REPORT OF THE
NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE
JULY 10, 2008, MEETING

***ACTION ITEMS*.**

1. Legislative Items.

- **Composition of the NCAA Division I Committee on Academic Performance.**

(1) Recommendation. The NCAA Division I Committee on Academic Performance recommends the NCAA Division I Board of Directors sponsor emergency legislation as follows:

(a) To increase the size of the committee from 11 members to 15 members;

(b) To require the committee to include a minimum of two chancellors or presidents serving at all times; and

(c) To establish an exception to the committee's term limits to permit the chair of the committee to serve at the discretion of the Board of Directors, with reconsideration of the chair's term extension to occur at least every two years. [Attachment A]

(2) Effective Date. Immediate.

(3) Rationale. The committee anticipates an increase in the number of NCAA Division I Academic Performance Program (APP) penalty waiver appeals as more severe penalties are implemented in 2008-09. An increase in the size of the committee is necessary to effectively and expeditiously review waivers and appeals submitted by the membership. In addition, an increase in size will improve the committee's ability to maintain a sufficient number of members as people recuse themselves as needed during waiver and appeals deliberations and hearings. Further, the recommendation to require at least two chancellors or presidents to serve on the committee at all times will increase the likelihood that a chancellor or president will be available for all committee meetings, including hearings of Occasion-Three and –Four Historical Penalty waivers. Finally, the exception to the committee's term limit will enable the chair to provide continuity of knowledge and service as the committee moves through this critical phase of the academic reform cycle. As such, it is in the best interest of the Association to permit the chair to serve beyond the current legislative term limit as the Board of Directors deems appropriate.

The committee recommends this proposal be considered as emergency and noncontroversial legislation so that the recommended change can take effect immediately, in preparation for the 2008-09 APP waiver season.

(4) Estimated Budget Impact. Minimal, expenses for four additional committee members.

(5) Student-Athlete Impact. None.

2. Nonlegislative Items.

a. Committee Appointments.

(1) Recommendation. The committee recommends the Board of Directors take the following actions regarding to committee members and terms:

(a) Extend the term of the current chair, President Walter Harrison of the University of Hartford, for an additional two years, to expire in September 2011.

(b) Appoint President Melvin Johnson, Tennessee State University, as vice chair of the committee. President Johnson is a current committee member.

(c) Due to the time-sensitive nature of the committee expansion, immediately appoint the following current ad hoc members to the committee as regular members with appropriate staggered terms:

i. Tom Burnett; Commissioner, Southland Conference;

ii. John Morris; Senior Associate Director of Athletics, University of Washington; and

iii. Greg Sankey, Associate Commissioner, Southeastern Conference.

(d) Direct the NCAA Division I Administration Cabinet to appoint a faculty athletics representative or provost to the committee to fill the remaining vacancy.

(2) Effective Date. Immediate.

(3) Rationale. The extension of the current chair's term and the appointment of a president as vice chair will emphasize presidential leadership of academic reform and will provide practical benefits to the committee's operational activities (e.g., vice chair will serve in the chair's absence during any meetings, teleconferences, and/or penalty waiver proceedings). The appointment of the ad hoc members noted above will formalize the role of individuals who already are familiar with the committee's work and policies and procedures, and will be prepared to fully participate in waiver and appeals work. The experience of these ad hoc members is critical as the committee hears appeals of serious penalties this year. Finally, the committee's current composition, including the ad hoc members, includes a diverse blend of individuals with various backgrounds, perspectives, expertise and job responsibilities; however, the group believes at this time additional faculty representation would be helpful.

(4) Estimated Budget Impact. None.

(5) Impact on Student-Athlete Well-Being. None.

b. Committee Policies.

(1) Recommendation. The committee recommends the Board of Directors approve the APP policies and procedures (Attachment B) which include updates to the Occasion-Three and -Four Historical Penalty waivers and appeals. The rationale highlights some of the more significant updates which include designation of specific roles and authority of the staff, committee and the subcommittee of the Board of Directors, and the definition of the review standard for institutional appeals by the subcommittee of the Board of Directors and flexibility in the Occasion-Four waiver process.

(2) Effective Date. Immediate.

(3) Rationale. These policies and procedures have been updated with routine changes the committee has made throughout the year. Additionally, in anticipation of the number of teams that could be subject to Occasion-Three and -Four Historical Penalties, the policies provide for greater staff authority to render approvals and conditional approvals to help ensure efficient use of committee time and institutional resources. Further, the committee noted that teams or institutions desiring to appear before the committee will be afforded that opportunity. These appeal policies require

the appointment of a subcommittee of the Board of Directors to hear appeals of committee waiver decisions when such cases meet a rigorous standard for review. If the subcommittee or the subcommittee chair determines the standard for Board of Directors review has not been met, the committee's decision will be upheld. If the subcommittee or its chair determines the standard for Board of Directors review has been met, the appeal will be heard by the appointed subcommittee via teleconference and an alternative decision (e.g., approve, conditionally approve, partially approve or deny) may be rendered.

The updated policies and procedures also provide for the review of Occasion-Four Historical Penalties that permit the committee to provide relief to teams with acceptable academic performance, while still holding a poor-performing team in restricted membership. In developing the Occasion-Four restricted-membership penalty, the Incentives/ Disincentives Working Group noted the importance of severe penalties serving as deterrents within the historical-penalty structure. As such, the penalty was designed so that restricted membership status shall apply to the institution's entire athletics program (i.e., all sports teams), rather than only to the low-performing team, for a period of one year. While the committee noted a penalized institution would not have to discontinue its varsity sports programs and, thus, could continue to award athletics scholarships and sponsor sports teams, it is certain to face challenges in scheduling competitions and in public relations. Further, it is possible conference sanctions could apply if the institution loses full membership status. Given the severe nature of the penalty and the potential consequences for the penalized institution, including teams that may be performing well academically, the committee supports the addition of this flexible option within the waiver process.

Lastly, the policies and procedures specify that an institution or team that did not satisfy the condition(s) of a previous waiver be required to impose the penalties in the year subsequent to its failure to meet the specified conditions. Further, this penalty shall be taken in addition to any other historical penalties the team incurs. Conditional relief of penalties is provided based on the premise the team will meet the specified conditions during the subsequent academic year. Teams not meeting the specified conditions and continuing to progress in the historical penalty structure should be accountable for all accumulated penalties (i.e., waived penalty from the previous year and penalty of subsequent year). Further, the staff/committee may consider the specified timing to impose the full penalties during the waiver process of the subsequent penalty.

(4) Estimated Budget Impact. None.

(5) Student-Athlete Impact. None.

INFORMATIONAL ITEMS.

1. Criteria for Transfer Adjustments. The committee codified within the NCAA Division I Academic Progress Rate (APR) Adjustment Directive the Board of Directors' approval of a modification to the APR calculation that permits a "1/1" adjustment for transfer students who meet specified criteria. Further, the committee continued its discussions regarding the criteria for review of adjustment requests for student-athletes who transfer with a grade-point average below 2.600 and agreed that the student-athlete must present a cumulative grade-point average of at least 2.000 and meet all other transfer adjustment criteria for the adjustment to be considered. In addition, the staff will review academic factors (e.g., number of transferable credit hours accepted by the next institution and applicable to the student-athlete's designated degree program, positive trends in the student-athlete's academic performance, student-athlete's academic success compared to other students with similar admissions profiles) to determine whether an adjustment is warranted. The committee directed the staff to apply a very high standard of review for these requests and noted this will be a rigorous standard to meet for approval. The committee also requested additional data related to transferable degree credit that may be informative to staff in its review of these adjustments requests and agreed to monitor transfer adjustments throughout the year. Finally, the NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting considered a request from a member institution to amend the criteria for the automatic adjustment for the retention point when a student-athlete transfers. The member institution proposed that the retention point be automatically adjusted (i.e., "1/1") for a student-athlete who transfers, provided he or she leaves the institution after meeting all applicable requirements to be eligible in the following academic term. In addition, if such a student-athlete transfers to another Division I institution and later becomes academically ineligible, that institution would be "double penalized" for accepting the transfer student-athlete and APR points would be added to the denominator. For example, a student-athlete who withdraws over the summer would be "1/1" for the spring term at the initial institution, provided he or she earned the "E" point before departing. If the student-athlete transfers to another institution and subsequently fails to meet eligibility requirements and withdraws, he or she would earn "0/4" points, rather than "0/2" points for his or her final term. The member institution noted this proposal would require institutions to carefully consider accepting transfer student-athletes at their respective institutions and would not penalize the first institution that ensured the student-athlete maintained eligibility. The Subcommittee on Data Collection and Reporting requested the staff gather data regarding the potential impact of this concept for additional discussion at its next meeting. [Attachment C]

2. **Coaches' Rate and APP Penalties Following Coaches.** The committee discussed APP penalties following coaches and the development of an academic coaches rate to be used to track the academic success of a particular head coach. The committee explored the following options:

   a. Creation of an academic rate of measure specifically attributed to each head coach throughout his/her career.

   b. Creation of an identified prescribed penalty applicable to all head coaches leaving a team with an APR lower than a specified benchmark, regardless if the institution incurred a penalty in that academic year.

   c. Requiring institutions hiring a coach employed by a penalized institution to apply all penalties to which the coaches' previous team is subject.

   d. Creation of a database that tracks the APR "record" of all head coaches for all applicable academic years.

   e. Publishing the names of coaches of those teams subject to APP penalties in connection with the current publication of high- and low-performing teams.

   f. Publishing the name of the "head coach of record" for each team for the academic year on each institution's public APR report.

   g. Requiring institutions hiring a coach employed by a penalized institution to present rationale to the committee defending the hiring.

   Due to administrative and procedural complexities involved, the committee did not support any of the proposed concepts. Additionally, the committee noted that while coaches play a critical role in academic success, many other campus personnel impact a team's APR (e.g., director of athletics, faculty athletics representative, academic support personnel, president). However, the committee did refer to the Subcommittee on Data Collection and Reporting the concept of permitting access to archived APR reports via the NCAA Web site to provide easier access for institutions conducting research during a coaching search.

3. **Progression within the Historical-Penalty Structure.** The committee amended its policies and procedures to provide the committee and staff discretion to waive the progression to Occasion-Four Historical Penalties when making decisions regarding Occasion-Three penalty waivers. In such cases, an institution could repeat Occasion-Three Historical Penalties if it fails to meet the stated conditions in the following year, rather than advancing to Occasion-Four Historical Penalties. The Occasion-Four Penalty

includes restricted membership status for the institution and is the most severe APP penalty. In some cases, the committee or staff may determine a team has significantly underperformed academically and Occasion-Three penalties should not be waived. However, the team's performance and mitigating circumstances may offer some rationale for not advancing the team in the next year to Occasion-Four penalties, but instead repeating Occasion-Three penalties. Once a team is subject to Occasion-Three penalties, the authority to waive progression to Occasion-Four Historical Penalties provides the staff and committee more flexibility to apply the appropriate penalty relief for a team. Additionally, the committee discussed the role of APR Improvement Plans in the APP penalty waiver process and whether institutions should be required to submit multiyear APR goals that outline how the team plans to reach the APR penalty benchmarks (i.e., achieve a multiyear APR above 900). The committee requested the NCAA Division I Committee on Academic Performance Subcommittee on Appeals review this concept further in October.

4. **Occasion-Two Historical Penalties.** The committee reviewed the application of Occasion-Two penalties (e.g., financial aid restrictions, playing and practice seasons restrictions) and the reporting requirement for institutions imposing the penalties. The committee approved an educational column that provides information regarding the practice penalties and a list of acceptable academic support activities in which penalized teams may engage to replace reduced practice time. [Attachment D]

5. **Amendments to the APP Penalty Waiver Directive.** The committee approved specified amendments to the penalty waiver directive. The recommended amendments to the directive are based on increased experience reviewing APP waivers and the guidance provided by the Subcommittee on Appeals to the staff while reviewing APP waivers over the past three years. The more significant changes include elimination of the tiered review criteria for contemporaneous penalties; addition of review factors based on single-year APR trends and student-athlete "0/2" information; and updates to the APR Improvement Plan section. [Attachment E]

6. **Partial Approval of APP Penalties.** The committee amended its policy regarding partial approval for all APP penalty waivers to reflect that the staff/subcommittee may require a team to satisfy specified conditions in order to receive relief from the portion of the penalty that is waived. All teams subject to penalties have APRs below the established benchmarks and should be held accountable for implementing the team's APR Improvement Plan and potentially meeting other conditions. However, on rare occasions, circumstances warrant relief from a portion of the penalty without needing to hold the team to meeting a condition. The amendment to the policy will allow the committee/staff the flexibility to provide partial relief from a penalty and to determine whether the team shall meet condition(s) in order to receive that relief. Generally, the committee supports requiring a team to satisfy specified conditions as part of the waiver process.

7. APP Data Collection and Reporting Policy for Institutions that Reinstate Dropped Sports in Subsequent Years. The committee approved an amendment to its policies and procedures to require an institution that reinstates a dropped sport(s) to submit APP data according to the following guidelines:

a. If a sport has been inactive at the Division I level for three or more years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. The team would be considered to have submitted APP data for the first time, APP data submitted from previous years would no longer be used to calculate the team's (APR) and the team would have the benefit of the squad-size adjustment until four years of APR data is collected, provided the team has a multiyear cohort of 30 or more student-athletes. Additionally, if an institution was subject to an APP penalty at the time the team was discontinued or transitioned to another division, the institution would not be required to impose the penalty.

b. If a sport has been inactive at the Division I level for a period of less than three academic years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. Any years of APR data that are within the four-year APR cohort will be used to calculate the new multiyear APR and any penalties the team incurred at the time the team was discontinued will need to be taken at the earliest opportunity. The staff/subcommittee also will determine any additional requirements on a case-by-case basis.

The committee noted that once an institution has reinstated a sport and competed at the Division I level, it is reasonable that the institution should submit APR data for that team for the academic year and any subsequent years the team competes as a Division I sport. In addition, the committee believes if a sport is reinstated within three years, the composition of the team's APR cohort should be determined based on that team's individual circumstances. This will permit the staff/Subcommittee on Data Collection and Reporting to consider the number of student-athletes that remained at the institution, the reasons for the sport being discontinued and other relevant information. However, if a sport is reinstated after a period of three years, the APR cohort will no longer consist of many of the same student-athletes that were part of the team when the institution had to submit APP data for the team. In addition, the committee agreed this revision to the APP data collection and reporting policy will facilitate the transition process as institutions decided to reinstate a sport at the Division I level.

8. **Definition of the APR Cohort for Student-Athletes Receiving Athletics Aid Contingent on Academic Performance.** The committee considered a member institution's request that it determine whether the APP cohort should include a student-athlete who was offered and accepted athletically related financial aid contingent on the student-athlete satisfying various academic criteria before receiving any athletics aid. The committee issued an interpretation to clarify the APR cohort should include any student-athlete who signs an athletically related financial aid agreement for a term and is enrolled full time as of the census date or the fifth week of classes, whichever is earlier, even if the student-athlete does not receive any athletics aid because he or she does not satisfy some contingency within the financial aid agreement. [Attachment F]

9. **Early Graduation Bonus Concept.** The Subcommittee on Data Collection and Reporting initially discussed the possible development of an early graduation bonus point (e.g., "3/2") for student-athletes who graduate with eligibility remaining. However, given time constraints, full committee discussion was delayed until the October 2008 meeting.

10. **Impact of Conference and Institutional Academic Requirements on the APR.** The Subcommittee on Data Collection and Reporting reviewed a summary of the reasons institutions indicated student-athletes did not earn the eligibility point in 2006-07 to determine the potential APR impact when student-athletes satisfy NCAA requirements, but are ineligible for competition under conference requirements. At this time, the subcommittee did not support a change to the definition of academic eligibility to exclude conference requirements, noting its continued support of the committee's previous position that the NCAA has set minimal requirements and that conferences and institutions are permitted to develop their own academic benchmarks.

11. **Revised 2008-09 APR and Penalty Reporting Forms.** The Subcommittee on Data Collection and Reporting approved the final version of the institutional APR and Penalty Reports for the 2008-09 academic year. The reports are intended to provide institutions with their teams' APR, a summary of the teams subject to contemporaneous and/or historical penalties, and detailed worksheets explaining how the penalties were calculated.

12. **APP Focus Groups Conducted at the 2008 Regional Rules Seminars.** The Subcommittee on Data Collection and Reporting received an update from the staff related to focus groups conducted at each regional rules seminar with a select group of athletics personnel from member institutions and conferences. The group was asked to provide feedback and suggestions to improve the APP data collection, the Committee on Academic Performance Web site, the LSDB*i* waiver portal and other APP-related areas. The staff has compiled the focus groups' recommendations and will attempt to implement several of the group's recommendations over the course of the next academic year.

13. **Access to Athletics Activities (e.g., Summer Workouts) Incentive Concept for Women's Basketball.** The Committee on Academic Performance reviewed a report from the May 2008 meeting of the NCAA Division I Women's Basketball Issues Committee, which noted the Women's Basketball Issues Committee is no longer pursuing the incentive-based model of increased athletics access to women's basketball student-athletes during the summer for those teams achieving an identified level of academic success. Instead, the Women's Basketball Issues Committee agreed to consider a broader academic-access model, which would place focus on improving the academic performance of women's basketball student-athletes and on increasing athletics access during the summer. It is anticipated that the Women's Basketball Issues Committee will continue its consideration of this concept at its next meeting and will further define the potential terms of the summer access concept, in addition to the possible academic enrollment requirements (if any) for continuing students.

14. **NCAA Division I Men's Basketball Academic Enhancement Group.** The committee reviewed the April 29, 2008, progress report of the NCAA Division I Men's Basketball Academic Enhancement Group and particularly focused on possible recommendations that, if formally endorsed, may be referred to the committee for further development and implementation. In addition, the committee discussed the potential recommendation to require men's basketball student-athletes to successfully complete a minimum of six hours of acceptable degree credits during the summer term in order to be eligible for competition in the fall and preliminarily agreed to include this requirement when determining spring term "E" points for men's basketball student-athletes, should this recommendation be adopted by the membership. The committee indicated this approach would be consistent with the current application of the awarding of the eligibility point within the APR calculation.

Committee Chair: Walter Harrison, University of Hartford, America East Conference
Committee Liaisons: Julie Cromer, Membership Services
Diane Dickman, Membership Services
Kevin Lennon, Membership Services
Todd Petr, Research
Bill Regan, Membership Services

ATTACHMENT A

Proposal Number: 2008-?

Title: ACADEMIC PERFORMANCE PROGRAM -- COMMITTEE ON ACADEMIC PERFORMANCE -- COMPOSITION AND TERM OF OFFICE, CHAIR

Intent: To increase the composition of the NCAA Division I Committee on Academic Performance from 11 to 15 members and require a minimum of two chancellors or presidents serving at all times; further, to establish an exception to the committee's term limits to permit the chair to serve at the discretion of the NCAA Division I Board of Directors, with reconsideration of the chair's term extension to occur at least every two years.

Bylaws: Amend NCAA Bylaw 23.1, as follows:

23.1 COMMITTEE ON ACADEMIC PERFORMANCE.

The Committee on Academic Performance shall administer the academic performance program.

> 23.1.1 Composition. The committee shall consist of *11* **15** members including a minimum of *one* **two** president**s** or chancellor**s**, one faculty athletics representative, one director of athletics, one senior woman administrator and one conference administrator. The committee shall include at least two members from each of the three Division I membership subdivisions. All committee members should be on the staff of a Division I active institution or conference. A president or chancellor member shall serve as chair**, at the discretion of the Board of Directors, with reconsideration of the chair's term extension to occur at least every two years after serving two full terms**.
>
> [Remainder of 23.1 unchanged.]

Source: NCAA Division I Committee on Academic Performance.

Effective Date: Immediate.

Proposal Category: Amendment.

Topical Area: Academic Performance Program.

Rationale: The committee anticipates an increase in the number of APP penalty waiver appeals as more severe penalties are implemented and an increase in the size of the committee is necessary to effectively and expeditiously review waivers and appeals submitted by the membership. In addition, an increase in size will improve the committee's ability to maintain a sufficient number of members as people recuse themselves as needed during waiver and appeals deliberations and hearings. Further, the recommendation to require at least two chancellors or presidents to serve on the committee at all times will increase the likelihood that a chancellor or president will be available for all committee meetings, including hearings of Occasion-Three and -Four Historical Penalty waivers. Finally, the exception to the committee's term limit will enable the chair to provide continuity of knowledge and service as the committee moves through

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this critical phase of the academic reform cycle. As such, it is in the best interest of the Association to permit the chair to serve beyond the legislative term limit as determined by the Board of Directors to be appropriate. The committee recommends this proposal be considered as emergency legislation so that the recommended change can take effect immediately, in preparation for the 2008-09 APP waiver season. In addition, further debate and discussion regarding this proposal is not likely to change the outcome.

Budget Impact: Minimal, expenses for four additional committee members.

Impact on Student-Athlete's Time: None.

ATTACHMENT B

NCAA Division I
Academic Performance Program
and
NCAA Division I Committee on Academic Performance

<u>Policies and Procedures</u>

Updated: July 2008

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NCAA Division I Academic Performance Program and NCAA Division I Committee on Academic Performance Policies and Procedures

PURPOSE

Purpose of the NCAA Division I Academic Performance Program (NCAA Bylaw 23.01.1)

The central purpose of the NCAA Division I Academic Performance Program (APP) is to ensure that the NCAA Division I membership is dedicated to providing student-athletes with an exemplary educational and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions, while enhancing the ability of student-athletes to earn a degree.

The Division I membership is committed to providing higher education for a diverse body of student-athletes within the context of an institution's academic and admissions standards for all student-athletes through a system that reward those institutions and teams that demonstrate commitment toward the academic progress, retention and graduation of student-athletes and penalizes those who do not.

COMMITTEE ON ACADEMIC PERFORMANCE -- GENERAL INFORMATION

NCAA Division I Committee on Academic Performance Responsibilities

The NCAA Division I Committee on Academic Performance serves as the oversight body for the APP.

Legislated Duties of the Committee (Bylaw 23.1.2)

The Committee on Academic Performance shall administer all aspects of the APP, including the following duties:

1. Oversee the process governing data collection, analysis and calculation used to determine the NCAA Division I Academic Progress Rate (APR), the Graduation Success Rate (GSR) and the process governing data collection of the Academic Performance Census (APC).

2. Annually publish an explanation of the calculation to the membership.

3. Formulate and revise, as needed, a statement of the established operating policies and procedures of the APP.

4. Determine the minimum acceptable APR and GSR.

5. Determine the appropriate standards on which penalties or rewards apply and notify members of such standards.

6. Identify rewards to acknowledge those institutions and teams that demonstrate a strong commitment toward the academic progress, retention and graduation of student-athletes.

7. Identify and notify institutions or teams that fail to satisfy the appropriate standards under which historical and contemporaneous penalties apply.

8. Identify and notify institutions or teams that demonstrate academic excellence under the APP.

9. Oversee the administration of a public recognition program for institutions or teams that demonstrate academic excellence under the APP.

10. Hear appeals of institutions or teams subject to penalty (or penalties) (both contemporaneous and historical) and any other matters of appeal pursuant to the legislation, and policies and procedures of the APP.

11. Recommend changes to the APP based on research, data analysis and practical experience.

12. Interpret APP legislation and policies.

13. Perform any other duties directly related to the administration of the APP. *(Revised: 4/2007, effective 4/2007)*

Reporting Lines

The Committee on Academic Performance reports to the NCAA Division I Board of Directors.

Composition (Bylaw 23.1.1)

The committee shall consist of 11 members, including a minimum of one chancellor or president, one faculty athletic representative (FAR), one director of athletics (AD), one senior woman administrator (SWA) and one conference administrator. The committee shall include at least two members from each of the three Division I membership subdivisions. All committee members shall be on the staff of a Division I active institution or conference. A chancellor or president shall serve as chair.

As indicated in Bylaw 21.7.2.1, the Committee on Academic Performance is not subject to the requirement that limits subdivisional representation to no more than 50 percent on any committee.

Terms of Office

Committee members generally shall be appointed for a four-year term. A member's term of service shall commence on the first day of September following the member's appointment. A committee member may be reappointed to an additional four-year term on the committee. An individual who has served two terms on the committee may not serve further on the committee.

Committee Appointments

The Board of Directors shall appoint a Committee on Academic Performance that shall be responsible for the administration of the APP.

The chair of the Committee on Academic Performance will make appointments as needed each year to fill subcommittee vacancies. Where appropriate, the chair will refer to the NCAA Division I Committee on Academic Performance Administrative Committee or subcommittee recommendations formally presented to the full Committee on Academic Performance through respective subcommittee/committee reports.

ORGANIZATION AND RESPONSIBILITIES

Organization

In order to administer the APP, the Committee on Academic Performance will organize and assign responsibilities to the subcommittees of the Committee on Academic Performance.

Each committee member may be appointed to at least one subcommittee on which the member will normally serve for the duration of his or her term on the Committee on Academic Performance. The committee members may be asked to serve on more than one subcommittee.

Subcommittees

The following standing subcommittees shall report directly to and help facilitate the work of the Committee on Academic Performance:

Subcommittee/Committee	***Composition***	***Overview of Duties***
Subcommittee on Data Collection and Reporting	Three to five members of the Committee on Academic Performance.	Oversee filing deadline extensions, definition of cohort, notice/appeals of failure to file APR, APC and/or GSR information and associated penalties, APR adjustments, notification to membership regarding data penalties and Occasion-One and -Two Historical Penalties, Contemporaneous Penalties and APP data review.
Subcommittee on Appeals	Three to five members of the Committee on Academic Performance.	Appeals of contemporaneous penalties and Occasion-One and -Two Historical Penalties; and any other matters of appeal not otherwise specified.*
Administrative Committee	Chair of Committee on Academic Performance and Committee on Academic Performance subcommittee chairs.	Act on emergency and noncontroversial matters relative to business of the committee.

[*Note: The full Committee on Academic Performance is responsible for hearing appeals of Occasion-Three and -Four Historical Penalties.]

Full Committee Responsibilities Related to Historical Penalties

1. Determine which institutions are subject to Occasion-Three and -Four Penalties.

2. Provide notice to institutions that are subject to Occasion-Three and -Four Penalties.

3. Administer and oversee all aspects of appeals of Occasion-Three and -Four Penalties.

DUTIES

Administrative Committee

The Administrative Committee is empowered to act on behalf of the full committee to transact necessary, routine and emergency items of business required to promote the normal and orderly administration of the Committee on Academic Performance business.

The Administrative Committee consists of each subcommittee chair, the Committee on Academic Performance chair (who also serves as chair of the Administrative Committee) and the chair-elect (when applicable). All Administrative Committee members, including the chair, may vote on items of business before the committee.

The Administrative Committee is authorized to:

1. Act for the Committee on Academic Performance on routine and noncontroversial matters between in-person meetings;

2. Act for the Committee on Academic Performance on matters of an emergency nature;

3. Interpret APP legislation and policies;

4. Revise, as needed, the established operating policies and procedures of the APP; and

5. Approve participation of ad hoc members (as needed).

The full Committee on Academic Performance will receive all Administrative Committee minutes.

NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting

The Subcommittee on Data Collection and Reporting shall consist of three to five Committee on Academic Performance members and will:

1. Oversee the collection of APR, GSR, APC and any other data/information necessary to administer the APP;

2. Oversee the annual publication of APR and other data collection information to the NCAA Division I membership;

3. Review all requests for extensions of the APR, APC and GSR data collection filing deadlines;

4. Review all requests seeking use of an alternative definition of “recruited” and/or identification of student-athletes to be used for the purpose of calculating a team’s APR;

5. Determine and notify those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline;

6. Determine penalties for those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline;

7. Administer and oversee all aspects of appeals for those institutions/teams failing to file APR, APC and GSR data by the required deadline;

8. Administer and oversee all aspects APR adjustments requests and appeals;

9. Oversee the Committee on Academic Performance reporting function, including responsibility for written notification to institutions of penalties resulting from failure to meet minimum established APR and/or GSR criteria for the contemporaneous- and historical-penalty structures;

10. Administer and oversee the review of APP data for selected institutions including issuance of a final report that summarizes the findings of the review; and

11. Review all requests for relief from contemporaneous and/or historical penalties based on changes to prior year(s) APP data.

NCAA Division I Committee on Academic Performance Subcommittee on Appeals

The Subcommittee on Appeals shall consist of three to five Committee on Academic Performance members and will:

1. Administer and oversee all aspects of appeals of contemporaneous penalties and Occasion-One and -Two Historical Penalties;

2. Develop and publish waiver policies and procedures for contemporaneous and historical appeals;

3. Provide relief for those institutions/teams subject to contemporaneous penalties and Occasion-One and -Two Historical Penalties when the subcommittee finds the legislated penalties too severe, given the mitigating circumstances; and

4. Administer and oversee any other matters of appeal not otherwise specified.

Selection of Committee Chair

The Committee on Academic Performance chair generally serves as chair for the remainder of his or her term. The Committee on Academic Performance shall nominate one or two of its members to the Board of Directors for possible selection as the Committee on Academic Performance chair. A Committee on Academic Performance member is eligible for nomination

for the position of chair only if he or she is the chancellor or president of an active Division I institution.

Generally, the incoming chair shall be identified by the Board of Directors during its October meeting preceding the September 1 term expiration of the current chair's term. The Committee on Academic Performance shall forward its nominee(s) to the Board of Directors prior to the Board of Directors October meeting.

The following process identifies the chair nominee(s).

In the years in which a chair is to be selected, the staff shall work directly with the outgoing Committee on Academic Performance chair to identify Committee on Academic Performance members eligible to serve as chair and to confirm the nomination of one or two chair nominees for confirmation by the Board of Directors. The Committee on Academic Performance chair or the staff, at the request of the Committee on Academic Performance chair, will confirm interest of all nominees.

Responsibilities of Committee Chair

The Committee on Academic Performance chair shall:

1. Lead Administrative Committee and full committee meetings and/or teleconferences;

2. Provide reports regarding the work of the Committee on Academic Performance to Division I governance and membership entities as needed (e.g., NCAA Division I Management Council, Board of Directors, member conferences);

3. Serve as speaking agent for media or public inquiries as needed (per Association's policy);

4. Reply on behalf of the Committee on Academic Performance to written or verbal requests from NCAA-affiliated constituents (e.g., member conferences, member institutions, coaches associations);

5. Oversee development of Committee on Academic Performance agendas;

6. Appoint members to Committee on Academic Performance subcommittees when necessary to facilitate a subcommittee's work;

7. Appoint ad hoc members to subcommittees when necessary to facilitate a subcommittee's work;

8. Appoint Committee on Academic Performance subcommittee chairs;

9. Recommend to the Management Council/Board of Directors that a member of the committee be replaced if the member is not fulfilling his or her duties;

10. Submit nominations for the position of Committee on Academic Performance chair to the Management Council; and

11. All other leadership duties typically associated with chairing a Division I committee.

Selection of Subcommittee Chairs

Each of the Committee on Academic Performance's two subcommittees shall have a chair. Subcommittee chairs are expected to lead subcommittee meetings and conference calls, present subcommittee reports during Committee on Academic Performance meetings and participate as members of the Committee on Academic Performance Administrative Committee.

Subcommittee chairs normally shall serve as chair for the remainder of their respective Committee on Academic Performance terms. Subcommittee chairs shall be selected as follows:

1. The subcommittee discusses the pending open chair position and subcommittee members are provided the opportunity to nominate themselves or another member for the position.

2. The current subcommittee chair or the staff shall confirm the interest and willingness of each nominee to serve as chair.

3. Names of nominees and a recommendation of the outgoing chair are provided to the Committee on Academic Performance chair.

4. The Committee on Academic Performance chair shall select the subcommittee chair.

Responsibilities of Subcommittee Chairs

1. Lead teleconferences and meetings of the subcommittee.

2. Welcome and assist in transition and training of new subcommittee members.

3. When requested, review appeal cases forwarded from staff to determine if the appeal should be considered by the subcommittee.

4. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the Committee on Academic Performance chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties.

5. Recommend selection of new subcommittee chair.

Selection of Ad Hoc Members

In order to facilitate its work or bring needed expertise on particular issues, a Committee on Academic Performance subcommittee may recommend to the Committee on Academic Performance chair that an ad hoc member(s) be appointed to the subcommittee. The Committee on Academic Performance chair has the authority to appoint and dismiss subcommittee ad hoc members. All ad hoc members serve as nonvoting members of the subcommittee/committee.

Agenda Development

1. The Committee on Academic Performance chair shall have final authority to determine the Committee on Academic Performance agenda. The chair shall work in consultation with the staff to finalize the agenda for each meeting.

2. Conferences, institutions or external organizations (e.g., faculty or coaches organizations) with potential agenda items for Committee on Academic Performance consideration shall forward such items to the Committee on Academic Performance's primary staff liaison at the national office. The staff will consult with the institution or conference to determine how best to handle the item and what supplementary material should be provided, if any. The staff shall work directly with the chair where appropriate to facilitate review of conference and institutional matters.

3. Whenever possible, the Committee on Academic Performance will receive all subcommittee agendas and supplements in advance of the subcommittee meetings to ensure that each Committee on Academic Performance member has an opportunity to comment on issues being addressed by those groups. All subcommittee actions, except where otherwise indicated by policy (e.g., appeals), are subject to review and final approval by the full Committee on Academic Performance.

Meeting Participation by Non-Committee on Academic Performance Members

Appearances of non-Committee on Academic Performance members (other than staff) before the Committee on Academic Performance are by invitation only. Exceptions may be made by the Administrative Committee or Committee on Academic Performance chair on a case-by-case basis.

Processing Subcommittee Recommendations

The Committee on Academic Performance follows these policies in processing recommendations from subcommittees that report to it.

1. Each subcommittee shall provide a written report from its meeting to the full Committee on Academic Performance. These reports shall include any requests for full Committee on Academic Performance action recommended by the subcommittee.

2. Any legislative change recommended by a subcommittee shall be presented to the full Committee on Academic Performance for discussion and action.

3. The Committee on Academic Performance may elect to alter any subcommittee recommendation requiring a vote of the full Committee on Academic Performance.

4. If further deliberations are required, the Committee on Academic Performance may table the recommendation or refer it back to the subcommittee for additional discussion.

Voting Procedures

The method of voting on issues considered by the Committee on Academic Performance shall be by show of hands of the Committee on Academic Performance members present and voting, except for actions taken by the unanimous or obvious consent. Committee on Academic Performance members must be present to vote and a simple majority of members present and voting will prevail.

Speaking Agent Policy

The NCAA speaking agent policy is as follows:

> "The president of the Association and the chair of the Executive Committee are the only individuals authorized to speak on behalf of the Association except as outlined below.
>
> An individual representing a member institution or conference who speaks or opines on an Association issue only has the authority to express the view of that individual or the member institution or conference unless the individual has been designated by the Executive Committee of the Association as a speaking agent of the Association on that issue.
>
> Committee chairs are hereby designated as speaking agents of their committees regarding issues within their committees' jurisdiction on which there is consensus, except that positions of advocacy on behalf of the committee or the Association to be communicated in writing or orally to persons or entities external to the Association must have prior approval by the NCAA Executive Committee or the president of the Association. For

purposes of this policy, committees include all NCAA committees, cabinet, boards, councils, subcommittees and special or ad hoc groups.

The president of the Association is hereby granted authority to designate additional speaking agents of the Association."

Committee on Academic Performance members are expected to adhere to this policy.

Absences

The Committee on Academic Performance generally conducts in-person meetings four times annually. Alternates may not be appointed to attend a meeting in the absence of a Committee on Academic Performance member. Committee on Academic Performance members who are not in attendance at two consecutive meetings will be contacted by the chair of the subcommittee(s) on which they serve to discuss the member's continued service to the subcommittee and Committee on Academic Performance. Further absences will result in the Committee on Academic Performance chair or staff contacting the committee member and/or the conference office of the representative to discuss the member's excessive absences. A Committee on Academic Performance member may be dismissed from the committee after further absences.

Meeting Schedules

The Division I Management Council, subject to ratification by the Board of Directors, is responsible for developing policies governing the length, sites and expenses related to Division I committee meetings (Bylaw 31.7.2).

Conflicts of Interest

A Committee on Academic Performance member shall not participate in the committee's discussion or vote on any action that might bring direct or indirect financial benefit to the member or any organization in which the member is financially interested (other than the member's institution or the conference of which it is a member). A violation of this rule by a member of the committee shall not invalidate the action taken by the committee if, following disclosure of the conflict of interest, the committee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the committee member with the conflict of interest, and the Board of Directors approves such action.

Additionally, Committee on Academic Performance members shall recuse themselves from committee discussion (including appeals) involving their own respective institutions, an institution within their conference or any other institution with which they have a personal conflict of interest (e.g., based on past employment, personal relationships.)

Adopting/Revising Policies and Procedures – General

The Committee on Academic Performance shall have the authority to adopt or revise policies and procedures annually, or as needed, for the conduct of the APP. The policies and procedures governing the administration of the APP are subject to review and approval by the Board of Directors.

Adoptions or revisions to the policies and procedures shall be reviewed annually by the Committee on Academic Performance. As necessary, adoptions and revisions approved by the Committee on Academic Performance shall be forwarded for review and approval to the Board of Directors.

The Committee on Academic Performance shall publish annually the policies and procedures of the committee and of the APP. The Committee on Academic Performance shall also publish a data collection guide and penalties guide, which shall be incorporated by reference into the committee's guide on policies and procedures.

Publishing Revisions to Policies and Procedures

The Committee on Academic Performance shall notify the membership following final approval by the Management Council and the Board of Directors of any changes to the policies and procedures of the APP.

DATA COLLECTION

Submission/Collection of Institutional Data

Each active member institution is responsible for annually submitting documentation demonstrating its compliance with the APP, including the submission of data for the APR, APC and GSR. The specific requirements of the APP are set forth in Bylaw 23.

Committee on Academic Performance Responsibilities

The Committee on Academic Performance shall oversee the process governing the collection of the APC data used to determine the APR and GSR.

The Committee on Academic Performance also will be responsible for publishing on an annual basis the operating policies and procedures for the collection of APC, APR and GSR data. This document is titled the NCAA Division I Academic Performance Program Data Collection Guide.

Filing Deadlines

1. The APR/APC data is due not later than six weeks (i.e., 42 calendar days) following the first day of each institution's fall term.

2. The GSR data is due not later than June 1 each year.

Legislated Penalties (Bylaw 23.01.3)

An institution that fails to submit complete APR, GSR or APC data for all applicable teams by the prescribed deadline will not be eligible to enter a team or student-athlete in postseason competition, including the national collegiate championships and football bowl games, for the current year and future years until its formal written request appealing the penalty is submitted and approved.

Notice of Penalties

The Committee on Academic Performance will notify in writing the chancellor or president of each institution that fails to submit the required APR, APC or GSR data by the respective prescribed deadlines. This notification will be forwarded not later than 30 days after the expired deadline and will indicate that the institution is subject to the penalties prescribed in Bylaw 23.01.3.

Correcting Data After Submission

Institutions may correct data previously submitted according to the following process.

1. Institutions will submit their request in an e-mail to the designated NCAA research staff member, which should include a general summary of the correction(s) that need to be made to the data (e.g., name of student-athlete, identification number, sport specific changes).

2. The staff will review the requested corrections pursuant to APP policies and APR guidelines.

3. All corrections must be completed within 14 calendar days of receiving verification that usable data was submitted. No extensions or requests to correct data will be approved after this date. If an institution discovers additional corrections after this date, the corrections can be submitted during the correction period the next academic year. Institutions are permitted to request corrections to APR data for all academic year cohorts that comprise the institution's multiyear APR cohort only during the correction period. The corrected data will be considered in the calculation of the most recent APR and any applicable subsequent years.

4. Changes to the academic eligibility status for the preceding (i.e., spring) term must occur not later than the institution's deadline to submit its data for the previous academic year. Changes to the academic eligibility status for any other term (i.e., fall and/or winter) must occur not later than the sixth week of the subsequent term.

Effect of Corrections on Previously Earned Penalties and/or Rewards

Corrections to data for prior years generally will not affect the status of any previously earned penalties or rewards. However, if an institution discovers that a correction to a prior year's data would have resulted in the team not being subject to a previously earned penalty that has not yet been applied, it may request relief from the previously earned penalty. To request relief, an institution must submit a written request to the Committee on Academic Performance Subcommittee on Data Collection and Reporting and provide any necessary supporting documentation. *(Adopted: 1/2007)*

Institutions That Do Not Provide Usable APP Data or Never Request Reinstatement of Championships Eligibility

An institution that submits APC/APR/GSR data subsequent to the submission deadline but never requests reinstatement of championships eligibility will remain ineligible to enter a team or individual student-athlete in an NCAA championship or other postseason competition for the current year and future academic years until its formal written request appealing the penalty is submitted and approved.

An institution that submits unusable APC/APR/GSR data will be provided 14 calendar days to submit corrected data on notification that the data was not usable. If the institution fails to submit corrected data, the institution will be considered to have not appropriately submitted its APR/GSR data and will remain subject to penalties for failing to satisfy the filing deadline.

Institutions or teams that are provisional or reclassifying should refer to the section on membership issues for penalties related to failure to submit usable data, or for submitting data after the deadline.

ACADEMIC PROGRESS RATE

Multiyear APR

The APR is comprised of four years of APR data. Each year, the most current year's data will be added and the oldest year of data will be removed, creating a four-year rolling rate.

Calculating the Multiyear APR

A team's APR will be determined by summing the numerators (e.g., total points earned), including all applicable delayed graduation points and denominators (e.g., total points possible) for all appropriate years and then dividing the overall numerator by the overall denominator to calculate the team's APR. This method will take into account the differences in numbers of student-athletes in the calculation from year to year and will weigh each student-athlete equally.

GRADUATION SUCCESS RATE

The GSR is based primarily on the Integrated Postsecondary-Education Data System (IPEDS) graduation rate, which is defined as a six-year proportion of those student-athletes who graduated versus those who entered an institution. The GSR adds information about transfers in and out of institutions and will be calculated for student-athletes who received athletics grants-in-aid during the academic year in which they entered the institution. For those teams/institutions that do not offer athletically related financial aid, the GSR will be calculated on a subset of recruited student-athletes. This rate differs from the Federal Graduation Rate, because it accounts for student-athletes who transfer into an institution, while discounting student-athletes who withdraw from the institution and would have been academically eligible to compete had they returned. The Federal Graduation Rate still must be reported to the NCAA and to prospective student-athletes. The NCAA will continue to report the Federal Graduation Rate to each of our member institutions in a format that meets the requirements of federal law.

In the past, Division I institutions reported graduation rates data in two separate formats (i.e., IPEDS graduation rates survey form and the graduate rates supplement form). The NCAA previously received data files contained in the graduate rates supplement form directly from the federal government in order to create institution-level reports that are required under the Student Right-to-Know Act. Unfortunately, the federal government is no longer able to provide the NCAA with the raw data files to create these reports. Therefore, institutions must report the data required by the federal government to both the Department of Education and to the NCAA.

The Division I membership passed legislation stipulating that all member institutions provide the information contained in its federal graduate rates supplement form to the NCAA. Additionally, all Division I members are required to provide supplemental information that will allow the NCAA to calculate the GSR. The penalty for not providing data by the due date (June 1 annually) will be ineligibility of an institution's athletics teams and student-athletes for competition in NCAA championships and other postseason competition (e.g., bowl games) conducted during the subsequent academic year and future years until eligibility is reinstated.

DATA ISSUES

CALCULATION, PUBLISHING AND NOTIFICATION OF APR AND GSR

Legislated Responsibilities and Calculation of APR and GSR

The committee will be responsible for publishing on an annual basis the method used to calculate the APR and the GSR. This information is contained in the NCAA Division I Academic Performance Program Data Collection Guide.

Definition of Recruited Student-Athlete (Bylaw 23.02.1)

The APR calculation is based on currently enrolled student-athletes receiving institutional financial aid based in any degree on athletics ability or, for those institutions or teams that do not offer athletics aid, a subset of recruited student-athletes. A recruited student-athlete shall be defined in accordance with Bylaw 13.02.12.1 or as approved by the Committee on Academic Performance.

Discontinued Sports

Institutions that will no longer be sponsoring a specific Division I sport(s) at the varsity level should refer to the section on membership issues.

ALTERNATIVE IDENTIFICATION OF COHORT OR DEFINITION OF RECRUITED STUDENT-ATHLETE

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to approve an alternative definition of a recruited student-athlete or identification of a cohort of student-athletes to be used to calculate a team's APR. The decision to approve any alternative definition will be based on objective evidence that the NCAA applicable cohort definition does not adequately address the unique characteristics of the applicant institution/conference.

All such requests will be reviewed by the staff and/or the Subcommittee on Data Collection and Reporting.

Application Procedures

A member institution/conference seeking to apply an alternative definition of recruited student-athlete or identification of cohort for purposes of calculating APR and/or GSR shall submit in writing a request to the national office.

All such institutional requests must be signed by the chancellor or president and must set forth the reasons why the institution believes an alternative definition of recruited student-athlete or identification of student-athletes for the APR and/or GSR cohort is warranted. The request also

must include a proposed alternative definition of recruited or identification of student-athletes for the APR and/or GSR cohort.

All such conference requests must be signed by the conference commissioner and must set forth the reasons why the conference believes an alternative definition of recruited student-athlete or identification of an alternative cohort for purposes of calculating APR is warranted. The appeal also must include a proposed alternative definition of recruited or identification of student-athletes for the APR cohort.

In cases where time is of the essence, it is important for the submitting institution or conference to clearly specify the reason(s) the issue may be time sensitive.

Review Procedures

On receipt of the request, the staff will review the information to ensure it is complete and will notify the applicant institution/conference of the name of the staff member handling the request.

The staff has the authority to render a decision for all requests. All staff decisions will be based on the following criteria:

1. Demonstration that the suggested definition is used for other institutional, Association and/or governmental purposes (e.g., NCAA Division I athletics certification, institution or conference data collection);

2. Demonstration that failure to use the alternative definition or identification of student-athletes is inconsistent with the intent of the APP; and

3. Demonstration that the request provides for inclusion of a population of student-athletes actively solicited by the institution to compete on its athletics teams.

The staff and Subcommittee on Data Collection and Reporting have the authority, pursuant to the authority provided by the Committee on Academic Performance to hear, deliberate and decide requests for an alternative definition. After reviewing all information, the staff/subcommittee will render for the current academic year one of the following decisions:

1. **Approval**: The staff/subcommittee determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete.

2. **Denial**: The staff/subcommittee determines that the institution's request did not demonstrate circumstances warranting the use of an alternative definition of recruited student-athlete. The institution will be responsible for applying the definition of recruited student-athlete noted in Bylaw 13.02.12.1.

3. **Modified Approval:** The staff/subcommittee determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete; however, the alternative definition recommended by the institution was not sufficient and a modification was necessary. By issuing a modified approval, the staff/subcommittee permits the institution to use the modified alternative definition of recruited student-athlete.

APPEALS/RECONSIDERATIONS OF ALTERNATIVE COHORT DEFINITIONS

Appeals of Staff Decisions

After the staff has acted on a request, the applicant institution/conference may appeal the decision to the Subcommittee on Data Collection and Reporting. The subcommittee's determination shall be final and shall not be subject to further review by any other authority.

The Committee on Academic Performance has authorized the Subcommittee on Data Collection and Reporting to review all appeals and render a decision on behalf of the committee.

Appeal Procedures

All appeals of a staff decision must be filed within 14 calendar days of written notification of the staff's decision. Any appeal filed beyond this period must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the subcommittee shall determine whether or not any appeal filed after 14 calendar days will be considered.

Review Procedures

The subcommittee shall conduct its meetings and deliberations by facsimile, telephone conference, e-mail, Internet or in-person meeting. Deliberations shall involve only subcommittee members and NCAA national office staff.

Reconsideration

After the staff and/or subcommittee have issued a decision, the institution/conference may ask the staff to reconsider its decision if the institution/conference submits new or additional relevant information. Requests with new or additional relevant information may not be heard by the subcommittee until the staff has reviewed and considered the new information.

DATA COLLECTION WAIVERS

WAIVERS/EXTENSIONS OF FILING DEADLINES

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to grant exceptions/extensions to the filing deadlines prescribed in Bylaw 23.01.3 and in this policies and procedures manual. The decision to waive/extend any deadline will be based on objective evidence that demonstrates extenuating circumstances under which the member institution is unable to meet the required filing deadline.

All requests for waivers/extensions of the filing deadlines will be reviewed by the staff and/or the Subcommittee on Data Collection and Reporting.

Application Procedures

A member institution seeking to waive/extend the prescribed filing deadlines shall submit its request to the NCAA national office via the Committee on Academic Performance portion of the Legislative Services Database for the Internet (LSDB*i*). All requests shall be submitted electronically to the staff using the online application provided by the NCAA. Any request to waive/extend the prescribed filing deadline must be submitted prior to the original filing deadline.

The request submitted by the institution must include the signature page signed by the chancellor or president. The request shall set forth the reasons the institution believes relief from the required filing deadline(s) is warranted for that academic year and shall provide an alternate date for submission. In addition to the completed online application, the institution may submit additional information believed to be relevant to the institution's request.

Further, in cases where time is of the essence, it is important for the submitting institution to clearly specify the reason(s) the issue may be time sensitive.

Review Procedures

On receipt of an institution's request, the staff will review the application to ensure it is complete, notify the applicant institution of the status of the request and identify the staff member handling the request.

The staff has the authority to render a decision for all waiver/extension requests involving the filing deadlines. Staff decisions will be based on the following criteria:

1. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution;

2. Length of requested extension, and

3. Number of prior institutional requests for a waiver/extension of the filing deadlines.

The staff/subcommittee has the authority to hear, deliberate and decide waiver/extension requests. After reviewing all information, the staff/subcommittee will render one of the following decisions.

1. **Approval**: The staff/subcommittee determines the institution's request demonstrated evidence that warranted a waiver/extension of the prescribed filing deadline and permits the institution to supply the required academic data by the deadline the applicant institution requested in its waiver/extension request.

2. **Denial**: The staff/subcommittee determines the institution's request did not demonstrate circumstances warranting a waiver/extension of the prescribed filing deadlines. The institution is responsible for filing all required academic data by the established deadlines and will be subject to legislated penalties for failure to submit the required academic information by the prescribed deadline.

3. **Modified Approval**: The staff/subcommittee determines the institution's request demonstrated evidence warranting a waiver/extension of the prescribed filing deadline; however, the subcommittee/staff determines the length of the extension requested by the institution is excessive or unrealistic. By issuing a modified approval, the staff/subcommittee permits the institution to supply the required academic data by a deadline the staff/subcommittee determines to be reasonable.

APPEALS/RECONSIDERATIONS OF WAIVERS/EXTENSIONS

Appeals of Staff Decisions

After the staff has issued a decision regarding a waiver/extension request, the applicant institution may appeal the decision to the Subcommittee on Data Collection and Reporting using the online appeal module of the LSDB*i* portal. The subcommittee determination shall be final and shall not be subject to further review by any other authority.

The Committee on Academic Performance has authorized the Subcommittee on Data Collection and Reporting to review all data collection waiver/extension appeals and to render a decision on behalf of the committee.

Appeal Procedures

All appeals of a staff decision should be filed within 14 calendar days of written notification of the staff's decision. Any appeal filed after 14 calendar days must include an explanation why the appeal was not filed within the prescribed time period. The chair of the subcommittee shall determine whether or not any appeal filed after 14 calendar days shall be heard.

The subcommittee may conduct its deliberations by facsimile, telephone conference, e-mail, Internet or in-person meeting. Such deliberations shall involve only subcommittee members and NCAA national office staff.

Reconsideration

After the staff and/or subcommittee have acted on a waiver/extension request, the institution may request the staff reconsider its decision if the institution submits new or additional relevant information. Requests with new or additional relevant information may not be heard by the subcommittee until the staff has reviewed and considered the new information.

WAIVER OF FILING DEADLINE PENALTIES (Bylaw 23.3)

After receipt of notification that an institution failed to submit the required APR, APC or GSR data by the prescribed deadline, the institution may seek a waiver of the resulting penalties to the Committee on Academic Performance.

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to review waivers of the filing deadlines penalties as prescribed in Bylaw 23.01.3. The decision to waive a penalty will be based on objective evidence that demonstrates extenuating circumstances that resulted in the member institution being unable to meet the required filing deadline.

All waivers will be reviewed by the staff and/or the Subcommittee on Data Collection and Reporting.

Application Procedures

A member institution that seeks to waive the penalty for failing to satisfy the prescribed filing deadline(s) shall submit the online waiver application to the national office only after the applicant institution's required APR, APC or GSR data has been submitted to the national office.

All requests shall be submitted online to the staff and must include the signature page signed by the chancellor or president and shall set forth the reasons why the institution believes relief from the applicable penalties is warranted.

In cases where time is of the essence, it is important for the submitting institution to clearly specify the reason(s) the issue is considered to be time sensitive.

Review Procedures

On receipt of an institution's request, the staff will review the application to ensure it is complete and will provide to the institution the name of the staff member handling the request. The staff has the authority to render a decision for all waivers of filing deadline penalties. All staff decisions will be based on the following criteria:

1. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution; and

2. Prior requests for waivers/extensions of the filing deadline penalties.

The staff/subcommittee has the authority to deliberate and decide waiver requests. After reviewing all information, the staff/subcommittee will render one of the following decisions.

1. **Approval**: The staff/subcommittee determines the institution's request demonstrated evidence that warranted relief from the prescribed filing deadline penalties.

2. **Denial**: The staff/subcommittee determines the institution's waiver request did not demonstrate circumstances that warranted relief from the prescribed filing deadline penalties. The institution will be responsible for imposing all legislated penalties for failure to submit the required academic information by the prescribed deadline.

3. **Partial Approval**: The staff/subcommittee determines the institution's request demonstrated evidence that warranted partial relief from the prescribed filing deadline penalties; however, the subcommittee/staff may impose a reduced penalty to be applied by the institution.

APPEALS/RECONSIDERATIONS OF FILING DEADLINE PENALTIES

Appeals of Staff Decisions

After the staff has issued a decision on a waiver request, the applicant institution may appeal the decision to the Subcommittee on Data Collection and Reporting using the online application. The subcommittee's determination shall be final and shall not be subject to further review by any other authority.

