
Note to the reader...

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

The handbook has been organized in a format that permits easy access for individuals with only modest familiarity concerning athletics certification. It is not meant to answer every question related to athletics certification; rather, it provides a foundation on which to increase understanding of the self-study process.

The handbook follows a sequential order that conforms to the sequence of events related to athletics certification and describes the responsibilities and activities of the institution, the peer-review team and the Committee on Athletics Certification. Throughout the handbook, external peer reviewers are referred to as "the peer-review team." When referring to the Committee on Athletics Certification, the handbook uses either the formal title or refers only to "the committee."

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

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

Users of the handbook are encouraged to submit questions or suggestions regarding the use of the publication to:

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

NCAA COMMITTEE ON
ATHLETICS CERTIFICATION

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ATTENTION TO SECOND-CYCLE ISSUES...

The NCAA Athletics Certification Handbook for the second cycle of the Division I athletics certification program incorporates a number of adjustments that have been made since institutions conducted their first-cycle self-studies. To help institutions in their identification and understanding of basic themes for the second cycle, the NCAA Committee on Athletics Certification cites the following issues:

- The membership has made changes for the second cycle in response to evolving standards (e.g., through modifications in the operating principles) and the committee's expectation is that schools would have made progress in the four certification areas from the first cycle.
- A school mainly will be evaluated on information from its second-cycle self-study, with the exception of the school's implementation/progress on required actions from the certification committee's first-cycle decision and those plans for improvement adopted by the school in the first cycle that are directly related to the operating principles.
- As a part of the committee's evaluation of the gender-equity and minority-issues areas, the committee will use, in its deliberations and in the training of peer reviewers, a checklist of Title IX areas/requirements and a similar document representing minority-issues areas to determine whether an institution has (1) thoroughly studied itself in the two areas and described how it studies each area, (2) compiled complete data demonstrating its current status/commitment, and (3) established a complete plan for making or maintaining progress with its gender-equity and minority-opportunities positions. (It is critical to note that the committee will not be evaluating, nor training peer reviewers to evaluate, whether an institution is in legal compliance with Title IX areas, rather, it and peer reviewers will be evaluating the institution in terms of substantial conformity with Operating Principle 4.1.)
- If circumstances change substantially, (e.g., due to modifications in NCAA or federal legislation), the committee will consider making changes during the second cycle, as opposed to holding all substantive changes to the third cycle.

Changes also 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.

- 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.
- 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 any student-athlete subgroup, and (2) whether 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.

- 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.

In its efforts to streamline the program, the committee also has enhanced the self-study instrument by deleting charts and tables relating to gender issues from the Equity, Welfare and Sportsmanship area, allowing institutions, peer-review teams and the committee to gather and review data previously offered by those charts through institutions' completion of Equity in Athletics Disclosure/NCAA Gender-Equity Survey reporting forms.

The committee remains sensitive to the needs and desires of the membership and will continually monitor the certification program of Division I institutions in the NCAA for its effectiveness and intended purpose—ensuring the NCAA's fundamental commitment to integrity in inter-collegiate athletics.

INTRODUCTION

The NCAA and its legislative process...

The National Collegiate Athletic Association is a voluntary organization devoted to the sound administration of intercollegiate athletics. The Association's active members are separated into three membership divisions. Member institutions choose their membership division based upon the relative emphasis and support they wish to devote to athletics within the academic context.

NCAA members regulate their athletics programs through cabinets and committees. These groups, made up of campus and conference representatives, may suggest changes in NCAA rules, but the full membership has the final authority. In Division I, that authority is exercised initially through a representative governance structure, consisting of a Management Council (athletics administrators and faculty members) and a Board of Directors (campus chief executive officers). The members of those bodies are selected by the conferences they represent. The Division I institutions can call for an override vote, in which all schools and conferences participate, on any legislative action taken by the Management Council and Board.

Oigin of athletics certification...

Athletics certification was approved for Division I institutions at the 1993 Convention as a key part of the NCAA's reform agenda. Certification was originally introduced in 1989 and tested in a two-year pilot program. Participants generally agreed that the pilot program was valuable but could be improved by limiting the scope of the self-study. After a special committee reworked the idea over the next year, the NCAA Presidents Commission, the NCAA Council and the Knight Foundation Commission on Intercollegiate Athletics supported a revised version of the program.

Athletics certification began its second cycle in 1999.

The program's purpose...

Athletics certification is meant to ensure the NCAA's fundamental commitment to integrity in intercollegiate athletics.

The program is structured to achieve its goal in several ways:

1. By opening the affairs of athletics to the university community and the public.

- Key campus constituent groups must be meaningfully involved in the institution's self-study.
- Self-study reports are evaluated by teams of peer reviewers from other institutions and conference offices.

- Decisions of the Committee on Athletics Certification related to an institution's status are announced publicly.
- 2. **By setting standards (called operating principles) for the operation of Division I athletics programs.** These operating principles were adopted overwhelmingly at the 1993 Convention. They cover four basic areas—governance and commitment to rules compliance, academic integrity, fiscal integrity, and equity, welfare and sportsmanship. In preparation for the second cycle of the athletics certification program, the operating principles in each of those four areas were reworked and revised as necessary to complement and supplement information obtained by institutions during their first cycle self-studies. Following revision by the Division I membership, these changes were approved in 1998 by the Division I Management Council and Board of Directors. The operating principles are included as a part of the athletics certification self-study instrument and appear in Bylaw 23 of the NCAA Division I Manual.
- 3. **By putting tough sanctions in place for institutions that fail to conduct a comprehensive self-study or to correct problems.** Athletics certification is intended to help an institution, not harm it. For this reason, the program allows ample time for an institution to consider its programs, to identify problems and to correct them. Institutions that fail to make an honest effort face serious consequences: ineligibility for NCAA championships and, eventually, removal from active membership in the Association.

Benefits of self-study...

The core of athletics certification is the institution's self-study, in which campus-wide participation is critical.

An effective self-study benefits the institution by providing:

1. **Self-awareness.** The self-study offers a unique opportunity to educate individuals across the campus about the athletics program's goals and purposes, the many challenges facing athletics and the ways in which athletics supports the institution's mission.
2. **Affirmation.** Athletics certification is couched in the affirmative—its aim, after all, is to certify—and the self-study process will reveal many aspects of the athletics program worthy of praise.
3. **Opportunities to improve.** Even an outstanding program can be better, and problems will be identified routinely as part of any institution's self-study. As these problems come to light, the self-study process will offer a forum for suggestions from individuals with a wide range of experience.

There are benefits for the Association, as well:

1. The self-study provides a framework for the Division I membership to show its continuing commitment to institutional control of intercollegiate athletics within the academic setting.
2. Increased public confidence.

During the second cycle, institutions will be asked to report specifically on the opportunities that were provided to various individuals or groups in the broad-campus community to:

- a) Offer input into the self-study report before findings and plans for improvement were formulated.
- b) Review the self-study report after it was drafted.

C**ommittee on Athletics Certification...**

The Committee on Athletics Certification, which is made up of 15 members, is responsible for the administration of the athletics certification program. All 15 members are employed at Division I institutions or conferences, and they include college presidents, athletics administrators, faculty athletics representatives and conference administrators. The committee receives the self-study reports of institutions and the written evaluations of peer-review teams, which become the basis for determining the certification status for each Division I member institution.

E**xternal peer-review teams...**

External peer-review teams, selected and assigned by the Committee on Athletics Certification, are composed of experienced educational and athletics personnel.

Peer-review teams are responsible for:

- Verifying that the institution's self-study was accurate and complete, and that it was characterized by campus-wide participation.
- Evaluating the self-study in terms of the operating principles that have been approved for all Division I members and the institution's mission and purpose.

A typical peer-review team will consist of four or five members. Whenever possible, a chief executive officer will serve as chair. Each peer-review team member will receive training, with special emphasis on training for peer-review team chairs.

P**lacement in the pool of peer reviewers...**

To be considered for placement in the pool of peer reviewers, an individual must:

- Be currently employed at a Division I institution or conference office. (Note: An individual who has retired will be considered for selection for up to five years after retirement and can be considered for a longer period if he or she demonstrates continued active involvement in intercollegiate athletics.)
- Have a substantial knowledge of intercollegiate athletics as evidenced by employment and service history.

The individual also must:

- Hold the position of chief executive officer, faculty athletics representative, director of athletics or senior woman administrator at a member institution, or
- Have recognized expertise, skills or experience in at least one of the four areas addressed in the certification program (i.e., expertise in all operating principles related to that area).

In addition to these basic criteria, the Committee on Athletics Certification has established additional guidelines for its selection of peer reviewers:

- An individual should have five years of campus experience as a full-time employee, including three in Division I.
- An individual employed outside an institution's athletics department should have a direct working relationship with athletics.
- An individual will not be considered for selection if that individual has been found by the NCAA Committee on Infractions to have committed a major violation of NCAA rules in the last five years.

The Committee on Athletics Certification uses a variety of specific criteria not outlined here in selecting peer reviewers. Those criteria are documented and available from the national office and are subject to periodic revision.

The committee will, on an ongoing basis, apply thorough evaluation to peer reviewers, including chairs, through NCAA staff evaluation of individuals and evaluation of each peer reviewer by his or her fellow team members.

The certification cycle...

The initial certification cycle required each Division I institution to complete a self-study of athletics in the first five years of the program. The Division I membership voted at the 1997 Convention to change the frequency of athletics certification from once every five years to once every 10 years. The legislation adopted for the 10-year cycle requires each institution to complete an interim-status report at the five-year point in the institution's 10-year cycle. However, in the second cycle, only those institutions with eight or more years between evaluation visits will be subject to the interim-report requirement at the mid-point between evaluation visits. More detailed information concerning interim reports is available in the Interim-Report Instrument.

For the second cycle of the certification program:

- An institution's placement in the initial athletics certification cycle has been taken into consideration for its placement in the second cycle.
- Conferences have suggested a schedule for their member institutions.
- Institutions from the same conference have been evenly scheduled to reduce the burden on the conference office.
- Placement has been in conjunction with the institution's regional accreditation, in so far as possible, for those institutions that so desired.
- Placement of institutions that postponed their certification activity in the initial cycle because of involvement with the Association's enforcement process are considered on a case-by-case basis.
- When the above issues are not operative, procedures of random selection are used.

