrective measures in the advisement process plan:

1. Preliminary Evaluations.
   a. When the institution evaluates transcripts (e.g., after six, seven and/or eight semesters, during official and/or unofficial visits, on IRL activation, before or after NLI signing).
   b. Who conducts preliminary evaluations, including any quality-control measures (e.g., double-checks, escalation to a higher-up and/or further monitoring for high-risk student-athletes).
   c. How international issues are handled (e.g., use of the Guide to International Academic Standards for Athletics Eligibility, interaction with Eligibility Center international customer service).
   d. Use of any forms/templates to conduct evaluations and any changes made as a result of the issue.

2. Issue Identification and Advisement.
   a. How the institution verifies whether courses are on a high school’s list of NCAA courses and how the institution identifies nontraditional courses or programs and verifies their status.
   b. How the institution monitors performance and progress during grade 12 and how the institution tracks when the Eligibility Center releases a student-athlete's preliminary and/or final academic certification (e.g., use of Eligibility Center PSA Tracker).
   c. How the institution anticipates potential deficiencies and tailors advisement (e.g., completion of additional core courses during the core-curriculum time limitation, additional ACT/SAT attempts, completion of an additional core course after graduation) to meet initial-eligibility requirements before initial full-time collegiate enrollment.
   d. Contingency plan for preliminary evaluations, tracking student-athletes, and advising student-athletes if there is staff turnover or extended staff absence.

The Eligibility Center will maintain records of advisement process plans for consideration in subsequent initial-eligibility waivers. In cases where a plan was previously submitted, lack of advisement or misadvisement assertions may not be viewed favorably.
August 26, 2014

Below you will find the University's misadvisement plan to rectify the breakdown in our initial eligibility review process.

1. Current process: Compliance administrators conduct preliminary initial eligibility reviews on official and unofficial prospective student-athlete transcripts. During this review process all courses and test scores are reviewed to predict initial eligibility. The courses, test scores, and potential outcomes are inputted into an excel spreadsheet and locked for edits prior to sending the coaching staff. The compliance administrators include comments for the coaching staff regarding what courses prospective student-athletes will still need to meet initial eligibility requirements and what his/her GPA may end up to be if he/she were to earn certain grades in the missing courses. Each transcript is saved with a copy of the 48-H core course list in the prospective student-athlete file.

2. Breakdown: In one case the initial eligibility protocol was carried out in a timely fashion (11/12/13). However, due to human error, the compliance administrator mistook a junior year math class — "Algebra II CP II" course (not an acceptable NCAA core course on the high school's approved 48H) to be an "Algebra II & Trigonometry" course (an approved course). Unfortunately, in misreading the course titles the compliance administrator only noted needed one more English unit to meet the required 16 core courses. In counting the Algebra II CP II course as an acceptable NCAA core course, the compliance administrator did not properly evaluate and predict initial eligibility. Had the compliance administrator noted the junior year math course was not an acceptable NCAA core course, she could have noted needed to be in an acceptable senior year math course and had the coaching staff obtain a senior year course list to double check his classes. Additionally, in this case, the high school had sent to the NCAA in early February a transcript which listed Pre-Calculus as his math class for his senior year, which was an approved core course. In hindsight, if we had caught the misreading of the Algebra II class and realized he needed an additional math, we would have then noted he would just needed to have passed that Pre-Calculus class to meet the standards to be an NCAA qualifier. At that point we would not have recommended utilize bylaw 14.3.1.2.1.1 and take summer math course prior to initial full time because we would have not felt that he had a deficiency. His final transcript was not received by the NCAA until August 13th which precluded us from enrolling him in a summer school class.