The Committee on Academic Performance has authorized the Subcommittee on Data Collection and Reporting to review all waiver requests and to render a decision on behalf of the committee.

All appeals of a staff decision must be requested within 14 calendar days of written notification of the staff's decision. Any appeal filed after 14 calendar days must include an explanation why the appeal was not filed within the prescribed time period. The chair of the subcommittee shall determine whether or not any appeal filed after 14 calendar days will be considered.

The subcommittee shall conduct its deliberations by facsimile, telephone conference, e-mail, Internet or in-person meeting. The deliberations of a request shall involve only subcommittee members and NCAA national office staff members.

Reconsideration

After the staff and/or subcommittee have issued a decision on an institution's request, the institution may request the staff to reconsider its decision if the institution submits new or additional relevant information. Appeals with new or additional relevant information may not be heard by the subcommittee until the staff has reviewed and considered the new information.

REQUESTS FOR ADJUSTMENTS OF APR

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to provide exceptions or adjustments to the calculation of the APR prescribed in Bylaw 23.02.1. The decision to approve any exception/adjustment to the calculation of the APR will be based on objective evidence that demonstrates that the normal process for accounting for the academic eligibility of the institution's student-athlete(s) and its success in retaining and graduating its student-athletes should not apply. The committee's decision shall be final, conclusive and not subject to further review by any other authority.

The staff and/or the Subcommittee on Data Collection and Reporting will review all requests for exceptions to the calculation of the APR prescribed in Bylaw 23.02.1.

Adjustment Request Procedures

A member institution seeking an exception or adjustment to the normal calculation of the APR shall submit an online application to the national office after it has submitted its APR/APC data for each academic year for which the institution is seeking an adjustment. Requests to adjust the normal calculation of the APR shall be considered for each cohort that comprises the multiyear APR.

All requests shall be submitted to the staff via the LSDB*i* portal within 14 calendar days after the institution has verified that its APR/APC data is accurate. If an institution discovers additional adjustments after this date, they can be submitted during the adjustment period the next academic year. Institutions are permitted to request adjustments for previous academic year cohorts that comprise the institution's multiyear APR cohort only during the adjustment period.

The online adjustment application submitted by the institution will produce a signature page that must be signed by the chancellor or president, or his or her designee. The adjustment application shall set forth the reasons the institution believes that an exception to the normal calculation of the APR is warranted. In addition to the information included on the form, the institution may submit additional information and supporting documentation it believes is relevant to the request. The staff and/or subcommittee may request additional pertinent information before it reaches a final determination.

In some circumstances (i.e., degree program discontinued, dropped sport) no additional documentation must be submitted to the NCAA. In these instances, the AD and the FAR must certify in writing that the student-athlete met the conditions set forth in this section and must maintain the certification on file in the athletics department.

Review Procedures

On receipt of an institution's request, the staff will review the application to ensure it is complete, e-mail the applicant institution the status of the request and identify the staff member handling the request. No final decision will be rendered until the staff has received all required documentation.

The staff has the authority to render a decision for all adjustment requests. Staff decisions will be based on the following criteria:

1. The adjustment directive approved by the committee;

2. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution/team and/or student-athlete(s); and

3. Academic performance of the individual student-athlete.

The staff/subcommittee has the authority to consider, deliberate and decide APR adjustment requests. After reviewing all information, the staff/subcommittee will render one of the following decisions.

1. **Approval:** The staff/subcommittee determined that the institution's request demonstrated evidence that warranted an adjustment of the normal calculation of the APR for particular student-athlete(s).

2. **Partial Approval:** The staff/subcommittee determined that the institution's request demonstrated evidence that warranted partial relief from the normal calculation of the APR. By issuing a partial approval, the staff/subcommittee is adjusting part of the normal calculation of the APR.

3. **Conditional Approval:** The staff/ subcommittee determined that the institution's request demonstrated evidence that warranted an adjustment to the normal calculation of the APR if specifically stated conditions are met by institution/ team(s) and/or student-athlete(s). The staff/ subcommittee will outline such conditions in its decision notification. Institutions/ team(s) and/or student-athlete(s) that fail to meet the stated conditions will result in the decision converting to a denial and the APR being recalculated using the normal method prescribed in Bylaw 23.02.1. In such circumstances, the institution/ team(s) immediately will be subject to any penalties resulting from the recalculation of the APR.

4. **Denial:** The staff/subcommittee determined that the institution's request did not demonstrate circumstances that warrant an exception to the normal calculation of the APR prescribed in Bylaw 23.02.1.

APPEALS/RECONSIDERATIONS OF ADJUSTMENT DECISIONS

Appeals of Staff Decisions

The committee has authorized the subcommittee to consider all appeals of staff decisions involving requests to adjust the normal application of the APR prescribed in Bylaw 23.02.1.

After the staff has issued a decision on an adjustment request, the applicant institution may appeal the decision to the subcommittee. The subcommittee's determination shall be final and shall not be subject to further review by any other authority.

The subcommittee shall conduct its deliberations by facsimile, telephone conference, e-mail or in person. Such deliberations shall involve only subcommittee members and NCAA national office staff members.

Appeal Procedures

A member institution that seeks to appeal a staff decision shall submit the online waiver appeal application to the national office. All appeals shall be submitted using the online procedures provided by the NCAA. The online appeal application will produce a signature page, which must be signed by the chancellor or president or his or her designee and be provided to the national office. The appeal must set forth the specific grounds on which the appeal is based and the rationale for the appeal.

The grounds for appealing a staff decision are limited to the following criteria:

1. The staff deviated from its approved procedures, or

2. The findings of the staff are erroneous.

All appeals of a staff decision must be requested within five calendar days of electronic notification of the staff's decision. Any appeal filed after five calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the subcommittee shall determine whether or not any appeal filed after five calendar days will be considered.

Review Procedures

If a staff decision is appealed, a summary of the case, the institution's notification of appeal and any supporting documentation submitted by the institution will be sent to a member of the subcommittee. The subcommittee member will be responsible to review the institution's appeal. The subcommittee member can affirm the staff's original decision, at which time the appeal is considered denied and final, or request the subcommittee review the appeal. If the subcommittee reviews an appeal, a simple majority will be necessary for a decision.

Reconsideration

After the staff and/or subcommittee have issued a decision on an adjustment request, the institution may request the staff to reconsider its decision if the institution submits new or additional relevant information. The subcommittee may not consider requests with new or additional relevant information until the staff has reviewed the new information.

Effect of Prior Years' Adjustments on Previously Earned Penalties and/or Rewards

Adjustments to data for prior years will not affect the status of any previously earned penalties or incentives. Adjusted data will be considered in the calculation of the most recent multiyear APR and any applicable subsequent years.

However, if an institution discovers that an adjustment to a prior academic year's data would have resulted in the team not being subject to a previously earned penalty that has not yet been applied, it may request relief from the previous penalty. To request relief, an institution must submit a written request to the Subcommittee on Data Collection and Reporting and provide any necessary supporting documentation. *(Adopted: 7/2006; revised 1/2007)*

REVIEW OF APR DATA

All APP data submitted pursuant to Bylaw 23.01.3 must conform to the Committee on Academic Performance's policies and procedures. In order to ensure the uniformity and accuracy of submitted data the committee will review data submitted by selected institutions annually.

The NCAA staff and/or the Subcommittee on Data Collection and Reporting will conduct all reviews of the APP data.

Selection of Institutions for Review

The staff/subcommittee will select institutions for data review based on the following indicators:

1. Comparison of academic rates previously submitted;

2. Warnings generated by the APP data collection program;

3. Manual review of submitted data;

4. Any data irregularities*;* and

5. Random selection.

Additionally, institutions may be selected for review if, during a prior data review it failed to provide documentation to substantiate the information entered into the APP data collection system or if, the institution fails to comply with a required action from a previous data review.

There are no specified guidelines regarding sample size or selection method. Individuals performing the data review will use an appropriate sample size based on professional judgment in the particular circumstances.

Scope of Review

The NCAA Division I Academic Performance Program Data Review Guide outlines all areas that are subject to review. The individual conducting the review will determine which of these areas to include in the review. Depending on the circumstances the reviewer may choose to cover every area or limit the review to particular areas.

Notification

During the spring of each academic year, the NCAA staff will notify in writing the chancellor or president of institutions selected for data review. The written notification will advise the institution of its selection and will provide an overview of the data review process. Additionally, the written notice will require the institution to provide (within seven calendar days of receipt of the written notice) the names of two individuals that will serve as the institutional contacts for the institution throughout the data review.

Institutional Involvement

Institutions will be required to designate a primary and secondary contact. The primary and secondary contacts must be full-time employees of the institution and must have the authority from the institution's chancellor or president to respond on behalf of the institution.

Use of Outside Individuals or Agencies

Institutions may involve individuals or agencies not otherwise employed by the institution on a full-time basis to perform functions associated with the review of APP data. In such cases, the institution's personnel, designated contacts and/or chancellor or president must review and verify the accuracy of all responses and information before submission to the NCAA. Additionally, the institution's personnel, designated contacts and/or chancellor or president must sign all responses and submission to the NCAA that require a signature.

Request for Information and Documentation

After receiving notification of the institutional contacts staff will send the institution a written request for information and documentation. After an institution receives the request for information and documentation, it has four weeks (i.e., 28 calendar days) to submit all requested documentation and information.

The staff is permitted to extend the period for the institution to respond to the request for information and documentation based on the individual circumstances presented by the institution.

On-Campus Review

The staff at any point during the APP data review process may determine that an on-campus review of the institution's APP data is necessary. If an on-campus review is required, staff will inform the institution of the scope of the review and any documents that the staff will need to review.

Preliminary Reporting of Findings

After receipt of the documentation, staff will notify the institution of the extent of the review including, but not limited to, areas to be reviewed and any additional documentation the institution must submit. All additional documentation must be submitted within two weeks (i.e., 14 calendar days) of receipt of notification.

Staff after reviewing the documents submitted by the institution or after completing the on-campus review, will submit a preliminary report summarizing the findings of the review to the

respective institution. The institution may submit a written response to any or all of the staff's findings in the preliminary report. The institution must submit its response within four weeks of receipt of the preliminary report. The staff/subcommittee will not consider any response received after this period.

Staff is permitted to extend the period for the institution to respond to the preliminary report based on the individual circumstances presented by the institution.

Failure to Comply with Staff and/or Subcommittee Requests

If the institution fails to provide information or documentation that the staff/subcommittee has requested from the institution within the stated period, the institution's data will be considered invalid and the institution will be considered to have not submitted APR/APC and/or IPEDS and GSR and will be ineligible for any NCAA championship or other postseason competition until the requested information or documentation is provided.

Reporting of Findings to Subcommittee

After receiving the institution's response to the staff's preliminary report, staff will forward to the subcommittee its preliminary report, any institutional responses to the staff's preliminary report and a list of issues from the staff's preliminary findings that have been resolved.

Subcommittee Review

The subcommittee will review the staff's preliminary report, any applicable institutional responses if provided and the list of resolved issues. After reviewing this information, the subcommittee will provide the institution with a final report that will provide the following information for each area reviewed:

1. The area being reviewed;

2. The subcommittee's findings regarding the data in that particular area; and

3. The subcommittee's conclusions regarding its findings and any action for the institution to take regarding the data.

The subcommittee may recommend the institution take any or all of the following actions:

1. **No Action Required.** Based on the results of the review, the subcommittee considers the institution's APP data in the area reviewed to be in substantial conformity with applicable NCAA legislation and the committee's policies and procedures and the institution is not required to take any action regarding its APP data.

2. **Recommended Action.** Based on the findings of the review, the subcommittee considers the institution's APP data in the particular area to be in general conformity with applicable NCAA legislation and the committee's policies and procedures, but recommends the institution implement steps to ensure that the institution's APP data remains in conformity with all applicable legislation and policies and procedures. These steps may include, but are not limited to:

a. Changes to policies;

b. The creation of policies; and/or

c. Providing additional documentation or information.

3. **Required Action.** Based on the findings of the review, the subcommittee does not consider the institution's APP data in a particular area to be in conformity with applicable NCAA legislation and the committee's policies and procedures. The institution is required to take one of the following actions regarding the data:

a. Make required changes for data submitted in the future;

b. Amend previously submitted data; or

c. Amend previously submitted data and make required changes for data submitted in the future.

Additionally, the subcommittee may require the institution to change and/or create policies regarding the compilation, review and submission of APP data, provide additional documentation or information and/or require the institution's data in this area to be reviewed during a subsequent data review.

If the institution fails to take the required action within the stated period, the institution's data will be considered invalid and the institution will be considered to have not submitted APR/APC and/or IPEDS and GSR and will be ineligible for any NCAA championship or other postseason competition until the required action is taken.

The subcommittee's recommendations are final and are not subject to further review. The subcommittee will provide the committee with an aggregate report of its findings and recommendations on an annual basis.

Required Changes to Submitted Data

If one of the required actions the institution must take based on the recommendations of the committee is amending previously submitted data, any resulting change to the institution's APR and/or GSR will not affect the status of any previously earned contemporaneous and/or historical penalty.

Rules Violations

The staff/subcommittee will advise the institution of any information discovered during the review concerning possible violation(s) of NCAA legislation that may affect the accuracy and/or integrity of the institution's APP data. The staff/subcommittee will also advise the institution of its obligation to self-report violations. The subcommittee may delay issuing all or part of its final report until the institution has determined whether a violation has occurred and the effect, if any, the violation has on the institution's APP data.

The staff/subcommittee may refer potential violation(s) of NCAA legislation that may affect the accuracy and/or integrity of the institution's APP data to the NCAA enforcement staff for review. If the staff/subcommittee refers a potential violation to enforcement, the subcommittee may delay issuing all or part of its final report until the institution has determined whether a violation has occurred and the effect, if any, the violation has on the institution's APP data. *(Adopted: 7/2006; Revised: 4/2007)*

INTERPRETATIONS

Responsibilities and Authority (Bylaw 23.1.2)

The Committee on Academic Performance shall oversee all aspects of the APP. These responsibilities include interpreting all APP legislation and polices and procedures, including, but not limited to Bylaws 23, 15.5.7, 15.01.8 and 18.4.2.3.

The Committee on Academic Performance has exclusive authority to interpret and provide written interpretations for all aspects of the APP. Neither the NCAA Division I Legislative Review/Interpretations Committee, nor the NCAA Division I Management Council Administrative Review Subcommittee has the authority to provide any type of relief or render a decision for a request that involves legislation and/or policies and procedures relative to the APP.

The Committee on Academic Performance shall render decisions related to legitimate interpretative inquires regarding the application of APP legislation and polices and procedures. The committee does not have the authority to make or change legislation, but shall interpret legislation and policies consistent with its intent.

The Committee on Academic Performance also shall consider and recommend editorial revisions and official interpretations it has issued for inclusion into the NCAA Division I Manual and will review all related staff interpretations to maintain the integrity of the interpretations process.

Staff and Committee Interpretations/Legislation Review

1. **Staff Review**. All interpretative requests must be forwarded in writing to the staff liaisons to the Committee on Academic Performance. The staff liaisons will review each request and, if possible, will provide a written response. If appropriate, the staff will issue a staff interpretation. The Committee on Academic Performance or one of its subcommittees will review all staff interpretations.

2. **Committee Review**. If the staff is unable to render a decision or if the issue is of national significance, the staff may forward the interpretative request to the Committee on Academic Performance and/or a subcommittee of Committee on Academic Performance based on the topical nature of the request. The committee and/or subcommittees shall review the following issues:

a. **Subcommittee on Data Collection and Reporting**: All issues related to the following: defining the APR cohort, filing APR, APC or GSR data, notification of Occasion-One and -Two Historical Penalties and contemporaneous penalties, appeals/extension requests and all other matters referred to the subcommittee by the Committee on Academic Performance chair for review.

b. **Subcommittee on Appeals**: All issues related to the imposition and/or appeal of contemporaneous penalties and Occasion-One and -Two Historical Penalties, any other matters related to appeals (except for Occasion-Three and –Four Historical penalties) and all other matters referred to the subcommittee by the Committee on Academic Performance chair for review.

c. **Full Committee**: All issues related to the historical penalties and rewards structure. All issues related to the imposition and appeal of Occasion-Three and -Four Historical Penalties. In addition, the Committee on Academic Performance will be the final authority to hear appeals of subcommittee interpretations, as well as to review all subcommittee interpretations. *(Revised: 4/2007 effective 4/2007)*

Review Process

Generally, the subcommittee will review interpretative requests in the following situations:

1. Referrals from the NCAA membership services staff regarding the application of legislation, other interpretations, and/or policies and procedures.

2. Referrals from Division I governance entities (e.g., cabinets/committees) of issues related to the application of legislation and/or policies and procedures.

3. A request by a member institution or conference to review an interpretation provided by the membership services staff or the application of the APP legislation and/or policies and procedures, provided the legislation, policies or other official interpretations do not address the issue.

When necessary, member institutions and/or conferences must make all interpretative requests prior to filing an appeal of an APP penalty. Further, the interpretations process must be complete, including final review of any interpretive appeals, prior to proceeding with a related appeal of any penalties (e.g., contemporaneous or historical penalties). Once an appeal has been filed, it will be assumed that the institution does not have any outstanding interpretative questions or concerns related to the imposed penalties.

Required Documentation

Interpretative requests from a member institution or conference must be submitted in writing. Requests from a member institution may be submitted by the institution's conference or by one of the five individuals authorized to request such interpretations on behalf of the institution (i.e., chancellor or president, faculty athletics representative, athletics director, senior woman administrator or compliance coordinator).

When seeking an interpretive clarification, an institution or conference must submit an interpretive request and supporting documentation outlining the issue in question. The request must outline the limitations in the applications of current legislation and/or official interpretations to the institution's specific circumstances.

Meeting Protocol

Meetings may occur in person, by teleconference, by e-mail or by any other means deemed appropriate by the chair. The respective subcommittee or committee shall meet as often as necessary during the academic year to review interpretative issues related to the application of legislation and/or policies and procedures. All subcommittee decisions will be reviewed by the full committee.

All materials provided by the entity requesting the interpretation, along with a summary/background information sheet prepared by the staff, shall be forwarded to the appropriate subcommittee prior to the request being reviewed.

The staff liaison will provide a brief summation of the issue and will provide any legislative or interpretative assistance as needed or requested by the committee/subcommittee. Only the staff

liaisons and committee or subcommittee members shall participate in review of the issue, unless additional individuals are invited to be on the call by the chair of the subcommittee or committee.

In order to for the committee or subcommittee to deliberate and render a decision, a quorum of more than 50 percent of the committee or subcommittee members eligible to vote must be present.

The conflict of interest section of this manual applies to the committee members' involvement in interpretive matters.

Issuance of Decisions

Interpretations issued by the committee/subcommittee shall be binding immediately on notification to the affected institution or conference. Institutions will be notified initially by telephone and subsequently in writing after the committee/subcommittee's minutes of the meeting have been finalized. All other member institutions are bound by the committee/subcommittee's interpretation after publication and circulation to the membership. If an issue is of national significance, an official interpretation shall be issued and published on the LSDB*i*.

Types of Interpretations

The committee/subcommittee shall issue an official interpretation only when it is determined by that group that the issue is one of national significance. When an official interpretation is issued, it will be issued as either a confirmation or determination. Listed below is the distinction between the two.

1. A confirmation is a verification of the legislation and or policies and procedures. The confirmation is responsive to an inquiry, and is binding on all institutions for present and past actions.

2. A determination is an interpretation issued when an issue or fact is not clearly addressed by the legislation and/or policies and procedures. It is binding on the institution making the request and other institutions once it is published to the Division I membership.

Review/Appeals

The Committee on Academic Performance shall review all interpretations issued by the subcommittees and may approve, reverse or modify such interpretations. A member institution or conference may appeal a decision of the subcommittee(s) to the Committee on Academic Performance within 30 calendar days following the subcommittee's decision. Such appeals must

be submitted in writing by the institution's chancellor or president, faculty athletics representative or director of athletics and must set forth an interpretative argument as to why the decision of the subcommittee is erroneous.

An interpretive decision of the Committee on Academic Performance is final and no additional appeal opportunity exists for a member institution or conference.

Ex Parte Communication

No member(s) of the committee/subcommittee shall be contacted or shall contact, individually or collectively, any representatives or involved individuals of a member institution or conference that have or will submit an interpretative request in advance of the committee/subcommittee discussing and rendering a final decision.

MEMBERSHIP ISSUES

Current NCAA Division I Members

Any NCAA member institution that sponsors a Division I sport is subject to the APP. This includes all active Division I members and multidivisional institutions sponsoring Division I sports.

New Sports Teams

Division I institutions that add a team are subject to contemporaneous penalties and are eligible for rewards (e.g., Top Ten Public Recognition Program) after the collection of two years of required data (e.g., APR, APC). Historical penalties will be assessed after the collection of three years of required data.

Institutions Transitioning Into Division I (Reclassifying or Provisional)

Institutions or teams that are provisional members or in the process of reclassifying to Division I are subject to the APP. Such institutions shall be subject to contemporaneous penalties and rewards after the collection of two years of required data (e.g., APC/APR/GSR). These institutions shall be subject to historical penalties after the collection of three years of the required data. Institutions in the process of reclassifying to Division I must submit the legislatively required data for Division I at the point in the membership process when the institution is required to be in compliance with Division I legislation. The penalty for a reclassifying or provisional member institution that fails to submit data is notification to the NCAA Division I Management Council Membership Subcommittee, rather than the championship penalties that exist for current Division I members.

For example, if an institution becomes subject to the Division I legislation beginning in the 2004-05 academic year, it is required to submit the required GSR data for the first time based on student-athletes entering the institution in fall 2004. Such institutions are not required to submit GSR data from years for which they were members of NCAA Divisions II or III.

Institutions or Teams Transitioning From Division I or Discontinuing a Division I Sport

Institutions or teams transitioning from Division I or discontinuing a Division I sport are not required to submit APP data beginning the academic year the institution has publicly announced its intention to transition from Division I or its intention to discontinue a Division I sport. Additionally, the APR for those teams will be removed from the institution's APR report. The institution must provide the staff with written notification of the timeline and the effective date of the transition. However, if an institution later rescinds its decision and never discontinues the sport or transitions the athletics program or sport, APP data from any year(s) that was previously excluded must be submitted and any applicable penalties must be taken.

Effect of Penalties on Minimum Financial Aid Requirements

The APP includes financial aid penalties (i.e., contemporaneous or historical) that may result in an institution no longer meeting Division I minimum financial aid requirements. The penalty for failure to meet the Division I financial aid minimums as set forth in Bylaw 20.2.5.1.4. is ineligibility for NCAA championships and postseason contests. If an institution believes it has sufficient mitigating factors, it may seek relief by filing a waiver of the minimum financial aid requirement to the Membership Subcommittee (Bylaw 20.9.1.2.10).

Restricted-Membership Penalty

Occasion-Four Historical Penalties will result in an institution being placed in restricted membership status. Restricted membership is a membership classification status assigned to an institution that fails to comply with the minimum requirements of its division (e.g., financial aid, academic requirements). (Bylaw 20.02.4). An institution placed in restricted membership loses eligibility for a number of Division I membership privileges (e.g., eligibility for NCAA championships and postseason bowl games for all teams at the institution, revenue distribution). If at the end of the one-year restricted membership period, the penalized team(s) do(does) not improve enough to meet the benchmarks, the institution shall be reclassified to corresponding membership status. (Bylaw 23.2.1.2.4).

For Division II and Division III institutions that sponsor a Division I sport(s), the restricted membership penalty only applies to the Division I sports. Restricted status would not extend to the Divisions II or III portion of the athletics program.

PENALTIES AND REWARDS

Overview

The APP is the result of an April 2002 Board of Directors resolution outlining the academic reform package and instructing that a system of incentives and disincentives be developed that rewards those sports teams that do well academically and penalizes those that do not.

The penalties and rewards structure is directly tied to the benefits of the Association. For those sports teams and athletics programs that perform at an unacceptable level academically, those assets will be denied or restricted.

Guiding Principles

Several key principles provide a guide to the penalty and rewards structure:

1. The goal should be first and foremost to encourage improved academic performance of all student-athletes on all sports teams so the mission of the NCAA and the commitment to student-athletes can better be realized.

2. The structure must appropriately penalize those programs that have a demonstrated history of academic underachievement (e.g., habitual offenders). Conversely, those institutions performing at a significantly high level academically should be rewarded.

3. All Division I athletics programs and sports teams will be subject to the penalty and reward structure. This includes Division I sports offered at Divisions II and III institutions.

Evaluating a Team's Academic Success

The penalties and rewards system will be tied to meaningful measures of academic performance, which includes performance as determined by the APR and the GSR.

Three years of APR data will be collected for each team before the full array of historical penalties will be implemented. Data collection began with the 2003-04 academic year and will result in completion of the four-year rate for most teams by fall 2007.

The Board of Directors has the authority to endorse an appropriate level or rate of acceptable academic performance (taking into consideration each institution's mission, as well as an absolute minimum level of acceptable performance) and also will determine the academic level at which penalties should be applied. The Board of Directors also will approve the level of academic performance that should be rewarded.

Squad-Size Adjustment and Determination of Penalties

While ultimately the APR for each team will be a four-year rolling rate, contemporaneous penalties are assessed after the collection of two years of APR/APC data, and historical penalties after the collection of three years of data. A squad-size adjustment is used to treat squads fairly and is consistent with standard practice before assessing penalties based on limited data. The squad-size adjustment is made relative to the number of student-athletes in the APR calculation, thus accounting for possible fluctuation in the short term due to squad size. There is no change to the team's raw APR or to the penalty benchmarks. Rather, consideration will be given to squad size to avoid unfair penalties.

A consistent margin of error set at a confidence interval of 84 percent has been applied to determine each team's subjectivity to contemporaneous and historical penalties. This means that the upper-confidence boundary of a team's APR must be below penalty benchmark for the team to be subject to any applicable penalties.

Application of the Squad-Size Adjustment

Only teams that have not yet submitted four years of data will use the squad-size adjustment in determining any APP penalties. Once a team has established a four-year APR, the squad-size adjustment will no longer be considered, unless it has a four-year APR cohort of less than 30 student-athletes.

NCAA DIVISION I ACADEMIC PROGRESS RATE IMPROVEMENT PLANS

Overview

For a detailed overview related to APR improvement plans, please refer to the NCAA Division I Academic Performance Program Penalties Guide.

Requirement

The Committee on Academic Performance requires an institution to develop an APR improvement plan for all teams with a multiyear APR less than 925. Teams with less than four years of data submitted and teams with less than 30 data points and squad size adjusted APR above 925 will not be subject to this requirement.

Institutions must submit an APR improvement plan to the national office for any team(s) with a multiyear APR less than 900. Further, institutions must submit copies of all previous APR improvement plans, progress reports of those plans and any intended plan amendments. Institutions with teams with less than 30 data points that have a squad size adjusted APR above

900 are not required to submit the APR improvement plan for those teams. *(Adopted: 4/200,7 effective 4/2007)*

Additionally, APR improvement plans may be required to be submitted as part of a contemporaneous-penalty or historical-penalty waiver. Further, they may be reviewed during compliance reviews, institutional self-studies and the athletics certification process.

