A G E N D A

National Collegiate Athletic Association

Division I Committee on Academic Performance

National office April 23-25, 2012
Palmer Pierce

Pre-Meeting Teleconference. *(1-2 p.m. Eastern time Monday, April 16)*
Dial-In Information: 866-590-5055, Passcode: 2082597

1. Welcome and announcements. [Supplement No. 1]

2. Review the March teleconference report of the NCAA Division I Committee on Academic Performance. [Supplement No. 2] (Jennifer Strawley)

3. Update on annual NCAA Division I Academic Progress Rate, penalty and public recognition press releases. (Strawley)

4. Update on governance survey. (Diane Dickman)

5. Review future meeting schedule. (Dickman)

   a. July 11-13, 2012; Indianapolis.

      - July 11 - Travel anytime.
      - July 12 - Full committee meets from 8 a.m. to 5 p.m. (Dinner at 6 p.m.)
      - July 13 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

   b. October 1-3, 2012; Indianapolis.

      - October 1 - Travel anytime.
      - October 2 - Full committee meets from 8 a.m. to 5 p.m.
      - October 3 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

c. February 17-19, 2013; Indianapolis.

- February 17 - Travel anytime.
- February 18 - Full committee meets from 8 a.m. to 5 p.m.
- February 19 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

d. April 16-19, 2013; Indianapolis.

- April 16 - Travel anytime.
- April 17 - Full committee meets from 8 a.m. to 5 p.m.
- April 18 - Full committee meets from 8 a.m. to 5 p.m.
- April 19 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

6. Preparation for April appeal hearings. (John Shukie)

a. Schedule of hearings. [Supplement No. 3]

b. Hearing materials posting.

c. Questions.

7. Update on men's and women's basketball coaches meetings. (Strawley and Dickman)

<u>In-Person Meeting</u>.

8. Update on APR data and penalties.

a. APR overview. [Supplement No. 4a – to be distributed at the meeting] (Tom Paskus)

b. APR adjustments and graduation points. [Supplement No. 4b] (Binh Nguyen and Tiese Roxbury)

c. List of all penalties. [Supplement No. 4c] (Katy Yurk)

d. Penalty waivers. (Yurk)

9. Review the application of various penalties. [Supplement No. 5] (Nguyen and Yurk)

a. Ten percent reduction of playing season;

b. Summer basketball out-of-season application; and

c. Out-of-season additional day off.

Anticipated Action Item:

- **Determine and approve policies.**

10. Review and approve the Committee on Academic Performance policies and procedures. [Supplement No. 6] (Shukie)

Anticipated Action Item:

- **Approve committee policies and procedures (includes all guides).**

11. Review and take action on the report from the NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting. [Supplement No. 7 – to be distributed at the meeting] (David Jamison and Binh Nguyen)

Anticipated Action Items:

- **Approve NCAA Division I Academic Performance Program, data and penalty reports for 2012-13.**
- **Approve the definition of graduation.**

12. Consider input regarding changing effective date of initial-eligibility legislation. [Supplement No. 8]

Anticipated Action Items:

- **Possible action to amend effective date.**

13. Update on limited-resource pilot program concept. [Supplement No. 9] (Strawley)

14. NCAA Division I Bylaw 14 deregulation update. [Supplement No. 10] (Bill Regan)

15. Other business.

    - Update on penalized/ineligible for postseason teams and transfer student-athletes. [Supplement No. 11] (Yurk/Strawley)

16. Adjournment.

A G E N D A

National Collegiate Athletic Association

Division I Committee on Academic Performance

National office April 23-25, 2012
Palmer Pierce

Pre-Meeting Teleconference. *(1-2 p.m. Eastern time Monday, April 16)*
Dial-In Information: 866-590-5055, Passcode: 2082597

1. Welcome and announcements. [Supplement No. 1]

2. Review the March teleconference report of the NCAA Division I Committee on Academic Performance. [Supplement No. 2] (Jennifer Strawley)

3. Update on annual NCAA Division I Academic Progress Rate, penalty and public recognition press releases. (Strawley)

4. Update on governance survey. (Diane Dickman)

5. Review future meeting schedule. (Dickman)

   a. July 11-13, 2012; Indianapolis.

      - July 11 - Travel anytime.
      - July 12 - Full committee meets from 8 a.m. to 5 p.m. (Dinner at 6 p.m.)
      - July 13 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

   b. October 1-3, 2012; Indianapolis.

      - October 1 - Travel anytime.
      - October 2 - Full committee meets from 8 a.m. to 5 p.m.
      - October 3 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

c. February 17-19, 2013; Indianapolis.

- February 17 - Travel anytime.
- February 18 - Full committee meets from 8 a.m. to 5 p.m.
- February 19 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

d. April 16-19, 2013; Indianapolis.

- April 16 - Travel anytime.
- April 17 - Full committee meets from 8 a.m. to 5 p.m.
- April 18 - Full committee meets from 8 a.m. to 5 p.m.
- April 19 - Full committee meets from 8 a.m. to noon. Return travel after 2 p.m.

6. Preparation for April appeal hearings. (John Shukie)

a. Schedule of hearings. [Supplement No. 3]

b. Hearing materials posting.

c. Questions.

7. Update on men's and women's basketball coaches meetings. (Strawley and Dickman)

<u>In-Person Meeting</u>.

8. Update on APR data and penalties.

a. APR overview. [Supplement No. 4a – to be distributed at the meeting] (Tom Paskus)

b. APR adjustments and graduation points. [Supplement No. 4b] (Binh Nguyen and Tiese Roxbury)

c. List of all penalties. [Supplement No. 4c] (Katy Yurk)

d. Penalty waivers. (Yurk)

9. Review the application of various penalties. [Supplement No. 5] (Nguyen and Yurk)

a. Ten percent reduction of playing season;

b. Summer basketball out-of-season application; and

c. Out-of-season additional day off.

Anticipated Action Item:

- **Determine and approve policies.**

10. Review and approve the Committee on Academic Performance policies and procedures. [Supplement No. 6] (Shukie)

Anticipated Action Item:

- **Approve committee policies and procedures (includes all guides).**

11. Review and take action on the report from the NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting. [Supplement No. 7 – to be distributed at the meeting] (David Jamison and Binh Nguyen)

Anticipated Action Items:

- **Approve NCAA Division I Academic Performance Program, data and penalty reports for 2012-13.**
- **Approve the definition of graduation.**

12. Consider input regarding changing effective date of initial-eligibility legislation. [Supplement No. 8]

Anticipated Action Items:

- **Possible action to amend effective date.**

13. Update on limited-resource pilot program concept. [Supplement No. 9] (Strawley)

14. NCAA Division I Bylaw 14 deregulation update. [Supplement No. 10] (Bill Regan)

15. Other business.

    - Update on penalized/ineligible for postseason teams and transfer student-athletes. [Supplement No. 11] (Yurk/Strawley)