A**thletics certification and regional accreditation...**

An institution may request that its self-study and campus visits be scheduled in conjunction with its larger regional accreditation. In most regions, this would amount to completing the self-studies and conducting the campus visits in the same year. It would not ordinarily involve a combined self-study or joint campus visit.

The Commission on Colleges (COC) of the Southern Association of Colleges and Schools has become more active in its review of intercollegiate athletics. For this reason, the NCAA and COC have established a formal agreement to eliminate duplication in the two self-study efforts. The agreement coordinates COC accreditation and athletics certification activities in terms of:

- Data collection required of institutions in advance of campus visits or as part of self-study reports.
- Scheduling of institutional self-studies and joint campus visits (at the institution's discretion).
- Composition and activities of visiting teams.
- The form and content of reports prepared by participating institutions and by visiting peer-review teams.

A summary of the agreement between the COC and the NCAA is included in this handbook as Appendix A.

C**osts...**

The costs related to athletics certification will be shared by the NCAA, participating institutions and (on an optional basis) conferences.

An institution is responsible for:

1. All costs associated with the preparation and distribution of the self-study report, including copies for members of the peer-review team, the NCAA staff member and the Committee on Athletics Certification.
2. Actual expenses of peer reviewers for campus visits, including transportation to the reviewer's local airport, local airport parking, round-trip air travel or ground transportation, lodging, local transportation and \$40 per diem.
3. Work-related needs (e.g., copiers, meeting rooms, word-processing equipment, secretarial assistance) of the peer-review team and the NCAA staff member during the evaluation visit.

The NCAA is responsible for:

1. Expenses of NCAA staff members related to campus orientation and evaluation visits.
2. All costs associated with the preparation and distribution of the peer-review report after the evaluation visit, including copies for the member institution, peer-review team, Committee on Athletics Certification and NCAA staff.
3. Work-related needs of the Committee on Athletics Certification.

Member conferences are responsible for:

All costs incurred by a conference staff member related to that individual's participation in the certification of a conference member institution.

PREPARING FOR THE SELF-STUDY

The certification process allows the institution at least one year to conduct its self-study. A campus visit by a member of the NCAA staff for orientation purposes signals the beginning of that self-study process.

Whenever possible, the NCAA staff member who visits an institution for the orientation also will receive the institution's self-study report, make arrangements for the peer-review team's visit and accompany the peer-review team on that visit. The institution should consider that NCAA staff member a primary source of information and should feel free to contact that individual directly with questions. If the institution has questions before a specific staff liaison is assigned, the institution should contact the national office's membership services staff.

Responsibilities of the chief executive officer...

Throughout the self-study process, the chief executive officer must make it clear, by word and action, that the self-study is a priority and that the entire institution—not just the department of athletics—is responsible for its completion.

In preparing for the self-study, the chief executive officer's specific responsibilities include:

1. Appointing the chair of the self-study steering committee. Neither the chief executive officer nor any person with direct oversight for athletics (e.g., the director of athletics, the vice-president to whom athletics reports) may chair the steering committee. The chair should be appointed from among the institution's senior-management team.

The chair should be provided clear authority from and ready access to the chief executive officer. By doing so, the chief executive officer communicates the importance that the institution attaches to the self-study and encourages other self-study participants to take the process seriously.

However, given the unique organizational structures and reporting lines at some institutions, each chief executive officer is permitted flexibility in appointing a chair. The institution must document that the chair has clear authority from and ready access to the chief executive officer in situations where the institution cannot state definitively that the chair is a member of the institution's senior-management team.

2. Selecting the members of the self-study steering committee. The chief executive officer is responsible for ensuring effective representation of key campus constituent groups on the steering committee. The goal should be a balance between athletics department staff members and other key individuals and groups on campus.

3. Making the charge to the steering committee clear.

4. Giving the steering committee the proper authority to complete its work.

Forming the self-study steering committee...

Four positions on the steering committee must be filled by the:

- Chief executive officer.
- Faculty athletics representative.
- Director of athletics.
- Senior woman administrator.

The chief executive officer's involvement as a full-fledged member of the steering committee is critical to imbuing the process with the necessary authority and seriousness of purpose. The chief executive officer may designate an individual to replace him or her at steering committee meetings that the chief executive officer cannot attend.

The membership of the rest of the steering committee is left to the discretion of the chief executive officer. No other positions are mandatory, and the number of members will vary from campus to campus. Institutions with separate men's and women's athletics departments, for example, may find it necessary to make special provisions in their self-studies to allow for a proper evaluation of separate organizations or services, and the self-study steering committees of those institutions—and perhaps the peer-review teams that visit them—could be structured differently as a result.

In appointing steering committee members, the chief executive officer also may wish to consider the differing perspectives, range of expertise and access to information that may be offered by representatives of the following groups:

- Governing board.
- Administration external to athletics, including academic affairs, fiscal affairs, student affairs, admissions, registration and financial aid.
- Faculty.
- Student body.
- Alumni or representatives of the institution's athletics interests in good standing.

I

nvolving the campus community through the use of subcommittees...

The steering committee should establish as many subcommittees as it considers necessary to complete the major topic areas of the self-study. Subcommittees should be organized in ways that best suit the institution's needs and the requirements of the self-study. It is recommended that subcommittee membership should be reflective of the broad constituent interests of the institution, including faculty, students and student-athletes.

Ordinarily, the chair of a subcommittee would be a member of the steering committee. Also, as a general rule, athletics department staff members would not serve as subcommittee chairs, although they normally would be included as subcommittee members.

In addition, some athletics department staff members (e.g., athletics business manager) might serve as ex officio members of subcommittees to make data collection and analysis easier.

Subcommittees are accountable to the steering committee and should be actively involved through regular communication, periodic meetings and timely reports.

P**reparing a tentative written plan for completing the self-study...**

The written plan should be concise. It must include:

- Stated goals for the process.
- Identification of all institutional plans from the first cycle self-study and all NCAA Committee on Athletics Certification required actions from the first cycle (i.e. conditions and/or strategies for improvement) and all NCAA Committee on Athletics Certification required actions from the institution's interim report (if applicable).
- The function (e.g., role in drafting report, developing plan for improvement) and composition of the steering committee and subcommittees, with the names and titles of steering committee and subcommittee chairs.
- The identification of the institution's campus liaison. This individual is responsible for fielding questions from institutional personnel and forwarding them to the NCAA staff member, and for coordinating preparations for the evaluation visit, including lodging and travel for peer-review team members, scheduling interviews and organizing any work-related needs for peer reviewers (e.g., computer resources, secretarial access, meeting rooms).
- The identification of the individual(s) responsible for writing the self-study report.
- An outline and schedule for completing the self-study.
- Plans for involving the conference office or other individuals or agencies outside the institution. [Note: Outside involvement requires prior written approval of the Committee on Athletics Certification.]
- Institutional guidelines for writing and editing the self-study report. These should address the work-related needs of self-study participants (e.g., meeting rooms, word-processing equipment, secretarial assistance, copies) and the designated format of the report.
- The process for reviewing subcommittee and steering committee draft reports.
- The process for developing the final self-study report, including evaluation of self-study responses against the operating principles and development of the institution's plan for improvement.
- Plans for communicating the work of the steering committee to the institutional community. Also, the institution should consider what plans, if any, it has for communicating the work of the steering committee to the electronic and print media and general public.

Before writing the plan, the steering committee should consult with the institution's governing board and its chief executive officer regarding plans and commitments that may seriously affect the future of the institution and its athletics program (e.g., changes in the institutional mission, composition of the student body, organization of the athletics program, sports sponsorship, physical plant, conference or NCAA divisional membership). A sample written plan should be submitted to the institution's NCAA staff liaison three to four weeks prior to the institution's orientation visit.

Determining the involvement of the conference office...

Conference offices' involvement in athletics certification is optional but is encouraged by the committee. The role of an institution's conference office is determined by the institution. (The institution should alert the NCAA staff member and the peer-review team before the evaluation visit of the conference office's chosen role in the visit.)

The conference's role may include:

- Participating in the orientation process.
- Ensuring that the institution develops, implements and reports corrective actions identified as a normal part of the certification process.
- Serving as an ex officio member of the institution's steering committee.
- Participating in the introductory and exit meetings of the evaluation visit. (The conference representative involved in an evaluation visit will not be permitted to attend interviews or meetings of the peer-review team.)

If the regular, ongoing role of the conference office includes a review of the institution's rules-compliance efforts or help in developing and maintaining compliance initiatives, the institution should be prepared to provide a record of those efforts to the peer-review team, if requested.

Conference offices should treat institutional self-study reports as confidential. To the extent that conference personnel become aware of violations during the certification process, the conference is obligated to help ensure that conference members self-report those violations.

Use of outside individuals or agencies...

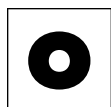
Some institutions may wish to involve individuals or agencies not otherwise employed by the institution in one or more aspects of the self-study process. The involvement of such individuals or agencies falls into two categories:

1. Some conference offices may choose not to perform the activities described in the previous section. An institution in such a conference (or an independent institution) may employ individuals from another conference office or elsewhere to carry out the specific responsibilities.
2. Institutions also may employ outside individuals or agencies to perform related functions that are different from the conference responsibilities outlined above—for example, helping to organize an institution's self-study process. In such cases, the institution's personnel are responsible for generating the substance of the self-study report, and peer-review teams will be evaluating institutions on their roles in developing the content of self-study reports.

NCAA rules recognize the institution's responsibility not only for determining what role (if any) individuals outside the institution might play in the certification process, but also for ensuring that outside individuals or agencies are involved appropriately. In no way should the balance of responsibility for the self-study process shift from internal to external personnel.

In addition, before individuals or agencies outside the institution can be employed in relation to athletics certification, the institution must receive prior written approval of the Committee on Athletics Certification. The institution's chief executive officer must request in writing from the committee approval for outside involvement, and the request should include a full explanation of the specific services that will be rendered.