Failure to Develop a Required APR Improvement Plan

An institution that does not create an APR improvement plan for a team with an APR less than 925, or that does not submit an APR improvement plan for a team with an APR less than 900, will be required to report a violation to the NCAA enforcement staff. *(Adopted: April 2007, effective 4/2007)*

CONTEMPORANEOUS PENALTIES

Overview

The APP is meant to help ensure that the Division I membership is dedicated to providing student-athletes with an exemplary educational experience. However, the implementation of historical-penalties requires three years of data collection before penalties are issued. Contemporaneous penalties were designed to provide more immediate support to the behavioral shift that is necessary to assist student-athletes in meeting the new progress-toward-degree standards (e.g., 40/60/80, grade-point-average requirements), which were effective for those student-athletes first entering a collegiate institution on or after August 1, 2003.

The contemporaneous penalties are related to an institution's ability to re-award total financial aid countable against team limits previously awarded to a student-athlete who left the institution and would not have been academically eligible (e.g., per NCAA, conference and/or institutional rules) had he or she returned.

Legislated Penalties (Bylaw 15.5.7)

Any team with an APR below the established benchmark of 925 shall not re-award any financial aid countable toward the team's maximum limit that previously was awarded to the student-athlete who renders himself or herself academically ineligible and does not remain enrolled full-time at the institution for any reason at any time.

Notification of Penalties

An institution is considered to have official notification of its contemporaneous penalties when the contemporaneous-penalty report is first made available to the institution on the password-protected APP Web site. Any team that has a contemporaneous penalty becomes subject to it on the date the report is available. The report will provide the institution with the exact penalty values for each team subject to contemporaneous penalties

Determination of Penalty

Once a team's APR is determined to be below 925, regardless of the reason(s) for withdrawal (e.g., personal reasons, professional athletics career), the departure of student-athlete(s) who would not be academically eligible on return to the institution will result in the application of this penalty, unless the student-athlete(s) meets an exception.

Squad-Size Adjustment

Teams with less than four years of APP data submitted and teams with less than 30 data points in the four-year APR cohort will be subject to contemporaneous penalties based on the squad-size adjusted APR. The following chart provides the approximate minimum APR required, based on squad size, such that the team's squad-size adjusted APR will be above 925.

Number of student-athletes in multiyear APR cohort* (N)	**Approximate minimum APR to meet squad-size adjusted APR >=925**
2	740
3	775
4	795
5	810
6	820
7	830
8	835
9	840
10	845
11-12	850
13-14	855
15-16	860
17-19	865
20-22	870

23-27 28-34	875 880
35-43	885
44-56	890
57-76	895
77-110	900
111-174	905
175-300	910

Value of the Contemporaneous Penalty

The value of the contemporaneous penalty shall be based on each student-athlete's total financial aid countable against team limitations, not just the value of the athletics portion of the student-athlete's financial aid package.

Annual Maximum Value of Contemporaneous Penalties

Contemporaneous penalties apply up to, but not more than, approximately 10 percent of the maximum financial aid team limit in that sport. This includes rounding up to the next whole number for head-count sports. A chart listing the maximum value of contemporaneous penalties incurred in a single academic year for each sport is provided in the NCAA Division I Academic Performance Program Penalties Guide.

Application of Contemporaneous Penalties in Sports with Multiple Team Financial Aid Limits

Contemporaneous penalties are applied to all team financial aid limits, including overall-counter, initial-counter, and equivalency limits based on the legislated financial aid limits for the sport. For examples of how the penalty applies to teams with multiple financial aid limits, please refer to the NCAA Division I Academic Performance Program Penalties Guide.

Exceptions to the Application of Contemporaneous Penalties

Bylaw 15.5.7.2 provides three exceptions to the application of the contemporaneous penalty:

1. The student-athlete has exhausted eligibility per Bylaw 15.5.1.6 and as further defined by an official interpretation [reference: 1/9/05, Item No. 1].

2. The student-athlete is receiving institutional financial aid after becoming permanently ineligible per Bylaw 15.5.1.7.

3. The student-athlete is a medical noncounter per Bylaw 15.5.1.3.

An additional exception to the application of contemporaneous penalties is provided for a student-athlete who is not academically eligible and withdraws from the institution, but subsequently re-enrolls at the institution the first term of the subsequent academic year.

Applying Contemporaneous Penalties – Exhausted Eligibility

The Committee on Academic Performance issued an official interpretation (reference: 01/09/05, Item No. 1) determining that an institution may re-award the countable financial aid of a student-athlete who has no eligibility remaining, in the sport in which aid was awarded, in subsequent academic years. For example, any countable financial aid awarded to a football student-athlete who exhausts his eligibility for football competition may be re-awarded to another student regardless of the team's APR or the departing student-athlete's academic eligibility or retention status in a subsequent academic term or terms.

The committee also noted that although the countable financial aid may be re-awarded, the student-athlete shall be used in calculating the team's APR for each term in which he or she received the aid, including the last term before withdrawal. This interpretation, in conjunction with Bylaws 15.5.7.2 and 15.5.1.6, would exempt the countable aid received by the following student-athletes from the contemporaneous penalty.

1. A student-athlete who does not use all of his or her seasons of competition but exhausts his or her five-year clock.

2. A partial or nonqualifer who fails to earn a fourth season of competition by completing 80 percent of his or her degree program prior to the start of his or her fifth year.

3. A student-athlete who has used his or her fourth season of competition. *(Revised: 4/2007)*

Re-Awarding Athletics Aid for a Team Subject to Contemporaneous Penalties

Athletics aid subject to a contemporaneous penalty may not be re-awarded to any student-athlete (continuing or incoming). The penalized amount must be deducted from the maximum team limit, and the excess of the penalized team limit may not be re-awarded to any student-athlete.

Timeline to Impose the Penalty

Only those teams with an APR below 925 can be subject to contemporaneous penalties (Bylaw 15.5.7). When a student-athlete on such a team fails to meet NCAA, conference and/or institutional academic-eligibility requirements and withdraws from the institution, his or her total financial aid countable against team limits may not be re-awarded for a period of one year. This penalty must be imposed by the institution at the next available opportunity but not later than

two-academic years after the student-athlete's departure. For examples, please refer to the NCAA Division I Academic Performance Program Penalties Guide.

An official interpretation (reference: 1/21/04, Item No. 1) defines "the next available opportunity" as the academic year immediately following the ineligible student-athlete's departure, unless the institution/team already has received written notification(s) of acceptance of its offers of athletics aid (as evidenced by signed, valid National Letter of Intent (NLI) or offers of institutional financial aid) that prevents the institution from applying the contemporaneous penalty without taking away a scholarship from an incoming freshman or transfer student-athlete.

Conditionally Approved Contemporaneous-Penalty Waivers

Teams who initially received a conditionally approved contemporaneous-penalty waiver but fail to satisfy the condition must impose the contemporaneous penalty at the next available opportunity, defined as follows:

> "The academic year the institution is notified of its failure to satisfy the condition(s) unless a prospective student-athlete (i.e., high school, two-year or four-year college transfer) who has signed a financial aid agreement prior to the institution receiving notification of its failure to satisfy the condition(s) of its conditionally approved contemporaneous-penalty waiver will be impacted. If the penalty cannot be imposed in the academic year the team receives notification, it must be imposed the following academic year."

Failure to Impose a Contemporaneous Penalty Within the Prescribed Timeline

Institutions that fail to impose a contemporaneous penalty within the prescribed time period are required to report a violation of Bylaw 15.5.7 to the NCAA enforcement staff.

WAIVERS OF CONTEMPORANEOUS PENALTIES

Pursuant to Bylaws 23 and 15.5.7.3, the Committee on Academic Performance has the authority to waive the application of Bylaw 15.5.7. The committee's decision shall be final, conclusive and not subject to further review by any other authority (Bylaw 15.5.7.3).

The staff and/or the Committee on Academic Performance Subcommittee on Appeals will review all waivers of Bylaw 15.5.7.

Waivers Procedures

A member institution that seeks to delay imposing or to waive the application of Bylaw 15.5.7 shall submit an online waiver application to the national office only after it has received electronic notification indicating that one or more of the institution's teams are subject to the penalties imposed per Bylaw 15.5.7.

Waivers of contemporaneous penalties must be filed within 14 calendar days of the institution's completion of the correction period, or after receiving a final decision of all adjustment requests. All requests shall be submitted electronically to the national office staff via the LSDB*i* portal on the online application provided by the NCAA.

The online waiver application submitted by the institution will produce a signature page that must be signed by the chancellor or president. The waiver application shall set forth the reasons the institution believes that application of Bylaw 15.5.7 is not warranted. In addition to the information included on the form, the institution may submit additional information and supporting documentation it believes is relevant to the case. The staff and/or subcommittee may request additional pertinent information before a final determination is made.

Review Procedures

On receipt of an institution's request, the staff will review the application to ensure it is complete, e-mail the applicant institution the status of the request and identify the staff member handling the request. No final decision will be rendered until all required documentation has been received by the staff.

The staff has the authority to render a decision for all waiver requests. Staff decisions will be based on some or all of the following criteria:

1. The waiver directive approved by the Committee on Academic Performance;

2. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution and/or student-athlete(s);

3. Historical academic performance of the respective team and/or individual student-athlete;

4. Size of variance between the team's APR and the penalty benchmark;

5. Prior academic waivers granted (i.e., initial-eligibility and progress-toward-degree waivers) for affected student-athletes;

6. Review of the variables related to the institution's mission and its relationship to the team's APR; and

7. Development and submission of an APR improvement plan.

The staff/subcommittee has the authority to consider, deliberate and decide waiver requests. After reviewing all information, the staff/subcommittee will render one of the following decisions.

1. **Approval:** The staff/subcommittee determines the institution's request demonstrated evidence that a waiver of Bylaw 15.5.7 was warranted.

2. **Partial Approval:** The staff/subcommittee determines the institution's request demonstrated evidence warranting partial relief from the prescribed penalties. By issuing a partial approval, the staff/subcommittee is permitting the institution to partially waive the application of the penalties of Bylaw 15.5.7.

3. **Conditional Approval:** The staff/subcommittee determines the institution's request demonstrated evidence that a waiver of Bylaw 15.5.7 was warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff/subcommittee in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the decision converting to a denial and the waived penalties being implemented.

4. **Denial:** The staff/subcommittee determines the institution's request did not demonstrate circumstances warranting a waiver of Bylaw 15.5.7. The institution will be responsible for applying the penalty or penalties.

APPEALS/RECONSIDERATIONS OF WAIVER DECISIONS

Appeals of Staff Decisions

The Committee on Academic Performance has authorized the Committee on Academic Performance Subcommittee on Appeals to consider all appeals of staff decisions involving Bylaw 15.5.7.

After the staff has issued a decision on a waiver request, the applicant institution may appeal the decision to the subcommittee. The subcommittee's determination shall be final and shall not be subject to further review by any other authority.

Further, the subcommittee may conduct its deliberations by facsimile, teleconference, e-mail, Internet or in-person meetings. Such deliberations shall involve only subcommittee members

and NCAA national office staff members. A quorum for subcommittee review of appeals shall be a majority of subcommittee members present and voting.

Appeal Procedures

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the NCAA national office. All appeals shall be submitted using the LSDB*i* portal. The online appeal application will produce a signature page that must be signed by the chancellor or president and provided to the national office. The waiver appeal shall set forth the rationale for the appeal.

All appeals of a staff decision should be filed within seven calendar days of electronic notification of the staff's decision. Any appeal filed after seven calendar days must include an explanation why the appeal was not filed within the prescribed time period. The chair of the subcommittee shall determine whether or not any appeal filed after seven calendar days will be considered.

Reconsideration

After the staff and/or subcommittee have issued a decision on a waiver request, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new or additional relevant information. Requests with new or additional relevant information may not be considered by the subcommittee until the staff has reviewed the new information.

REVIEW OF CONDITIONALLY APPROVED CONTEMPORANEOUS PENALTY WAIVERS—Determining whether the condition(s) was satisfied

The waiver case staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did not meet the stated conditions. The staff's decision may be appealed to the committee. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The waiver case staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the contemporaneous penalty has been waived.

If the condition(s) is not satisfied, the waiver case staff will provide written notification that the conditionally approved waiver has not been satisfied and the team is required to impose the contemporaneous penalties at the next available opportunity. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the contemporaneous penalty is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Evaluation of implementation of institution's previously submitted APR improvement plan and revisions to plan to address current issues impacting APR.

7. Any additional information provided by the institution.

Deliberations and Decisions

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the contemporaneous.

2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the contemporaneous penalties.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academic Performance. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the contemporaneous penalty is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Implementation of the team's previously submitted APR Improvement Plan and assessment and development of an updated plan.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a review in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review must be raised to the Committee on Academic Performance chair or NCAA staff member prior to review.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, electronic mail, Internet or in-person meeting. Such deliberations shall include only committee members and NCAA staff members supporting the committee.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the contemporaneous penalties.

2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the contemporaneous penalties.

If relief is not provided, the institution will be notified to impose the contemporaneous penalty at the next available opportunity. Additionally, if the team has become subject to a contemporaneous and/or historical penalty in the current academic year, the Committee on Academic Performance has the discretion to provide flexibility to institutions regarding the timeframe for imposing penalties. Specifically, the committee may decide to permit an institution to impose the penalties over a multiyear period. The committee may decide what penalties to extend and when. Such determinations will be made as part on the institution's waiver appeal deliberations and provided in the committee's written decision.

The committee's decision is final and not subject to further review by any other authority.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

APPEALS/RECONSIDERATIONS OF WAIVER DECISIONS

Appeals of Staff Decisions

The committee has authorized the subcommittee to consider all appeals of staff decisions involving Bylaw 15.5.7.

The subcommittee's determination shall be final and shall not be subject to further review by any other authority.

The subcommittee may conduct its deliberations by facsimile, telephone conference, e-mail, Internet or in-person meetings. Such deliberations shall involve only subcommittee members and the staff.

Appeal Procedures

If the staff is not able to approve the institution's waiver request, staff will forward the waiver to the subcommittee. The institution does not need to file an appeal request.

Reconsideration

After the staff and/or subcommittee issued a decision on a waiver request, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new or additional relevant information. Requests with new or additional relevant information may not be considered by the subcommittee until the staff has reviewed the new information.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review.

HISTORICAL PENALTIES

Overview

The APP is meant to help ensure that the Division I membership is dedicated to providing student-athletes with an exemplary educational experience. The Board of Directors instructed that there be a system of disincentives for those teams that perform at an unacceptable level academically. Historical penalties are designed to restrict or deny the benefits of the Association for those teams that have a demonstrated history of academic underachievement.

Legislated Penalties (Bylaw 23.2.1.2)

Any team with a multiyear APR below the established benchmark of 900 will be subject to simultaneous review of multiple factors to determine whether or not the team is subject to historical penalties. Those factors are: meaningful improvement, institutional academic characteristics, institutional resource characteristics and a by-sport comparison.

Any institution or team that fails to compare favorably to the historical-penalty review factors will be subject to the following penalties:

Occasion-One Public Warning: A public warning is issued and a monitoring period begins.

Occasion-Two Financial Aid and Playing and Practice Season Restrictions: The team may be subject to reductions in the areas of athletics financial aid and playing and practice season. Details regarding the restrictions are outlined in the NCAA Division I Academic Performance Program Penalties Guide.

Occasion-Three Postseason Competition: The team (and student-athletes for individual sport teams) is not eligible for postseason competition (including NCAA championships and bowl games). ***(Adopted, 1/2008, effective 8/2008)***

Occasion-Four Membership Status: The institution's entire athletics program shall be reclassified to restricted membership status for a period of one year. If, at the end of the one-year restricted membership period, the penalized team does not improve enough to meet the benchmarks of the historical-penalty structure, the institution shall be reclassified as a corresponding member, consistent with the provisions of Constitution 3.5.

Additionally, the penalty structure is cumulative in that each prior occasion of penalty continues to apply as a team progresses to the next level of penalty. For example, a team subject to Occasion-Three penalties is also subject to Occasion-One and Occasion-Two Historical Penalties.

Sequence of Historical Penalties

The first time a team is subject to a historical penalty, it will be subject to the Occasion-One penalty. That team will be then subject to the next level of penalty until the team's APR exceeds the historical penalty benchmark and/or passes the review of factors for three consecutive years. Otherwise, each failure to meet the historical penalty determination factors will result in the next occasion of penalty. For example, a team subject to Occasion-One Public Warning must either achieve an APR at or above 900 or pass the factor review system for the next three years in order to avoid Occasion-Two penalties.

Notification of Historical Penalties

Institutions are considered to have official notification of its historical penalties when its penalty report becomes available on its password protected APP Web site. Generally, this will occur after the institution confirms that its APR/APC data is accurate. The report will provide the level of penalty that is applicable to the team(s).

Determination of Teams Subject to Historical Penalties

All teams with an APR below 900 will be reviewed using the analysis outlined below. Teams must demonstrate meaningful team improvement and meet one of the other factors in order to avoid historical penalties. Team improvement will be determined by an examination of team APR data to identify teams making improvement toward an APR of 925. The additional factors are as follows:

1. **By-sport comparison**. A team's APR is not in the bottom tenth percentile of team APRs within the same sport;

2. **Institutional academic characteristics**. The team must be academically outperforming students generally at its institution; or

3. **Institutional resource characteristics**. The institution must lack sufficient financial resources to quickly and reasonably engage in academic enhancements.

For details regarding the factor analysis, please refer to the NCAA Division I Academic Performance Program Penalties Guide.

Squad-Size Adjustment

Teams with less than four years of APP data submitted and teams with less than 30 data points in the four-year APR cohort will be subject to historical penalties based on the squad-size adjusted APR. The following chart provides the approximate minimum APR required, based on squad size, such that the team's squad size adjusted APR will be above 900.

Number of student-athletes in multiyear APR cohort* (N)	Approximate minimum APR to meet squad-size adjusted APR >=900
2	< 700
3	730
4	750
5	770
6	780
7	790
8	795
9	800
10	805
11	810

12	815
13-14	820
15-16	825
17-18	830
19-21	835
22-25	840
26-29	845
30-36	850
37-44	855
45-56	860
57-73	865
74-100	870
101-144	875
145-225	880
226-370	885

Timeline to Impose Occasion-Two and -Three Penalties

All Occasion-Two and -Three Penalties must be imposed in the academic year subsequent to the institution receiving notification that a team(s) is subject to the penalty. Components of the cumulative penalty package (i.e., financial aid, practice and postseason competition restrictions) may not be separated. *(Adopted: 4/2007, effective 4/2007; adopted 1/2008, effective 1/2008.)*

Failure to Impose an Historical Penalty Within the Prescribed Timeline

Institutions that fail to apply Occasion-Two Historical Penalties within the prescribed time period will be required to report a violation of Bylaw 23.2.1.2.2 to the enforcement staff. *(Adopted: 7/2007, effective 7/2007)*

Permission to Contact and Transfer Exceptions for Student-Athletes on Teams Subject to Historical Penalties

On approval by the Committee on Academic Performance, written permission is not required for an institution to contact a student-athlete of another institution whose team is ineligible for postseason competition during the remaining seasons of the student-athlete's eligibility. Additionally, the Committee on Academic Performance may recommend a waiver of the transfer-residence requirement for such a student-athlete, provided he or she would have been academically eligible had he or she remained at his or her original institution.

WAIVERS OF HISTORICAL PENALTIES

The committee has authorized the Subcommittee on Appeals and the staff to review waivers of Occasion-One and -Two Penalties. The committee has authorized the staff limited review of Occasion-Three and Four Penalties. Otherwise, Occasion-Three and -Four Penalties will be reviewed by the full committee.

The information below outlines the procedures for requesting a waiver of a historical penalty.

OCCASION-ONE PENALTIES (BYLAW 23.2.1.2.1-PUBLIC WARNING)

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to waive the application of Bylaw 23.2.1.2.1. The Committee on Academic Performance Subcommittee's decision shall be final, conclusive and not subject to further review by any other authority (Bylaw 23.3).

Application Procedures

All Occasion-One waivers must be submitted electronically to the NCAA national office via the LSDB*i* portal. Waivers must be submitted within 14 calendar days of the institution entering the penalty waiver period. The online waiver application will produce a signature page that must be signed by the institution's chancellor or president.

The waiver must set forth the reasons the institution believes that application of Bylaw 23.2.1.2.1 should not apply. The waiver must identify all team penalties for which the institution wishes to seek relief. The waiver will be considered a single case and will not be complete until each team penalty is addressed. The institution may include additional information and supporting documentation it considers is relevant to its request.

The reviewing body may request additional pertinent information before a decision is rendered.

Any waiver filed after 14 calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the Subcommittee on Appeals must determine whether any waiver filed after 14 calendar days will be considered. *(Revised: 10/2006;* ***revised 4/2007****)*

Review Standards

On receipt of an institution's request, the staff will review the application to ensure it is complete, e-mail the institution's designated contact regarding the status of the request and identify the NCAA staff member handling the request. A request will not be processed and reviewed until all required documentation has been received by the staff. An institution has 10

calendar days to submit requested documents. If it does not provide the documentation within the timeframe, the case will be staff denied. Otherwise, the staff processing the case has 21 calendar days to render a decision.

The staff/subcommittee has the authority to render a decision for all Occasion-One Public-Warning waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the committee.

2. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).

3. Historical academic performance of the respective team(s) and/or student-athlete(s).

4. Number of teams at the institution subject to historical penalties.

5. Size of variance between the team's APR and the historical-penalty benchmark.

6. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team(s) and/or student-athlete(s).

7. Review of the institution's mission and its relationship to team APR, GSR or Federal Graduation Rate.

8. Development and submission of an APR improvement plan and review of previously created and implemented APR improvement plan(s).

9. Other factors deemed relevant to the waiver.

The staff/subcommittee has the authority to consider, deliberate and decide waiver requests. After reviewing all information, the staff/subcommittee will render one of the following decisions:

1. **Approved:** The staff/subcommittee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 was warranted. In such instances, the team will not be subject to the Occasion-One Penalty. If the team again fails to meet the established benchmarks and factor review, the Occasion-One Public-Warning Penalty will be assessed rather than progressing to Occasion-Two Penalties.

2. **Conditionally Approved:** The staff/subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 was warranted if

specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff/subcommittee in the decision notification. If the team again fails to meet the established benchmarks and factor review, the Occasion-One Public-Warning Penalty will be assessed rather than progressing to Occasion-Two penalties. However, failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being implemented and applied to the original penalty year. In this instance, if in the following three-year period, the team again fails to its meet the established benchmark and factor review, Occasion-Two Historical Penalties will be assessed.

3. **Denied:** The staff/subcommittee determines the institution's request did not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.1. The institution will be responsible for applying the designated penalty or penalties.

Written confirmation of the decision must be provided by the staff/subcommittee to the institution within 21-calendar days of its decision.

Reconsideration

After the staff has acted on an appeal request, the institution may ask the staff to reconsider its decision if the institution submits new information that was not available to the institution at the time the original appeal was filed. A request with new information may not be considered by the subcommittee until the staff has reviewed the new information. An explanation must be included to clarify the reason(s) the new information was not originally available. The staff will determine if the information is new for all reconsideration requests. If the information is new, the staff will reopen the case, and make a decision based on the new set of facts. If the information is not considered new the staff decision will not be reconsidered, but the case may be appealed to the appeals subcommittee.

Conflict of Interest

A staff or subcommittee member must recuse himself or herself from participation in an appeal in which he or she is connected personally with an institution or conference. A staff or subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an appeal. It is the responsibility of the staff or subcommittee member to remove himself or herself if a conflict exists. Institutional objections to a subcommittee member participating in the review of an appeal must be raised with the subcommittee chair or NCAA staff member handling the case (in the event that the institution objects to participation by the chair) prior to review of the appeal.

In the event that the subcommittee chair must recuse him or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as acting chair.

Appeal of Staff Decision

The committee has authorized the Subcommittee on Appeals to consider all appeals of staff decisions involving Bylaw 23.2.1.2.1, Occasion-One Public Warning.

After the staff has rendered a decision, the institution may appeal the decision to the subcommittee. The subcommittee's decision is final and is not subject to further review by any other authority.

Subcommittee members may not discuss a pending request with the staff processing the case or institutional representatives without all parties having the opportunity to participate. However, the staff supporting the work of the committee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the subcommittee members may contact the staff supporting the work of the committee to request that additional information about the case be submitted.

Appeal Procedures

An institution must submit the online appeal of a staff decision to the NCAA national office. All appeals must be submitted using the LSDB*i* portal. The online appeal program will produce a signature page that must be signed by the chancellor or president and must be provided to the NCAA national office. The application must set forth the rationale for the appeal. In addition, the appeal must identify all team penalties which the institution wishes to appeal. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

All appeals of a staff decision must be filed with the NCAA national office within seven calendar days of written notification of the staff's decision.

Any appeal filed after seven-calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the subcommittee must determine whether any appeal filed after seven calendar days will be considered. *(Revised: 7/2007)*

Deliberations and Decisions

The subcommittee will receive and review the penalty notice, appeal application (including supporting documents), staff decision and rationale and team APP data.

The subcommittee may conduct its deliberations by facsimile, teleconference, e-mail, Internet or in-person meeting. Such deliberations shall include only subcommittee members and NCAA staff members supporting the work of the committee.

A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or person serving as chair on a particular appeal, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

Written confirmation of the decision must be provided by the subcommittee to the institution within 21 calendar days of the decision.

Reporting Staff Decision

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. *(Adopted 10/2007)*

REVIEW OF CONDITIONALLY APPROVED OCCASION-ONE PENALTY WAIVERS—Determining whether the condition(s) was satisfied

The waiver case staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did not meet the stated conditions. The staff's decision may be appealed to the committee. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The waiver case staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the historical penalty has been waived.

If the condition(s) is not satisfied, the waiver case staff will provide written notification that the conditionally approved waiver has not been satisfied and the team is required to impose the identified historical penalties at the next available opportunity. In addition, if based on the most recent year's data, the team has become subject to Occasion-Two Historical Penalties it must apply the Occasion-Two penalties in the year after it applies the Occasion-One penalties.

Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.1 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Evaluation of implementation of institution's previously submitted APR improvement plan and revisions to plan to address current issues impacting APR.

7. Any additional information provided by the institution.

Deliberations and Decisions

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Three penalties.

2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Three penalties.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academic Performance. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.1 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Implementation of the team's previously submitted APR Improvement Plan and assessment and development of an updated plan.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a review in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review must be raised to the Committee on Academic Performance chair or NCAA staff member prior to review.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair".

Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, electronic mail, Internet or in-person meeting. Such deliberations shall include only committee members and NCAA staff members supporting the committee.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-One penalties.

2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-One penalties.

If relief is not provided, the institution will be notified that the historical penalty will be imposed. Additionally, if the team has become subject to historical penalties in the current academic year, it will then also be subject to the next occasion of penalty within the historical-penalty structure.

The committee's decision is final and not subject to further review by any other authority.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

OCCASION-TWO PENALTIES (BYLAW 23.2.1.2.2-FINANCIAL AID, PLAYING AND PRACTICE SEASONS AND/OR RECRUITING)

A member institution that seeks to delay or waive an Occasion-Two Penalty shall submit an online waiver application to the national office only after it has received electronic notification indicating that one or more of its teams are subject to Occasion-Two Historical Penalties.