16. Adjournment.

NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE

MAILING ADDRESS	PHONE/FAX/E-MAIL	SUBCOMMITTEES	CONFERENCE & SUBDIVISION	TERM EXPIRES
Jan Blade Faculty Athletics Representative Delaware State University 1200 North Dupont Highway Dover, Delaware 19901	Phone: 302/857-6607 Fax: 302/857-6618 Email: jblade@desu.edu **Assistant:** **Phone:** Email:	Appeals	Mid-Eastern Athletic Conference FCS	09/12
Jerry Bovee Director of Athletics Weber State University 2701 University Circle Ogden, Utah 84408	Phone: 801/626-7738 Fax: 801/626-8962 Email: jerrybovee@weber.edu **Assistant: Beth Bass** **Phone: 801/626-6817** Email: bbass@weber.edu	Data Collection and Reporting Appeals	Big Sky Conference FCS	09/15
Jennifer Brown Senior Woman Administrator Western Carolina University 2511 Ramsey Center Cullowhee, North Carolina 28723	Phone: 828/227-2337 Fax: 828/227-7688 Email: brownj@email.wcu.edu **Assistant: Kim Jamison** **Phone: 828/227-2011** Email: Kjamison@email.wcu.edu	Appeals	Southern Conference FCS	09/12
Michael Cross Director of Athletics Bradley University 1501 West Bradley Avenue Peoria, Illinois 61625	Phone: 309/677-2670 Fax: Email: mcross@bradley.edu **Assistant: Deanna Schick** **Phone:** Email: dschick@bradley.edu	Data Collection and Reporting	Missouri Valley Conference Division I	09/12
Jack Evans Professor of Business Administration Emeritus University of North Carolina, Chapel Hill 4706 McColl Building, Campus Box 3490 Chapel Hill, North Carolina 27599-4000	Phone: 919/962-4602 Fax: Email: jack_evans@unc.edu **Assistant: Cassiana Gudgenov** **Phone: 919/843-2025** Email: cassiana_gudgenov@unc.edu	Ad Hoc Member	Atlantic Coast Conference FBS	09/13
Kenneth Ferguson Faculty Athletics Representative University of Missouri, Kansas City 5100 Rockhill Road, LAW 2-310 Kansas City, Missouri 64110	Phone: 816/235-2386 Fax: 816/235-5276 Email: fergusonk@umkc.edu **Assistant: Elizabeth Couzens** **Phone: 816/235-1582** Email: couzense@umkc.edu	Data Collection and Reporting	The Summit League Division I	09/12

MAILING ADDRESS	PHONE/FAX/E-MAIL	SUBCOMMITTEES	CONFERENCE & SUBDIVISION	TERM EXPIRES
Walter Harrison, chair President University of Hartford 200 Bloomfield Avenue, Computer Center-3 West Hartford, Connecticut 06117-1599	Phone: 860/768-4417 Fax: 860/768-5417 Email: horky@hartford.edu **Assistant: Ilena Rosenstein** **Phone: 860/768-4418** Email: rosenstei@hartford.edu	Administrative Committee Chair	America East Conference Division I	09/13 Eligible for reappointment.
David Jamison Provost & Senior Vice President, Academic Affairs Robert Morris University 6001 University Boulevard Moon Township, Pennsylvania 15108-1189	Phone: 412/397-6225 Fax: 412/397-3851 Email: Jamison@rmu.edu **Assistant: Kelly Burchell** **Phone: 412/397-6226** Email: Burchell@rmu.edu	Data Collection and Reporting Chair	Northeast Conference FCS	09/13
Melvin Johnson Past President and Professor of Economics Tennessee State University 3500 John A. Merritt Boulevard Nashville, Tennessee 37209	Phone: 615/541-9060 Fax: 615/963-7407 Email: mnj@tnstate.edu **Assistant:** **Phone:** Email:		Ohio Valley Conference FCS	09/13
Barbara F. Luebke Faculty Athletics Representative University of Rhode Island 230 Chafee Hall Kingston, Rhode Island 02881	Phone: 401/874-5490 Fax: 401/874-4450 Email: bfluebke@uri.edu **Assistant:** **Phone:** Email:	Data Collection and Reporting Appeals	Atlantic 10 FCS	09/14
Roderick McDavis, vice chair President Ohio University Cutler Hall 108 Athens, Ohio 45701	Phone: 740/593-1804 Fax: 740/593-9196 Email: mcdavis@ohio.edu **Assistant: Kelli Swart** **Phone: 740/593-9754** Email: swartk1@ohio.edu	Administrative Committee	Mid-American Conference FBS	09/15
Lisa Melz Director of Athletic Academic Services/SWA Western Illinois University 116 Brophy Hall Macomb, Illinois 61455	Phone: 309/298-1721 Fax: 309/298-2981 Email: LA-Melz@wiu.edu **Assistant: Sue Danner** **Phone: 309/298-1879** Email: LS-Danner@wiu.edu	Appeals	The Summit League FCS	09/13

MAILING ADDRESS	PHONE/FAX/E-MAIL	SUBCOMMITTEES	CONFERENCE & SUBDIVISION	TERM EXPIRES
John Morris Senior Associate Director of Athletics University of Washington Conibear Shellhouse Room 137 Seattle, Washington 98195-4070	Phone: 206/543-4621 Fax: 206/616-5813 Email: jgmorris@u.washington.edu **Assistant: Ann Higgins** **Phone: 206/543-0981** Email: higginsa@u.washington.edu	Appeals Chair	Pacific-12 Conference FBS	09/14
Vince Nicastro Director of Athletics Villanova University 800 Lancaster Boulevard Jake Nevin Field House Villanova, Pennsylvania 19085	Phone: 610/519-4110 Fax: 610/519-7987 Email: Vincent.nicastro@villanova.edu **Assistant: Susan Guarino** **Phone: 610/519-4110** Email: susan.guarino@villanova.edu	Appeals	Big East Conference FCS	09/15
Brennan O'Donnell President Manhattan College 4513 Manhattan College Parkway Riverdale, New York 10471	Phone: 718/862-7301 Fax: 718/862-8030 Email: Brennan.odonnell@manhattan.edu **Assistant: Veronica Boland** **Phone: 718/862-7301** Email: veronica.boland@manhattan.edu		Metro Atlantic Athletic Conference	09/15
Greg Sankey Associate Commissioner Southeastern Conference 2201 Richard Arrington Boulevard North Birmingham, Alabama 35203	Phone: 205/458-3000 ext. 3005 Fax: 205/458-3031 Email: gsankey@sec.org **Assistant: Marianne Clancy** **Phone: 205/458-3000 ext. 3018** Email: mclancy@sec.org	Data Collection and Reporting	Southeastern Conference FBS	09/13
RESEARCH STAFF				
Tom Paskus Principal Research Scientist NCAA P.O. Box 6222 Indianapolis, Indiana 46206-6222	Phone: 317/917-6403 Fax: 317/917-6364 Email: tpaskus@ncaa.org **Assistant: Karen Cooper** **Phone: 317/917-6307** Email: kcooper@ncaa.org			
Todd Petr Managing Director of Research NCAA P.O. Box 6222 Indianapolis, Indiana 46206-6222	Phone: 317/917-6305 Fax: 317/917-6364 Email: tpaskus@ncaa.org **Assistant: Karen Cooper** **Phone: 317/917-6307** Email: kcooper@ncaa.org			