Any anticipated involvement by outside individuals or agencies also must be clearly defined in the institution's written plan for completing the self-study process.



Orientation visit...

An NCAA staff member will visit the institution's campus for orientation purposes at least one year before the evaluation visit. The purpose of the orientation visit is to review:

1. The purpose and format of the certification program.
2. The institution's activities already conducted in preparation for the orientation visit.
3. The self-study instrument (with members of the steering committee and subcommittees).
4. Preparations for the evaluation visit.
5. Projected dates for the evaluation visit.

The orientation visit is intended for the benefit of those campus members who will be involved in the self-study, and any steering committee or subcommittee member should feel free to ask about the self-study process or athletics certification in general.



Getting ready for the orientation visit...

To prepare for the orientation visit, the institution (and the steering committee in particular) is expected to:

1. Review the certification handbook and the self-study instrument.
2. Prepare its tentative written plan for completing the self-study.
3. Determine the role of the conference office in the self-study and peer-review process.
4. Review institutional compliance policies and procedures.

One of the program's operating principles states that the institution shall have in place a set of written policies and procedures that assign specific responsibilities in areas of rules compliance. Another of the program's operating principles states that the institution shall provide evidence that its rules-compliance program is the subject of evaluation by an authority outside of the athletics department at least once every three years. As a result, peer-review teams can be expected to evaluate whether an institution is in substantial conformity with these operating principles.

For this reason, in preparation for the orientation visit, the institution should gather together previous evaluations of compliance policies and procedures.

Modification of schedule...

An institution may apply to the Committee on Athletics Certification for modification of its place in the schedule upon a showing of special need. The committee shall, at its discretion, revise the schedule if practicable, and use its authority to ensure that the self-studies do not extend beyond 10 years unless extenuating circumstances are present.

The institution must make its request for any modification in writing to the committee. If the request is approved, the committee (or its chair acting on the committee's behalf) may place the institution in the schedule for the following year. If the institution seeks an additional extension, it must reapply the following year.

Once an institution begins its self-study, a request for modification to delay the process by one year will be granted by the committee only in unusual circumstances that significantly affect the institution's ability to complete its self-study. When the committee approves modification of the schedule in such cases, the committee (or the chair) will determine whether more current data will have to be collected by an institution when it resumes the self-study.

For institutions that fail to submit an adequate self-study sufficiently in advance of a peer-review team's visit (10 weeks before the evaluation visit), a written request to delay the visit should be sent from the institution to the committee, which will deal with such requests on a case-by-case basis.

A Division I institution that receives a letter of preliminary or official inquiry will be asked to notify the chair of the Committee on Athletics Certification if the institution currently is engaged in the athletics certification process or is scheduled to begin the process in the near future. The committee will ask the institution to decide whether it wishes to proceed with its self-study activities uninterrupted (with the intent of conducting the campus evaluation visit as planned) or delay further certification-related activity on campus until the enforcement matters are resolved. The institution will be asked to provide a written indication of its intention to proceed with or delay further certification activity. The Committee on Athletics Certification will not render any decision regarding a particular institution's certification status until such time as matters related to possible rules violations at the institution are resolved.

For institutions pursuing an appeal of an infractions case or penalties, the chair of the Committee on Athletics Certification (or the executive subcommittee, if the chair deems necessary) will determine on a case-by-case basis whether it is necessary to continue postponement of the committee's decision.

CONDUCTING THE SELF-STUDY

The athletics certification program allows each institution at least one calendar year to conduct its self-study. During the 12-month period, an institution must gather and analyze data, and report the findings in a self-study report.



General responsibilities of the self-study steering committee...

Responsibilities of the steering committee during the actual period of self-study include:

1. Collecting and organizing pertinent data.

The institution should gather data by making use of the individuals best suited to the job. Staff members in the offices of admissions and registration, for example, will be able to report on the demographics, and the academic preparation and performance of the general student body. Similarly, athletics department staff members (e.g., business managers, academic advisors) may serve as key sources of information regarding student-athletes.

2. Coordinating activities of the subcommittees and monitoring progress of the self-study.

The steering committee is expected to help ensure that subcommittee and steering committee reports are developed with:

- Opportunities for input from appropriate campus constituent groups.
- Appropriate involvement of all members of the steering committee or of a given subcommittee in the preparation of particular reports.

3. Reviewing reports of the institution, the peer-review team and the Committee on Athletics Certification in relation to the institution's previous self-study. This review will help the institution to judge its progress in addressing past problems. It also will assist the institution in preparing its response to specific requests of the second cycle self-study that reference first-cycle issues.

4. Reviewing the reports of the steering committee and the various subcommittees.

5. Maintaining a written record of:

- Dates on which subcommittee and steering committee meetings were conducted, and the individuals in attendance at those meetings.
- Individual(s) responsible for writing each section of the self-study report.
- Invitations extended to members of the subcommittees and steering committee to comment on subcommittee and steering committee draft reports, including the approximate dates on which those invitations were extended.

The peer-review team will consider these records as part of its evaluation of the institution's self-study process and the extent to which that process reflected campus-wide participation.

In their review of the institution's self-study process, peer-review teams and the Committee on Athletics Certification will be guided more by the opportunities provided for comment and the quality of discussion than by the number of meetings.

6. Producing and distributing the final self-study report.

Preparing the self-study report...

The Committee on Athletics Certification has established a specific format for organizing each institution's self-study report. Such standardization seems wise for the following reasons:

1. To make the institution's preparation of the report as straightforward as possible.
2. To avoid verbiage that is the result of doubts about what information actually is of interest to the committee.
3. To make the reports easier for the peer-review team and members of the committee to read and understand.
4. To ensure greater consistency in the material being reviewed, and thereby increase the chances for equitable treatment of participating institutions.

General considerations in preparing the report...

In general, the committee expects that the institution will:

- Assure that institutional responses address each aspect of all self-study items in a thorough but concise manner.
- Prepare responses to self-study items in the same order that those items appear in the self-study instrument.
- State the number and the text of each item of the self-study as an introduction to each response.
- Prepare responses to each specific self-study item so that they can be read individually, rather than as part of a general narrative.
- Provide supporting documentation only as necessary, with specific attention to materials noted in the self-study instrument.

Beyond the information requested in specific self-study items, the self-study instrument also refers to documents or materials that are "to be available" to the peer-review team.

The notation "to be available" denotes that the material should remain on campus in its normal location but the institution should be able to locate the information if it is requested by a peer-review team either before or during its campus visit. At various points, the self-study instrument specifies that three years of data be provided or be available. Where the self-study instrument does not require three years of data, one year should be satisfactory.

S**pecific expectations for the report...**

The Committee on Athletics Certification will instruct peer-review teams, in reviewing an institution's self-study report, to ensure that:

- The report's conclusions are based on data or records that are available and reliable.
- The conclusions reached are reasonable based on the available data.
- All existing concerns have been identified by the institution and a plan for improvement has been established to address those concerns.
- Where the institution has concluded that plans to correct problems in one area may affect existing programs in other areas, plans have been established to maintain the current level of quality of all programs.

T**he report's organizational format...**

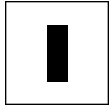
The Committee on Athletics Certification expects that each institution's self-study report will be organized in the same manner and follow the same order as the self-study instrument (e.g., introduction, responses to self-study items, evaluations and plans for improvement).

The institution's self-study report should be presented in four sections, consistent with the certification program's four basic topic areas (e.g., academic integrity, fiscal integrity). The information in each section should be divided into parts:

1. The first part of each section is reserved for the institution's responses to self-study items and requests for "information to be available." Institutions are encouraged not to engage in any evaluation during this part of the self-study report.
2. A second part of each section is for: (a) The institution's conclusions regarding conformity with each element of the operating principle and with the operating principle as a whole, and (b) statements of the institution's plans for improvement, related to the operating principles, including:
 - Strategies for improving the quality of the athletics program.
 - Remedial or corrective actions for areas of concern identified by the institution.

The Committee on Athletics Certification expects institutions conducting a self-study to identify changes and adjustments that it wishes to make in the area of study. Those changes and adjustments should be reflected in this evaluation and plan for improvement part of each section.

The Committee on Athletics Certification intends for this two-part construction to distinguish between self-study items intended for description and data collection, and items intended for evaluation and goal-setting. The committee also hopes this format will encourage institutions to keep their responses brief and to the point.



Institutional plans for athletics...

Written institutional plans have significant value for every Division I institution. They communicate an institution's current commitment, provide benchmarks to assess progress and also serve as enduring records that help ensure institutions' continued commitments in the future.

The committee reminds the institution that plans for improvement to address gender equity and minority opportunities in the intercollegiate athletics program must extend at least five years into the future and institutions must maintain an active written plan at all times.

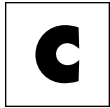
Institutional plans must, at a minimum, meet the following requirements:

1. Stand-Alone and in Writing. Each plan shall be committed to paper and be a stand-alone document.
2. Broad-Based Campus Participation. Each plan shall be developed with opportunities for significant input from appropriate constituent groups inside and outside of athletics.
3. Issues/Problems. Each plan must include identification of issues or problems confronting the institution.
4. Measurable Goals. Each plan must include the measurable goals the institution intends to achieve to address issues or problems.
5. Steps to Achieve the Goals. Each plan must include the steps the institution will take to achieve the goals.
6. Specific Timetable(s). Each plan must include specific timetables for completing the work.
7. Individuals/Offices Responsible for Carrying out the Specific Actions. Each plan must identify the individuals and/or offices responsible for carrying out the actions identified by the institution.
8. Institution Approval. Each plan must be adopted formally by the institution's final authority in such matters to ensure that they carry the commitment and support of the entire institution.
9. Means for Funding. Each plan must include identification of the means for funding implementation of the plan.

A sample format for a governance-issues plan appears in this handbook as Appendix F, a sample format for a gender-issues plan appears as Appendix G, and a sample format for a minority-issues plan appears as Appendix H. They are intended to provide examples of plans containing all required elements and are organized in an easy-to-read manner. The same format could be used for any other plan developed by an institution. The examples in the appendices are provided as illustrations and institutions are not required to use the example format. As an institution develops its plans, it should ensure that it addresses the situations and issues unique to the institution.