Application Procedures

All Occasion-Two waivers must be submitted electronically to the NCAA national office via the LSDB*i* portal. Waivers must be submitted within 14 calendar days of the institution entering the penalty waiver period. The online waiver application will produce a signature page that must be signed by the institution's chancellor or president.

The waiver must set forth the reasons the institution believes that application of Bylaw 23.2.1.2.2 should be waived. The waiver must identify all team penalties the institution wishes to waive. The waiver will be considered a single case and will not be complete until each team penalty is addressed. The institution may include additional information and supporting documentation relevant to its request.

The reviewing body may request additional pertinent information before a decision is rendered.

Any waiver filed after 14 calendar days must include an explanation of why the waiver was not filed within the prescribed time period. The chair of the subcommittee must determine whether any waiver filed after 14 calendar days will be considered. *(Revised: 10/2006; 4/2007)*

Review Standards

On receipt of an institution's request, the staff will review the application to ensure it is complete, e-mail the institution's designated contact regarding the status of the request and identify the NCAA staff member handling the request. A request will not be processed and reviewed until all required documentation has been received by the staff. An institution has 10 calendar days to submit requested documents. If it does not provide the documentation within the timeframe, the case will be staff denied. Otherwise, the staff processing a case has 21 calendar days to render a decision.

The staff/subcommittee has the authority to render a decision for all Occasion-Two Appeal requests. Decisions will include consideration of the following:

1. The waiver directive approved by the committee.

2. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).

3. Historical academic performance of the respective team and or student-athlete(s).

4. Number of teams at the institution subject to historical penalties.

5. Size of variance between the team's APR/GSR and the historical-penalty "benchmark."

6. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team(s) and/or student-athlete(s).

7. Review of the institution's mission and its relationship to the team's APR, GSR and the Federal Graduation Rate.

8. Development and submission of an APR improvement plan and review of previously created and implemented APR improvement plan(s).

9. Other factors deemed relevant to the waiver.

The staff/subcommittee has the authority to consider, deliberate and decide waiver requests. After reviewing all information, the staff/subcommittee will render one or more of the following decisions:

1. **Approved:** The staff/subcommittee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.2 was warranted. In such instances, the team will not be subject to the Occasion-Two Penalty. If the institution again fails to meet the established benchmarks and factor review, the Occasion-Two Penalty will be assessed rather than progressing to Occasion-Three Penalties.

2. **Conditionally Approved:** The staff/subcommittee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.2 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the staff/subcommittee in the decision notification. If the team fails again to meet the established benchmark the Occasion-Two Penalties will be assessed rather than progressing to Occasion-Three Penalties. However, failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being implemented and applied to the original penalty year. In this instance, if, in the following three-year period, the team fails to again meet the established benchmark and factor review, Occasion-Three Penalties will be assessed.

3. **Partially Approved:** The staff/subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.2 was warranted. If, in the following three-year period, the team again fails to meet the established benchmark, Occasion-Three Penalties will be assessed.

4. **Denied:** The staff/subcommittee determines the institution's request did not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.2. This institution will be responsible for applying the designated penalty or penalties.

Written confirmation of the decision must be provided by the staff/subcommittee to the institution within 21 calendar days of the decision.

Reconsideration

After the staff has issued a decision on a waiver request, the institution may ask the staff to reconsider its decision if the institution submits new information that was not available to the institution at the time the original waiver was filed. Requests with new information may not be considered by the subcommittee until the staff has reviewed the new information. An explanation must be included to clarify the reason(s) the new information was not originally available. The

staff will determine whether information is new for all reconsideration requests. If the information is new, the staff will re-open the case and make a decision based on the new set of facts. If the information is not new, the staff decision will not be reconsidered; but, the case may be appealed to the Subcommittee on Appeals.

Conflict of Interest

A staff or subcommittee member must recuse himself or herself from participation in an appeal in which he or she is personally connected with an institution or conference. A staff or subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an appeal. It is the responsibility of the staff or subcommittee member to remove himself or herself if a conflict exists. Institutional objections to a subcommittee member participating in the review of an appeal must be raised with the subcommittee chair or NCAA staff member handling the case (in the event that the institution objects to participation by the chair prior to review of the appeal).

In the event that the subcommittee chair must recuse him or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as acting chair.

Appeal of Staff Decision

The committee has authorized the Subcommittee on Appeals to consider all appeals of staff decisions involving Bylaw 23.2.1.2.2, Occasion-Two Financial Aid, Playing and Practice Season and/or Recruiting Limitations.

After the staff has rendered a decision, the institution may appeal the decision to the subcommittee. The subcommittee's decision is final and is not subject to further review by any other authority.

Subcommittee members may not discuss a pending request with the staff processing the case or institutional representative(s) without all parties having the opportunity to participate. However, the staff supporting the work of the committee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an applicant's request. Further, the subcommittee members may contact the staff supporting the work of the committee to request that additional information about the case be submitted.

Appeal Procedures

A member institution must submit the appeal of a staff decision to the NCAA national office. All notices must be submitted using the LSDB*i* portal. The online appeal application will

produce a signature page that must be signed by the chancellor or president and provided to the NCAA national office.

The application must set forth the rationale for the appeal. In addition, the appeal must identify all team penalties which the institution wishes to appeal. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

All appeals of a staff decision must be filed with the NCAA national office within seven calendar days of written notification of the staff's decision.

Any appeal filed after seven calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the subcommittee must determine whether any appeal filed after seven calendar days will be considered. *(Revised: 4/2007)*

An appeal of a staff decision will be heard via teleconference. After submission of the appeal, the staff will schedule a teleconference call and notify the institution and subcommittee of the date and time. In addition, the staff handling the case will review the application and ensure it is complete. The staff handling the case will also contact the institution to verify that all facts and assertions are accurate. This must be done prior to the case being forwarded to the subcommittee.

Appeal Participants

Each of the following individuals from the institution must participate in the appeal: (a) chancellor or president (or his or her designee); (b) athletics director or senior woman administrator; (c) faculty athletics representative; (d) head coach of the penalized team(s); and (e) any other individuals whose presence was requested by the subcommittee.

The institution at its discretion may permit other institutional staff members and conference office staff members (e.g., conference commissioner) to be on the teleconference for the appeal.

An institution and any individual whose presence has been requested by the subcommittee may have legal counsel present; however, an individual must speak on behalf of himself or herself.

Student-athletes and noninstitutional or nonconference office staff members are not permitted to participate in the teleconference or be present on the call.

The lead NCAA administrator who handled the case (or a staff member with case administrative oversight responsibilities) and NCAA staff member(s) supporting the work of the committee must participate on the call.

The subcommittee chair, at his or her discretion, has the authority to remove a participant from participating or being present on the teleconference call. The subcommittee chair is not required to give advance notice/warning for removing any participants.

Documents Reviewed by the Subcommittee

The subcommittee will receive and review the notice of penalty, appeal application (including supporting documents), staff decision and rationale and applicant team(s) APP data. Prior to the teleconference, the subcommittee will distribute to the institution, NCAA staff and involved individuals an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

Introductions

The subcommittee chair will call the teleconference meeting to order and introduce the members of the subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (institutional spokesperson). This person must be someone who is employed by the institution on a full-time basis. An involved individual must speak on behalf of himself or herself.

The institution will introduce its representatives followed by individuals whose presence has been requested by the subcommittee or the institution and conference office representatives.

The NCAA staff will introduce themselves.

After the introductions, the subcommittee chair may make announcements.

Review of the Appeal

The NCAA staff administrator who handled the case (or a staff member with oversight responsibilities) has 10 minutes per team to describe the facts of the appeal, applicable case precedent and the staff's rationale.

The institution's spokesperson will then have 10 minutes per team to describe the case and explain the reasons for requesting that the staff's decision be overturned or modified.

The chair or acting chair is responsible for monitoring the time. Following the description of the case, the subcommittee members may ask questions of all participants. Once all questions have been answered, the call will conclude with the staff and institution each providing one five

minute closing statement. The closing statement must be conducted by the institution's spokesperson and the staff member who presented the case.

Deliberations and Decision

At the conclusion of the teleconference, the subcommittee members must deliberate. Neither the institution, conference nor NCAA staff member(s) handling or presenting the case may be present for the deliberations. NCAA staff members supporting the committee will be present during deliberations but will not be the same staff member(s) handling or presenting the case. *(adopted 1/2008, effective 1/2008)*

A simple majority of subcommittee members present and voting is necessary for a decision. The chair, or acting chair on a particular appeal, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

Written confirmation of the decision must be provided by the subcommittee to the institution within 21 calendar days of the decision.

REVIEW OF CONDITIONALLY APPROVED OCCASION-TWO PENALTY WAIVERS—Determining whether the condition(s) was satisfied

The waiver case staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did not meet the stated conditions. The staff's decision may be appealed to the committee. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The waiver case staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the historical penalty has been waived.

If the condition(s) is not satisfied, the waiver case staff will provide written notification that the conditionally approved waiver has not been satisfied and the team is required to impose the identified historical penalties the year subsequent to notification. In addition, if based on the

most recent year's data, the team has become subject to Occasion-Three historical penalties it must also apply the Occasion-Three penalties the academic year subsequent to notification. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Evaluation of implementation of institution's previously submitted APR improvement plan and revisions to plan to address current issues impacting APR.

7. Any additional information provided by the institution.

Deliberations and Decisions

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Two penalties.

2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Two penalties.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academic Performance. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Implementation of the team's previously submitted APR Improvement Plan and assessment and development of an updated plan.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a review in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review must be raised to the Committee on Academic Performance chair or NCAA staff member prior to review.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, electronic mail, Internet or in-person meeting. Such deliberations shall include only committee members and NCAA staff members supporting the committee.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Two penalties.

2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief from the staff conditional approval and as a result, the institution is subject to the Occasion-Two penalties.

If relief is not provided, the institution will be notified to impose the historical penalty the academic year subsequent to notification. Additionally, if the team has become subject to historical penalties in the current academic year, it will then also be subject to the next occasion of penalty within the historical-penalty structure. If the institution seeks relief from the next occasion of penalty, the Committee on Academic Performance has the discretion to provide flexibility to institutions regarding the timeframe for imposing penalties. Specifically, the committee may decide to permit an institution to impose the penalties over a multiyear period. The committee may decide what penalties to extend and when. Such determinations will be made as part on the institution's waiver appeal deliberations and provided in the committee's written decision.

The committee's decision is final and not subject to further review by any other authority.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

OCCASION-THREE PENALTIES (BYLAW 23.2.1.2.3 – POSTSEASON COMPETITION and other applicable penalties)

The staff has limited authority to render decisions for Occasion-Three waiver requests. Specifically, the staff is permitted to approve or conditionally approve a waiver request. The staff does not have the authority to partially approve or deny an Occasion-Three Penalty waiver request.

All Occasion-Three waivers must be reviewed initially by the staff. If the staff does not approve or conditionally approve a waiver, it must forward the waiver to the Committee on Academic Performance. The full Committee on Academic Performance will review the waiver and the committee's decision may be appealed to a subcommittee of the Board of Directors if the basis for appeal meets the stated criteria.

<u>Definitions</u>

For purposes of Occasion-Three and –Four Penalties, the following definitions apply.

1. **Waiver Case Lead:** The waiver case lead is charged with coordinating the staff review of waivers based on authority granted by the committee. He or she facilitates the submission of waivers by institutions. He or she is responsible for ensuring review of all submitted waivers for completeness and assigns waivers to waiver case staff. The oversight administrator or his/her waiver case staff designee will be present at all waiver hearings to present the case and any staff decision. Such staff will not be present during any of the committee's deliberations and will only be present in hearings when institutional representatives are present per established policies. Additionally, this administrator is responsible for scheduling committee waiver hearings and the logistical coordination necessary for the proceedings.

2. **Waiver Case Staff:** The waiver case staff is charged with reviewing the waiver to ensure it is complete and working with the institution to collect any additional information necessary. The staff has some authority to render a decision for Occasion-Three and –Four Historical Penalties. The staff may approve or conditionally approve a waiver. If either decision cannot be reached, then the staff must forward the waiver to the committee for a hearing. The staff may not deny or partially approve a waiver. The oversight administrator may designate a waiver case staff member to participate in the waiver hearing (e.g., provide APP data to the committee, responding to questions from the committee and if a staff decision has been issued, will provide the rationale for such a decision). The staff may not be present during committee deliberations and will only be present in hearings when institutional representatives are present per established policies.

3. **Staff Supporting the Committee:** This staff is responsible for managing all waiver hearings. The staff is responsible for supporting the committee before, during and after the hearing and in its deliberations. The staff will support the committee during appeals to the Board of Directors subcommittee. The staff may not be present in Board of Directors subcommittee deliberations and will only be present in hearings when institutional representatives are present per established policies.

4. **Staff Supporting the Board of Directors:** The staff is responsible for scheduling and managing all Board of Directors subcommittee appeal teleconferences. The staff is responsible for supporting the subcommittee before, during and after the appeal and in its deliberations.

5. **Penalty Waiver Period:** Point in the APP process when an institution is able to submit a waiver of a contemporaneous and/or historical penalty. In general an institution submits its APP data then has an opportunity to correct the submitted data and finally may request adjustments of the data. Once the data has become finalized an institution will be notified of its opportunity to submit a penalty waiver.

Recording

The committee may record and/or have present a recording clerk during all Occasion-Three and -Four appeal hearings.

Application Procedures

All Occasion-Three waivers (i.e., seek relief of some or all applicable penalties or to delay imposing penalty) must be submitted electronically to the NCAA national office via the LSDB*i* portal. Waivers must be submitted within 21 calendar days of the institution entering the penalty waiver period. The online waiver application program will produce a signature page that must be signed by the institution's chancellor or president.

The waiver must set forth the reasons the institution believes that application of Bylaw 23.2.1.2.3 (e.g., Occasion-Three Penalties) should be waived. The waiver must identify all team penalties that an institution is appealing to the Committee on Academic Performance. The waiver will be considered a single waiver case and will not be complete until all team penalties being appealed are addressed. The institution may include additional information and supporting documentation it believes is relevant to its request.

The NCAA staff/committee may request additional pertinent information before a decision is rendered.

Any waiver filed after the 21 calendar days must include an explanation of why the waiver was not filed within the prescribed time period. The chair, or acting chair, of the committee must determine whether any appeal filed after 21 calendar days will be considered.

Staff Review

Review Standards

Staff decisions will include consideration of the following:

1. The waiver directive approved by the committee.

2. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).

3. Historical academic performance of the respective team(s) and/or student-athlete(s).

4. Number of teams at the institution subject to historical penalties.

5. Size of variance between the team's APR/GSR and the historical-penalty "benchmark."

6. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team and/or student-athlete(s).

7. Review of the institution's mission and its relationship to any team APR, GSR or Federal Graduation Rate.

8. Development and submission of an APR improvement plan and review of previously created and implemented APR improvement plan(s).

9. Other factors deemed relevant to the waiver.

On receipt of an institution's request, an assigned NCAA waiver case staff member will review the application to ensure it is complete, e-mail the institution's designated contact person regarding the status of the request and identify the NCAA waiver case staff member handling the request. A request will not be processed and reviewed until all required documentation has been received by the staff.

The waiver case staff will review the waiver request and communicate with the institution regarding any additional information necessary for the waiver.

The waiver case staff may approve or conditionally approve the waiver. If the waiver case staff does not make either decision, it must forward the waiver to the committee for a hearing. The waiver case staff has 14 calendar days, from the time the waiver file is complete, to render a decision or forward the waiver to the committee.

After reviewing all information, the waiver case staff will either forward the waiver to the committee for review or render one of the following decisions:

1. **Approved:** The waiver case staff, on behalf of the committee, determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 was warranted. In such instances, the team will not be subject to the applicable Occasion-Three Penalties. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, the Occasion-Three Penalties will be assessed, rather than progressing to Occasion-Four Penalties.

2. **Conditionally Approved:** The waiver case staff, on behalf of the committee, determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the waiver case staff in the decision notification. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Three Penalties will be assessed rather than progressing to Occasion-Four Penalties. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being implemented. In this instance, if, in the next three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

Written confirmation of the decision to approve or conditionally approve must be provided by the staff, on behalf of the committee, to the institution within 14 calendar days of its decision.

Acceptance of Conditions

The institution has seven calendar days to accept, in writing, the waiver case staff conditional approval and stated condition(s). If the institution accepts this outcome, the institution must meet the conditions as outlined in the decision. However, if the institution does not accept the conditional approval and stated condition(s), the waiver case staff shall forward the waiver to the Committee on Academic Performance. The committee will review the waiver de novo at an in-person hearing according to the procedures outlined in the committee review section below. The committee may approve, conditionally approve, partially approve or deny the waiver.

Reconsideration

After the waiver case staff has issued a decision, the institution may ask the staff to reconsider its decision if the institution submits new information that was not available to the institution at the time the original waiver was filed. Requests with new information may not be considered by the committee until the waiver case staff has reviewed the new information.

Reporting Staff Decision

The waiver case staff shall annually submit summaries of all decisions made by the waiver case staff for committee review. The summaries shall not provide institutional names.

Committee Review

The committee has authority to consider waivers of Occasion-Three Historical Penalties. The committee will review all waivers by all committee members present and voting at an in-person hearing. The committee has authorized the NCAA staff to support the committee (hereafter referred to as "staff supporting the committee"). The staff supporting the committee has separate and distinct duties from the waiver case staff.

Review Standard

The committee will generally review each team separately, usually in the order contained in the notice of penalty. However, the committee may review teams together if the rationales for the waivers are similar.

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).

2. Historical academic performance of the respective team(s) and/or student-athlete(s).

3. Number of teams at the institution subject to historical penalties.

4. Size of variance between the team's APR/GSR and the historical-penalty "benchmark".

5. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team and/or student-athlete(s).

6. Review of the institution's mission and its relationship to any team APR, GSR or Federal Graduation Rate.

7. Development and submission of an APR improvement plan and review of previously created and implemented APR improvement plan(s).

8. Other factors deemed relevant to the waiver.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a waiver in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of a waiver. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review of a waiver must be raised to the Committee on Academic Performance chair or NCAA staff member when submitting the waiver in LSDBi.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Committee members may not discuss a pending request with the waiver case staff processing the case or institutional representative(s) without all parties having the opportunity to participate. Waiver case staff may communicate with the committee and institution regarding logistical hearing information (e.g., time, place, date of a waiver). The staff supporting the committee may contact the committee chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the committee members may contact the staff

supporting the committee to request that additional information about the case be submitted or to obtain procedural information.

Hearing Costs

The Committee on Academic Performance is responsible for actual and necessary expenses for NCAA staff and committee members. In addition, the committee is responsible for expenses related to reserving the hearing room.

The institution is responsible for all costs related to the waiver hearing for its institutional officers and staff members, including those staff members whose presences is requested by the Committee on Academic Performance (this may include former staff members).

The conference office is responsible for all costs related to the waiver hearing for its staff members, including those staff members whose presence is requested by the Committee on Academic Performance (this may include former staff members).

Timeframe for Hearing

A waiver of Occasion-Three penalties will be heard in person, before all committee members in attendance at the hearing. The waiver case staff will schedule a hearing and notify the institution and the Committee on Academic Performance of the time, date and location. When setting the date and time for the hearing, the committee will attempt to accommodate the schedule of the institution's representatives. Any conflicts with the hearing should be communicated as soon as possible to the waiver case staff. The length of time for the hearing shall be left to the discretion of the committee chair, or acting chair.

Documents Reviewed by the Committee

The Committee on Academic Performance will receive and review the notice of penalty, waiver application (including supporting documents), team(s)' APP data (e.g., APR, GSR, contemporaneous-penalty information, historical-penalty information), APR Improvement Plans and any other information it deems appropriate.

Any additional documentary information/data that the institution would like the committee to review must be received by the waiver case staff at least 14 calendar days prior to the hearing. The waiver case staff must distribute the documents to the committee, institution and individuals whose presence is requested by the Committee on Academic Performance or the institution not less than seven calendar days prior to the scheduled hearing.

Prior to the hearing, the Committee on Academic Performance will distribute to the institution and individuals whose presence has been requested by the committee an agenda of the team(s) to be discussed and a list of specific documents that comprise the record the committee will review.

Subject to the approval of the Committee on Academic Performance for good-cause shown, additional documents may be submitted at the hearing, provided copies (at least 40), are available for all in attendance.

The Committee on Academic Performance also may request additional documentation during the hearing or the committee's deliberations, with copies provided to all parties.

Waiver Hearing Participants

The following individuals must participate in the waiver hearing: (a) the institution's chancellor or president; (b) the athletics director; (c) the head coach of the penalized team(s) and (d) any other individuals whose presence was requested by the committee. If any of these individuals is not available (e.g., individual is no longer employed by institution) for the hearing, the institution must notify the committee at least 14 calendar days prior to the scheduled hearing. The committee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the appeal may proceed without the unavailable individual.

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at a waiver hearing involving a conference member.

NCAA staff members supporting the work of the committee must participate in all portions of the waiver hearing, including deliberations. In addition, the waiver case staff must participate in the waiver hearing and present to the committee. Waiver case staff and the staff supporting the Board of Directors subcommittee shall not be present for committee deliberations. Other NCAA staff members may participate at the discretion of the chair.

The Committee on Academic Performance has the authority to request that institution officials and staff members, including coaches, appear before it. Further, the committee has the authority to request that former institutional staff or conference office members appear before it. These individuals will be referred to as "involved individuals." An involved individual may have legal

counsel present; however, the involved individual must be present at the hearing and counsel may not speak on the individual's behalf.

All other individuals must be approved by the committee.

At the request of a member institution or at its own discretion, the committee may exclude an individual from certain portions of the waiver hearing. Such decisions may be made by the chair or acting chair.

Introductions

The Committee on Academic Performance chair, or acting chair, will call the meeting to order and introduce the members of the committee and NCAA staff members supporting the committee.

The institution will introduce its representatives followed by any involved individual and conference office representatives.

The NCAA waiver case staff will then introduce themselves.

After introductions, the committee chair may make announcements.

Opening Statement

The waiver case staff and institution each will be provided an opportunity to make a brief opening statement to the committee.

An opening statement shall be limited to not more than 15 minutes. The waiver case staff will first provide opening statements, followed by the institution.

The waiver case staff will provide a review of the team's APP history, data and information (e.g., APR, GSR, contemporaneous-penalty information, historical-penalty information, APR improvement plan review, institutional mission information) as well as any relevant academic-waiver data (e.g., progress-toward-degree information, initial-eligibility information) and information requested by the committee.

The institution's president or chancellor must provide an opening statement. In addition, the institution will provide a brief summary of the case and set forth the rationale for the waiver request and may include comments in rebuttal to the staff's opening statement. This statement may be made by any of the institution's representatives. All speakers in the opening statement and their comments are included in the institution's 15 minute time limit.

The committee chair, or his or her designee, is responsible for monitoring the time.

Question and Answer

Following opening statements, the committee members may ask questions of all participants. Additionally, committee members may ask questions at any time during the discussion of a waiver. Any institutional representative, conference office representative or involved individual may be questioned by the committee on any relevant issue. It is possible that the parties will be asked to respond to questions prior to their formal presentations.

If the institution or waiver case staff wishes to ask a question of another party, that question should be directed to the Committee on Academic Performance chair, who will then decide if the question is appropriate and will direct it to the appropriate individual.

The length of time for questions and answers shall be left to the discretion of the chair of the Committee on Academic Performance.

Closing Statements

After the question and answer period, the Committee on Academic Performance will hear brief closing statements from the waiver case staff and institution. The closing statement must be made by the institution's spokesperson and the waiver case staff member who presented the case. The closing statement may not exceed 10 minutes.

The waiver case staff will make its closing statement first, followed by the institution.

Closing statements are not intended to discuss the details of the waiver request, present new information or to make new assertions. The closing statement provides the staff and institution an opportunity for each party to summarize the discussions that occurred during the hearing and to provide a brief statement regarding the case. The institution's closing statement also allows the institution an opportunity to rebut any statements made by the waiver case staff.

Deliberations and Decision

At the conclusion of the waiver hearing, the committee members will deliberate. The committee may request additional information from any appropriate source, including the institution or the waiver case staff. In this event, the institution and the waiver case staff will be given an opportunity to be present at the time such information is provided to the committee.

Only the Committee on Academic Performance members and NCAA staff supporting the committee (but not the NCAA staff member who presented the case) may be present for the deliberation. Other NCAA staff may be present for the deliberations at the discretion of the committee chair or acting chair. However, the waiver case staff who presented the case and the staff supporting the Board of Directors Subcommittee shall not be present.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the Committee on Academic Performance will render one of the following decisions:

1. **Approved:** The committee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 was warranted. In such instances, the team will not be subject to the Occasion-Three Penalties. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, the Occasion-Three- Penalties will be assessed, rather than progressing to Occasion-Four Penalties.

2. **Conditionally Approved:** The committee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the committee in the decision notification. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Three Penalties will be assessed rather than progressing to Occasion-Four Penalties. However, failure to meet the stated conditions, will result in the decision converting to a denial and the waived penalty being implemented. In this instance, if, in the next three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

3. **Partially Approved:** The committee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.3 was warranted. The details of the partial approval shall be outlined in the decision notification. The committee may waive any part of the team's penalties, in part or in its entirety. Additionally, the committee may determine that if the team in the following three-year period, fails to meet the established benchmarks and factor review, Occasion-Three Penalties will be assessed for a second time and the team may not advance to the Occasion-Four Penalty.

4. **Denied:** The committee determines the institution's request did not demonstrate evidence warranting a waiver of Bylaw 23.2.1.2.3. The institution will be responsible for applying the designated penalty or penalties.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the hearing.

<u>Reconsideration</u>

After the Committee on Academic Performance has acted on a waiver request, the institution may ask the committee to reconsider its decision if the institution submits new information that was not available to institution at the time the original appeal was filed. Request with new

information may not be considered by the Board of Directors subcommittee until the committee has reviewed the new information. An explanation must be included to clarify the reason(s) the new information was not originally available. The committee will determine if information is new for all reconsideration requests. If the information is new, the committee will re-open the case, and make a decision based on the new information. This process does not require another in person hearing and may be done in any manner deemed appropriate by the committee. If the information is not considered new the committee decision will not be reconsidered, but the case may be appealed to the Board subcommittee.

Board of Directors Subcommittee Review

Appeal of Committee Decision

A subcommittee of the Board of Directors, selected at the Board's discretion in number and members, has legislated authority to consider appeals of committee decisions involving Bylaw 23.2.1.2.3 Occasion-Three Penalties provided the basis for appeal meets the review standard.

After the Committee on Academic Performance has rendered a decision, the institution may appeal the decision to a subcommittee of the Board of Directors. The subcommittee's decision is final and is not subject to further review by any other authority.

In appealing a Committee on Academic Performance decision the institution must demonstrate that the committee abused its discretion in applying the legislation and/or policy and procedures of the APP. The institution may not present new information or data in its appeal that was not presented to the Committee on Academic Performance.