MAILING ADDRESS	PHONE/FAX/E-MAIL	SUBCOMMITTEES	CONFERENCE & SUBDIVISION	TERM EXPIRES
NCAA STAFF LIAISONS				
Diane Dickman Managing Director of Academic and Membership Affairs NCAA	Phone: 317/917-6621 Fax: 317/917-6865 Email: ddickman@ncaa.org **Assistant: Bridget Rigney** **Phone: 317/917-6671** Email: brigney@ncaa.org	Administrative Committee		
Kevin Lennon Vice President of Academic and Membership Affairs NCAA	Phone: 317/917-6614 Fax: 317/917-6864 Email: klennon@ncaa.org **Assistant: Lynn Dickey** **Phone: 317/917-6616** Email: ldickey@ncaa.org			
Bill Regan Director of Academic and Membership Affairs NCAA	Phone: 317/917-6697 Fax: 317/917-6919 Email: bregan@ncaa.org **Assistant: Holly Clary** **Phone: 317/917-6608** Email: hclary@ncaa.org	Administrative Committee		
John Shukie Director of Academic and Membership Affairs NCAA	Phone: 317/917-6041 Fax: 317/917-6920 Email: jshukie@ncaa.org **Assistant: Kim Hubert** **Phone: 317/917-6615** Email: khubert@ncaa.org	Administrative Committee		
Jennifer Strawley Director of Academic and Membership Affairs NCAA	Phone: 317/917-6611 Fax: 317/917-6845 Email: jstrawley@ncaa.org **Assistant: Anne Grieger** **Phone: 317/917-6517** Email: agrieger@ncaa.org	Administrative Committee		

REPORT OF THE
NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE
MARCH 14-15, 2012, TELECONFERENCES

***KEY ITEMS*.**

- **Timing and Announcement of the NCAA Division I Academic Performance Program (APP) Penalties.** The NCAA Division I Committee on Academic Performance determined that the current data collection process will remain in place for postseason ineligibility and penalties imposed during the 2012-13 academic year.

- **NCAA Division I Proposal No. 2011-94 Eligibility -- Freshman Academic Requirements -- Eligibility for Financial Aid, Practice and Competition -- Core Course Requirements and Initial-Eligibility Index.** The NCAA Division I Committee on Academic Performance is discussing noncontroversial legislation to amend the effective date of NCAA Division I Proposal No. 2011-94 to August 1, 2016; for students initially enrolling full time in a college institution on or after August 1, 2016. This would be a one-year delay from the current 2015 date. The committee seeks membership input and comment on this issue prior to its April meeting. The committee may seek NCAA Division I Board of Directors approval during the Board's April meeting.

***ACTION ITEMS*.**

1. Nonlegislative Items.

- **Amendments to the NCAA Division I Academic Performance Program for Limited-Resource Institutions.**

  (1) Recommendation. The Committee on Academic Performance recommends the Board of Directors amend the transition to the new 930 NCAA Division I Academic Progress Rate (APR) benchmark for APP penalties and access to postseason competition for limited-resource institutions (as defined in this item). Specifically, the amendments would:

  (a) Establish a longer transition timeline to 930 APR for limited-resource institutions. Specifically, 900 APR would be the penalty benchmark for ineligibility for postseason competition and Level-One through -Three penalties taken in 2012-13 and 2013-14; 910 in 2014-15; and 920 in 2015-16. For ineligibility for postseason competition and Level-One through -Three penalties taken in 2016-17 the penalty benchmark would be 930. As a frame of reference, all other Division I member institutions are subject to the new 930 APR requirements for postseason access and Level-One through -Three penalties taken in 2014-15.

(b) For ineligibility for postseason competition and APP penalties taken in 2012-13 through 2015-16 permit use of the improvement filter that was part of the previous APP penalty determination process. Application of the improvement trending test provides limited-resource institutions relief from ineligibility for postseason competition and penalties based on making significant improvement toward the 930 benchmark. The improvement filter requires a team to satisfy one of the five improvement tests and have the following minimum single-year APR to avoid postseason ineligibility and penalties: 2010-11 – 900 APR; 2011-12 – 900 APR; and 2012-13 and beyond – 930 APR.

(c) Require a meaningful APR improvement plan in order to access the longer transition timeline or the noted improvement filter. Review, approval and the appeal process for such determinations shall be as follows:

i. The staff shall collect the institution's most recent improvement plan along with information regarding implementation of the prior year's plan, if applicable, in the fall (e.g., fall of 2012 for ineligibility for postseason competition and penalties served during 2013-14 academic year).

ii. NCAA staff will evaluate each plan to determine if the following established criteria is met:

- The institution has a history of implementation of APR improvement plans if a plan was previously required;
- The institution has identified critical issues supported by data;
- The institution has developed meaningful initiatives that address the critical issues;
- Development and assessment of the plan included broad-based campus participation;

- This plan has been approved by the chancellor or president; and

- The team's projected single-year APR targets elevate the team out of the penalty structure by the end of the four-year transition period.

iii. Staff will provide written notice to the institution advising the institution of the staff's determination (i.e., whether the plan meets the established criteria).

iv. If the institution's plan and/or implementation of the prior plan do not meet the committee's criteria, staff will advise the institution and it may appeal the staff's assessment of the plan and/or implementation of prior year's plan. The institution's appeal of the staff's determination will be heard as part of its request to waive the applicable penalties, not separately.

For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all Football Bowl Subdivision (FBS) institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

Finally, the committee recommends the Board support the following additional recommendations from the Historically Black Colleges and Universities and Limited-Resource Institutions Advisory Group:

(a) That the HBCU and Limited-Resource Institutions Advisory Group engage presidents serving on the advisory group to help engage other presidents in the HBCU community regarding APP matters;

(b) That the staff conduct visits to some limited-resourced campuses to meet with presidents, senior management teams, directors of athletics and other appropriate staff for the purpose of engaging in dialog and education regarding APP matters;

(c) That the HBCU and Limited-Resource Institutions Advisory Group work with the staff to help engage directors of athletics through conference initiatives;

(d) That the HBCU and Limited-Resource Institutions Advisory Group and the staff encourage enhancement and greater use of the Limited-Resource Collaboration Zone;

(e) That the HBCU and Limited-Resource Institutions Advisory Group develop a partnership with the National Association of Academic Advisors for Athletics (N4A) to establish a program for peer review of academic support programs and policies to assist limited-resource institutions in meeting benchmarks;

(f) That the staff establish a best practices document for transitional periods on campus;

(g) That the HBCU and Limited-Resource Institutions Advisory Group and the Committee on Academic Performance be updated by staff annually on the progress of limited-resource institutions moving toward the 930 benchmark;

(h) That the HBCU and Limited-Resource Institutions Advisory Group identify one presidential member of the group to serve as an ad hoc member of the Committee on Academic Performance during policy meetings; and

(i) That the staff provide education to limited-resource institutions regarding initial eligibility and two-year college transfer legislative changes and encourage limited-resource institutions to share educational materials with prospect age student-athletes.

(2) Effective Date. Immediate. This would include postseason access and penalties otherwise applicable in 2012-13.

(3) Rationale. The HBCU and Limited-Resource Institutions Advisory Group group was formed late last fall based on a recommendation from the committee and has been working to provide recommendations regarding the APP's impact on limited-resource institutions. The advisory group provided recommendations to the committee based on concerns that limited-resource institutions are at a disadvantage due to the amount of

resources available to make academic changes to increase the APR. The proposed transition recommendation allows limited-resource institutions more time to make meaningful change for academically underperforming teams. The other recommendations support the ongoing APR improvement of limited-resource institutions and facilitate working towards meeting the established benchmark of 930 for all teams.