Please note that an institution's plan for addressing minority issues also shall address equitable opportunities for both minority student-athletes and athletics personnel. An institution-wide affirmative action plan is acceptable only if it:

1. Specifically references, in the plan or in a separate document, the intercollegiate athletics program.
2. Addresses minority opportunities and needs (e.g., special programming, services of multicultural offices, general welfare issues) for student-athletes, as well as athletics staff.
3. Satisfies the committee's minimum expectations for a plan.



Confidentiality of the report...

Institutional self-studies shall be treated as confidential by conference offices, the NCAA, peer-review teams and the Committee on Athletics Certification. Institutions, however, are permitted to distribute reports and supporting documentation at their discretion.

PREPARING FOR THE EVALUATION VISIT

Participating institutions, peer-review teams, the Committee on Athletics Certification and NCAA staff members all have specific responsibilities in preparing for the evaluation visit.

R

esponsibilities of the Committee on Athletics Certification...

The Committee on Athletics Certification is responsible for selecting and assigning peer-review teams. In doing so, the committee is careful to control costs of the program by taking geographical considerations into account and through appropriate coordination with regional accrediting agencies.

The committee takes a number of factors into consideration in making peer-review team assignments:

1. Composition of peer-review teams.

As a general rule, the committee will assign peer-review teams according to the characteristics of the institution (e.g., public/private, size and complexity of intercollegiate athletics program), giving specific attention to whether the peer-review team includes:

- A sufficient number of individuals to handle the anticipated workload efficiently and still control costs.
- A range of expertise to cover certification topic areas.
- Appropriate subdivision representation.
- Adequate representation of campus constituent groups.

2. Institutional recommendation.

About nine months before the scheduled evaluation visit, the committee will give the participating institution a list of potential peer-review team members selected by the committee from the larger pool of qualified peer reviewers.

The institution reviews this list and, within approximately one month, may recommend to the Committee on Athletics Certification that particular individuals included on that list not be assigned as peer-review team members.

The committee will consider such recommendations but reserves the right to make all decisions regarding peer-review team assignments.

3. Notification of peer-review team assignments.

Approximately six months before the evaluation visit, the committee will notify the institution of the specific peer-review team members who have been assigned to that institution.

As circumstances dictate, however, the committee may change the assignment of peer-review team members at its discretion.

In addition, the chair of the peer-review team, in consultation with the NCAA staff and the institution, also has the authority to modify the composition of the team on the basis of the preliminary analysis of the institution's self-study report.

4. Ethical considerations.

The committee relies on the professional integrity of institutions and of individual peer reviewers to avoid any assignment for which the slightest potential for conflict of interest exists.

Ordinarily, the committee will not knowingly assign an individual to serve as a peer reviewer who:

- Is employed at an institution in the same conference as the participating institution.
- Is employed at an institution in the state in which the participating institution is located.
- Is a candidate for employment, or has been a candidate within the past two years, at the participating institution.
- Has been an appointee, consultant or employee of the participating institution, or has close relatives who are employees at the participating institution.
- Is an alumnus or alumna of the participating institution.
- Has previously visited the institution as a peer-review team member or as part of a regional or professional accreditation team that either put the institution on probation or terminated its accreditation.
- Is associated in any manner with a for-profit organization that provides consulting services for athletics certification.

To avoid even the appearance of conflict of interest, no member of the peer-review team may serve as a consultant to an institution to which that individual was assigned as a peer-review team member for a period of one year after the conclusion of the evaluation visit.

Peer-review team members should not encourage staff members at the institutions they visit to seek employment at the peer-review team members' institutions, nor should peer-review team members suggest their own availability as consultants or employees.

Every peer-review team member must review and sign a statement related to potential conflicts of interest at the time that individual agrees to serve as a member of a particular peer-review team.



Responsibilities of the participating institution...

In preparing for the evaluation visit, the participating institution is required to:

1. Submit its completed self-study report to each member of the peer-review team, with **five copies** of the same material to the NCAA staff member (for distribution to committee members), at least 10 weeks before the evaluation visit.
2. Make lodging and other arrangements for members of the peer-review team.
3. Make arrangements to cover peer-review team members' expenses that are the obligation of the institution and inform the NCAA staff member of the method of payment.
4. Establish an itinerary for the visit with the review-team chair and NCAA staff member, including materials to be made available on site.

In determining specific dates for the evaluation visit, the institution's commitment to specific dates carries an assurance that key institutional personnel will be available for interviews, including the institution's:

- Chief executive officer.
- Faculty athletics representative.
- Director of athletics.
- Senior woman administrator.
- Steering committee and subcommittee chairs.

Ordinarily, peer-review teams also will want to interview selected institutional staff members who participated in the self-study process, student-athletes and other individuals who might offer helpful information regarding self-study issues and the conclusions reached by the institution.

To the extent possible, and to the extent that it assists in the evaluation process, the peer-review team will inform the institution in advance of those individuals that peer-review team members will want to interview. The peer-review team also may request interviews, however, at the time of the campus visit without prior notice.

N CAA staff members' responsibilities...

The NCAA staff member assigned to accompany the peer-review team on its campus visit serves as the liaison between the host institution and the peer-review team.

The NCAA staff liaison, in consultation with the chair of the peer-review team, verifies that the institution's self-study report (including any supporting documentation) is complete.

The staff liaison also is expected to supply each peer-review team member copies of major infractions reports involving the host institution since its last institutional self-study.

As the date of the campus visit draws near, the staff liaison will contact the institution to confirm arrangements for the peer-review team's visit, including:

- Hotel reservations.
- Local transportation for peer-review team members.
- The itinerary and specific time schedule for interviews and other activities of the peer-review team.
- Availability of campus personnel for scheduled interviews.
- Involvement of the conference office (if any).
- Adequate conference rooms and work areas, proper clerical support, access to telephones and attention to other work related needs of the peer-review team.
- Reimbursement of visit expenses incurred by peer-review team members.

R**esponsibilities of the peer-review team and the chair...**

The peer-review team chair is responsible for:

- In consultation with the other members of the peer-review team, identifying topic areas to which the team will give special attention.
- Assigning sections of the institution's self-study report to particular team members.
- Contacting the institution's chief executive officer before the evaluation visit for the purpose of better understanding special circumstances that might affect the peer-review team's campus visit.
- Consulting with the other members of the peer-review team to establish a schedule of activities (e.g., reviews of records, facility tours) for the visit, and to identify those individuals on campus who the peer-review team will interview.
- Consulting with the host institution, the appropriate conference office and the NCAA staff liaison to determine whether a conference administrator will take part in the evaluation visit and, if so, what role that individual will play.

In addition, all members of the peer-review team, including the chair, share equally in other preparations for the campus evaluation visit.

Each peer-review team member is expected to review the institution's self-study report carefully in order to:

- Understand the organization and operation of the institution's athletics program.
- Identify areas in the report that may require clarification or additional information.
- Target specific topic areas for special emphasis during the campus visit.

Members of the peer-review team should take care to treat institutional self-study reports as confidential.

Peer-review team members also are expected to make their travel arrangements, consistent with any billing instructions that the host institution may provide.

THE EVALUATION VISIT

Peer-review team members visit the host institution's campus in order to gauge the level of campus-wide involvement in the institution's self-study and to compare information contained in the institution's written report with knowledge learned firsthand about the athletics program.

Experiences gained by the peer-review team during the campus visit help the team to evaluate more fairly the information contained in the institution's self-study report.

By the end of the visit, the peer-review team will have reached tentative conclusions about the nature of the institution's self-study process, the accuracy of the institution's written report and the operation of the athletics program in relation to the certification program's operating principles.

Before leaving campus, the peer-review team is obligated to record its conclusions in a rough draft of the report that eventually will be forwarded to the institution and to the Committee on Athletics Certification.

In the meantime, the institution's chief executive officer, and perhaps other institutional representatives, are afforded an opportunity to hear the peer-review team's general impressions in an exit meeting at the end of the visit.

Length of the evaluation visit...

The peer-review team's visit takes place over a four-day, three-night period. The chair of the peer-review team is responsible for determining the length of time necessary for the peer-review visit based on a review of the self-study report.

Every effort will be made to establish a schedule in advance that reflects accurately the length of the evaluation visit. Unanticipated events on campus may require changes in the schedule at the time of the visit, however, and the chair is authorized to modify the schedule as necessary within the established four-day, three-night period.

Ethical considerations...

The following guidelines have been established for evaluation visits in an effort to protect the integrity of the peer-review process:

- All aspects of the evaluation visit are to be treated as confidential. This confidentiality extends to evaluation materials provided by the institution (including the institution's self-study report); peer-review team, conference or NCAA staff files and notes; conversations with institutional, conference or NCAA representatives; and conversations among peer-review team members, institutional personnel, conference administrators and NCAA staff members.
- Institutions may choose to host a meal or social hour early in the visit to give the peer-review team an opportunity to meet key campus personnel and to help finalize details of the visit. Keep in mind, though, that the institution should not feel obligated to host such a function, and if an institution chooses to do so, it should be modest and should not interfere with the peer-review team's ability to accomplish its work in the time available.

- Institutions should not offer and peer-review team members may not accept gifts or gratuities of any kind.
 - Peer-review team members are expected to pay for personal and incidental items.
 - The Committee on Athletics Certification will not tolerate unprofessional or unethical behavior on the part of any individual participating in the evaluation visit on behalf of the committee.
-

Peer-review teams' basic functions...

Peer-review teams will perform three basic functions:

1. Verify the **A**ccuracy and completeness of the self-study report.
2. Verify **B**road-based participation in the self-study.
3. Evaluate **C**onformity with the operating principles and the institution's mission and purpose.

The peer-review team begins the evaluation visit by meeting with the steering committee (and, if possible, the institution's chief executive officer) to discuss the tone, purpose and schedule of visit activities.