3. Recovery Plan: In an effort to avoid the mistake of misadvisement in the future the following has occurred and our policy has been updated accordingly.

a. The Senior Associate Athlete Director of Compliance has conducted an initial eligibility educational session with the compliance administrator who made the error.
b. [Redacted] will continue to place prospective student-athletes on the Institutional Request List at the first point of a coach's recruitment.

c. [Redacted] will continue to conduct preliminary course evaluations in a timely fashion to advise prospective student-athletes accordingly.

d. The compliance administrator at fault for misadvisement has been informed to pay closer attention to detail when checking course titles on transcripts and approved NCAA 48H lists. In addition, if even a slight discrepancy in course titles is present, the compliance administrator must follow up with the high school counselor responsible for the 48H to ensure accuracy.

e. Moving forward, coaches will be asked to obtain a senior year course list and or report cards for all prospective student-athletes to ensure initial eligibility standards will be met.

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Director of Athletics

[Redacted]

Senior Associate Athletics Director, SWA
Example 2:

Preliminary Evaluations

1. When the institution evaluates transcripts

The University (institution) currently requires an initial eligibility evaluation for all prospective student-athletes making an official visit to campus. High School Transcripts and standardized test scores (ACT or SAT) submitted with the official visit approval form will be evaluated by the compliance office to determine the academic status of the prospective student-athlete. The institution will continue to request a test score despite the recent legislative change to bylaw 13.6.3. Only in extreme situations in which the prospect shows a high level of achievement based off of the high school transcript will the institution permit an official visit without test scores. The compliance office will utilize the List of Approved Core Courses on the NCAA Eligibility Center website to determine what classes taken at the prospective student-athlete’s high school(s) will be countable core courses. The standardized test scores will be utilized to determine the minimum Core GPA that a PSA must have to be deemed an NCAA Qualifier. All other initial eligibility evaluations are conducted at the request of the coach.

A breakdown has occurred with the institution only requiring an evaluation to be completed for official visits. Compliance has the responsibility to provide the necessary information to all affected parties and to do so in a timely manner. The compliance office has improperly shifted the responsibility to each coach to decide when an initial eligibility evaluation should be completed. In doing so some coaches have thereafter delegated evaluations back to the high school guidance counselors. The compliance office is best suited to initiate this work with help from the coach, guidance counselor or academic advisor.

The institution will now ask coaches to submit the necessary documents for all prospective student-athletes making an unofficial visit to campus. Compliance will also make their office available to meet with all prospects on campus to discuss initial eligibility requirements. An initial evaluation or updated evaluation will be conducted upon a coach’s request to offer a PSA athletics aid (submission of NLI request form). For those prospects who have made a visit to campus the compliance office will request any additional transcripts not previously provided in order to examine 12th grade progress.

2. Who conducts preliminary evaluations

Preliminary evaluations are completed by the Compliance Coordinator (or Graduate Assistant). In situations where the prospective student-athlete is considered at-risk the Compliance Coordinator is to notify the Assistant AD for a second review and further monitoring. At-risk is determined to be any situation in which the PSA is not at that moment meeting, or on pace to meet, an initial eligibility requirement. This would include an evaluation of a transcript that shows that the PSA will not meet the
Example 2:

10/7 requirement, 16 core courses or sliding scale. Other at-risk situations include core course GPAs below 2.4 or greater than 4-point discrepancy on retaken ACT scores or 100 points on the SAT (or similar discrepancy that the NCAA would flag scores).

All initial eligibility evaluations are sent back to the coach for him or her to review. If the evaluation has triggered an at-risk situation the compliance office will request a meeting with the coach to discuss the problems and plan to rectify. In all situations in which the PSA is making a visit (official or unofficial) the compliance office will ask to meet with the prospect to review his or her initial eligibility. In situations in which it is not possible to meet with the PSA, the coach is expected to review the evaluation with them.

At-risk prospects who the coach would like to sign an NLI or scholarship will be discussed with the Athletic Director prior to the offer being sent. The Assistant AD for Compliance will bring the evaluation to the attention of the AD to determine whether to send the offer of athletics aid. At-risk prospects may be brought to the attention of the AD earlier depending on the likelihood of meeting requirements, sport and recruiting expense considerations.