In defining limited resource for this purpose, the committee believes it is appropriate to exclude Football Bowl Subcommittee (FBS) institutions. These institutions have made a substantial financial commitment to their athletics department in order to be members of FBS, including sponsoring the necessary number of sports and provision of increased athletics scholarships. As such, these institutions should be in a position to be able to provide the resources necessary to increase the academic performance of student-athletes similar to other Division I institutions.

(4) Estimated Budget Impact. None.

(5) Student-Athlete Impact. None.

INFORMATIONAL ITEMS.

1. Timing and Announcement of APP Penalties. The Committee on Academic Performance continued its discussion of an alternative process for collection and finalizing of APRs to expedite the announcement of APRs and application of penalties and/or postseason ineligibility. The committee determined that the current data collection process will remain in place for ineligibility for postseason competition and penalties taken during the 2012-13 academic year. Currently, data are submitted each fall, waivers and appeals are conducted in the winter and spring and the announcement is made after the last postseason event each year. Ineligibility for postseason competition and any penalties assessed are taken in the next academic year (e.g., data years for eligibility for postseason in 2012-13 will be 2007-08, 2008-09, 2009-10 and 2010-11). During its discussion regarding timing of data collection the committee noted that it will consider any possible enhancements to the waiver directive during its summer meeting after it has had one full year to understand and evaluate the waiver directive.

2. Division I Proposal No. 2011-94 Eligibility -- Freshman Academic Requirements -- Eligibility for Financial Aid, Practice and Competition -- Core Course Requirements and Initial-Eligibility Index. The Committee on Academic Performance is considering making a recommendation to the Board of Directors that it sponsor

noncontroversial legislation to amend the effective date of Proposal No. 2011-94 to August 1, 2016; for students initially enrolling full time in any college institution on or after August 1, 2016. Specifically, the original effective date of August 1, 2015, would hold those prospective student-athletes that are currently freshmen in high school to the new initial-eligibility standards. Concerns have been raised that the timing of the adoption of this legislation may not provide sufficient opportunity to educate prospective student-athletes regarding the changes. The committee invites membership comment on this matter prior to its April meeting.

Additionally, the committee supports providing the membership with an opportunity to provide input into possible enhancements to the initial-eligibility legislation. The Committee on Academic Performance would consider any enhancements suggested by the membership during its July meeting and report to the Board in August.

3. **Other Recommendations Submitted by the HBCU and Limited-Resource Institutions Advisory Group.** The committee considered two other recommendations submitted by the advisory group and recommended further study on both recommendations. The specific recommendations were consideration of filters beyond the transition time period, with specific consideration of the retention point and greater faculty athletics representative involvement in assisting institutions in implementing improvement plans and working toward the 930 benchmarks.

4. **February Report of the NCAA Division I Committee on Academic Performance.** The committee reviewed the report.

5. **Newly Appointed Committee Members.** The committee was informed of the most recent committee appointments, effective September 1, 2012.

Committee Chair: Walter Harrison, University of Hartford, America East Conference
Staff Liaisons: Diane Dickman, Academic and Membership Affairs
Kevin Lennon, Academic and Membership Affairs
Todd Petr, Research
Bill Regan, Academic and Membership Affairs
John Shukie, Academic and Membership Affairs
Jennifer Strawley, Academic and Membership Affairs

March 14-15, 2012	
Attendees	Absentees
Jan Blade, Delaware State University	
Jerry Bovee, Weber State University	
Jennifer Brown, Western Carolina University	
Michael Cross, Bradley University	
Jack Evans, University of North Carolina, Chapel Hill	
Kenneth Ferguson, University of Missouri, Kansas City	
David Jamison, Robert Morris University	
Melvin Johnson, Tennessee State University	
Barbara Luebke, University of Rhode Island	
Lisa Melz, Western Illinois University	
Roderick McDavis, Ohio University	
John Morris, University of Washington	
Vince Nicastro, Villanova University	
Brennan O'Donnell, Manhattan College	
Greg Sankey, Southeastern Conference	
Other Guests in Attendance:	
Other NCAA Staff Members in Attendance: Andy Cardamone, Michelle Hosick, Andy Louthain, Tom Paskus, Todd Petr, Wally Renfro, Tiese Roxbury, Naima Stevenson, Katy Yurk.	

SUPPLEMENT NO. 3

NCAA Division I Committee on Academic Performance

April 2012 Hearing Schedule

Monday, April 23	
8 a.m.	North Carolina A&T State University Football.
1 p.m.	Texas Southern University Football.

Tuesday, April 24	
8 a.m.	Grambling State University Men's Basketball.
10:30 a.m.	Jacksonville State University Men's Basketball.
2 p.m.	Mississippi Valley State University Men's Basketball.

Summary of NCAA Division I Academic Performance Program
Level-One and -Three Penalty Waiver Requests Processed in 2011-12

Overview.

Pursuant to NCAA Bylaw 23, the NCAA Division I Committee on Academic Performance has the authority to waive the application of a team's ineligibility for postseason competition and NCAA Division I Academic Performance Program (APP) Level-One, -Two and -Three penalties. The committee has authorized the NCAA Division I Committee on Academic Performance Subcommittee on Appeals and the staff to review Level-One and -Two waiver requests as well as requests to waive ineligibility for postseason competition that accompany Level-One or -Two penalties. The staff makes all initial decisions and the subcommittee serves as the appellate body in this process. The full committee hears appeals of the subcommittee's decisions on ineligibility for postseason competition only. The staff may approve or partially approve Level-Three penalty waiver requests as well as requests to waive ineligibility for postseason competition that accompany Level-Three penalties. The committee hears all appeals and cases the staff is unable to decide.

The staff is required to report out on these decisions on an annual basis. This document serves as that annual report.

Overall Numbers.

Total Number of APP Penalty Waivers:

Penalty Waiver Type	Number of Cases
Level-One with postseason ineligibility	9
Level-One without postseason ineligibility	4
Level-Three with postseason ineligibility	5
Level-Three without postseason ineligibility	5
Total	23

Total Waiver Cases by Sport/Penalty Type:

Sport	Level-One with Postseason Ineligibility	Level-One without Postseason Ineligibility	Level-Three with Postseason Ineligibility	Level-Three without Postseason Ineligibility	Total
Football	1		2		3
Men's Basketball	6	1	3	4	14
Men's Cross Country		1			1
Men's Soccer	1				1
Men's Track, Indoor		1			1
Men's Track, Outdoor		1			1
Men's Wrestling	1				1
Women's Cross Country				1	1
Totals	9	4	5	5	23

Level-One Penalty Waivers.