After the introductory meeting, members of the peer-review team conduct interviews, review records and tour campus facilities to determine whether the institution's stated policies and procedures are engaged and functioning. Throughout the visit, peer-review team members compare and contrast findings with each other, then adjust their schedules and activities based on these conversations.

During the visit, the peer-review team chair will meet with the host institution's chief executive officer to discuss informally the nature of the information to be presented in an exit meeting.

Verifying campus-wide involvement...

The peer-review team gauges the institution's level of campus-wide involvement by considering whether appropriate campus constituencies were:

- Represented on the steering committee and subcommittees.
- Involved in the collection and analysis of data used in drawing tentative conclusions/responses to self-study items.
- Afforded sufficient opportunities to respond to the steering committee's initial observations.
- Made aware of and provided access to the self-study instrument.

In addition, the peer-review team will evaluate whether members of particular subcommittees were involved substantially in preparing and evaluating the subcommittees' reports and whether steering committee members were involved substantially in evaluating subcommittee reports and in preparing and evaluating reports of the steering committee.

In verifying campus-wide participation, peer-review team members will make use of the institution's written plan for conducting its self-study, written records of meeting dates and attendees, writing assignments, and opportunities afforded to campus groups to offer comments.

V**erifying the completeness and accuracy
of the self-study report...**

In evaluating the completeness and accuracy of the institution's self-study report, the peer-review team will consider whether:

- Institutional responses address each specific aspect of all self-study items.
- Conclusions are based on data or records that are available and reliable.
- Conclusions are reasonable in light of the available data.
- All substantive concerns have been identified by the institution and a plan for improvement has been established to address those concerns.
- Where the institution has concluded that plans to correct problems in one area may adversely affect existing programs in other areas, plans have been established to maintain their current level of quality.

E**valuating the self-study in terms of the operating
principles and the institution's mission and purpose...**

The peer-review team's most demanding task is to evaluate the institution's self-study in comparison with the NCAA's operating principles and the institution's mission and purpose. This evaluation inevitably involves subjective judgment. In making these decisions, the peer-review team should make every effort to:

- Base its decisions on reliable data.
- Be sensitive to the unique characteristics and circumstances of the institution.
- Remain free of personal and professional bias.

P**reparing the peer-review team's written report...**

Before leaving campus, the peer-review team must complete the first draft of its written report to the Committee on Athletics Certification. Ordinarily, each member of the peer-review team would be responsible for drafting one or more sections of the report, divided generally according to those sections of the self-study members of the peer-review team were assigned.

F**ormat of the report...**

The Committee on Athletics Certification has established a standard format for peer-review team reports to promote consistency in the information provided to the committee—and on which the committee relies to a large extent—in rendering its certification decisions.

The format approved by the committee for the peer-review team report includes an introduction that identifies the members of the peer-review team and the dates of the team's evaluation visit.

The body of the report contains:

1. An evaluation of the institution's self-study process as to openness, thoroughness, breadth of participation and accuracy.
2. An evaluation of the extent to which the institution's athletics program is conducted in conformity with the certification program's operating principles, presented in the same order in which topics appear in the self-study instrument.
3. An evaluation of the institution's plans for improvement.
4. A recommendation regarding the institution's certification status, based solely on the information contained in the institution's self-study report and the team's campus findings (verified through a review of records and other data).

Lists of the individuals interviewed and the institutional records reviewed by the peer-review team are included as appendices to the report.

The exit meeting...

The peer-review team also will conduct an informal meeting near the end of the team's campus visit with the institution's chief executive officer and perhaps other representatives of the institution. The purpose of the meeting is to offer the team's general impressions of the visit and to share information, including any serious problems that were discovered during the evaluation visit, that may be contained in the peer-review team's formal written report.

The peer-review team's comments during this informal exit meeting will address:

1. The institution's self-study process in terms of openness, thoroughness and breadth of participation.
2. Athletics program activities that were evaluated by the peer-review team.
3. The institution's adherence to the operating principles.
4. The institution's proposed plan for improvement.

During this meeting, the peer-review team will not offer information concerning the team's recommendation to the Committee on Athletics Certification related to the institution's certification status.

Rules violations...

NCAA rules define the relationship between an institution's certification decision and its involvement in NCAA violations.

Peer-review teams will include in their written reports any information discovered during evaluation visits concerning possible violations of NCAA rules that relate directly to the operating principles. The chair of the peer-review team or the NCAA staff liaison also will remind the institution of its oblig-

ation to self-report violations, and that the institution's formal response to these findings can be a factor in current or future certification decisions.

The NCAA Committee on Infractions also may recommend to the Committee on Athletics Certification that a particular institution's certification status be reviewed as a result of the institution's completed infractions case. The Committee on Athletics Certification may review and alter an institution's certification status upon referral from the Committee on Infractions.



Release of information regarding the evaluation visit...

Until the Committee on Athletics Certification renders its decision, the peer-review team, as well as the institution, will only publicize information regarding the evaluation visit's status—that is, whether or not the visit is in progress or has been completed—and the identities of peer-review team members assigned to the institution. After announcement of the committee's decision, the institution is at liberty to release any information regarding the peer-review visit.

ASSEMBLING MATERIALS FOR REVIEW BY

THE COMMITTEE ON ATHLETICS CERTIFICATION

The Committee on Athletics Certification bases its certification decision on information from the following sources:

- The institution's self-study report.
- The formal, written report of the peer-review team.
- A written reaction from the institution to the peer-review team's report.
- The peer-review team's response to the institution's reaction.
- Additional commentary deemed necessary by the committee.

Preparing the peer-review team's formal report...

Once the peer-review team departs the host institution's campus, the chair assumes responsibility for putting the initial report into its final form.

After all members of the peer-review team agree that the report is acceptable, the chair (with NCAA staff liaison assistance) submits a draft report to the institution's chief executive officer for factual verification before its submission to the Committee on Athletics Certification. The chief executive officer will be given three weeks from receipt of the draft report for this review. The chair of the peer-review team then finalizes the team's report.

The NCAA staff liaison sends a modified version of the peer-review team's final report—edited to delete the peer-review team's recommendation regarding the institution's certification status—to the institution's chief executive officer and the institution's steering committee chair.

Another copy (that does not contain the peer-review team's recommendation) also is forwarded to the institution's conference.

A copy of the team's final report, including the team's recommendation to the Committee on Athletics Certification regarding the institution's certification status, is forwarded by the NCAA staff liaison to the committee.

Institutional reaction to the peer-review team's report...

After reviewing the peer-review team's formal report, the institution should submit a written reaction to the Committee on Athletics Certification and to the chair of the peer-review team. Even though the institution may have no substantive comments to provide, it should indicate this in writing to the committee. The institution's response shall be limited to:

1. Corrections of factual errors.
2. Presentation of new, relevant information not considered by the peer-review team.
3. Proposed additional corrective actions for remedying deficiencies.

R**esponse of the peer-review team to the institutional reaction...**

If the institution submits a written reaction for consideration by the Committee on Athletics Certification, the committee will ask the peer-review team chair to provide on behalf of the team a response to the institution's written statement.

E**valuations...**

The last task for the peer-review team chair is to complete an evaluation of the performance of other members of the peer-review team. The chair also will be asked to comment on the self-study evaluation process in general. The chair's evaluation and other comments are sent to the Committee on Athletics Certification as soon as possible after completion of the evaluation visit.

The committee also will ask peer-review team members to evaluate the peer-review team chair, the NCAA staff and the self-study evaluation process.

Institutions will be asked by the committee to evaluate the self-study process, and the work of the peer-review team chair, other team members and the NCAA staff.

All of this information may be used by the Committee on Athletics Certification to improve the peer-review process.

THE CERTIFICATION DECISION

Once the Committee on Athletics Certification receives the institution's self-study report and the written report of the peer-review team—including its recommendation as to the institution's certification status—the committee is responsible for determining whether an institution's athletics program should be certified—that is, judged to be in substantial conformity with the certification program's operating principles and consistent with the institution's mission and purpose.

Committee members will not participate in determining the certification status for those institutions in which the slightest potential for conflict of interest exists. In considering whether a potential conflict exists, committee members shall apply the same guidelines approved by the committee for use by potential peer-review team members.

Basis of the certification decision...

The committee's decision is a two-step process. First, the committee must decide whether the institution's self-study was adequate. Once the self-study is considered adequate, the committee then works toward a specific certification decision. In both parts of this process, NCAA legislation requires that the committee base its decision on:

- The information contained in the institution's self-study report.
- The peer-review team's written report.
- Additional written comments that the institution may submit in response to the peer-review team's report.
- Written remarks offered by the peer-review team chair in reaction to the institution's additional written comments.

Additionally, the committee will include an institution's public infractions report in its deliberations when such a report is released after the peer-review team's visit. This is an extension of the program's procedures that require peer-review teams to be provided a copy of an institution's publicly released infractions report if the report was released after the institution's most recent self-study.

On occasion, representatives of the institution may be asked by the Committee on Athletics Certification to appear during one of its meetings to clarify various points, and that information also may be considered by the committee during its deliberations.

Determining the adequacy of the institution's self-study...

The Committee on Athletics Certification will review each self-study report to determine whether the report was completed in an appropriate manner—for example, whether the information contained in the report was accurate, and whether the self-study was conducted openly, with campus-wide participation. This decision is based both on the institution's self-study report and on the report of the peer-review team.

P**ostponement of certification decision...**

The committee reserves the right to postpone the certification decision of an institution. Examples of conditions under which the committee will consider postponement of a decision include:

1. When the institution's self-study is deemed to be inadequate (e.g., lacking accuracy, openness or campus-wide participation). If the institution does not respond to the committee's concerns in a period of time specified by the committee, it may be placed in restricted-membership status. Such an institution shall not be eligible for certification until an appropriate self-study is completed, or
2. In instances in which the committee, during its deliberations, concludes that the institution has not received adequate notice from the peer-review team of a problem significant enough to affect the institution's certification status. The postponement allows the committee to seek written clarification from the institution and the peer-review team chair before rendering a decision as to the certification status of the institution.