3. How international issues are handled

The Compliance Coordinator is responsible for the initial review of international transcripts. The evaluation is conducted utilizing the NCAA Guide to International Academic Standards for Athletics Eligibility. The country is identified within the Guide to determine the appropriate credential category. Correspondence with the Eligibility Center is often times necessary for international prospects especially those with a split file. The Compliance Coordinator will communicate using the ec-international@ncaa.org email with any questions or concerns about the application of international guidelines.

The institution also utilizes the Eligibility Center resources tab to keep up-to-date on international certification and to educate coaches. The Eligibility Center provides guidance for coaches who are recruiting international prospects along with a FAQ section. The institution recruits from a core number of foreign countries but occasionally encounters unique transcripts and systems that have not previously been reviewed. When necessary the compliance office will seek the help from the International Admissions Office to evaluate transcripts and certificates. The International Admissions Office will provide help with seeking service companies whenever a transcript needs to be translated.

4. Use of any forms/templates

The institution utilizes the software system to perform and track evaluations. The coaches are required to submit official and unofficial visit requests through with the ability to upload transcripts. Compliance also has the option to complete evaluations through an Excel spreadsheet designed to calculate the GPA and input all core courses and test scores. An Excel spreadsheet is only utilized when an evaluation is needed in a timely manner and it is not possible to upload the information into

5. Enhancement made to forms and procedures in light of 2016 standards

has been designed to account for the new academic standard requirements. As part of the evaluation the system will track which core courses have been completed prior to the start of the senior year and indicate whether the prospective student-athlete has met the 10/7 requirement. If an Excel
Example 2:

spreadsheet is used to complete the evaluation the 10/7 requirements are highlighted in gray. A section is created to indicate whether the PSA has met the 10/7 requirements and how many courses are still required to meet the condition.

Rules education will also be conducted with the coaches to educate them on the initial eligibility standards. Compliance also makes itself available to all area high schools to perform educational sessions. The Assistant AD for Compliance will proactively communicate with local high schools to maintain a dialog about all NCAA initial eligibility requirements. This will include a review of the school’s approved core course listing to make sure it has been updated recently.

Issue Identification and Advisement

1. How the institution verifies whether courses are on a high school’s list of NCAA courses and how the institution identifies nontraditional courses

The Compliance Coordinator will add the prospective student-athlete to the appropriate team’s IRL. Once the prospect is on the IRL compliance will review the high school’s list of NCAA core courses to evaluate the transcript. If the PSA is not yet registered, compliance will search the NCAA website (Eligibility Center) to find the correct high school and their course listing. Compliance will not perform an evaluation without reviewing the high school list and will not assume specific courses will count. If a course looks like it should be considered a core course but is not on the high school list, compliance will reach out to the primary contact for the school to inquire about submitting additional information to include the specific course.

Compliance will be able to review the PSA account for those who have already registered with the Eligibility Center. Within the account, compliance will be able to see which schools the PSA has attended as well as countries lived in and nontraditional courses through the Registration Data link. A closer evaluation is necessary when the transcript or registration data indicates multiple high schools attended and/or nontraditional courses completed. Compliance will also identify online or other nontraditional courses in meeting with the recruit during the official or unofficial visit.

2. How the institution monitors performance and progress during grade 12?

The institution has relied upon each of the coaches to track prospective student-athlete progress during their 12th grade year. Going forward the compliance office will request an updated transcript to be provided for all prospects that the team intends to sign to an NLI. During the early signing period a coach will be required to submit a transcript with their NLI/athletics aid submission form if they have not already done so. For the regular signing period in April (or February for football) coaches must provide compliance with an updated 12th grade transcript. This will allow compliance to re-examine the progress of the PSA and to catch and advise on any potential issues that may hinder their ability to meet initial eligibility requirements. Primarily, compliance will be able to recommend taking a plus-one or plus-three course(s) should the PSA appear to be short of meeting the core course minimum.