Level-One Penalty Waiver Cases by Sport/Subdivision:

Sport	FBS	FCS	Division I (No Football)	Total
Football with Postseason Ineligibility		1		1
Football without Postseason Ineligibility				
Men's Basketball with Postseason Ineligibility	1	1	4	6
Men's Basketball without Postseason Ineligibility		1		1
Men's Cross Country with Postseason Ineligibility				
Men's Cross Country without Postseason Ineligibility		1		1
Men's Soccer with Postseason Ineligibility		1		1
Men's Soccer without Postseason Ineligibility				
Men's Track, Indoor with Postseason Ineligibility				
Men's Track, Indoor without Postseason Ineligibility		1		1
Men's Track, Outdoor with Postseason Ineligibility				
Men's Track, Outdoor without Postseason Ineligibility		1		1
Men's Wrestling with Postseason Ineligibility		1		1
Men's Wrestling without Postseason Ineligibility				
Totals	1	8	4	13

Level-One Waiver Cases by Decision:

Sport	Full Relief with Conditions	Partial Relief with Conditions	Relief of Postseason Ineligibility Only	Relief of Level-One Penalty Elements Only	No Relief	Total
Football					1	1
Men's Basketball					7	7
Men's Cross Country					1	1
Men's Soccer					1	1
Men's Track, Indoor					1	1
Men's Track, Outdoor					1	1
Men's Wrestling					1	1
Totals					13	13

Level-One Penalty Waiver Cases by Conference (one case may include multiple teams):

Conference	Number
Big East Conference	1
Big Sky Conference	1
Big West Conference	1
Colonial Athletic Conference	2
Independent	1
Mid-Eastern Athletic Conference	2
Northeast Conference	1
Southland Conference	1

Level-Three Penalty Waivers.

Level-Three Penalty Waiver Cases by Sport/Division:

Sport	FBS	FCS	Division I (No Football)	Total
Football with Postseason Ineligibility		2		2
Football without Postseason Ineligibility				
Men's Basketball with Postseason Ineligibility	2	1		3
Men's Basketball without Postseason Ineligibility	1	2	1	4
Women's Cross Country with Postseason Ineligibility				
Women's Cross Country without Postseason Ineligibility			1	1
Totals	3	5	2	10

Level-Three Penalty Waiver Cases by Decision:

Sport	Full Relief with Conditions	Partial Relief with no Conditions	Partial Relief with Conditions	Relief of Postseason Ineligibility Only	Relief of Level-Three Penalty Elements Only	No Relief	Hearing	Total
Football							4	4
Men's Basketball		1*		1*	1	1	1	5
Women's Cross Country			1*					1
Totals		1	1	1	1	1	5	10

*Institution self-imposed additional penalties.

Level-Three Penalty Waiver Cases by Conference:

Conference	Number
Great West Conference	1
Mid-American Conference	1
Mid-Eastern Athletic Conference	2
Ohio Valley Conference	1
Southeastern Conference	1
Southwestern Athletic Conference	3
Sun Belt Conference	1

Penalty Waiver Appeals and Hearings.

The following is a breakdown of Level-One penalty waiver cases that were appealed to the subcommittee. Institutions could also appeal postseason ineligibility only to the chair of the full committee who determined if the case should be forwarded to the committee.

Level-One Penalty/Postseason Ineligibility Waiver Appeals	Subcommittee Decision	Committee Chair Decision on Postseason Ineligibility
8	Staff decision upheld	Denied

The committee heard one Level-Three penalty waiver case in February. That case was appealed to the NCAA Division I Board of Directors Subcommittee on Appeals, but the chair elected not to forward the case on to the subcommittee. There are five Level-Three penalty waiver cases that will be heard by the committee during the April 2012 meetings.

SUPPLEMENT NO. 4a

National and Sport-Group APR Averages, Trends and Penalties

Division I Committee on Academic Performance
DRAFT -- Do not distribute

April 2012

NCAA Research

Average Four-Year APRs

Includes 2007-08 through 2010-11 Academic Years

	Four-Year Average
Overall	**973 (+3)**
Baseball	**965 (+6)**
Men's Basketball	**950 (+5)**
Football	**949 (+3)**
Women's Basketball	**970 (+2)**

Notes: (1) APR displayed for all squads submitting data for 2010-11 (N=6,413)
(2) Numbers in parentheses are point changes from 4-year APRs reported in May 2011.
(3) Changes in aggregates over time reflect changes in academic behaviors, changes in the institutional composition of Division I and changes in how retention was calculated beginning with 2007-08 data.

Average APRs by Sport for Men's Teams
(Four-Year APR for 2007-08 thru 2010-11 AY)

SPORT	# Teams	Four-Year APR Average
Baseball	297	965
Basketball	344	950
Cross Country	314	973
Fencing	18	970
Football (FBS)	120	952
Football (FCS)	124	945
Golf	298	973
Gymnastics	16	983
Ice Hockey	58	982
Lacrosse	60	972
Rifle (co-ed)	23	973
Skiing	11	975
Soccer	203	968
Swimming	137	974
Tennis	260	973
Track (Indoor)	258	963
Track (Outdoor)	277	965
Volleyball	23	976
Water Polo	22	979
Wrestling	80	960

Average APRs by Sport for Women's Teams
(Four-Year APR for 2007-08 thru 2010-11 AY)

SPORT	# Teams	Four-Year APR Average
Basketball	342	970
Bowling	34	958
Crew	84	986
Cross Country	341	981
Fencing	22	978
Field Hockey	78	990
Golf	254	985
Gymnastics	62	988
Ice Hockey	34	987
Lacrosse	91	987
Skiing	12	983
Soccer	321	980
Softball	288	978
Swimming	196	985
Tennis	321	982
Track (Indoor)	312	974
Track (Outdoor)	318	975
Volleyball	327	980
Water Polo	33	979

Aggregate Trends in Single-Year APR, Eligibility and Retention

NCAA Research

Changes in the APR Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average APR	Median APR	APR Distribution Standard Deviation
2003-04	960.6	971	44.2
2004-05	960.6	971	43.6
2005-06	961.4	971	42.1
2006-07	964.3	974	39.6
2007-08	971.3	981	35.2
2008-09	973.0	983	34.2
2009-10	973.9	984	34.5
2010-11	973.9	983	32.5

Notes:
(1) Rates include adjustments and delayed graduation points.
(2) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(3) APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red).

Changes in the Eligibility Rate Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average Eligibility Rate	Eligibility Distribution Standard Deviation
2003-04	965.2	54.4
2004-05	963.6	52.0
2005-06	963.9	51.3
2006-07	966.6	49.5
2007-08	969.8	45.5
2008-09	972.8	42.8
2009-10	974.5	41.9
2010-11	974.3	40.4

Notes:
(1) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(2) Median eligibility rates were at or near 1000 in each of the years (approximately 50% of all squads lose no eligibility points in a given year).

Changes in the Retention Rate Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average Retention Rate	Median Retention Rate	Retention Distribution Standard Deviation
2003-04	953.9	964	52.1
2004-05	954.2	966	53.6
2005-06	954.7	964	51.7
2006-07	957.1	968	49.5
2007-08	967.8	979	41.3
2008-09	968.9	981	40.7
2009-10	969.5	982	41.0
2010-11	970.2	982	38.9

Notes:
(1) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(2) APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red).