Generally, the subcommittee will make the determination as to whether this criteria has been met. However, the chair, or acting chair, does have the discretion to determine that an institution's appeal does not meet the review standard. If he or she determines that the appeal does not meet the review standard, the chair will notify the institution that the appeal will not be heard by the subcommittee. The chair's decision is final and not subject to further review.

Review Standard

Abuse of discretion occurs when the Committee on Academic Performance:

- Fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision by Committee on Academic Performance.

Recording
The subcommittee may record and/or have present a recording clerk during all Occasion-Three and -Four appeal hearings.

Conflict of Interest

A Board of Directors subcommittee member must recuse himself or herself from participation in an appeal in which he or she is personally connected with an institution or conference. A Board subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an appeal. It is the responsibility of the Board of Directors subcommittee member to remove himself or herself if a conflict exists. Institutional objections to a Board of Directors subcommittee member participating in the review of an appeal must be raised to the Board of Directors subcommittee chair or NCAA staff member prior to review of the appeal.

In the event that the Board of Directors subcommittee chair must recuse him or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Board of Directors subcommittee members may not discuss a pending request with the committee members or institutional representative(s) without all parties having the opportunity to participate. The staff supporting the Board of Directors subcommittee may contact the Board of Directors subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an applicant's request. Further, the Board of Directors subcommittee members may contact the staff supporting the Board of Directors subcommittee to request that additional information about the case be submitted or to obtain procedural information.

Appeal Procedures

All appeals must be submitted electronically to the NCAA national office using the LSDB*i* portal. All appeals must be submitted within 21 calendar days of written notification of the Committee on Academic Performance decision. The online appeal application program will produce a signature page that must be signed by the president or chancellor.

An institution will be required to submit an appellate brief explaining its rationale for appealing the committee's decision. Specifically, the institution's appellate brief may only address how it believes that the committee abused its discretion in applying the legislation and/or policy and procedures, and how these abuses reasonably could have resulted in a different decision. The subcommittee may not hear a case de novo (e.g., over again, anew).

In addition, the appeal must identify all team penalties that the institution is appealing. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

All appeals of Committee on Academic Performance decisions must be submitted electronically to the national office via the LSDBi portal within 21 calendar days of written notification of the Committee on Academic Performance's decision.

Any appeal filed after 21 calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the Board of Directors subcommittee must determine whether any appeal filed after the 21 calendar days may be considered.

The staff supporting the committee will work with the institution prior to the teleconference to prepare for the appeal. This must be done prior to the case being forwarded to the Board of Directors subcommittee.

Timeframe for Hearing

An appeal of the committee's decision regarding an Occasion-Three Penalty will be heard via teleconference before a subcommittee of the Board of Directors. After notice of the intent to appeal, the staff supporting the subcommittee will schedule a teleconference and notify the institution of the date and time. When setting the date and time for the teleconference, the subcommittee will attempt to accommodate the schedule of the institutional representatives and involved individuals. Any conflicts with the teleconference date should be communicated as soon as possible to the staff supporting the subcommittee.

Documents Reviewed by the Subcommittee

The Board of Directors subcommittee will receive and review the notice of penalty, appeal application (including supporting documents), applicant team(s) APP data and committee's decision and rationale and all documents which form the record.

Prior to the teleconference, the subcommittee will distribute to the institution an agenda of the teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

The subcommittee also may request additional documentation during the teleconference or the subcommittee's deliberations, with copies provided to all parties.

Appeal Participants

The following individuals must participate in the appeal: (a) the institution's chancellor or president; (b) the athletics director; (c) the head coach of the penalized team(s); (d) Committee on Academic Performance chair or, if different, the individual who chaired the Committee on Academic Performance hearing; and (e) any other individuals whose presence was requested by the committee. Of these groups of people only those individuals who were present for the hearing before the committee may be present during the teleconference. If any of these individuals are not available (e.g., individual is no longer employed by institution, family illness) for the hearing, the institution must notify the Board of Directors subcommittee at least 14 calendar days prior to the scheduled hearing. The subcommittee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the appeal may proceed without the unavailable individual.

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at a waiver hearing involving a conference member.

An individual whose presence was requested by the committee may have legal counsel present; however, the individual must be present for the teleconference and counsel may not speak on the individual's behalf.

All other individuals must be approved by the Board of Directors subcommittee.

In addition, of these groups of people only those individuals who were present for the hearing before the committee may be present on for the teleconference.

NCAA staff members supporting the subcommittee must participate in all portions of the waiver appeal, including deliberations. In addition, the staff supporting the committee must participate in the appeal but may not be present for deliberations. Other NCAA staff members may participate at the discretion of the chair. At the request of a member institution or in the exercise of its own discretion, the subcommittee may exclude an individual from certain portions of the appeal.

The subcommittee chair, or acting chair, has the discretion to substitute subcommittee members in the event that a member(s) is unavailable to hear an appeal.

Introductions

The subcommittee chair or acting chair will call the meeting to order and introduce the members of the subcommittee and the staff supporting the Board of Directors subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (designated spokesperson).

The institution will introduce its representatives, followed by conference representatives who are present.

The Committee on Academic Performance chair or acting chair will introduce himself or herself and any other committee member present on the teleconference.

The NCAA staff will then introduce themselves.

After introductions, the subcommittee chair may make announcements.

Review of the Appeal

The institution is provided an opportunity to present its basis for appealing the Committee on Academic Performance decision to the subcommittee. The institution's appeal should be based on the appellate brief submitted to the subcommittee. The institution's brief may only address, based on the facts that were presented to the Committee on Academic Performance, how it believes that the committee abused its discretion, as outlined in the review standard section, in applying the legislation and/or its policies and procedures and how such abuses could have reasonably resulted in a different outcome.

The appeal may not exceed one hour in length. The one-hour time period will conform to the following process:

The Committee on Academic Performance chair, or acting chair, will have 15 minutes to describe the facts of the appeal, applicable case precedent, the committee's decision and rationale and address the allegations that it abused its discretion in applying the legislation and/or it policies and procedures.

The institution's designated spokesperson will then have 15 minutes to describe the case and to address how it believes the committee abused its discretion in applying the legislation and/or its policies and procedures and may include comments in rebuttal to the committee's opening statement. The institution's president or chancellor and athletic director may participate in the opening statement as long as they are employed fulltime by the institution and their comments are included in the 15 minute time limit.

Following opening statements from the chair, or acting chair, of the Committee on Academic Performance and the institution, the Board of Directors subcommittee members may ask questions of all participants. Once all questions have been answered, the teleconference will conclude with the committee and institution each providing a five-minute closing statement. The closing statement must be made by the institution's spokesperson and the committee member who presented the case.

The subcommittee may ask questions at any time. Any institutional representative or committee member may be questioned on any relevant issue. It is possible that the parties will be asked to respond to questions prior to their formal presentations. The one hour period includes questioning by the subcommittee.

If the institution or Committee on Academic Performance desire to ask a question of another party, that question should be directed to the subcommittee chair, who will then decide if the question is appropriate and, if so, will direct it to the appropriate individual.

The chair of the Board of Directors subcommittee, or his or her designee, is responsible for monitoring the time.

Deliberations and Decision

At the conclusion of the appeal, the subcommittee members will deliberate. The subcommittee may request additional information from any appropriate source, including the member institution or the Committee on Academic Performance. In this event, the institution and the Committee on Academic Performance chair, or acting chair, will be given an opportunity to be represented at the time such information is provided to the subcommittee.

The standard of review for the subcommittee is that it must determine whether the institution demonstrated that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. As part of its deliberation, the Board of Directors subcommittee may (a) uphold the committee's decision; or (b) reverse or modify the decision if it finds the Committee on Academic Performance abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee.

If the subcommittee reverses or modifies the decision of the Committee on Academic Performance it may render one of the following decisions:

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined that a waiver of Bylaw 23.2.1.2.3 was warranted. In such instances, the team will not be subject to the Occasion-Three Penalties. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, the Occasion-Three- Penalties will be assessed, rather than progressing to Occasion-Four Penalties.

2. **Conditionally Approved:** The subcommittee determines the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined that a waiver of Bylaw 23.2.1.2.3 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the subcommittee in the decision notification. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Three Penalties will be assessed rather than progressing to Occasion-Four Penalties. However, failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being implemented. In this instance, if, in the next three-

year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

3. **Partially Approved:** The subcommittee determine the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined a partial waiver of Bylaw 23.2.1.2.3 was warranted. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

Only subcommittee members and NCAA staff supporting the Board of Directors subcommittee may be present for the deliberation. A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

Written (e.g., electronic) confirmation of the decision will be provided by the Board of Directors subcommittee to the institution and the committee within 21 calendar days from the date of the teleconference.

REVIEW OF CONDITIONALLY APPROVED OCCASION-THREE PENALTY WAIVERS—Determining whether the condition(s) was satisfied

The waiver case staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did not meet the stated conditions. The staff's decision may be appealed to the committee. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The waiver case staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the historical penalty has been waived.
If the condition(s) is not satisfied, the waiver case staff will provide written notification that the conditionally approved waiver has not been satisfied and the team is required to impose the identified historical penalties the academic year subsequent to the notification. In addition, if

based on the most recent year's data, the team has become subject to Occasion-Four historical penalties it must apply the Occasion-Four the academic year subsequent to notification.

Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.3 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Evaluation of implementation of institution's previously submitted APR improvement plan and revisions to plan to address current issues impacting APR.
7. Any additional information provided by the institution.

Deliberations and Decisions

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Three penalties.

2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Three penalties.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academic Performance. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.3 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.
3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Implementation of the team's previously submitted APR Improvement Plan and assessment and development of an updated plan.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a review in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review must be raised to the Committee on Academic Performance chair or NCAA staff member prior to review.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, electronic mail, Internet or in-person meeting. Such deliberations shall include only committee members and NCAA staff members supporting the committee.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.
After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Three penalties.

2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Three penalties.

If relief is not provided, the institution will be notified to impose the historical penalty the academic year subsequent to notification. Additionally, if the team has become subject to historical penalties in the current academic year, it will then also be subject to the next occasion of penalty within the historical-penalty structure. If the institution seeks relief from the next occasion of penalty, the Committee on Academic Performance has the discretion to provide flexibility to institution's regarding the timeframe for imposing penalties. Specifically, the committee may decide to permit an institution to impose the penalties over a multiyear period. The committee may decide what penalties to extend and when. Such determinations will be made as part on the institution's waiver appeal deliberations and provided in the committee's written decision.

The committee's decision is final and not subject to further review by any other authority.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

OCCASION-FOUR PENALTIES (BYLAW 23.2.1.2.4 – MEMBERSHIP STATUS and other applicable penalties)

The NCAA staff has limited authority to render decisions for Occasion-Four waiver requests. Specifically, the staff is permitted to approve or conditionally approve a waiver request. The staff does not have the authority to partially approve or deny an Occasion-Four waiver request.

All Occasion-Four waivers must be reviewed initially by the staff. If the staff does not approve or conditionally approve a waiver, it must forward the waiver to the Committee on Academic Performance. The full committee will review the waiver and the committee's decision may be appealed to a subcommittee of the Board of Directors if the basis for appeal meets the stated criteria.

Recording
The committee may record and/or have present a recording clerk during all Occasion-Three and -Four appeal hearings.

Application Procedures

All Occasion-Four Penalty waivers (i.e., seek relief of some or all applicable penalties or to delay imposing penalty) must be submitted electronically to the NCAA national office via the LSDB*i* portal. Waivers must be submitted within 21 calendar days of the institution entering the penalty waiver period. The online waiver application program will produce a signature page that must be signed by the institution's chancellor or president.

The waiver must set forth the reasons the institution believes that application of Bylaw 23.2.1.2.4 (e.g., Occasion-Four penalties) should be waived. The waiver must identify all team(s) subject to membership-status penalties that an institution wishes to be waived by the Committee on Academic Performance. The waiver will be considered a single waiver case and will not be complete until each team penalty is addressed. The institution may include additional information and supporting documentation it considers is relevant to its request.

The NCAA staff/committee may request additional pertinent information before a decision is rendered.

A waiver filed after the 21 calendar day period must include an explanation of why the waiver was not filed within the prescribed time period. The chair, or acting chair, of the committee must determine whether any waiver filed after 21 calendar days may be considered.

Definitions

Refer to Occasion-Three section for applicable definitions.

Staff Review

Review Standards

Staff decisions will include consideration of the following:

1. The waiver directive approved by the committee.

2. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).

3. Historical academic performance of the respective team(s) and/or student-athlete(s).

4. Number of teams at the institution subject to historical penalties.

5. Size of variance between the team's APR/GSR and the historical-penalty "benchmark."

6. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team and/or student-athlete(s).

7. Review of the institution's mission and its relationship to any team APR, GSR or Federal Graduation Rate.

8. Development and submission of an APR improvement plan and review of previously created and implemented APR improvement plan(s).

9. Other factors deemed relevant to the waiver.

On receipt of an institution's request, an assigned NCAA waiver case staff member will review the application to ensure it is complete, e-mail the institution's designated contact person regarding the status of the request and identify the NCAA waiver case staff member handling the request. A request will not be processed and reviewed until all required documentation has been received by the staff.

The waiver case staff will review the waiver request and communicate with the institution regarding any additional information necessary for the waiver.

The waiver case staff may approve or conditionally approve the waiver. If the waiver case staff does not reach either decision, it must forward the waiver to the committee for a hearing. The waiver case staff has 14 calendar days, from the time the waiver file is complete, to render a decision or forward the waiver to the committee.

After reviewing all information, the waiver case staff will either forward the waiver to the committee for review or render one of the following decisions:

1. **Approved:** The waiver case staff, on behalf of the committee, determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.4 was warranted. In such instances, the institution will not be subject to the applicable Occasion-Four Penalties. If, in the following three-year period, the team again fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed at that time.

2. **Conditionally Approved:** The waiver case staff, on behalf of the committee, determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.4 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the committee in the decision notification. If, in the following three-year period, the team again fails to meet the established benchmarks and factor review, Occasion-Four Membership-Status Penalties will be assessed. However, failure to meet

the stated conditions will result in the decision converting to a denial and the waived penalty being implemented.

Written (e.g., electronic) confirmation of the decision must be provided by the waiver case staff to the institution within 14 days of its decision.

Acceptance of Conditions

The institution has seven calendar days to accept, in writing, the waiver case staff conditional approval and stated condition(s). If the institution accepts this outcome, the institution must meet the condition(s) as outlined in the decision. However, if the institution does not accept the conditional approval and stated condition(s), the waiver case staff will forward the waiver to the Committee on Academic Performance. The committee will review the waiver de novo (anew) at an in-person hearing according to the procedures outlined in the committee review section below. The committee may approve, conditionally approve, partially approve or deny the waiver.

Reconsideration

After the waiver case staff has issued a decision, the institution may ask the staff to reconsider its decision if the institution submits new information that was not available to the institution at the time the original waiver was filed. Requests with new information may not be considered by the committee until the waiver case staff has reviewed the new information.

Reporting Staff Decision

The waiver case staff shall submit summaries of all decisions made by the waiver case staff for committee review. The summaries shall not provide institutional names.

Committee Review

The committee has authority to consider waivers of Occasion-Four Historical Penalties. The committee will review all waivers by all committee members present and voting at an in-person hearing. The committee has authorized the NCAA staff to support the committee (hereafter referred to as the "staff supporting the committee"). The staff supporting the committee has separate and distinct duties from the waiver case staff.

Review Standard

The committee will generally review each team separately, usually in the order contained the notice of penalty. However, the committee may review teams together if the rationales for the waivers are similar.

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and/or student-athlete(s).
2. Historical academic performance of the respective team(s) and/or student-athlete(s).
3. Number of teams at the institution subject to historical penalties.
4. Size of variance between the team's APR/GSR and the historical-penalty "benchmark."
5. History of penalties and waivers (e.g., contemporaneous penalties, APR adjustments, historical penalties, progress-toward-degree waivers, initial-eligibility waivers) for affected team and/or student-athlete(s).
6. Review of the institution's missions and its relationship to any team APR, GSR or Federal Graduation Rate.
7. Development and submission of an APR improvement plan and review of a previously created and implemented APR improvement plan(s).
8. Other factors deemed relevant to the waiver.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a waiver in which he or she is personally connected with an institution or conference. A committee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of a waiver. It is the responsibility of the committee member to remove himself or herself if a conflict exists. Institutional objections to a committee member participating in the review of a waiver must be raised with the committee chair or staff member when submitting the waiver in LSDBi.

In the event that the committee chair must recuse him or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Committee members may not discuss a pending request with the waiver case staff or institutional representative without all parties having the opportunity to participate. Waiver case staff may communicate with the committee and institution regarding logistical and hearing information (e.g., time, place, date of a waiver). The staff supporting the committee may contact the Committee on Academic Performance chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the committee members may contact the staff supporting the committee to request that additional information about the case be submitted or to obtain procedural information.

Hearing Costs

The Committee on Academic Performance is responsible for actual and necessary expenses for NCAA staff and committee members. In addition, the committee is responsible for expenses related to reserving the hearing room.

The institution is responsible for all costs related to the appeal hearing for its institutional officers and staff members, including those staff members whose presences is requested by the Committee on Academic Performance (this may include former staff members).

The conference office is responsible for all costs related to the waiver hearing for its staff members, including those staff members whose presence is requested by the Committee on Academic Performance (this may include former staff members).

Timeframe for Hearing

A waiver of Occasion-Four penalties will be heard in person, before all committee members in attendance at the hearing. The waiver case staff will schedule a hearing and notify the institution and the committee of the time, date and location. When setting the date and time for the hearing, the committee will attempt to accommodate the schedule of the institution's representatives. Any conflicts with the hearing should be communicated as soon as possible to the waiver case staff. The length of time for the hearing shall be left to the discretion of the committee chair, or acting chair.

Documents Reviewed by the Committee

The Committee on Academic Performance will receive and review the notice of penalty, waiver application (including supporting documents), applicant team(s) APP data (e.g., APR, GSR, contemporaneous-penalty information, historical-penalty information), APR Improvement Plans and any other information it deems appropriate.

Any additional documentary information/data that the institution would like the committee to review must be received by waiver case staff at least 14 calendar days prior to the hearing. The waiver case staff must distribute the documents to the committee, institution and individuals whose presence is requested by the committee not less than seven calendar days prior to the scheduled hearing.

Prior to the hearing, the Committee on Academic Performance will distribute to the institution and individuals whose presence is requested by the committee an agenda of the teams to be discussed and a list of specific documents that comprise the record the committee will review.

Subject to the approval of the Committee on Academic Performance, for good-cause shown, additional documents may be submitted at the hearing, provided copies (at least 40), are available for all in attendance.

The Committee on Academic Performance also may request additional documentation during the hearing or the committee's deliberations, with copies provided to all parties.

Waiver Hearing Participants

The following individuals must participate in the waiver hearing: (a) the institution's chancellor or president; (b) the athletics director; (c) the head coach of the penalized team(s) and (d) any other individuals whose presence was requested by the committee. If any of these individuals is not available (e.g., individual is no longer employed by institution) for the hearing, the institution must notify the committee at least 14 calendar days prior to the scheduled hearing. The committee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the appeal may proceed without the unavailable individual.

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at a waiver hearing involving a conference member.

NCAA staff members supporting the committee must participate in all portions of the waiver hearing including deliberations. In addition, the waiver case staff must participate in the hearing and present to the committee. Waiver case staff and the staff supporting the Board of Directors subcommittee shall not be present for committee deliberations. Other NCAA staff members may participate at the discretion of the chair.

The Committee on Academic Performance has the authority to request that institution officials and staff members, including coaches, appear before it. Further, the committee has the authority to request that former institutional staff or conference office members appear before it. These individuals will be referred to as "involved individuals." An involved individual may have legal counsel present; however, the involved individual must be present at the hearing and counsel may not speak on the individual's behalf.

All other individuals must be approved by the committee.

At the request of a member institution or at its own discretion, the committee may exclude an individual from certain portions of the waiver hearing. Such decision may be made by the chair, or acting chair.

Introductions

The Committee on Academic Performance chair, or acting chair, will call the meeting to order and introduce the members of the committee and NCAA staff members supporting the committee.

The institution will introduce its representatives followed by any involved individual and conference office representatives.

The waiver case staff will then introduce themselves.

After introductions, the committee chair may make announcements.

Opening Statement

The waiver case staff and institution each will be provided an opportunity to make a brief opening statement to the committee.

An opening statement shall be limited to not more than 15 minutes. The waiver case staff will first provide opening statements, followed by the institution.

The waiver case staff will provide a review of the team's APP history, the conditions (if appropriate) data and information (e.g., APR, GSR, contemporaneous-penalty information, historical-penalty information, APR Improvement Plan review, institutional mission information) as well as any relevant academic-waiver data (e.g., progress-toward-degree information, initial-eligibility information) and information request by the committee.

The institution's president or chancellor must provide an opening statement. In addition, the institution will provide a brief summary of the case and set forth the rationale for the waiver request and may include comments in rebuttal to the staff's opening statement. This statement may be made by any of the institution's representatives. All speakers in the opening statement and their comments are included in the institution's 15 minute time limit.

The committee chair, or his or her designee, is responsible for monitoring the time.

Question and Answer

Following opening statements, the committee members may ask questions of all participants. Additionally, committee members may ask questions at any time during the discussion of a

waiver. Any institutional representative, conference office representative or involved individual may be questioned by the committee on any relevant issue. It is possible that the parties will be requested to respond to questions prior to their formal presentations.

If the institution or waiver case staff wishes to ask a question of another individual, that question should be directed to the Committee on Academic Performance chair, who will then decide if the question is appropriate and will direct it to the appropriate individual.

The length of time for questions and answers shall be left to the discretion of the committee chair, or acting chair.

Closing Statements

After the question and answer period, the Committee on Academic Performance will hear brief closing statements from the waiver case staff and institution. The closing statement must be made by the institution's spokesperson and the waiver case staff member who presented the case. The closing statement may not exceed 10 minutes.

The waiver case staff will make its closing statement first and then the institution.

Closing statements are not intended to discuss the details of the waiver request, present new information or to make new assertions. The closing statement provides the staff and institution an opportunity for each party to summarize the discussions that occurred during the hearing and to provide a brief statement regarding the case. The institution's closing statement also allows the institution an opportunity to rebut any statements made by the waiver case staff.

Deliberations and Decision

At the conclusion of the waiver hearing, the committee members will deliberate. As part of its deliberation, the committee may request additional information from any appropriate source, including the institution or the waiver case staff. In this event, the institution and the waiver case staff will be given an opportunity to be represented at the time such information is provided to the committee.

Only Committee on Academic Performance members and NCAA staff supporting the committee (but not the NCAA staff member who presented the case) may be present for the deliberation. Other NCAA staff may be present for the deliberations at the discretion of the committee chair or acting chair. However, the waiver case staff who presents the case and the staff supporting the Board of Directors Subcommittee shall not be present.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the Committee on Academic Performance will render one of the following decisions:

1. **Approved:** The committee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.4 was warranted. In such instances, the team will not be subject to the Occasion-Four Penalty. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, the Occasion-Penalties will be assessed.

2. **Conditionally Approved:** The committee determines the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.4 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the committee in the decision notification. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four penalties will be assessed. However, failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being implemented. Additionally, the committee has the authority to apply the penalty only to the poor-performing team(s) rather than the entire institution. In this instance, if, in the next three-year period, the team(s) fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

3. **Partially Approved:** The committee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.4 was warranted. As part of a partial approval decision, the committee has the authority to apply the penalty only to poor-performing teams rather than the entire institution. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

4. **Denied:** The committee determines the institution's request did not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.4. The institution will be responsible for applying the designated penalty or penalties.

Written (e.g., electronic) confirmation of the decision will be provided by the Committee on Academic Performance to the institution within 21 calendar days of the committee's decision.

Reconsideration

After the committee has acted on a waiver request, the institution may ask the committee to reconsider its decision if the institution submits new information that was not available to institution at the time the original waiver was filed. Request with new information may not be considered by the Board of Directors subcommittee until the committee has reviewed the new information. An explanation must be included to clarify the reason(s) the new information was not originally available. The committee will determine if information is new for all reconsideration requests. If the information is new, the committee will re-open the case, and make a decision based on the new set of facts. This process does not require another in-person hearing and may be done in any manner deemed appropriate by the committee. If the information is not considered to be new, the committee decision will not be reconsidered; but, the case may be appealed to the Board of Directors subcommittee.

Board of Directors Subcommittee Review

Appeal of Committee Decision

A subcommittee of the Board of Directors, selected at the Board's discretion in number and members, has legislated authority to consider appeals of Committee on Academic Performance decisions involving Bylaw 23.2.1.2.4, Occasion-Four Penalties, provided the basis for the appeal meets the review standard. The subcommittee's decision is final and is not subject to further review by any other authority.

In appealing a Committee on Academic Performance decision, an institution must demonstrate that the committee abused its discretion in applying the legislation and/or policy and procedures of the APP. The institution may not present new information or data in its appeal that was not presented to the Committee on Academic Performance.

Generally, the subcommittee will make the determination as to whether this criteria has been met. However, the chair, or acting chair, does have the discretion to determine that an institution's appeal does not meet the review standard. If he or she determines that the appeal does not meet the review standard, the chair will notify the institution that the appeal will not be heard by the subcommittee. The chair's decision is final and not subject to further review.

Review Standard

Abuse of discretion occurs when the Committee on Academic Performance:

- Fails to follow NCAA legislation and/or established APP policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision by Committee on Academic Performance.

Conflict of Interest

A Board of Directors subcommittee member must recuse himself or herself from participation in an appeal in which he or she is personally connected with an institution or conference. A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the processing of an appeal. It is the responsibility of the subcommittee member to remove himself or herself if a conflict exists. Institutional objections to a subcommittee member participating in the review of an appeal must be raised with the subcommittee chair or staff member prior to review of the appeal.

In the event that the subcommittee chair must recuse him or herself or is unable to participate in the appeal, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Subcommittee members may not discuss a pending request with the Committee on Academic Performance or institutional representative without all parties having the opportunity to participate. The staff supporting the subcommittee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an institution's request. Further, the subcommittee members may contact the staff supporting the subcommittee to request that additional information about the case be submitted or to obtain procedural information.

Recording

The subcommittee may record and/or have present a recording clerk during all Occasion-Three and –Four appeal hearings.

Appeal Procedures

All appeals must be submitted electronically to the NCAA national office via the LSDB*i* portal. Appeals must be submitted within 21 calendar days of written notification of the Committee on Academic Performance decision. The online appeal application program will produce a signature page that must be signed by the chancellor or president.

An institution will be required to submit an appellate brief explaining its rationale for appealing the committee's decision. Specifically, the institution's appellate brief may only address how it believes that the committee abused its discretion in applying the legislation and/or policy and procedures. The subcommittee may not hear a case de novo (e.g., over again, anew).

In addition, the appeal must identify all teams subject to membership-status penalties that the institution wishes to appeal. The appeal will be considered a single case and will not be complete until each team penalty is addressed.

Any appeal filed after 21 calendar days must include an explanation of why the appeal was not filed within the prescribed time period. The chair of the subcommittee must determine whether any appeal filed after the 21 calendar days may be considered.

The staff supporting the committee will work with the institution prior to the teleconference to verify facts, case precedent and data submitted. This must be done prior to the case being forwarded to the subcommittee.