3. How the institution anticipates potential deficiencies and tailors advisement?

prioritizes prospects based on those who are considered at-risk. An at-risk PSA has either an initial eligibility deficiency or an academic standard that requires further review. This may include a core course GPA below 2.4, a test score below the minimum required for admissions, a significant
discrepancy in retaken SAT/ACT tests or nontraditional course completion. Any at-risk case detected by the Compliance Coordinator is brought to the attention of the Assistant AD for Compliance. Communication is sent to the recruiting coach along with a request to meet to discuss the risks should the coach want to continue to recruit the prospect.

Compliance will tailor an advisement plan for the at-risk prospect to meet his or her initial eligibility requirements. The plan is discussed with the coach during the scheduled meeting and the appropriate academic advisor. If the prospect is to make a visit to campus the compliance office will request a meeting to discuss the recommendations directly to the PSA. If the prospect does not make a visit to campus it will be the responsibility of the coach to relay the information. Depending on the advisement plan the academic advisor may have an active part in helping the prospect complete the requirements.

Compliance bases the advisement plan on the type of initial eligibility deficiency. Prospective student-athletes who appear to be short of meeting the 10/7 requirement will be advised to take or repeat a specific core course during the summer prior to their 7th semester. Meeting this requirement when there is a deficiency may be difficult depending on the beginning of recruitment. Typically, the institution is able to advise the prospect in time prior to the beginning of the senior year but situations of late recruitment do arise when the opportunity to rectify the 10/7 deficiency has passed. The institution will review those situations as they come to analyze whether a potential waiver opportunity would exist.

The opportunity to complete a plus-one course exists only when the PSA graduates on time. When the deficiency appears to consist of being short one or fewer core courses (while meeting 10/7) the institution will advise the recruit to complete an additional course during the academic year if possible or immediately following graduation and before full-time enrollment at the institution. In situations in which the opportunity to complete the course is not available at the prospect’s current high school, compliance will work with the academic advisor and/or high school guidance counselor to search for a reasonable alternative. This may consist of enrolling in a nontraditional course as an online option with another school. The institution will only advise to enroll in courses at schools (high school, 2-year college or 4-year online) in which the institution feels comfortable with. Any other institution or course which has been previously flagged as suspicious will not be suggested as an academic option.

If a PSA has a diagnosed education impacting disability they may complete up to three additional courses following graduation. On occasion compliance may recommend a prospect be tested for an EID if the totality of circumstances makes it appear that there is a likelihood of being diagnosed. The institution takes disabilities seriously and understands the complications with being tested including the financial limitations and social considerations. However, the institution will make suggestions based on the best interests of the prospect with the ultimate decision being left up to the PSA and his or her family. Typically, this decision will be part of a larger discussion with those who know the prospect better including the high school and coaches. Compliance is not in a position to know the recruit in-depth and will simply analyze academic patterns to make an educated projection.

In other cases, the institution will advise the PSA to take additional SAT/ACT tests. This suggestion is offered in multiple scenarios including meeting initial eligibility, meeting minimum admission standards and receiving a score sufficient for academic scholarships. If the prospect is deficient in meeting the NCAA sliding scale it will be the advice of compliance to retake the standardized test to improve the chances of being a qualifier. Compliance will also recommend additional tests if the PSA currently meets
the sliding scale requirement but is within 0.2 GPA points of not adhering to the scale. This would allow the recruit to provide a buffer in case their grades decline during the senior year.

4. **Contingency plan for preliminary evaluations, etc. if there is staff turnover or extended staff absence**

The automation of the evaluation process through [redacted] provides an easier transition in times of staff turnover. The Assistant AD for Compliance works with the academic advisors to educate them on the NCAA rules governing initial eligibility and provide them with [redacted] access. Should compliance experience turnover it will still be possible for a staff member with knowledge of the NCAA rules to advise prospects making visits to campus.

Assistant AD Compliance: [redacted] Date: 9/28/2016

Athletic Director: [redacted] Date: 9/29/16