Sport Trends in Single-Year APR, Eligibility and Retention

NCAA Research

APR, Eligibility and Retention Trends in Baseball, Men's Basketball and Football

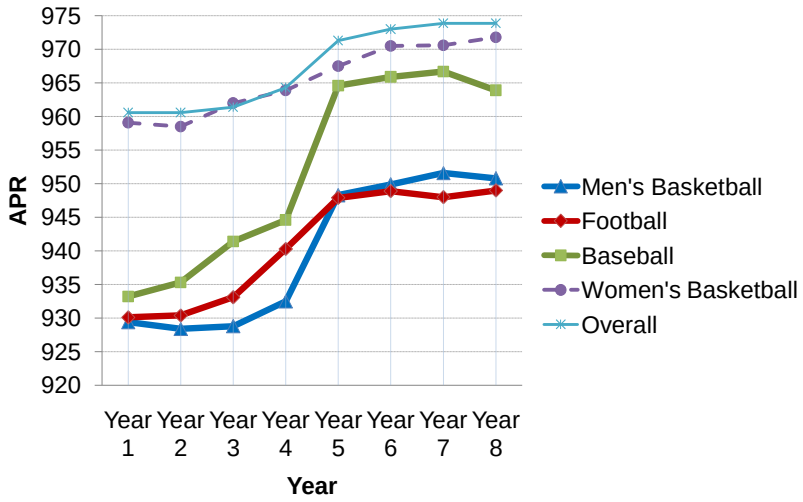
APR	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	933.2	935.3	941.4	944.6	964.6	965.9	966.7	963.9
Men's Basketball	929.4	928.4	928.8	932.5	948.3	949.9	951.6	950.8
Football	930.1	930.4	933.1	940.3	947.9	948.9	948.0	949.0
Women's Basketball	959.2	958.5	962.0	963.9	967.5	970.5	970.6	971.8

ELIGIBILITY	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	940.6	938.0	940.2	950.4	968.4	967.9	972.5	969.8
Men's Basketball	936.5	935.3	935.9	947.3	958.3	956.6	960.7	960.3
Football	921.2	919.5	921.9	929.1	934.5	938.4	937.0	939.8
Women's Basketball	970.8	968.4	974.8	973.9	970.6	976.6	977.1	977.0

RETENTION	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	919.2	923.5	930.6	928.4	947.4	952.8	952.2	950.7
Men's Basketball	917.0	910.5	909.2	907.1	928.2	934.7	932.7	931.6
Football	933.7	933.3	936.0	941.5	949.8	949.7	949.7	949.7
Women's Basketball	945.0	944.8	945.3	949.8	960.0	960.3	961.6	963.7

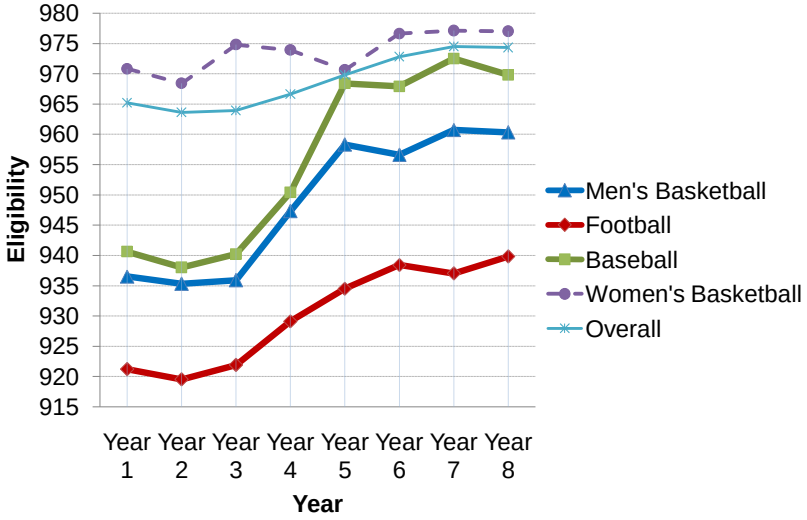
Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

APR Trends in Baseball, Men's Basketball and Football



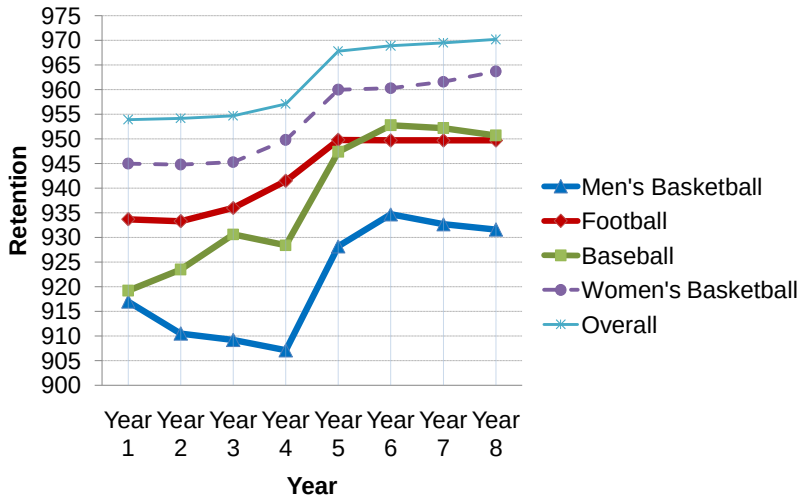
Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Eligibility Trends in Baseball, Men's Basketball and Football



Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Retention Trends in Baseball, Men's Basketball and Football



Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Average APRs by Sport for Men's Teams (Single-Year APRs in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	933	935	941	945	965	966	967	964
Basketball	929	928	929	932	948	950	952	951
Cross Country	959	961	962	966	968	971	978	979
Football	930	930	933	940	948	949	948	949
Golf	963	960	962	962	973	978	974	969
Ice Hockey	971	972	967	971	980	981	982	981
Lacrosse	969	972	976	973	975	975	976	974
Soccer	954	953	953	961	969	969	970	966
Swimming	973	962	965	970	973	977	973	977
Tennis	959	966	959	967	969	970	976	974
Track (Indoor)	951	951	949	956	959	965	966	964
Track (Outdoor)	951	952	950	956	961	966	968	964
Wrestling	944	938	944	947	966	959	962	959

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average Eligibility Rates by Sport for Men's Teams (Single-Year Eligibility Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	941	938	940	950	968	968	972	970
Basketball	937	935	936	947	958	957	961	960
Cross Country	957	966	963	962	962	968	974	974
Football	921	919	922	929	935	938	937	940
Golf	971	966	967	964	975	979	977	971
Ice Hockey	981	980	979	981	984	986	986	985
Lacrosse	974	975	978	981	978	978	979	975
Soccer	962	962	961	967	972	973	974	970
Swimming	970	960	963	967	966	972	972	973
Tennis	970	974	970	973	969	975	982	980
Track (Indoor)	944	941	935	943	942	953	954	952
Track (Outdoor)	943	941	935	942	945	954	955	952
Wrestling	944	933	937	936	956	950	961	952

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years.

Average Eligibility Rates by Sport for Men's Teams – 2010-11 vs. 2005-06 Single-Year Rate

Rank	SPORT	2010-11	Δ E-Rate
1	Ice Hockey	985	+6
2	Tennis	980	+10
3	Lacrosse	975	-3
4	Cross Country	974	+11
5	Swimming	973	+10
6	Golf	971	+4
7	Soccer	970	+9
8	Baseball	970	+30
9	Basketball	960	+24
10	Track (Outdoor)	952	+17
11	Track (Indoor)	952	+17
12	Wrestling	952	+15
13	Football	940	+18

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years. Δ E-Rate = 2010-11 single-year eligibility rate minus 2005-06 single-year eligibility rate.