Timeframe for Hearing

An appeal of the committee's decision regarding an Occasion-Four penalty will be heard via teleconference before a subcommittee of the Board of Directors. After notice of the intent to appeal, the staff supporting the subcommittee will schedule a teleconference and will notify the institution and committee of the time and date. When setting the date and time for the teleconference, the subcommittee will attempt to accommodate the schedule of the institutional representatives. Any conflicts with the teleconference should be communicated as soon as possible to the NCAA staff supporting the Board of Directors subcommittee.

Documents Reviewed by the Subcommittee

The Board of Directors subcommittee will receive and review the notice of penalty, appeal application (including supporting documents), applicant team(s) APP data and Committee on Academic Performance's decision and rationale and all documents part of the record.

Prior to the teleconference, the Board of Directors subcommittee will distribute to the institution and the Committee on Academic Performance an agenda of the teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

The subcommittee also may request additional documentation during the teleconference or the subcommittee's deliberations, with copies provided to all parties.

Appeal Participants

The following individuals must participate in the appeal: (a) the institution's chancellor or president; (b) the athletics director; (c) the head coach of the penalized team(s); (d) Committee on Academic Performance chair or, if different, the individual who chaired the Committee on Academic Performance hearing; and (e) any other individuals whose presence was requested by the committee. Of these groups of people only those individuals who were present for the

hearing before the committee may be present during the teleconference. If any of these individuals are not available (e.g., individual is no longer employed by the institution, family illness) for the hearing, the institution must notify the Board of Directors subcommittee at least 14 calendar days prior to the scheduled hearing. The subcommittee will then notify the institution as to whether it expects another individual to substitute for the unavailable individual. At the chair's discretion, the appeal may proceed without the unavailable individual.

In addition, the institution may permit four other individuals to participate in the hearing, one of which must be responsible for implementing the institution's APR Improvement Plan. An institution may have legal counsel present, and he or she must count as one of the four other individuals the institution is permitted to have attend the hearing.

Media representatives, including institutional media staff, may not be present at the hearing.

Student-athletes may not be present at the hearing.

The executive officer or one other representative of a member conference's office may be present at an appeal involving a conference member.

An individual whose presence was requested by the committee may have legal counsel present; however, the individual must be present for the teleconference and counsel may not speak on the individual's behalf.

All other individuals must be approved by the Board of Directors subcommittee.

In addition, of these aforementioned groups of people only those individuals who were present for the hearing before the committee may be present on the teleconference.

NCAA staff supporting the subcommittee must participate in all portions of the waiver appeal including deliberations. In addition, NCAA staff supporting the committee must participate in the appeal but may not participate in deliberations. Other NCAA staff members may participate at the discretion of the chair.

At the request of a member institution or at its own discretion, the subcommittee may exclude any individual from certain portions of the appeal.

All other individuals must be approved by the Board of Directors subcommittee.

The subcommittee chair, or acting chair, has the discretion to substitute subcommittee members in the event that a member(s) is unavailable to hear an appeal.

<u>Introductions</u>

The subcommittee chair, or acting chair, will call the meeting to order and introduce the members of the subcommittee and the staff supporting the Board of Directors subcommittee.

Following introductions of the subcommittee, the chair of the subcommittee will ask the institution to select one person to speak on behalf of the institution (designated spokesperson).

The institution will introduce its representatives followed by conference representatives who are present.

The chair of the Committee on Academic Performance will introduce himself or herself and any committee members in attendance.

The NCAA staff will then introduce themselves.

After introductions, the subcommittee chair may make announcements.

Review of the Appeal

The institution is provided an opportunity to present its basis for appealing the committee decision to the subcommittee. The institution's appeal should be made from the appellate brief submitted to the subcommittee. The institution's brief may only address, based on the facts that were presented to the committee, how it believes that the committee abused its discretion in applying the legislation and/or its policies and procedures as outlined in the "review standard" section.

The appeal may not exceed one hour in length. The one hour time period will conform to the following process:

The Committee on Academic Performance chair or acting chair will have 15 minutes to describe the facts of the appeal, applicable case precedent, the committee's decision and rationale and address the allegations that it abused its discretion in applying the legislation and/or its policies and procedures and how such abuses could have reasonably resulted in a different outcome.

The institution's designated spokesperson will then have 15 minutes to describe the case and address how it believes that the committee abused its discretion in applying the legislation and/or its policies and procedures and may include comments in rebuttal to the committee's opening statement. The institution's president or chancellor and athletic director may participate in the opening statement as long as they are employed fulltime by the institution and their comments are included in the 15 minute time limit.

Following opening statements from the chair of the Committee on Academic Performance and the institution, the Board of Directors subcommittee members may ask questions of all participants. Once all questions have been answered, the teleconference will conclude with the

committee and institution each providing a five-minute closing statement. The closing statement must be made by the institution's spokesperson and the committee member who presented the case.

The Board of Directors subcommittee members may ask questions at any time. Any institutional representative or committee chair may be questioned on any relevant issue. It is possible that the parties will be asked to respond to questions prior to their formal presentations. The one-hour period includes questioning by the Board of Directors subcommittee.

If the institution or Committee on Academic Performance desire to ask a question of another party, that question should be directed to the subcommittee chair, who will then decide if the question is appropriate and will direct it to the appropriate individual.

The chair of the Board of Directors subcommittee, or his or her designee, is responsible for monitoring time.

Deliberations and Decision

At the conclusion of the appeal, the Board of Directors subcommittee members will deliberate.

The subcommittee may request additional information from any appropriate source, including the institution or the Committee on Academic Performance. In this event, the institution and the committee chair will be given an opportunity to be represented at the time such information is provided to the subcommittee.

The standard of review for the Board of Directors subcommittee is that it must determine whether the institution was able to demonstrate that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. As part of its deliberation, the Board of Directors subcommittee may (a) uphold the committee's decision; or (b) reverse or modify the decision if it finds the Committee on Academic Performance abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee.

If the subcommittee reverses or modifies the decision of the Committee on Academic Performance it may render one of the following decisions:

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it,

the subcommittee determined a waiver of Bylaw 23.2.1.2.4 was warranted. In such instances, the team will not be subject to the Occasion-Four Penalties. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, the Occasion-Four- Penalty will be assessed.

2. **Conditionally Approved:** The committee determines the institution's request demonstrated evidence the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined that a waiver of Bylaw 23.2.1.2.4 was warranted if specific conditions were met by the institution/team. Such conditions will be outlined by the subcommittee in the decision notification. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed. However, failure to meet the stated conditions, will result in the decision converting to a denial and the waived penalty being implemented. In this instance, if, in the next three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

3. **Partially Approved:** The committee determines the institution's request demonstrated evidence that the committee abused its discretion in applying the legislation and/or policy and procedures and the failure to adhere to the legislation or policies reasonably could have resulted in a different decision by the committee. Based on the evidence before it, the subcommittee determined a partial waiver of Bylaw 23.2.1.2.4 was warranted. If, in the following three-year period, the team fails to meet the established benchmarks and factor review, Occasion-Four Penalties will be assessed.

Only subcommittee members and NCAA staff supporting the Board of Directors subcommittee may be present for the deliberation. A simple majority of the subcommittee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

Written (e.g., electronic) confirmation of the decision must be provided by the Board of Directors subcommittee to the institution within 21 calendar days of the teleconference.

REVIEW OF CONDITIONALLY APPROVED OCCASION-FOUR PENALTY WAIVERS—Determining whether the condition(s) was satisfied

The waiver case staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) is not satisfied, the institution has the opportunity to explain to the staff why it failed to meet the condition(s) or why it believes it did

meet the stated conditions. The staff's decision may be appealed to the committee. The committee's decision is final and not subject to further review by any other authority.

Staff Review

The waiver case staff shall review the APP data and other relevant information of all institutions that had conditionally approved waivers from the previous year to confirm whether the stated condition(s) has been satisfied. The staff will conduct this review once the APR data submission correction and adjustment phases are complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the historical penalty has been waived.

If the condition(s) is not satisfied, the waiver case staff will provide written notification that the conditionally approved waiver has not been satisfied and the team is required to impose the identified historical penalties. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.4 is not warranted. The institution may submit additional information that it believes is relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

The staff may grant relief based on some or all of the following criteria:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Evaluation of implementation of institution's previously submitted APR improvement plan and revisions to plan to address current issues impacting APR.

7. Any additional information provided by the institution.

Deliberations and Decisions

After reviewing all the information, the staff may render one of the following decisions:

1. **Approved:** The staff determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Four penalties.

2. **Denied:** The staff determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Four penalties.

Committee Review

After the staff has rendered a decision, the institution may appeal the decision to Committee on Academic Performance. The committee's decision is final and is not subject to further review by any other authority.

The request must be submitted electronically to the NCAA national office via the LSDBI portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the institution is subject to the penalty. The online application will produce a signature page that must be signed by the institution's chancellor or president.

The request must set forth the reasons why the institution failed to meet its condition(s) or why it believes it did meet the stated condition(s) and as a result why the application of Bylaw 23.2.1.2.4 is not warranted. The institution may submit additional information that it believes is

relevant to the case. The committee may request additional pertinent information before a final determination is made.

Any request filed after seven calendar days must include an explanation of why the request was not filed within the prescribed time period. The chair of the committee must determine whether any request filed after seven calendar days will be considered.

Review Standard

Committee decisions will include consideration of the following:

1. Mitigating circumstances and whether the mitigating circumstances were within the control of the institution and/or student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective team.

3. Size of variance between the team's most recent single-year APR and the APR required as the condition.

4. Improvement of the team's APR, eligibility and/or retention APR.

5. Review of the variables related to the institution's mission and resources and its relationship to the team's APR.

6. Implementation of the team's previously submitted APR Improvement Plan and assessment and development of an updated plan.

Conflict of Interest

A Committee on Academic Performance member must recuse himself or herself from participation in a review in which he or she is personally connected with an institution or conference. A Committee on Academic Performance member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review. It is the responsibility of the Committee on Academic Performance member to remove himself or herself if a conflict exists. Institutional objections to a Committee on Academic Performance member participating in the review must be raised to the Committee on Academic Performance chair or NCAA staff member prior to review.

In the event that the Committee on Academic Performance chair must recuse him or herself or is unable to participate in the waiver, the remaining members must vote, by simple majority, to determine who will serve as "acting chair."

Deliberations and Decisions

The committee will receive the original staff conditional approval decision, staff decision regarding condition(s) not being met, the institution's request and supporting documentation and the team(s) APP data.

The committee may conduct its deliberations by facsimile, teleconference, electronic mail, Internet or in-person meeting. Such deliberations shall include only committee members and NCAA staff members supporting the committee.

A simple majority of the committee members present and voting is necessary for a decision. The chair, or acting chair, shall not vote unless there is a tie vote among present and voting members. In situations where there is a tie vote, the chair shall cast the deciding vote.

After reviewing all information, the committee will render one of the following decisions:

1. **Approved:** The committee determines that the condition(s) is satisfied or the explanation provided by the institution is sufficient to satisfy the condition(s) and as a result, the institution is not subject to the Occasion-Four penalties.

2. **Denied:** The committee determines that the institution did not present circumstances that warrant relief form the staff conditional approval and as a result, the institution is subject to the Occasion-Four penalties.

If relief is not provided, the institution will be notified to impose the historical penalty academic year subsequent to notification. Additionally, if the team has become subject to historical penalties in the current academic year, it will then also be subject to the next occasion of penalty within the historical-penalty structure. If the institution seeks relief from the next occasion of penalty, the Committee on Academic Performance has the discretion to provide flexibility to institution's regarding the timeframe for imposing penalties. Specifically, the committee may decide to permit an institution to impose the penalties over a multiyear period. The committee may decide what penalties to extend and when. Such determinations will be made as part on the institution's waiver appeal deliberations and provided in the committee's written decision.

The committee's decision is final and not subject to further review by any other authority.

Written (e.g., electronic) confirmation of the decision must be provided by the committee to the institution within 21 calendar days of the decision.

REWARDS

The Committee on Academic Performance has implemented an annual a team-centered public recognition program that highlights the academic performance of the top ten percent of teams in each sport based on NCAA Division I APR. The committee will continue attempts to identify and implement additional, meaningful incentives in future years.

ATTACHMENT C

NCAA Division I Academic Progress Rate Adjustment Directive

Background.

The NCAA Division I Academic Progress Rate (APR) is a metric that awards points for academic eligibility/graduation (E) and retention (R). Eligibility is important as it measures a student's progress toward a degree at regular intervals. Retention is a crucial part of the APR because of the following:

1. The pilot data reflected that retention is an even stronger component of graduation than eligibility.

2. By awarding points for retention, potential issues related to "run-offs" and "recruiting mistakes" could be monitored and addressed.

3. Term-by-term R points allow for a student-athlete to receive "credit" for every term he or she returns, even if he or she eventually transfers or is not retained for any reason. This "partial-credit" model has been seen as a significant improvement over the Federal Graduation Rate and is a very important consideration when assessing E + R for the APR calculation.

The NCAA Division I Committee on Academic Performance has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting in reviewing APR adjustment requests. The committee recognizes that there may be some legitimate reasons why student-athletes are not retained and do not maintain academic eligibility, and in these instances, a student-athlete's lost points should be adjusted.

Guiding Principles.

Adjustments to a team's APR will be considered based on circumstances surrounding individual student-athletes. Adjustments generally will be reviewed in the context of whether the mitigating circumstances surrounding the individual student-athlete are beyond the control of the student-athlete and/or the team/institution.

Effect of Adjustment.

The APR is calculated by evaluating each student-athlete in the NCAA Division I Academic Performance Program (APP) cohort. Each student-athlete is able to earn two points for each regular academic term he or she is in the cohort. The E point is awarded if the student-athlete is academically eligible to compete in the next regular academic term (even if he or she has no competition in that term). The R point is awarded if the student-athlete is retained by the institution in the next regular academic term (i.e., returns to the institution as a full-time student as of the institution's census date or the fifth week of classes, whichever is earlier). Student-athletes who graduate in a term are awarded both points for that term. If a student-athlete

remains in the APP cohort after graduation, he or she is always awarded the R point for having graduated. A student-athlete who earns both points in an academic term is recorded as "2 for 2" (2/2).

A student-athlete who was not retained by an institution (did not return to the institution or did not return as a full-time student) in the next regular academic term and did not graduate will be a "1 for 2" (1/2) or a "0 for 2" (0/2) depending on whether he or she earns the E point. Likewise, a student-athlete who completed a term and was retained, but was not eligible will be a 1/2. A student-athlete who did not complete an academic term, and therefore did not earn E, and was not retained should be reported as 0/2. In all of these circumstances, it may be possible to request an adjustment to a lost point or points. Approval of an adjustment request does not result in the awarding of any lost E and/or R points. Rather it removes the lost points from both the numerator and the denominator. Thus the 1/2 becomes a 1/1, or the 0/2 becomes a 0/1 or 0/0. Please note some adjustment criteria require the earning of the E point in order for the request to be considered.

Circumstances Warranting an Adjustment of the E or R Point.

Adjustments will be granted only if stated conditions described below are met.

1. Academic Term Not Completed.

   A student-athlete who did not complete a regular academic term due to circumstances outside of his or her control (e.g., student-athlete suffers from a serious medical condition early in the academic term) and failed to earn the E and/or R point may be considered for an adjustment in the following situations. In all circumstances, contemporaneous documentation must be included. If relief for the lost R point is being requested, the documentation must clearly indicate that a student-athlete was unable to be retained by the institution as a result of the mitigating circumstances. If relief for the lost E point is being requested, the documentation must clearly demonstrate how the mitigating circumstances impacted the student-athlete's academic performance. The following mitigation will be considered:

   a. An incapacitating injury or illness to the student-athlete or an immediate family member, which is clearly supported by contemporaneous medical documentation. The documentation must clearly indicate that a student-athlete was unable to be academically successful and/or retained as a result of the incapacitating physical or mental circumstances.

   b. A natural disaster (e.g., earthquakes, floods).

c. Extreme financial difficulties as a result of a specific event (e.g., layoff, death in the family) experienced by the student-athlete or by an individual on whom the student-athlete is legally dependent. These circumstances must be clearly supported by objective documentation (e.g., decree of bankruptcy, proof of termination) and must be beyond the control of the student-athlete or the individual on whom the student-athlete is legally dependent.

d. Harassment. This circumstance must be clearly supported by contemporaneous objective documentation (e.g., police report).

e. Participation in the following Olympic or international competition:

(1) Official Pan American, World Championships, World Cup, World University Games and Olympic training, tryouts and competition;

(2) Officially recognized training and competition, qualifying for final Olympic tryouts; or

(3) Official tryouts and competition involving national teams sponsored by the appropriate national governing bodies of the U.S. Olympic Committee or, for student-athletes representing another nation, the equivalent organization of that nation.

f. Other unforeseen events and/or circumstances beyond the student-athlete's and/or institution's control that led to lost E and/or R points in a term that the student-athlete did not complete.

2. Academic Term Was Completed, Student-Athlete Not Eligible.

A student-athlete who completed a regular academic term as a full-time student may receive an adjustment to a lost E point if one of the reasons listed below applies. In all circumstances, contemporaneous documentation must be included. The documentation must clearly demonstrate how the mitigating circumstances impacted the student-athlete's academic performance. (Note: A student-athlete is not required to earn the R point). The following mitigation will be considered:

a. The student-athlete was rendered academically ineligible and the institution was not able to submit a progress-toward-degree waiver (e.g., transfer, withdrawal, no pending competition).

b. An incapacitating injury or illness to the student-athlete or an immediate family member, which is clearly supported by contemporaneous medical documentation.

The documentation must clearly indicate that a student-athlete was unable to be academically successful as a result of the incapacitating physical or mental circumstances.

c. Extreme financial difficulties as a result of a specific event (e.g., layoff, death in the family) experienced by the student-athlete or by an individual on whom the student-athlete is legally dependent. These circumstances must be clearly supported by objective documentation (e.g., decree of bankruptcy, proof of termination) and must be beyond the control of the student-athlete or the individual on whom the student-athlete is legally dependent.

d. A natural disaster (e.g., earthquakes, floods).

e. Other unforeseen events and/or circumstances beyond the student-athlete's and/or institution's control that impacted the student-athlete's ability to be academically successful.

3. Academic Term Completed, Student-Athlete Not Retained.

Student-athletes who completed a regular academic term as a full-time student but were not retained (did not return to the institution or did not return as a full-time student) may receive an adjustment to a lost R point if one of the reasons listed below applies. In all circumstances, contemporaneous documentation must be included. The documentation must clearly demonstrate how the mitigating circumstances impacted the student-athlete's ability to be retained by the institution. (Note: A student-athlete is required to earn the E point). The following mitigation will be considered:

a. The student-athlete's degree program was discontinued. This circumstance must be supported by documentation from the institution's registrar's office indicating that the student-athlete was enrolled in the specific degree program and the date the degree program was discontinued.

b. The student-athlete's degree program was not offered at the original institution. This circumstance must be supported by documentation from official institutional sources indicating that the student-athlete's degree program was not offered at the original institution and the student-athlete is enrolled in the degree program at the next institution.

c . The student-athlete's sport was discontinued. This circumstance must be supported by documentation from the institution's director of athletics indicating when the sport program was discontinued and when the announcement of the discontinuation was made.

d. An incapacitating injury or illness to the student-athlete or an immediate family member, which is clearly supported by contemporaneous medical documentation. The documentation must clearly indicate that a student-athlete was unable to be retained by the institution as a result of the incapacitating physical or mental circumstances.

e. A natural disaster (e.g., earthquakes, floods).

f. Extreme financial difficulties as a result of a specific event (e.g., layoff, death in the family) experienced by the student-athlete or by an individual on whom the student-athlete is legally dependent. These circumstances must be clearly supported by objective documentation (e.g., decree of bankruptcy, proof of termination) and must be beyond the control of the student-athlete or the individual on whom the student-athlete is legally dependent.

g. Harassment. This circumstance must be clearly supported by objective documentation (e.g., police report).

h. Participation in the following Olympic or international competition:

(1) Official Pan American, World Championships, World Cup, World University Games and Olympic training, tryouts and competition;

(2) Officially recognized training and competition, qualifying for final Olympic tryouts; or

(3) Official tryouts and competition involving national teams sponsored by the appropriate national governing bodies of the U.S. Olympic Committee or, for student-athletes representing another nation, the equivalent organization of that nation.

i. The student-athlete was not retained by the institution in one regular academic term, but he or she later returned. The student-athlete must qualify for the missed-term exception pursuant to NCAA Bylaw 14.4.3.5-(a). The student-athlete must return to the institution as a full-time student in a subsequent term and meet all criteria for the missed-term exception. A student-athlete may only have the R point adjusted one time during his or her academic career based on this mitigation.

j. The student-athlete was not retained due to other unforeseen events and/or circumstances beyond the student-athlete's and/or institution's control.

4. Professional Athletics Opportunities.

a. Initial Professional Sports Opportunity.

The student-athlete competed an academic term and was not retained due to participation in professional sports as a vocation. (Note: A student-athlete is required to earn the E point). Such participation may be demonstrated by the following:

(1) Signed contract with a professional sports team or organization;

(2) Established pattern of acceptance of prize money for competition;

(3) Documented declaration of intent to compete as a professional in an individual sport (e.g., tennis, golf); or

(4) Other evidence determined by the staff/committee to confirm the individual's professional sports vocation.

The following actions, alone, do not sufficiently demonstrate participation in professional sports as a vocation:

(1) Signing a contract with an agent;

(2) Signing a commercial endorsement agreement;

(3) Declaring for a professional sports draft; or

(4) Participating in professional sports tryouts.

b. Second Professional Sports Opportunity.

The student-athlete returned to the original institution in a regular academic term following his or her initial departure to pursue professional athletics as a vocation and subsequently lost a point(s) due to the pursuit of another professional sports opportunity, provided the student-athlete earned the E point in the term in which he or she first departed the institution to pursue professional athletics. Such participation may be demonstrated by the documents listed below. Please note that this documentation must clearly indicate that the student-athlete could not complete the regular academic term due to the second professional athletics opportunity (e.g., indicate the timing of the opportunity). If the term was

completed, the student-athlete must have earned the E point in order for the R point to be adjusted (see letter a above).

(1) Signed contract with a professional sports team or organization;

(2) Established pattern of acceptance of prize money for competition;

(3) Documented declaration of intent to compete as a professional in an individual sport (e.g., tennis, golf); or

(4) Other evidence determined by the staff/committee to confirm the individual's professional sports vocation.

The following actions, alone, do not sufficiently demonstrate participation in professional sports as a vocation:

(1) Signing a contract with an agent;

(2) Signing a commercial endorsement agreement;

(3) Declaring for a professional sports draft; or

(4) Participating in professional sports tryouts.

(Adopted: 1/2008 effective 1/2008 for the 2007-08 APR cohort, retroactive to any prior year cohorts).

5. Transfer.

a. The student-athlete was not retained because he or she transferred to another institution and meets the following criteria:

(1) The student-athlete earned the E point in the last term of enrollment prior to transfer.

(2) The student-athlete was enrolled at the institution for at least one academic year prior to transfer.

(3) The student-athlete immediately transferred to another four-year institution. This requires full-time enrollment at the new institution at the next available regular academic term.

(4) The student-athlete presents a cumulative grade-point average at the original institution of at least 2.6.

Note: This adjustment request is not filed through the LSDB*i* Portal, but rather it is filed in the APP data collection system.

b. The student-athlete was not retained because he or she transferred to another institution and meets the following criteria:

(1) The student-athlete earned the E point in the last term of enrollment prior to transfer.

(2) The student-athlete was enrolled at the institution for at least one academic year prior to transfer.

(3) The student-athlete immediately transferred to another four-year institution. This requires full-time enrollment at the new institution at the next available regular academic term.

(4) The student-athlete presents a cumulative grade-point average of at least 2.0, but less than 2.6 at the original institution and satisfies a rigorous review of academic factors (e.g., number of transferable credit hours accepted by the next institution and applicable to the student-athlete's designated degree program, positive trends in the student-athlete's academic performance, student-athlete's academic success compared to other students with similar admissions profiles).

Note: This adjustment will be subject to a very high review standard and will be filed through the LSDB*i* Portal.

Circumstances that Do Not Warrant an Adjustment of the R Point.

Circumstances that are generally considered to be within the control of the student-athlete and/or the institution include, but are not limited to, the following:

1. Student-athlete transferred to another institution for any reason not included in the section above.

2. Student-athlete departed the institution due to lack of playing time, or desire to play for a different coach.

3. Student-athlete departed the institution due to a coaching change.

4. Student-athlete departed the institution because he or she was placed on academic suspension.

5. Student-athlete departed an institution because of disciplinary actions taken at the institution (e.g., crime, academic fraud, dismissed from team, positive drug test).

6. Student-athlete departed an institution because his or her team is subject to disciplinary measure (e.g., infractions sanctions, APP penalties).

7. Student-athlete departed an institution because his or her athletically related aid was not renewed or was reduced.

Reconsideration.

An institution is permitted to request the staff reconsider APR adjustment requests that were previously denied if the APR adjustment directive is changed and the change would have affected the outcome of the original adjustment request. An institution may not request retroactive relief from contemporaneous penalties or retroactive incentives based on the award of an adjustment to data made to subsequent academic year(s). Requests for reconsideration will not be heard by the subcommittee until the staff has reviewed and considered the request. Please note that participation of a student-athlete in professional sports as a vocation is not mitigation for reconsideration of APR adjustment requests when the student-athlete failed to earn the E point.

Staff Authority in APR Adjustment Requests.

The committee has provided the staff with the authority to use its discretion in the application of this directive. Exceptions to this directive may be applied when warranted, in the staff's judgment, by the unique circumstances of a specific request. Further, the committee has afforded the staff the authority to award E and/or R points as appropriate, depending on the unique circumstances of the request.

ATTACHMENT D

Occasion-Two Historical Penalties Educational Column

Pursuant to NCAA Bylaw 23.2.1.2.2 and the NCAA Division I Academic Performance Program policies, teams subject to an Occasion-Two Historical Penalty are subject to restrictions in the areas of financial aid and playing and practice seasons.

Specific to the playing and practice season penalty, any team subject to practice restrictions must reduce practice time four hours per week during the playing season and replace that time with four hours of academic activities. Additionally, teams that did not demonstrate meaningful NCAA Division I Academic Progress Rate (APR) improvement in the most recent academic year must reduce practice activities to five days per week during the playing season. Finally, institutions/teams are required to report to the NCAA Division I Committee on Academic Performance how the penalties were imposed.

The following will assist institutions in ensuring the practice penalties are imposed correctly:

Q: Does the practice restriction apply during the entire academic year?

A: No, the practice restriction only applies during the period when the team is subject to the 20 hour per week limitation.

Q: Does the practice restriction apply only to the championship segment of the playing season?

A: No, it applies to the team's entire playing season including football spring practice and baseball fall nonchampionship segment.

Q: Do the hour or additional day off restrictions apply when there are no daily and weekly hour limits per the NCAA bylaws (e.g., vacation periods)?

A: No, the practice restriction only applies during the time period when the team is subject to the daily and weekly hour limits (e.g., 20 hours per week, required day off). Because the reduced practice time is to be supplemented with academic activities the restriction does not apply when no classes are in session.

