

NCAA ATHLETICS CERTIFICATION PROGRAM

Self-Study Report Checklist

(For use with the 2004-05 Self-Study Instrument for Class 7 schools)

1. Introduction to Self-Study Report.

- Institutional Information Item Nos. 1-9.
- Athletics Information Item Nos. 1-5.
- Previous Certification Self-Study Item Nos. 1-5.
- Certification Self-Study Information Item Nos. 1-4.
- Written plan for conducting the self-study.

2. Governance and Commitment to Rules Compliance.

- Operating Principle 1.1.

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

- a. *The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.*
- b. *The president or chancellor 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 president or chancellor, 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 Item No. 1.
- Self-Study Item No. 2.
- Self-Study Item No. 3.
- Self-Study Item No. 4.

- The institution's governing board's oversight and policy formulation for athletics must be consistent with its policies and stated responsibilities for other units of the institution.*
- Self-Study Item No. 5.
 - The president or chancellor must have clear and direct oversight of the athletics program.*
- Self-Study Item No. 6.
 - The institution should identify individuals or groups external to the athletics department that have meaningful input in formulation of policies and the periodic review of policy implementation.*
- Self-Study Item No. 7.
 - Composition of the athletics board or committee (including titles and positions).*
- Operating Principle 1.2.
 - 1.2. 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 president or chancellor 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 four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department.*

- Self-Study Item No. 1.
- Self-Study Item No. 2.
- Self-Study Item No. 3.
- Self-Study Item No. 4.
- Self-Study Item No. 5.
- Description of reporting lines and responsibilities.

- Description of reporting lines.*

The institution must...

- Assign direct accountability for rules compliance to the individual the CEO assigns overall responsibility for the athletics program (e.g., athletics director, vice-president for athletics).*
- Have written compliance policies and procedures.*
- Identify individuals who have compliance-related responsibilities and must identify the reporting lines of these individuals.*
- Ensure that the compliance policies and procedures are functioning.*
- Identify and demonstrate that individuals external to the athletics department are active participants in critical and sensitive areas of compliance (e.g., eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid).*
- Have an ongoing educational program for all individuals associated with the athletics program including boosters, institutional staff members, student-athletes and athletics department staff, which include coaches.*
- Self-Study Item No. 6.
 - A statement regarding the importance of rules compliance must be included in all of the following for all administrative staff and coaches associated with athletics: contracts or letter of appointments, performance evaluations and job descriptions.*
- Self-Study Item No. 7.

- A statement regarding the importance of rules compliance must be included in all of the following for all individuals external to athletics with rules compliance responsibilities: contracts or letter of appointments, performance evaluations and job descriptions.*

- Self-Study Item No. 8.

- Self-Study Item No. 9.

- The institution must provide documentation that demonstrates that its entire rules-compliance program has been subject to an external comprehensive review once every four years.*

- Self-Study Item No. 10.

- The institution's comprehensive compliance review must be conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review.*

- Self-Study Item No. 11.

- The comprehensive review must demonstrate that the rules-compliance program is engaged and functioning.*

- The comprehensive rules-compliance evaluation 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, contacts, phone calls);*
 - f. Camps and clinics;*
 - g. Investigations and self-reporting of rules violations;*
 - h. Rules education;*
 - i. Extra benefits;*

j. Playing and practice seasons; and

k. Student-athlete employment.

Self-Study Item No. 12.

- Evaluation and Plan for Improvement.

Evaluation and Plan No. 1.1.

Evaluation and Plan No. 1.2.

3. Academic Integrity.

- Operating Principle 2.1.

***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-athletes 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; and*

d. *Written policies related to scheduling 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 NCAA Constitution 3.2.4.13.*

Self-Study Item No. 1.

Self-Study Item No. 2.

Self-Study Item No. 3.

Self-Study Item No. 4.

Student-athletes must be governed by the admissions policies that apply to students generally. If any deviation exists, the institution must develop a plan for improvement to address the issue.

Self-Study Item No. 5.

Gender chart.

Racial/ethnic chart.

Sport group chart.

Self-Study Item No. 6.

Self-Study Item No. 7.

Special admissions chart.

Self-Study Item No. 8.

Self-Study Item No. 9.

Self-Study Item No. 10.

Institutions must analyze, explain and address all deficiencies between the three-class average graduation rate of student-athletes as a whole and the three-class average general student graduation rate.

- If the three-class average graduation rate of a student-athlete subgroup and the three-year average general student graduation rate are not equal, institutions must look at the magnitude of the difference and observe if there is a trend. Further, the institution must develop a plan for improvement to address the issue.*

Self-Study Item No. 11.