Average Retention Rates by Sport for Men's Teams (Single-Year Retention Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	919	923	931	928	947	953	952	951
Basketball	917	910	909	907	928	935	933	932
Cross Country	959	955	959	967	968	971	978	980
Football	934	933	936	941	950	950	950	950
Golf	953	951	955	957	968	974	969	966
Ice Hockey	959	959	952	955	972	972	974	974
Lacrosse	962	968	973	963	970	969	971	970
Soccer	942	940	941	948	960	959	962	956
Swimming	973	962	962	970	976	977	972	978
Tennis	947	957	946	958	966	960	967	965
Track (Indoor)	956	958	958	963	969	970	970	970
Track (Outdoor)	955	958	960	962	971	972	972	970
Wrestling	942	934	941	947	964	959	957	959

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average APRs by Sport for Women's Teams (Single-Year APRs in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	959	958	962	964	968	971	971	972
Crew	985	976	985	987	985	984	986	986
Cross Country	972	971	970	972	979	978	983	986
Field Hockey	983	985	984	983	989	991	989	989
Golf	973	971	977	977	985	985	985	984
Gymnastics	982	982	983	985	988	989	990	987
Lacrosse	983	985	985	986	987	991	988	989
Soccer	972	972	973	976	978	981	980	982
Softball	966	966	965	970	977	980	979	979
Swimming	978	979	979	979	983	984	988	984
Tennis	969	970	973	970	983	983	976	987
Track (Indoor)	965	965	964	965	971	972	976	977
Track (Outdoor)	966	966	966	967	971	974	977	978
Volleyball	968	970	969	972	980	980	980	979

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average Eligibility Rate by Sport for Women's Teams (Single-Year Eligibility Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	971	968	975	974	971	977	977	977
Crew	989	981	986	987	986	983	985	985
Cross Country	977	975	976	975	978	980	984	986
Field Hockey	989	993	990	991	992	994	994	994
Golf	980	975	982	984	986	990	988	987
Gymnastics	983	981	983	987	987	988	988	989
Lacrosse	992	989	991	990	990	991	989	991
Soccer	983	982	980	983	981	983	984	985
Softball	971	971	970	974	978	981	979	981
Swimming	982	983	984	980	982	986	990	984
Tennis	981	979	984	982	989	987	984	990
Track (Indoor)	966	962	959	961	964	965	971	973
Track (Outdoor)	966	964	959	962	963	967	971	973
Volleyball	978	980	979	983	984	984	984	982

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years.

Average Eligibility Rates by Sport for Women's Teams – 2010-11 Rate vs. 2005-06 Rate

Rank	SPORT	2010-11	Δ E-Rate
1	Field Hockey	994	+4
2	Lacrosse	991	+0
3	Tennis	990	+6
4	Gymnastics	989	+6
5	Golf	987	+5
6	Cross Country	986	+10
7	Crew	985	-1
8	Soccer	985	+5
9	Swimming	984	+0
10	Volleyball	982	+3
11	Softball	981	+11
12	Basketball	977	+2
13	Track (Outdoor)	973	+14
14	Track (Indoor)	973	+14

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years. Δ E-Rate = 2010-11 single-year eligibility rate minus 2005-06 single-year eligibility rate.

Average Retention Rate by Sport for Women's Teams (Single-Year Retention Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	945	945	945	950	960	960	962	964
Crew	981	971	982	984	981	982	984	984
Cross Country	966	967	962	965	976	975	981	983
Field Hockey	976	976	975	973	986	987	981	983
Golf	965	966	971	969	982	978	981	979
Gymnastics	979	980	981	983	987	988	992	985
Lacrosse	974	980	977	979	983	988	985	985
Soccer	960	960	963	966	972	976	973	977
Softball	961	958	956	961	973	975	977	973
Swimming	973	974	973	975	982	980	984	983
Tennis	956	959	961	957	976	978	967	982
Track (Indoor)	963	966	966	965	974	975	977	979
Track (Outdoor)	964	967	969	967	974	977	979	980
Volleyball	956	958	956	958	973	974	974	974

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

APR Delayed Graduation Points

NCAA Research

Distribution of Total Number of Delayed Graduation Points Earned

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Overall	653	995	1,227	1,405	1,502	1,354	1,213	1,080
Baseball	107	143	187	161	210	166	125	99
MBB	48	91	108	92	94	79	84	87
WBB	24	38	40	48	45	45	29	32
Football	194	287	299	354	398	346	332	296

Note: Includes only N=5,828 squads in APR each of last 8 years.

Trends in APR 0-for-2s

Changes in the Number of 0-for-2s among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Number of 0-for-2s on these Squads	Percent of Total Student-Athlete Cohort
2003-04	3,811	3.6%
2004-05	3,847	3.6%
2005-06	3,618	3.3%
2006-07	3,196	2.9%
2007-08	2,965	2.7%
2008-09	2,820	2.5%
2009-10	2,684	2.4%
2010-11	2,779	2.5%

Notes:
(1) Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years .
(2) "0-for-2" defined as student-athletes separating from a school while academically ineligible.
(3) 0-for-2 counts based on cohort definitions – SAs playing multiple sports could appear as multiple 0-for-2s in this table.
(4) Change from 2004-05 to 2010-11 represents a 27% reduction in the number of 0-for-2s.

Trends in Number of 0-for-2s -- Student-Athletes Leaving School While Academically Ineligible

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Men	2,889 (5.1%)	2,886 (5.0%)	2,686 (4.5%)	2,387 (4.1%)	2,128 (3.6%)	2,050 (3.4%)	1,982 (3.3%)	2,085 (3.5%)
Women	917 (1.9%)	958 (2.0%)	929 (1.9%)	803 (1.6%)	833 (1.6%)	767 (1.5%)	697 (1.3%)	688 (1.3%)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	413 (5.6%)	381 (5.0%)	337 (4.4%)	307 (4.0%)	235 (3.0%)	212 (3.0%)	189 (2.8%)	233 (3.4%)
Men's Basketball	319 (7.8%)	316 (7.6%)	308 (7.3%)	254 (6.1%)	197 (4.7%)	193 (4.6%)	188 (4.5%)	182 (4.4%)
Football	1,302 (7.0%)	1,283 (6.8%)	1,151 (6.1%)	1,046 (5.6%)	929 (4.9%)	912 (4.8%)	935 (4.8%)	928 (4.8%)
Women's Basketball	135 (3.0%)	146 (3.2%)	121 (2.7%)	98 (2.2%)	129 (2.9%)	100 (2.2%)	107 (2.4%)	99 (2.2%)

Notes:
(1) Analyses based on squads that sponsored the sport within Division I during all eight years.
(2) N = Number of student-athletes leaving school while ineligible ("0-for-2s") during that academic year (includes SAs who left ineligible after exhausting their eligibility).
(3) % = Percentage of individuals in that sport who were 0-for-2s in that academic year.