C**ertification categories...**

The committee is obligated to choose from three options in determining each institution's certification status:

1. Certified.

An institution that has been "certified" is considered to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that (a) any problems identified by the institution in its self-study or by the peer-review team during its evaluation were considered by the Committee on Athletics Certification to be not serious enough to affect the institution's certification status, and (b) the institution demonstrated adequate follow-up to concerns/improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution's previous regular and/or interim self-study.

2. Certified with Conditions.

An institution that has been "certified with conditions" is considered to be operating its athletics program in substantial conformity with the operating principles. However, this classification denotes that (a) problems identified by the institution in its self-study or the peer-review team during its evaluation were considered serious enough by the committee to cause it to withhold full certification until those problems have been corrected, or (b) the institution did not demonstrate adequate follow-up to concerns/improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution's previous regular and/or interim self-study.

3. Not Certified.

An institution that is "not certified" is not considered to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that (a) problems identified by the institution in its self-study or the peer-review team during its evaluation were considered by the committee to be very serious or pervasive, or (b) the institution did not demonstrate adequate follow-up to concerns/improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution's previous regular and/or interim self-study and action must be taken by the institution before it can be conditionally certified.

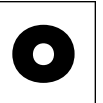


Corrective actions...

Institutions may identify problems during the course of the self-study, and peer-review teams may identify problems through a review of the institution's self-study report or during the on-campus visit. Although such problems may vary in number and severity, some could be serious enough to affect the institution's certification status.

Upon reviewing the institution's self-study report, the peer review team's report, and the institution's response to the peer-review team report, the Committee on Athletics Certification (CAC) will notify the institution of all deficiencies that relate to conformity with operating principles. The institution will then have a maximum of one year to respond, in writing, to such issues. These responses will include, as appropriate, the development or refinement of plans to resolve the issues identified and evidence of specific actions taken during the one-year period to demonstrate institutional commitment to the resolution of each issue. Upon receiving evidence of the implementation of the corrective actions, the CAC will render a certification decision. If no response is received by the CAC within the one-year period, the committee will render a certification decision based upon the information available at that time.

The CAC will select from one of three options when rendering the decision: certified, certified with conditions, or not certified.



Other possible consequences for institutions classified as certified with conditions or not certified...

If an institution that has been classified as certified with conditions or not certified fails to make a serious effort to correct problems within the time specified by the Committee on Athletics Certification, the committee may place the institution's athletics program in a restricted membership category for up to one year. As a result, the institution would not be eligible for NCAA championship competition in all sports. NCAA legislation stipulates that an institution placed in restricted membership shall remain in that category for a minimum of one year. However, an institution may request a waiver of such status from the Division I Board of Directors immediately upon rectifying deficiencies outlined by the committee. Such a waiver shall be submitted to the Board of Directors at least 60 days before the meeting in which the Board of Directors will act upon the waiver. The Board of Directors, by a two-thirds majority of its members present and voting, may waive the 60-day deadline due to circumstances beyond an institution's control.

If, at the end of this period of restricted membership, the committee concludes that the institution has not addressed the identified concerns properly, the committee may reclassify the institution as a corresponding member. This means that the institution would no longer be an active member of the Association.

Interim campus visits and additional institutional reports...

As part of its decision, the Committee on Athletics Certification may require interim campus visits by a peer-review team or additional written communication with the committee to confirm that actions stipulated by the committee have been taken.

Interim campus visits (if required) would be conducted by peer reviewer(s) assigned by the Committee on Athletics Certification.

Generally, corrective actions for a certified institution would be expected to be completed without interim campus visits or additional communication with the committee. Actions taken by the institution, consistent with the institution's plan for improvement and any requirements of the Committee on Athletics Certification, would be examined in the next regular certification cycle.

Corrective actions for an institution that has been certified with conditions, however, might suggest the need for written confirmation—and even an interim campus visit—depending on the nature and severity of the problems, the institution's apparent ability and willingness to correct those problems, and other factors that may be of concern to the committee.

Institutions that have been classified as not certified should expect the committee's decision to include requirements for additional written reports and/or interim campus visits.

Notification of the certification decision...

The Committee on Athletics Certification will communicate its certification decision, including any specific corrective actions, to the institution's chief executive officer in writing.

After notifying the institution, the committee will announce its decision publicly through a standard press-release-type report.

For institutions classified as "certified with conditions" or "not certified," the committee's public announcement also will include any corrective actions (and the timetable for completing each action) specified by the committee.

While other information related to the peer-review team's report or to the committee's actions will be considered confidential between the institution and the NCAA, the institution may release information regarding the committee's decision at its own discretion. The chair of the Committee on Athletics Certification, or a member of the committee designated by the chair, also is authorized to offer additional comments concerning the committee's deliberations when an announcement is warranted.

Opportunity for a hearing...

An institution may request a hearing related to a certification-status decision from the Committee on Athletics Certification. The committee is obligated to honor the request, but it should be noted that

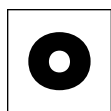
the request should not be related to any specific condition or recommendation, only to the certification-status decision.

To be considered for a hearing, the institution must submit a written request to the membership services staff at the national office not later than 15 calendar days after the date of the public release of the committee's certification decision. The institution's hearing request should include an explanation of the basis for the hearing and an indication of whether the institution desires to submit written materials in addition to its in-person appearance.

The institution should be represented at the hearing by the chief executive officer (or his or her designee from outside the athletics department). Other institutional staff members may attend, and the institution also may be accompanied by legal counsel. The committee may request that other individuals (e.g., peer-review team chair, steering committee chair) be present.

At the time the request for a hearing is granted, the committee will provide to the institution written notification of other general procedures to be followed during the hearing.

Only decisions of the committee to modify an institution's certification status as a result of a hearing will be announced publicly through a standard press release. In such instances, the committee's decision will be announced after the hearing has been adjourned and the institution has been notified of the committee's decision in writing.



ppportunity to appeal...

An institution may appeal the decision of the Committee on Athletics Certification to the Division I Management Council. For such appearances, the appeal procedures used by the Management Council will apply. These procedures are available from the NCAA national office. Public announcements of decisions of the Committee on Athletics Certification, however, will not be postponed pending appeals.

APPENDIX A: Summary agreement between the Southern

Association's Commission on Colleges and the NCAA

In the summer of 1992, the NCAA Presidents Commission and the NCAA Council agreed to sponsor proposed legislation at the 1993 NCAA Convention to establish an athletics certification program for Division I member institutions. After that time, representatives of the Presidents Commission, the Southern Association of Colleges and Schools, and the NCAA Special Committee on Athletics Certification worked toward a cooperative arrangement by which NCAA athletics certification and Southern Association accreditation would complement each other with a minimum of duplication.

From the outset, members of this ad hoc group agreed that duplication would be reduced if the two programs were aligned in terms of:

1. **Data collection** required of institutions in advance of campus visits or as part of self-study reports.
2. **Scheduling** of institutional self-studies and campus visits.
3. **Composition and activities of visiting teams.**
4. **The form and content of reports** prepared by participating institutions and by visiting peer-review teams.

Following is the summary agreement that outlines in detail how the activities of NCAA athletics certification and accreditation by the Commission on Colleges (COC) will be integrated in the four areas outlined above.

D

ata collection...

In most instances, collection of data and documents in the form required for NCAA certification will suffice for purposes of the COC. The following documents, however, are required by the COC and are not required for purposes of NCAA certification:

- Planning documents related to athletics.
- Descriptions of any assessment methods or instruments used to evaluate the success of the programs in carrying out their goals and objectives, including procedures for monitoring compliance with academic admissions and financial aid policies.
- Evidence of the use of assessment results to improve athletics programs.
- Retention and dismissal rates for student-athletes as compared to students in general.

In addition, the COC requires the following documentation in the area of related corporate entities:

- A description of the separately incorporated unit's activities.
- A statement demonstrating the manner in which those activities relate to the mission and purpose of the institution.
- A current roster of the board of the unit.
- Copies of the charter and bylaws of the unit.

S**cheduling...**

The NCAA and COC have agreed that for those Division I institutions that request a joint NCAA/COC team visit or same-year visits for two separate teams, the orientation visit by the NCAA staff and the kickoff visit by the COC staff will be conducted in the same general time frame, in order to allow the institution's athletics self-study to be integrated within the larger institutional self-study.

The staff visit by the COC normally is scheduled two years ahead of the date of the visit by the reaffirmation peer-review team. Ordinarily, the COC kickoff visit would take place in connection with or a short time in advance of the institution's preparation of its written plan, and the NCAA orientation visit would occur a short time after the tentative plan has been written.

The schedule of COC kickoff visits and NCAA orientation visits is left largely to the discretion of the institution. If the visits are not scheduled in close proximity, information concerning the NCAA self-study process would be provided by COC staff members at the time of the COC kickoff visit.

Unless a particular institution preferred otherwise, evaluation visits by peer-review teams would be scheduled concurrently. Such an arrangement not only would permit the evaluation of intercollegiate athletics to be written in conjunction with the larger peer-review report, but would provide regular opportunities throughout the evaluation visit for members of the entire group to compare and contrast their experiences.

Neither the institution, the NCAA or the COC will release information regarding the content of the peer-review report until after the final decision of the Committee on Athletics Certification is made. A request to release information regarding any portion of the content of the COC report requires permission of the COC.

Information concerning final decisions made by the Committee on Athletics Certification generally will be released before those of the COC. The NCAA certification decision will be communicated to the COC at the time the institution is notified. The COC reaffirmation of accreditation decision will be communicated to the NCAA at the time the institution is notified.

Each agency shall retain its power of decision regarding accreditation and athletics certification for institutions evaluated under this agreement according to its respective policies, procedures and criteria.

C**omposition and activities of visiting teams...**

The institution may elect to have either joint or separate committee visits. If the institution elects to have a joint COC/NCAA visit, the larger joint visiting committee will be chaired by a person appointed by the COC. The NCAA will select its members of the larger joint visiting committee and a chair for the subcommittee that will address the intercollegiate athletics program. At least one NCAA-appointed athletics subcommittee member (normally the chief executive officer who serves as chair) will have additional responsibilities with the COC review team. The chairs of the larger joint visiting committee and the athletics subcommittee and COC and NCAA staff members will be in communication before the visit. The larger joint visiting committee will meet periodically during the visit to discuss and approve findings.