- Academic standards and policies for student-athletes must be consistent with standards for the student body in general. If any deviation exists, the institution must develop a plan for improvement to address the issue.*

- The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes must be vested in the same agencies that have authority in these matters for students generally. If any deviation exists between the processes and agencies responsible for admissions, certification of academic standing and evaluation of academic performance for students generally and for student-athletes, the institution must address and explain this.*

Self-Study Item No. 12. Duplicate of Self-Study Item No. 11.

Self-Study Item No. 13.

- Institutions must have established written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and/or final examination periods due to their participation in intercollegiate athletics. These policies must be clearly communicated to student-athletes and staff (e.g., published in the institution's student-athlete handbook, published in the appropriate faculty/staff manual, discussed during team meetings).*

Self-Study Item No. 14.

Self-Study Item No. 15.

- Operating Principle 2.2.

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 reviewed and approved periodically by academic authorities outside the department of intercollegiate athletics; and*
- e. There is a commitment to the fair treatment of student-athletes, particularly in their academic role as students.*

Self-Study Item No. 1.

Self-Study Item No. 2.

Self-Study Item No. 3.

Self-Study Item No. 4.

Academic support services must be available to student-athletes either through institutional programming or through student-athlete support programming.

Self-Study Item No. 5.

Information related to all academic support services must be clearly communicated to student-athletes (e.g., through inclusion in the student-athlete handbook, discussion during team meetings).

Institutions must provide support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support programming.

Institutions must demonstrate that academic support services (e.g., tutoring, academic advising, monitoring of missed class time) for student-athletes are subject to a comprehensive review at least once every three years by academic authorities outside of athletics, who do not have day-to-day responsibilities in the academic support services area.

Institutions that do not have a separate academic support program for student-athletes are not required to ensure that its academic support program for students generally is periodically reviewed by authorities external to athletics.

- Evaluation and Plan for Improvement.

Evaluation and Plan No. 2.1.

Evaluation and Plan No. 2.2.

4. Equity and Student-Athlete Welfare.

- Operating Principle 3.1.

3.1 Gender Issues. *Consistent with 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 Item No. 1.

Self-Study Item No. 2.

- Demonstrate that it has implemented its first-cycle gender-equity plan or the institution must provide an explanation for partial completion of the plan.*

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

➤ *The institution did not possess sufficient funds to implement the plan.*

➤ *The institution has had personnel changes since the original development of the plan.*

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

- *The institution was not required to submit a first-cycle written plan for improvement.*
- *The institution has chosen a different action to achieve the same results outlined in its first-cycle gender-equity plan.*

Self-Study Item No. 3.

Self-Study Item No. 4.

Self-Study Item No. 5.

- Analyze its Equity in Athletics Disclosure Act (EADA) report for the three most recent academic years and explain and address any significant discrepancies and comment on trends.*

Self-Study Item No. 6.

- Conduct a thorough and written review of each of the 13 program areas (please see program area definitions located in Equity and Student-Athlete Welfare Attachment No. 2 of the self-study instrument). The review must:*
 - *Describe how the institution has ensured a complete study of each of the areas;*
 - *Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas:*
 - *Explain how the institution's future plan for gender issues addresses each of the areas; and*
 - *Identify areas of deficiency and comment on any trends.*

Self-Study Item No. 7.

Written, stand-alone plan for addressing gender-equity for the future.

- Develop a written, stand-alone plan for addressing gender equity.*
- The institution's plan to address gender equity must address all 13 program areas or have mechanism(s) to ensure a periodic evaluation of each program area.*

The institution's gender-equity plan must...

- Address all deficiencies identified during the self-study.*
 - Maintain the institution's conformity or move an institution into conformity with the operating principle.*
 - Extend at least five years into the future or until the next opportunity for review by the NCAA Division I Committee on Athletics Certification. In addition, the institution must have an active plan at all times.*
 - Clearly address all problems identified.*
 - Include measurable goals the institution intends to achieve.*
 - Include steps to achieve the goals.*
 - Include specific timetables for completing the work.*
 - Include individuals and/or offices responsible for carrying out the specific actions identified in the plan.*
- Self-Study Item No. 8.

The institution's gender-equity plan must...

- Be developed through a process of broad-based campus participation.*
- Receive formal institutional approval.*

- Operating Principle 3.2.

3.2. 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-issues 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 Item No. 1.

Self-Study Item No. 2.