Q: Do the hour and/or additional day off restrictions apply to practice and participation in conference and/or postseason championships?

A: The weekly hour restrictions and day off restriction does apply during a week in which a team is participating in conference and/or postseason championships. The exception to the one day off per week does not apply to the required day off per the team's historical penalty.

Q: In the sport of basketball, does the additional day off restriction apply when a team is participating in three contests a week?

A: The exception to the one day off per week does not apply to the team's historical penalty. Therefore, a basketball team subject to an additional day off as part of its Occasion-Two Historical Penalties must take that day off during a week in which the team participates in three contests.

Q: Do the weekly practice restrictions apply to a student-athlete who is also a member of another team at the institution that is not subject to an Occasion-Two Historical Penalty?

A: No, the practice restriction applies to the team's weekly practice limitations and does not apply to the individual student-athlete limitations for those student-athletes who are members of more than one team at the institution.

The following will assist institutions in ensuring that the policy of replacing practice time with academic activities is imposed correctly:

Q: What are acceptable academic activities?

A: The following activities are acceptable academic activities:

a. Study hall.

b. Tutoring.

c. Meeting with academic support personnel.

d. Meeting with departmental academic advisor.

e. Meeting with professor.

f. Meeting with formal study group.

g. Meeting with informal study group.

h. Faculty mentoring.

i. Peer mentoring.

j. Meeting with career counselor.

k. Career development seminar.

l. Life skills development session.

m. Campus seminars.

n. Supplemental instruction session.

o. Study skills seminars.

The following activities would **NOT** be considered acceptable academic activities:

a. Meeting with coaches in their offices to study.

b. Academic activity while traveling (e.g., on a bus, plane, at hotel).

c. Academic meetings with coaches.

d. Community service with athletic team/department.

e. Promotional activities.

f. Hosting recruits for official or unofficial visits.

g. Team meetings (not related to academics).

Q: Does the institution have to document the academic activities for student-athletes who are not in the APR cohort?

A: No.

Q: Do all student-athletes on the penalized team have to complete the same academic activity?

A: No, institutions can determine what academic activities are most appropriate for each student-athlete on the penalized team.

Q: Should the academic activities be related to the elements included in the team's/institution's APR Improvement Plan?

A: It is not necessary that the activities be specifically related to the issues identified within the APR Improvement Plan, however, this is encouraged.

Q: Can individual student-athletes be exempt from the academic activities if they are doing everything they can to meet the mission of the athletics department, university, and the NCAA (e.g., student-athletes meeting all progress-toward-degree requirements, institutional requirements)?

A: No. The intent of the penalty structure is for all student-athletes on a penalized team to engage in more academic activities and less athletics time.

Q: Who is responsible for monitoring the academic activity?

A: Each institution must designate the staff member(s) responsible for monitoring the activities.

The following outlines the reporting requirements for historical penalties:

Q: When does an institution have to report how the team applied the penalty?

A: All materials must be submitted to the NCAA national office by July 1 following the academic year in which the penalty was applied. For example, teams applying the penalty during the 2008-09 academic year must submit a report to the Committee on Academic Performance by July 1, 2009.

Q: What if a team does not impose all or part of the penalty?

A: The institution shall report a violation to the NCAA enforcement staff.

Q: What will an institution have to report regarding the academic activities the team participated in place of practice time?

A: The team will need to report a narrative to the NCAA national office by July 1 following the academic year in which the penalty was applied. The narrative must describe the academic activities the student-athletes on the team participated in to replace the reduced practice time.

[References: Bylaws: 17.1.1 (playing season), 17.1.6.3.6 (vacation periods and between terms), 17.1.6.3.8 (multisport participant); 17.1.6.4 (required day-off – playing season), 17.1.6.4.7 (exceptions – basketball), 17.1.7 (general regulations for computing playing seasons applicable to all sports), 23.2.1 (penalties), 23.2.1.2.2 (financial aid, playing and practice seasons and recruiting limitations)]

ATTACHMENT E

NCAA Division I Committee on Academic Performance
Academic Performance Program Penalty Waiver Directive

1. Background.

The central purpose of the NCAA Division I Academic Performance Program (APP) is to ensure that the NCAA Division I membership is dedicated to providing student-athletes with an exemplary education and intercollegiate athletics experience in an environment that recognizes and supports the primacy of the academic mission of its member institutions while enhancing the ability of student-athletes to earn a degree.

When a team's academic performance, measured by the NCAA Division I Academic Progress Rate (APR), falls below 925, that team becomes subject to penalties if any student-athlete on that team is not retained and does not earn academic eligibility. This penalty, known as a "contemporaneous penalty," is a financial aid restriction that is meant to be a catalyst for change for teams that are underperforming academically. Contemporaneous penalties provide immediate support to the behavioral shift that will be necessary to assist student-athletes in meeting progress-toward-degree requirements leading to graduation.

When a team's academic performance, as measured by its APR, falls below 900 and the team fails to demonstrate APR improvement and a favorable review of the established by sport or institutional academic or resource characteristics comparisons, it becomes subject to historical penalties. Historical penalties are progressive and cumulative penalties intended to penalize teams that have a demonstrated history of academic underachievement.

Waivers for both contemporaneous and historical penalties are provided for in NCAA Bylaws 15.5.7.3, 23.2.1.2.1.1 and 23.2.1.2.2.1, 23.2.1.2.3.2 and 23.2.1.2.4.1. The NCAA Division I Committee on Academic Performance has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academic Performance Subcommittee on Appeals in reviewing APP penalty waiver requests.

2. Guiding Principles.

a. Waiver requests of APP penalties will be considered based on the academic performance of the entire athletics team. The APR is a team rate and not based on the academic performance of a single student-athlete. One of the intents of the APP is to be a catalyst for change for teams that historically underachieve academically. By focusing on the team's historical academic trends, institutions must demonstrate that the performance of the team is achieving the stated goals of the APP (e.g., graduating student-athletes).

Therefore, the review of waiver requests shall consider all student-athletes included in the team's multiyear APR, including all who failed to earn points in the applicable academic years. This approach considers the loss of all APR points, not just those of select students. This approach could be referred as the "top-down approach" (e.g., start at an APR of 1000 and explain the loss of all points). Annual and historic academic data will be primary points of analysis in the review of appeals of APP penalties.

b. Waiver decisions will consider whether the team's academic deficiency is an anomaly or a pattern of behavior as demonstrated by current and historical data. Waiver decisions will analyze those circumstances that may be unique events resulting in academically low performing year(s) versus habitually underperforming teams. A team's APR that is negatively affected by a unique one time circumstance, but otherwise is not historically an underperforming team, should be treated differently than a team that has a history and pattern of academic underachievement.

c. Institutions seeking a waiver of APP penalties must present evidence of compelling mitigating circumstances along with a reasonable expectation that the team's academic performance will improve and the team will achieve an APR of 925 or higher in a reasonable period of time. APR Improvement Plans assist teams in achieving the established APR penalty benchmarks in a reasonable time by identifying the issues impacting a team's APR, establishing measurable goals , steps to achieve the stated goals and establishing a timetable for implementation.

3. Squad-Size Adjustment.

The APR is a four-year rolling rate. The main goal of the four-year rate is to provide the best estimate of the average behavior by smoothing out any odd fluctuations that might emerge due to unusual circumstances in any specific year, and/or small samples. Teams that have not yet submitted four years of data or teams with a four-year APR cohort of less than 30 student-athletes will be evaluated based on the upper-confidence boundary of the team's multiyear APR. The squad-size adjustment considers the number of student-athletes in the APR calculation, thus accounting for possible fluctuation in the short term due to squad size. There is no change to the team's APR or to the penalty benchmarks. Rather, consideration is given to squad size to help ensure low performing teams are appropriately identified.

Therefore, the staff/subcommittee will generally not consider the size of the APR cohort in its review of APP penalty waiver requests as the squad size has already been factored into the determination of the penalty.

4. Use of Conditional Approvals.

APP penalty waivers may receive "conditional" approval. A waiver that is conditionally approved does not "forgive" the team's penalty unless the team satisfies the stated condition(s). These conditions may include, but are not limited to, compliance with the institution's written APR Improvement Plan, attendance at mandatory educational sessions, and/or, meeting or maintaining a specified APR.

An institution/team that fails to meet the stated condition(s) by the given timeframe shall result in the waiver decision converting to a denial and the APP penalty being applied to the team. The institution must impose the applicable penalty within the prescribed period of time.

Sequencing of Historical Penalties. If the team is subject to a historical penalty, the team is then potentially subject to the occasion of penalty that was conditionally waived and the next occasion historical penalty if it again fails to meet the historical-penalty benchmarks within the next three years.

5. Length of Time to Cite Mitigation.

Institutions are limited to submitting information concerning mitigating circumstances only for the academic years used to calculate that team's APR. However, the staff and subcommittee reserve the right to consider any relevant information that would explain the team's historical performance.

6. Academic Factors Considered for Teams.

Evaluating the team's academic performance is an important part of the waiver process. The staff/subcommittee considers the totality of circumstances surrounding a waiver. Review of a team's academic performance may include consideration of the following elements:

a. The team's Graduation Success Rate (GSR) and Federal Graduation Rate, if available.

b. Eligibility. The team's eligibility and percentile rank will be compared against the following:

(1) All other NCAA Division I teams.

(2) All other Division I teams in the same sport.

(3) The institution's teams.

c. Retention. The team's retention and percentile rank will be compared against the following:

(1) All other Division I teams.

(2) All other Division I teams in the same sport.

(3) The institution's teams.

d. APR. The team's APR and percentile rank will be compared against the following:

(1) All other Division I teams.

(2) All other Division I teams in the same sport.

(3) The institution's teams.

e. The team's APR for the most recent year will be reviewed to determine if this rate demonstrates improvement over previous year's APR.

f. The mitigating circumstances for any previous contemporaneous-and/or historical-penalty waiver requests.

g. History of contemporaneous and/or historical penalties.

h. The team's academic profile including hours earned, grade-point average, eligibility and retention points.

i. Academic profile of the team when admitted to the member institution, including admissions status as compared to the general student-body and/or other student-athletes at the institution.

j. Size of variance between the team's APR and the applicable APP penalty benchmark (e.g., 925 or 900).

k. The team's single-year APRs that comprise the multiyear rate. Specifically, the number of single-year APRs above or below the penalty benchmarks (e.g., 900, 925).

l. The number of student-athletes who were not academically eligible and not retained.

m. Other data elements that may be relevant to the case.

n. Mitigating factors that affect the team's APR. [See Section 8.]

7. Academic Factors Considered for Individual Student-Athletes: Nonretained Ineligible Student-Athletes for Contemporaneous Penalties.

The review of contemporaneous-penalty waiver requests will emphasize the team's academic performance; however, the staff/subcommittee also may review the individual performance of student-athletes who were not academically eligible and not retained ("0-for-2" in the data set) and whose countable aid was calculated in determining the penalty when considering a waiver of contemporaneous penalties. Review of the individual student-athlete's academic performance may include consideration of the following elements:

a. Mitigating circumstances that led to the student-athlete being not academically eligible and/or not retained.

b. Academic profile of student-athlete when admitted to the member institution, including admissions status as compared to the general student body and/or other student-athletes at the institution;

c. Academic record (e.g., credits completed, grade-point-average);

d. Record of APR points earned and/or lost;

e. Prior academic waivers (initial-eligibility and progress-toward-degree waivers);

f. Academic progress in term of departure; and

g. Other factors deemed relevant by the staff or subcommittee.

8. Mitigating Circumstances to be Considered.

After reviewing the academic profile of the team, the staff/subcommittee may consider the circumstances provided by the institution to explain a team's APR or a "0/2" student-athlete. Circumstances will be considered as compelling mitigating factors if the

institution can demonstrate that it had a direct correlation to the team's ability to earn eligibility/graduation and/or retention points and it must be supported by objective documentation. Mitigating circumstances for a "0/2" student-athlete will be reviewed in accordance with Section 7 of this document.

For institutions that assert institutional characteristics and/or resources as a mitigating factor, please refer to Section 9 for additional information.

Circumstances not considered as compelling mitigating circumstances may include, but are not limited to, the following:

a. Unreasonable reliance by a student-athlete on misinformation from an institutional staff member (e.g., misadvisement);

b. Institutional lack of understanding regarding the APP; or

c. Failure to develop and implement an APR Improvement Plan.

d. Conferences and/or institutions with more stringent academic standards than NCAA Division I Progress-Toward-Degree requirements.

Some circumstances may have been submitted in a request to receive an adjustment of an individual student-athlete's APR retention and/or eligibility or graduation point. If the institution received relief for those circumstances by way of an APR adjustment, the same circumstance may not be considered in the review of the APP penalty waiver for that student-athlete.

9. Institutional Characteristics.

The staff/subcommittee may consider comparisons of institutional characteristics as a mitigating circumstance when reviewing a waiver of APP penalties. Institutional characteristics will include two dimensions of review: (a) team academic performance compared to the general student body academic performance as determined by actual and projected Federal Graduation Rates and; (b) comparison of institutional, athletics and student resource levels.

a. Institutions that assert institutional characteristics as a mitigating factor must demonstrate the following for the penalized team(s):

(1) It graduates both the team's student-athletes and members of the general student-body at a higher rate than the student-body at other schools with similar institutional characteristics; or

(2) It graduates the team's student-athletes at a rate at or above the general student-body at their institution.

The staff/subcommittee shall review the following when considering an institution's characteristics in a waiver of historical penalties:

(1) Review the size of the variance between a team's expected Federal Graduation Rate based on its multiyear APR (Attachment A) and the institution's student-body Federal Graduation Rate.

(2) Compare differences between the team's expected Federal Graduation Rate based on the multiyear APR and the institution's student-body projected Federal Graduation Rate as determined by characteristics of the applicant institution. Comparing a team's performance to an institution's projected (rather than actual) Federal Graduation Rate takes into account the possibility that an institution may be outperforming institutions with similar characteristics in a manner not assessed by the review outlined in letter (a) above. The NCAA research staff will provide the staff/subcommittee the following information with each waiver filed that indicates an institution's characteristics as a mitigating factor:

(a) The team's expected Federal Graduation Rate, based on the team's multiyear APR (Attachment A);

(b) The most recent four-year student-body Federal Graduation Rate for that institution; and

(c) The institution's projected Federal Graduation Rate based on various characteristics of the institution. This rate will be determined by a series of statistical models that will include a list of variables from the following categories that have shown to be the most predictive of an institution's Federal Graduation Rate:

(i) Who is served by the institution (for example: average age of student body, percent of students residing on campus, per capita Pell Grant dollars)?

(ii) What is the academic experience at the institution (for example: admissions selectivity, academic entrance requirements and academic characteristics of student body)?

(iii) What are the available educational resources for the institution and its students (for example: per capita education expenditures, tuition, student faculty ratio, research dollars)?

Based on information supplied by the institution, the list of variables employed by the staff/subcommittee can be changed to match the variables the institution believes best defines its institutional characteristics.

(d) Review of the narrative information supplied by the institution describing how the characteristics of the institution affects the student body and why its team's academic performance represents superior academic performance given the institution's characteristics.

(e) Review the portions of the institution's most recent academic accreditation report that detail the information submitted.

b. The staff/subcommittee shall review the following when considering an institution's resources as a mitigating factor for a waiver of historical penalties:

(1) Per capita educational expenses;

(2) Per capita athletics department operating expenditures; and

(3) Average Pell Grant among all students.

10. Automatic Waivers of Contemporaneous Penalties.

a. Institutional Characteristics. Teams with an expected Federal Graduation Rate based on its multiyear APR that is at least 10 percentage points higher than the institution's student-body Federal Graduation Rate, will receive an automatic waiver of contemporaneous penalties. [Attachment No. 1]

b. Institutional Resources. Institutions identified in the bottom 10 percent based on institutional resources will receive an automatic waiver of contemporaneous penalties.

11. Review of Historical-Penalty Determination Factors.

Teams that are subject to a historical penalty, but compare favorably in one of the factors: APR improvement, institutional characteristics, institutional resources or by-sport comparison will be generally reviewed as follows:

a. Team APR Improvement.

(1) A waiver for a team subject to an Occasion-One Historical Penalty that meets only improvement, **and has achieved single-year APRs that demonstrated the team is capable of achieving a multiyear APR above 925,** should generally be conditionally approved without significant review of the mitigating circumstances provided the team presents an APR Improvement Plan that demonstrates a reasonable expectation that the team will improve to a 925 APR. Team(s) that demonstrate improvement are fulfilling the goal of the APP and should be provided the opportunity to continue to improve without having to impose a historical penalty.

(2) Occasion-Two Historical Penalty. A team(s) subject to an Occasion-Two Historical Penalty that meets improvement will be reviewed in accordance with this directive and are expected to demonstrate that relief is warranted (e.g., mitigating circumstances). A team that has demonstrated improvement has had its practice season and financial aid penalties reduced because of its improvement. Any additional relief must be warranted by the particular circumstances provided in the waiver request.

b. By-Sport Comparison. A team(s) that compares favorably in the by-sport comparison (Attachment No 2) but fails to meet the improvement factor will be reviewed in accordance with this directive and are expected to demonstrate that relief is warranted (e.g., mitigating circumstances).

c. Institutional Characteristics. A team(s) that demonstrates that the team(s) is out performing its general student-body (Attachment No. 1) but fails to meet the improvement factor will generally be reviewed based on the following: level of APR improvement, level of institutional resources as defined in Section 9, the institution's APR Improvement Plan and any other relevant factor(s).

d. Institutional Resources. A that lacks sufficient financial resources to quickly and reasonably engage in academic enhancements, generally viewed as institutions in the lowest 10 percent based on the variables listed in Section 9, but fails to meet the improvement factor will generally be reviewed based on the following: level of APR improvement, the team's academic performance compared to the institution's student-body (See Section 9), the institution's APR Improvement Plan and any other relevant factor(s).

~~**12. Contemporaneous Penalty Tiered System of Review**~~

~~The staff/subcommittee shall consider contemporaneous penalty waiver requests using a "tiered" approach. The goal of this approach is to encourage improved academic performance of teams. Generally, low performing teams seeking waivers of contemporaneous penalties are expected to improve the team's multiyear APR above 925 in a reasonable period of time.~~

~~Tier No. 1 (APR below 925 to 900): Appeals of contemporaneous penalties in this range are generally conditionally approved without significant review of the mitigating circumstances. A team in this range is expected to improve its APR with the goal of achieving a 925 multiyear APR within a reasonable period of time.~~

~~Tier No. 2 (APR below 900): Waivers of contemporaneous penalties are only granted when the institution presents evidence of compelling mitigating circumstances and demonstrates that the team will achieve a multiyear APR of 925 within a reasonable period of time.~~

12. APR Improvement Plans.

APR Improvement Plans are meant to encourage institutions that have a team with an APR below 925 to implement strategies ~~make immediate improvement in~~ to improve the academic performance, retention and graduation of the student-athletes on the team. Institutions seeking relief from an APP penalty are expected to demonstrate that the team's academic performance will improve and will achieve an APR of 925 in a reasonable period of time. Therefore, APR Improvement Plans will be reviewed as follows:

a. Institutions requesting an APP penalty waiver for a team that was previously required to complete an APR Improvement Plan as a result of a multiyear APR below 925 must re-evaluate their current APR Improvement Plan. Institutions/teams will be accountable for identifying issues and making progress toward implementing the APR Improvement Plan. Within the waiver request the following shall be addressed:

(1) Identify all steps the institution has taken toward ~~completion~~ implementation of the previous APR Improvement Plan and progress toward ~~ultimate completion of~~ the measurable goals.

~~(2) Identify challenges, issues or problems that were identified in the previous plan that continue to confront the team(s) in its pursuit of improved academic achievement.~~

(3) Identify any new issues impacting the academic performance, retention and graduation of the team's student-athletes and develop specific and measurable goals to address the issues, steps to meet the goals, timetable for implementation and persons responsible for each step outlined in the plan.

(4) Identify specific target APR goals for the team(s) for the current academic year that will assist the team in meeting the 925 benchmark in a reasonable period of time.

b. Institutions requesting an APP penalty waiver for a team that does not have an APR Improvement Plan will be required to develop an APR Improvement Plan. If an institution was required to develop an APR improvement for a team, but failed to develop a plan or implement the plan it developed, the staff/subcommittee will consider this in evaluating whether the team can be expected to improve its academic performance and achieve an APR of 925 within a reasonable period of time. Institutions shall address the following for each waiver request:

(1) Identify issues impacting the academic performance, retention and graduation of the student-athletes on each team subject to APP penalties.

(2) Identify specific and measurable goals to address the issues, steps to meet the goals, timetables for implementation and persons responsible for each step.

(3) Identify specific APR target goals for the team(s) for the current academic year that will assist the team in meeting the 925 benchmark in a reasonable period of time.

Delays of Occasion-Two Historical Penalties

Occasion-Two Historical Penalties are intended to be serious and significant and delaying their application is contrary to this intent. Therefore, in the vast majority of cases, the staff and/or

subcommittee will not approve any delay in the application of these penalties. In rare cases where an institution can demonstrate that due to unanticipated and extraordinary circumstances outside the control of the institution, team and involved student-athlete(s) it is unable to apply Occasion-Two Historical Penalties within the prescribed period a delay may be conditionally approved.

Delays of Contemporaneous Penalties

1. Standard for Review.

A request to delay having to impose an APP financial aid penalty will only be considered when an institution or team can demonstrate that by imposing the penalty within the prescribed period (the year immediately following the ineligible student-athlete's departure or not later than the following year) would take away financial aid from a current student-athlete or prospective student-athlete. The team must provide the following:

a. A current team squad list with counters designated and/or equivalency amounts listed for each student-athlete;

b. Identification of the current student-athletes with remaining eligibility whose countable financial aid is expected to be renewed for the next academic year; and

c. The countable financial aid equivalencies for prospective student-athletes who signed a valid National Letter of Intent (NLI) and/or financial aid agreement prior to the institution receiving notice of its APP financial aid penalties.

2. Guiding Principles.

a. APP penalties are meant to be a team penalty and not for an individual student-athlete. If an institution must take away financial aid from a current or prospective student-athlete who has signed a valid NLI and/or financial aid agreement prior to the institution receiving notification of its APP penalty in order for the team to impose the APP financial aid penalty, a delay would be warranted.

b. Any request to delay imposing an APP financial aid penalty will be considered on the premise that any current student-athlete receiving countable financial aid will be renewed at the same equivalency as the current academic year.

c. If the request to delay the APP financial aid penalty is approved, a delay will generally only be extended one academic year so that the APP financial aid

penalty will be imposed at the latest within three years of the ineligible student-athlete's departure.

3. <u>Use of Conditional Approvals</u>.

Approvals will generally be based on the following conditions:

a. All currently enrolled student-athletes who will not exhaust eligibility during the current academic year will return to the team in the subsequent academic year and receive the countable financial aid at the same equivalency as the current year.

b. All prospective student-athletes who have signed a valid NLI and/or financial aid agreement will enroll at the institution the next academic year and are eligible for institutional financial aid based on athletics ability.

c. If any current student-athlete departs the institution prior to the next academic year or if any prospective student-athlete does not enroll or is not eligible for institutional financial aid based on athletics ability (i.e., is a nonqualifier), the team must impose part or all of the APP financial aid penalty based on the equivalency amount and/or the number of counters that become available.

d. The team may not re-award the financial aid of any student-athlete who departed the institution and/or prospective student-athlete who did not enroll and/or qualify for the institutional financial aid based on athletics ability, unless it is imposing the entire penalty within the original prescribed period of time.

Expected Federal Graduation Rate based on
NCAA Division I Academic Progress Rate

The table below provides a team's expected Federal Graduation Rate based on its multiyear NCAA Division I Academic Progress Rate (APR). This rate is then compared to the institution's most recent student-body Federal Graduation Rate to determine whether a team would receive a waiver of contemporaneous- and/or historical penalties based on institutional characteristics.

TO BE DETERMINED

[Note: This table was created by comparing APRs to historical-squad Federal Graduation Rates for N=5,455 squads with both rates available (using equipercentile method). This table should be considered a fairly rough guide only (especially at the tails of the distribution) until contemporary graduation rates are available for squads in the APR cohort. Note that this table will continue to change as the APR formula changes and as we move toward a four-year data collection.]

Minimum NCAA Division I Academic Progress Rate to be above the Tenth Percentile by Sport

The table below provides the minimum multiyear NCAA Division I Academic Progress Rate (APR) required for a team to meet the by-sport comparison factor within the historical-penalty structure. A team with an APR at or above the APR listed for the specific sport would meet the by-sport comparison factor, but must also meet the improvement factor in order to avoid historical penalties in the 2008-09 academic year.

Baseball	890
Men's Basketball	874
Men's Cross Country	920
Football	897
Men's Fencing	930
Men's Golf	918
Men's Gymnastics	946
Men's Ice Hockey	945
Men's Lacrosse	933
Men's Skiing	928
Men's Soccer	918
Men's Swimming	936
Men's Tennis	926
Men's Track, Indoor	910
Men's Track, Outdoor	910
Men's Volleyball	921
Men's Water Polo	923
Men's Wrestling	901
Women's Basketball	926
Women's Bowling	898
Women's Cross Country	936
Women's Rowing	967
Women's Fencing	910
Field Hockey	964
Women's Golf	947
Women's Gymnastics	960
Women's Ice Hockey	948
Women's Lacrosse	965
Women's Softball	934
Women's Skiing	935
Women's Soccer	946
Women's Swimming	958
Women's Tennis	941
Women's Track, Indoor	932
Women's Track, Outdoor	930
Women's Volleyball	938
Women's Water Polo	942
Mixed Rifle	914

Including Student-Athletes Receiving Athletics Aid Contingent on Academic Performance in the NCAA Division I Academic Performance Program Cohort

Background.

In April, the NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting considered a request from a member institution to determine if a student-athlete who was offered and accepted athletically related financial aid contingent on the student-athlete satisfying various academic criteria before receiving any athletics aid should be included in the NCAA Division I Academic Performance Program (APP) cohort for purposes of calculating the NCAA Division I Academic Progress Rate (APR). The subcommittee determined that a student-athlete signed to athletically related financial aid in this manner who is enrolled full time as of the institution's census date or the fifth week of classes, whichever is earlier, should be included in the APP cohort regardless if the student-athlete eventually meets the contingency within the financial aid agreement and is awarded the athletics aid. The subcommittee considered changing the definition of the APP cohort for purposes of calculating the APR to address this scenario, but ultimately elected to issue an interpretation to clarify this issue. The NCAA Division I Committee on Academic Performance was supportive of this solution.

Interpretation.

The committee determined that when an institution offers and signs a student-athlete to athletically related financial aid contingent on the student-athlete subsequently satisfying some nonathletics criteria prior to receiving any athletics aid, that student-athlete shall be included in the APP cohort for that term, whether the stated criteria are met or not. Provided the student-athlete meets all other criteria to be included in the APP cohort. The committee noted that offering athletics aid with a contingency is indicative of the institution's intention to provide the student-athlete with athletically related financial aid. Therefore, the institution should include the student-athlete in the APP cohort, based on the current definition of the cohort for institutions that offer athletically related financial aid (student-athletes who received institutional financial aid based in any degree on athletics ability and who are enrolled full time as of the institution's fifth week of class or official census date).