The typical NCAA peer-review team will consist of three to five members, all of whom meet COC, as well as NCAA, qualifications to serve as peer reviewers. One team member with expertise in institutional finances may be used to evaluate the finance areas for both the NCAA and COC. The NCAA team also may draw on the expertise (e.g., academic, administration) of COC team members as circumstances permit.

The chair of the larger joint visiting committee will make a preliminary visit to the institution to make final arrangements for the visit. The chair shall arrange an initial organizational meeting of the larger joint visiting committee, which also shall allow for a separate organizational meeting of the NCAA peer-review team. During on-site committee meetings, the chair of the athletics subcommittee (or any other evaluator serving a dual role) will meet periodically for discussion with the larger committee and will present for approval the findings of the subcommittee on athletics. These organizational meetings shall conform to the procedures of the COC and the NCAA.

Given the similarity in the format and content of evaluation visits conducted by the COC and the NCAA, significant savings of costs and time would be realized by permitting the same review team to complete both the NCAA certification activities and the few additional evaluation activities required under the COC athletics criteria.

A comparison of the COC evaluative criteria with the NCAA's operating principles reveals that the NCAA program encompasses the majority of the COC criteria, in addition to NCAA operating principles related to rules compliance, academic support services and equity issues. Therefore, a complete evaluation of the institution's NCAA self-study report, which will include the areas not required for COC accreditation noted above, would satisfy most of the evaluative criteria established for intercollegiate athletics by the COC. Except for a few minor items, peer-review team members would cover the remaining COC evaluative criteria by examining the self-study report in relation to the following statements:

- The objectives and goals of the intercollegiate athletics program shall provide for the physical and emotional well being and social development of student-athletes.
- Responsibilities for the conduct and oversight of the athletics program shall be explicitly defined and clearly understood.
- All fiscal matters pertaining to the athletics program must be controlled by the administration.
- If external units (alumni organizations or foundations) raise or expend funds for athletics purposes, all such financial activities must be approved by the administration, and all such units shall be required to submit independent audits.
- The administration of scholarships, grants-in-aid, loans and student employment must be included in the institution's regular planning, budgeting, accounting and auditing procedures.
- All income, regardless of its source, must have appropriate oversight by an office of the institution that is independent of the athletics program.
- Institutions must annually monitor, with faculty participation, compliance with written policies pertaining to the recruitment, admission, financial aid and continuing eligibility of student-athletes.
- If there are special admissions for student-athletes, they must be consistent with the institutional policy on special admissions for other students.

In addition, COC standards include specific evaluative criteria in the area of related corporate entities. Because of the number of additional COC criteria in the area of finance (and in regard to related corporate entities), this agreement includes the provision that other COC peer-review team members with financial expertise may be called upon to assist in the evaluation of fiscal affairs related to intercollegiate athletics.

Evaluation-visit itineraries for COC accreditation and NCAA certification both include time for exit meetings. The exit meetings of the NCAA and the COC normally will occur at the same time unless circumstances dictate that the NCAA exit meeting be held privately with the chief executive officer and his/her invited guests.

Form and content of reports...

So that there is only one self-study report dealing with intercollegiate athletics, the institution should only reference the intercollegiate athletics self-study in its reaffirmation self-study report and not include any narrative. All discussion and analysis regarding intercollegiate athletics should be in a separate self-study report.

When writing the narrative for intercollegiate athletics the institution's self-study report should follow this format:

- Part I:** Address common requirements of the NCAA and the COC, and all requirements of the NCAA, by completing the NCAA self-study instrument.
- Part II:** Address the exclusive requirements of the COC in the format recommended by the COC.

The report must be written so that Part I can be separated from Part II, since the NCAA Committee on Athletics Certification is required to base its evaluation only on the material contained in Part I.

The peer-review team responsible for reviewing the institution's athletics program will function in relation to the full COC committee in the same manner, and with the same responsibilities, as other committee members responsible for evaluating other components of the institution's larger self-study report. The report on intercollegiate athletics will be part of the COC report, and will be a factor in the COC's consideration of reaffirmation of the institution. Only those portions related to athletics certification (i.e., Part I) will be used for certification purposes by the NCAA.

The report will be written in two parts:

- Part I:** Includes all narrative and findings pertaining to NCAA requirements and those COC requirements that are the same as those of the NCAA. For recommendations related to COC criteria, the intercollegiate athletics subcommittee will identify those recommendations specifically related to COC criteria/subsections and provide rationale to support recommendations. In addition, Part I will cross-reference all COC criteria.
- Part II:** Includes all narrative and findings pertaining exclusively to COC requirements.

In both parts, noncompliance with COC criteria will be written as recommendations. The chair of the subcommittee on intercollegiate athletics will present the subcommittee's findings and recommendations to the larger committee. Recommendations indicating noncompliance with COC criteria shall be approved by the entire committee before inclusion in the report.

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Additional items...

1. Costs.

An institution is responsible for the actual expenses of peer reviewers for campus visits, including transportation to the peer reviewer's local airport, local airport parking, round-trip air travel or ground transportation, lodging, local transportation, food and miscellaneous expenses. Peer-review team members serving on the joint NCAA/COC athletics subcommittee will submit their expense vouchers to the COC and be reimbursed according to COC policy.

2. Forming the Self-Study Steering Committee.

The NCAA requires four positions on the steering committee to be filled by the chief executive officer, faculty athletics representative, director of athletics and senior woman administrator.

The COC process encourages institutions to form committees consisting primarily of individuals not directly connected with the committee's area of study (e.g., a librarian does not serve on the learning resource committee). Persons directly connected are normally used as consultants to the committee in the COC process.

In order to accommodate both organization's requirements, the institution should expand the steering committee for intercollegiate athletics to include the NCAA-required four people, while ensuring that a majority of the committee are not connected with athletics.

3. Preparing a Tentative Written Plan for Completing the Self-Study.

In preparation for joint visits, the COC and the NCAA have agreed that the institution should complete one intercollegiate athletics plan to be submitted to both the NCAA and the COC. The required content of the plan is virtually identical for both organizations. The institution should consult with its assigned NCAA staff member to set the date for completing the plan.

4. Length of Visit.

The length of a COC visit normally is three days. This is similar to the length of the NCAA visit, which is four days and three nights. Therefore, the NCAA team may remain on campus up to one day longer than the COC team if additional time is necessary to complete athletics certification activities. If an institution has elected to participate in the alternate self-study program, the length of the COC reaffirmation visit may vary.

5. Circulation of the Draft Report/Response of Institution to the Team's Report.

In the case of an NCAA/COC joint visit, the chair of the intercollegiate athletics team will circulate a draft copy of the report to the chair of the COC reaffirmation committee, the members of the intercollegiate athletics subcommittee, and to the institution for review. The institution will be requested to submit corrections of factual errors within three weeks of the receipt of the draft. During this time, each party will review the report for factual verification. After this accuracy review, the chair of the COC committee and the chair of the NCAA team will confer and agree on factual corrections to the report related to intercollegiate athletics. The chair of the intercollegiate athletics subcommittee will modify and send the final report to the NCAA staff. The NCAA staff member will send the final intercollegiate athletics report, including Parts I and II, to the chair of the reaffirmation committee and to the COC staff member. The final Intercollegiate Athletics Report, including the portion on the intercollegiate athletics program, should be completed within six weeks after the visit.

The COC staff member will insert the Intercollegiate Athletics Report into the final reaffirmation committee report and will forward the report to the institution and to the Commission on Colleges. The NCAA will forward only Part I of the Intercollegiate Athletics Report to the institution and to the Committee on Athletics Certification.

The institution will prepare one response that exclusively addresses Part I of the Intercollegiate Athletics Report and one response that exclusively addresses Part II. The institution should forward responses to Part I to the NCAA and responses to Part II to the COC.

APPENDIX B: Compilation of institutional responsibilities

Following is a list of typical activities of participating institutions during athletics certification. This handbook offers additional information concerning these activities, and the page reference(s) in parentheses after an item indicate where additional information can be found.

Before the orientation visit...

- Form the self-study steering committee (Page 12).
- Involve the campus community through the use of subcommittees (Page 13).
- Determine whether and, if so, how the conference office will provide assistance (Page 15).
- If desired, obtain the services of other individuals to assist in carrying out the responsibilities that ordinarily would fall to the conference office, and seek prior written approval from the Committee on Athletics Certification for this kind of outside involvement (Page 15).
- Review the certification handbook and the self-study instrument (Page 16).
- Consult with the governing board and the institution's chief executive officer regarding plans and commitments that may seriously affect the future of the institution and its athletics program (Page 14).
- Prepare a tentative written plan for completing the self-study (Page 14).
- Review institutional compliance policies and procedures (Page 16).
- If desired, apply in writing to the Committee on Athletics Certification for modification of the institution's place in the certification schedule (Page 17).

During the self-study...

- Collect and organize data related to athletics certification (Page 18).
- Coordinate activities of the subcommittees (Page 18).
- Review reports of the subcommittees and the steering committee (Page 18).
- Maintain written records of meetings, writing assignments and opportunities to review draft reports (Page 18).
- Prepare the self-study report (Page 19).

Before the evaluation visit...

- Review and offer written comments concerning a list of potential peer-review team members selected by the Committee on Athletics Certification (Page 23).
- Submit the completed self-study report to each member of the peer-review team, with five copies of the same material to the NCAA staff member (Page 24).
- Make lodging and other arrangements for members of the peer-review team (Page 25).
- Make arrangements to cover the expenses incurred by peer-review team members during the evaluation visit (Page 25).
- Ensure that key institutional personnel are available for interviews (Page 25).

During the evaluation visit...

- Meet the work-related needs (e.g., copiers, meeting rooms) of the peer-review team (Page 25).
- Participate in interviews with and make written records available to the peer-review team (Pages 14 and 24).
- Participate in an exit meeting with the peer-review team (Page 30).

After the evaluation visit...