- Demonstrate that it has implemented its first-cycle minority-issues plan or the institution must provide an explanation for partial completion of the plan.*

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

- The institution did not possess sufficient funds to implement the plan.*
- The institution has had personnel changes since the original development of the plan.*

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

- The institution was not required to submit a first-cycle written plan for improvement.*
- The institution has chosen a different action to achieve the same results outlined in its first-cycle gender-equity plan.*

Self-Study Item No. 3.

Self-Study Item No. 4.

Self-Study Item No. 5.

Attachment No. 1, Part A.

Self-Study Item No. 6.

Attachment No. 1, Part B.

Self-Study Item No. 7.

- Attachment No. 1, Part C.
- Self-Study Item No. 8.
 - Conduct a thorough and written review of each of the eight program areas (please see program area definitions located in Equity, Welfare and Sportsmanship Attachment No. 3 of the self-study instrument).*
 - *Describe how the institution has ensured a complete study of each of the areas;*
 - *Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas;*
 - *Explain how the institution's future plan for minority issues addresses each of the areas; and*
 - *Identify areas of deficiency and comment on any trends.*
- Self-Study Item No. 9.
- Written, stand-alone plan for addressing minority opportunities for the future.
 - Develop a written, stand-alone plan addressing minority issues.*

The institution's minority-issues plan must...

- Address all eight program areas or have mechanism(s) to ensure a periodic evaluation of each program area.*
- Address all deficiencies identified during the self-study.*
- Address issues pertaining to student-athletes and staff.*
- Maintain an institution's conformity or move an institution into conformity with the operating principle.*
- Extend at least five years into the future or until the next opportunity for review by the Committee on Athletics Certification.*
- The institution must have an active plan at all times.*
- The institution's minority-issues plan must include steps to achieve the goals.*

- The institution's minority- issues plan must include specific timetables for completing the work.*
- The institution's minority- issues plan must include individuals and/or offices responsible for carrying out the specific actions identified in the plan.*

Self-Study Item No. 10.

The institution's minority-issues plan must...

- Be developed through a process of broad-based campus participation.*
- Be formally approved by the institution.*

- Operating Principle 3.3.

3.3. 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. *Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.*
- b. *Have established grievance or appeal procedures available to student-athletes in appropriate areas.*
- c. *Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for each of its student-athletes.*

Self-Study Item No. 1.

Self-Study Item No. 2.

Self-Study Item No. 3.

Self-Study Item No. 4.

- Demonstrate that it has an active student-athlete advisory committee pursuant to Constitution 6.1.4.*

Self-Study Item No. 5.

Self-Study Item No. 6.

- Demonstrate that it conducts exit interviews in accordance with Constitution 6.3.2.*
- The institution's instrument used to conduct student-athlete exit interviews must contain questions related to the institution's commitment to the academic success of its student-athletes and questions to measure the effectiveness of the institution's mechanisms (e.g., exit-interview process) to monitor the welfare of its student-athletes.*
- Self-Study Item No. 7.
 - Have established grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid, transfer).*
 - Have established grievance and/or appeals procedures for areas in addition to those mandated by NCAA legislation (e.g., sexual orientation, harassment, problems with coaches, hazing, abusive behavior).*
 - All grievance and/or appeals procedures must be written and communicated to student-athletes and staff.*
- Self-Study Item No. 8.
- Self-Study Item No. 9.
 - Have a mechanism to evaluate the treatment of its student-athletes.*
 - Designate an individual(s) to oversee its efforts in this area.*
 - Have appropriate mechanisms (e.g., athletic training, emergency medical procedures) in place to ensure the health and safety of its student-athletes. Those mechanisms must be periodically evaluated to ensure effectiveness.*
- Self-Study Item No. 10.

The institution must...

 - Designate an individual(s) to oversee its efforts in this area.*
 - Review its medical plan for competition and practice to ensure the plan protects the health and provides a safe environment for its student-athletes.*
 - Ensure there is an administrator responsible for the institutional awareness of health, safety and sports medicine policies.*

- Review the travel policies (e.g., buses, charter flights, vans) as they relate to student-athletes to ensure those policies protect the health and provide a safe environment.*
- Ensure that policies are communicated to athletics department staff and student-athletes.*
- Self-Study Item No. 11.
 - Designate an individual(s) to oversee its efforts in this area.*
 - Ensure that policies are communicated to athletics department staff and student-athletes.*
- Self-Study Item No. 12.
- Evaluation and Plan for Improvement.
 - Evaluation and Plan No. 3.1.
 - Evaluation and Plan No. 3.2.
 - Evaluation and Plan No. 3.3.