- Review the peer-review team's draft report (Page 32).
- Respond to the peer-review team's written report (Page 33).
- If requested, appear before the Committee on Athletics Certification to clarify information contained in reports presented to the committee (Page 34).
- Receive notification of the decision of the Committee on Athletics Certification and, if desired, request a hearing with the committee (Page 37).
- Revise the institution's plan for improvement in a manner consistent with the actions of the Committee on Athletics Certification (Page 35).
- Implement corrective actions identified by the institution or by the Committee on Athletics Certification in the time period specified (Page 36).
- If requested, offer comments related to the self-study process, the work of the Committee on Athletics Certification and the work of the peer-review team (Page 33).

APPENDIX C: Compilation of peer-review team members' responsibilities

Following is a list of the basic qualifications and typical activities of peer-review team members involved in athletics certification. This handbook offers more information concerning these qualifications and activities, and the page references in parentheses after each item indicate where additional information can be found.

To be placed in the pool of peer-reviewers...

- Must be from a Division I institution or conference (or have recently retired) (Page 9).
- Must hold one of the designated institutional positions or have recognized expertise, skills or experience in particular areas addressed in the certification program (Page 9).
- Should have five years of campus experience as a full-time employee, including three in Division I (Page 10).

Before accepting a peer-review assignment...

- Complete required peer-review training activities (Page 9).
- Review the certification handbook and the self-study instrument (Note to the Reader).
- Consider whether the assignment would create a potential conflict of interest (Page 24).
- Review and sign a conflict-of-interest statement (Page 24).

After accepting a peer-review assignment and before the evaluation visit...

- Based on a review of the self-study report, peer-review team chair considers whether to modify the composition of the peer-review team (Page 23).
- Peer-review team chair assigns sections of the institution's self-study report to particular peer-review team members (Page 26).
- Peer-review team chair contacts the institution's chief executive officer before the evaluation visit (Page 26).
- Each member of the peer-review team reviews the institution's self-study report, identifying areas in the report that may require additional information and targeting specific topic areas for special emphasis (Page 26).
- Peer-review team chair determines the length of the evaluation visit (Page 27).
- Peer-review team chair and NCAA staff liaison establish the evaluation visit schedule and inform the institution of those individuals that the peer-review team members will want to interview (Page 26).

- Arrange transportation to and from campus (Pages 11 and 25).
 - Determine the role of the participating institution's conference office (Page 26).
-

During the evaluation visit...

- Participate in the introductory meeting, interviews, review of records and facilities tour (Page 27).
 - Verify that the self-study report was characterized by campus-wide participation (Page 28).
 - Verify the completeness and accuracy of the self-study report (Page 29).
 - Evaluate the self-study in terms of the NCAA's operating principles and the institution's specific mission and purpose (Page 29).
 - Verify that a plan for improvement has been established by the institution (Page 30).
 - Develop a draft of the written peer-review team report to be sent to the Committee on Athletics Certification (Page 30).
 - Conduct the evaluation visit exit meeting (Page 30).
-

After the evaluation visit...

- Peer-review team chair prepares final draft of peer-review report and submits it to the institution's chief executive officer before its submission to the Committee on Athletics Certification (Page 32).
- Peer-review team chair responds to the institutional reaction to the peer-review team's written report (Page 32).
- Peer-review team chair completes an evaluation of the performance of the other members of the peer-review team (Page 33).
- Peer-review team chair comments on the self-study evaluation process in general (Page 33).
- Peer-review team members evaluate the peer-review team chair, the NCAA staff and the self-study evaluation process (Page 33).
- Receive notification of the decision of the Committee on Athletics Certification (Page 37).

APPENDIX D: Responsibilities of the Committee on Athletics Certification

Following is a list of the primary activities of the Committee on Athletics Certification, which is responsible for the administration of the athletics certification program. This handbook offers additional information concerning these activities, and the page reference in parentheses after each item indicate where additional information can be found.

- Develop and, as necessary, modify the certification handbook and self-study instrument (Page 16).
- Establish and, as necessary, modify the certification schedule for each participating institution (Page 17).
- Establish and train the pool of peer reviewers (Pages 9 and 23).
- Establish the format for the self-study report (Page 20).
- Select peer-review teams for each participating institution and notify peer-review team members of their assignments (Page 23).
- Establish the guidelines for the evaluation visit (Page 21).
- Establish the format for the peer-review report (Page 32).
- If necessary, review an institution's certification status based on a recommendation from the Committee on Athletics Certification (Page 33).
- Establish guidelines for publicizing information related to the evaluation visit and certification decisions (Page 35).
- Review institutions' self-study reports and accompanying peer-review team reports, including certification decision recommendations, and render specific athletics certification decisions for participating institutions (Page 34).
- Require participating institutions to take corrective actions as necessary (Page 36).
- If necessary, participate in an institution's appeal of its certification decision to the Division I Management Council (Page 38).
- Review evaluations of the self-study process, the performance of peer-review team members and the certification program (Page 33).

APPENDIX E: Delegation of responsibilities

related to NCAA athletics certification

Committee on Athletics Certification	Month	Division I Member Institution
Orientation Visit by NCAA Staff		Prepare Plan for Self-Study Before Orientation Visit
	1	Begin Self-Study
	2	
	3	
	4	
Receive Comments Related to Potential Peer Reviewers	5	Return Comments Related to Potential Peer Reviewers
	6	
	7	
Assign Peer-Review Team	8	Learn Composition of Peer-Review Team
	9	
	10	
	11	
	12	Submit Completed Self-Study Report
Preliminary Review of Self-Study Report to Verify Completion	13	Prepare for Evaluation Visit
Peer-Review Team Evaluation Visit	14	Peer-Review Team Evaluation Visit
	15	
Prepare/Submit Peer-Review Team Report to Institution and Committee	16	Respond to Peer-Review Team's Report
	17	
Render Certification Decision and Identify Additional Corrective Actions (as needed)	18	Receive Certification Decision
Release Certification Decision to Public	19	Modify Plan for Improvement to Include Additional Corrective Actions (as needed)
Evaluate Process	20	Evaluate Process

APPENDIX F: Sample Plan Format—Governance Issues

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

Institution X

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work	Means for Funding Implementation
The mission of the athletics program does not include the principles of sportsmanship and ethical conduct, which are embraced by the Association.	Incorporate sportsmanship and ethical conduct principles into athletics mission statement.	The athletics board will revise the athletics mission statement to include the Association's principles of sportsmanship and ethical conduct.	Faculty athletics representative	March 1, 2002	NA
The mission of the athletics program is circulated among the institution's internal and external constituencies, but is not as widely disseminated as it should be.	Disseminate the athletics mission statement to as many internal and external constituencies as possible.	The revised mission statement will be published in the university catalog, all media guides, the school newspaper, the student-athlete handbook, board of regents handbook, athletics department policies and procedures manual, athletics boosters brochures and game programs.	Provost's office President's office Director of athletics	July 1, 2002	Budget allocation from president's office.

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding institutional plans.

APPENDIX G: Sample Plan Format—Gender Issues

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

Institution X

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work	Means for Funding Implementation
Scheduling of facilities does not reflect equitable opportunities for "prime" times.	Adjust men's and women's basketball practice schedules to reflect equitable/equal practice gym time.	Request practice schedules to be developed and submitted by all coaches in accordance with established policies to facilitate review by the head athletic trainer and, for at least the next academic year, the director of athletics and senior woman administrator.	Director of athletics, senior woman administrator and head athletic trainer.	Spring of 2001 and annual review thereafter.	NA
		Place practice schedules on all regularly scheduled administrative staff meeting agendas.	Director of athletics and head athletic trainer.	Fall of 2001 and regularly thereafter.	NA

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work	Means for Funding Implementation
Salaries of men's and women's coaches are not equitable.	Increase assistant women's volleyball coaches' salaries by 15 percent.	Identify salary-adjustment periods of the institution and prepare appropriate forms for processing/ implementation of salary adjustment for specific coaches.	Director of athletics and human resources office.	January 1, 2002.	State appropriations.

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding institutional plans.

APPENDIX H: Sample Plan Format—Minority Issues

The following illustrates means by which an institution can present the major components of a plan. This example of one component is not meant to resemble an institution's plan. Also, it is not required that an institution follow the items in this example. An institution should formulate an original plan that addresses its unique situations and issues.

Please note that an institution's plan for addressing minority issues shall address equitable opportunities for both minority student-athletes and athletics personnel. An institution-wide affirmative action plan is acceptable only if it:

1. Specifically references, in the plan or in a separate document, the intercollegiate athletics program;
2. Addresses minority opportunities and needs (e.g., special programming, services of multicultural offices, general welfare issues) for student-athletes, as well as athletics staff; and
3. Satisfies the committee's minimum expectations for a plan.

Institution X

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work	Means for Funding Implementation
Scholarship and athletics opportunities for minority student-athletes should be enhanced.	Enhance aggressive recruitment of minorities by all sports and, in particular, in sports that are under-represented by minorities.	Develop recruitment strategies for use in identifying minority student-athletes and document a retention program for enrolled minority student-athletes.	Athletics board, director of athletics, student-athlete advisory committee.	Spring of 2001 and annual review thereafter.	Budget allocations from the office of the president.

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work	Means for Funding Implementation
Minorities are under-represented on the coaching staff.	Enhance effort to identify and recruit minorities for each coaching opening that occurs on the staff.	Modify entrance and exit interview forms for student-athletes to include information on issues affecting recruitment and retention of minority student-athletes.	Director of athletics, student-athlete advisory committee.	Fall of 2001 and annual review thereafter.	State allocations.
		Analyze the reasons for lower numbers of minority student-athletes in specific sports.	Athletics board, director of athletics, student-athlete advisory committee.	Spring of 2001 and annual review thereafter.	State grant.
		<p>Advertise open positions in publications that reach diverse populations.</p> <p>Recruit with organizations that reach diverse populations.</p> <p>Have affirmative action staff members on each search committee regarding recruitment of minority employees.</p>	Director of athletics, senior woman administrator.	Spring of 2001 with continuing action thereafter.	Budget allocations from the office of the president.

Institutions may contact their NCAA staff liaison for athletics certification for more information regarding minority-issue plans.