Trends in the Number of Transfer Student-Athletes

NCAA Research

Trends in Transfer Composition of Division I Student-Athlete Population

	Overall							
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	86.7%	86.8%	87.2%	87.6%	88.0%	88.6%	88.7%	88.4%
2-year Transfers	6.1%	5.9%	5.6%	5.3%	5.1%	4.9%	5.0%	5.3%
4-year Transfers	7.2%	7.2%	7.2%	7.2%	6.9%	6.5%	6.3%	6.4%

2010-11 Transfer Composition of Division I Student-Athlete Population (by Sport)

	Baseball	Men's Basketball	Football	Men's Other	Women's Basketball	Women's Other
Non-Transfers	77.2%	73.5%	87.2%	89.1%	83.3%	91.3%
2-year Transfers	19.9%	15.6%	7.7%	3.2%	8.4%	2.6%
4-year Transfers	2.9%	10.9%	5.1%	7.6%	8.3%	6.1%

2010-11 Transfer Composition of Division I Student-Athlete Population (Men's Sports with 50 or More Teams)

SPORT	2010-11	
	2-year	4-year
Baseball	19.9%	2.9%
Basketball	15.6%	10.9%
Cross Country	2.6%	7.6%
Football	7.7%	5.1%
Golf	4.4%	7.8%
Ice Hockey	2.0%	4.0%
Lacrosse	0.8%	3.5%
Soccer	3.6%	11.2%
Swimming	1.9%	4.6%
Tennis	2.3%	15.0%
Track (Indoor)	4.0%	7.8%
Track (Outdoor)	4.2%	7.7%
Wrestling	2.5%	4.4%

2010-11 Transfer Composition of Division I Student-Athlete Population (Women's Sports with 50 or More Teams)

SPORT	2010-11	
	2-year	4-year
Basketball	8.4%	8.3%
Crew	1.4%	4.0%
Cross Country	2.3%	6.2%
Field Hockey	0.3%	3.2%
Golf	2.3%	7.7%
Gymnastics	0.5%	2.9%
Lacrosse	0.8%	3.4%
Soccer	1.3%	5.5%
Softball	6.2%	4.7%
Swimming	0.9%	4.6%
Tennis	1.7%	13.0%
Track (Indoor)	3.0%	6.5%
Track (Outdoor)	3.0%	6.4%
Volleyball	4.8%	8.0%

Trends In Number (Percent) of Transfers Into Division I: Men's Baseball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	5,356 (72.7)	5,506 (72.7)	5,592 (72.7)	5,665 (74.1)	5,738 (74.0)	5,455 (76.3)	5,327 (77.8)	5,259 (77.5)
2-year Transfers	1,423 (19.3)	1,417 (18.7)	1,397 (18.2)	1,332 (17.4)	1,366 (17.6)	1,273 (17.8)	1,279 (18.7)	1,324 (19.5)
4-year Transfers	593 (8.0)	651 (8.6)	696 (9.1)	650 (8.5)	651 (8.4)	417 (5.8)	242 (3.5)	200 (2.9)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Men's Basketball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	3,039 (74.0)	3,027 (72.6)	3,033 (72.1)	3,011 (72.0)	3,094 (73.8)	3,087 (74.1)	3,123 (74.8)	3,072 (73.9)
2-year Transfers	684 (16.7)	726 (17.4)	750 (17.8)	725 (17.3)	651 (15.5)	635 (15.3)	633 (15.2)	642 (15.4)
4-year Transfers	385 (9.4)	415 (10.0)	424 (10.1)	445 (10.7)	449 (10.7)	439 (10.6)	421 (10.1)	445 (10.7)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Men's Football

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	16,150 (86.6)	16,430 (86.8)	16,568 (87.2)	16,430 (87.2)	16,664 (87.7)	16,765 (87.8)	16,933 (87.8)	16,903 (87.3)
2-year Transfers	1,514 (8.1)	1,519 (8.0)	1,419 (7.5)	1,368 (7.3)	1,341 (7.1)	1,368 (7.2)	1,401 (7.3)	1,476 (7.6)
4-year Transfers	987 (5.3)	989 (5.2)	1,022 (5.4)	1,042 (5.5)	988 (5.2)	962 (5.0)	951 (4.9)	969 (5.0)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Women's Basketball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	3,744 (82.6)	3,770 (83.1)	3,821 (84.1)	3,799 (83.6)	3,766 (83.7)	3,767 (84.0)	3,749 (83.6)	3,703 (83.5)
2-year Transfers	445 (9.8)	434 (9.6)	409 (9.0)	418 (9.2)	427 (9.5)	390 (8.7)	397 (8.9)	368 (8.3)
4-year Transfers	341 (7.5)	331 (7.2)	309 (6.8)	326 (7.2)	313 (6.9)	325 (7.3)	338 (7.5)	364 (8.2)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

NCAA Division I Academic Progress Rate
Adjustment Requests for the 2011-12 Academic Year

Summary

The following is a summary of NCAA Division I Academic Progress Rate (APR) adjustment requests that were submitted by member institutions during the 2011-12 academic year.

Total Number of Adjustment Cases: 140
Total Number of Student-Athletes: 323
Total Approved Requests: 181
Total Denied Requests: 126
Total Withdrawn Requests: 16
Average Number of Student-Athletes per Case: 2.3

Adjustment Cases by APR Cohort Year			
2007-08	**2008-09**	**2009-10**	**2010-11**
4	7	20	109

Adjustment Requests by Mitigation			
Professional Athletics	**Transfer**	**Medical Hardship**	**Other (e.g., Financial Hardship, Harassment)**
10 student-athletes	42 student-athletes	101 student-athletes	170 student-athletes

Summary of NCAA Division I Academic Performance Program
Level-One and -Three Penalty Waiver Requests Processed in 2011-12

Overview.

Pursuant to NCAA Bylaw 23, the NCAA Division I Committee on Academic Performance has the authority to waive the application of a team's ineligibility for postseason competition and NCAA Division I Academic Performance Program (APP) Level-One, -Two and -Three penalties. The committee has authorized the NCAA Division I Committee on Academic Performance Subcommittee on Appeals and the staff to review Level-One and -Two waiver requests as well as requests to waive ineligibility for postseason competition that accompany Level-One or -Two penalties. The staff makes all initial decisions and the subcommittee serves as the appellate body in this process. The committee chair hears appeals of the subcommittee's decisions on ineligibility for postseason competition only. The staff may approve or partially approve Level-Three penalty waiver requests as well as requests to waive ineligibility for postseason competition that accompany Level-Three penalties. The committee hears all Level Three Penalty appeals and cases not decided by the staff.

The staff is required to report out on these decisions on an annual basis. This document serves as that annual report.

Overall Numbers.

Total Number of APP Waivers:

Waiver Type	Number of Cases
Level-One with postseason ineligibility	9
Level-One without postseason ineligibility	4
Level-Three with postseason ineligibility	5
Level-Three without postseason ineligibility	5
Total	23

Total Waiver Cases by Sport/Penalty Type:

Sport	Level-One with Postseason Ineligibility	Level-One without Postseason Ineligibility	Level-Three with Postseason Ineligibility	Level-Three without Postseason Ineligibility	Total
Football	1		2		3
Men's Basketball	6	1	3	4	14
Men's Cross Country		1			1
Men's Soccer	1				1
Men's Track, Indoor		1			1
Men's Track, Outdoor		1			1
Men's Wrestling	1				1
Women's Cross Country				1	1
Totals	9	4	5	5	23

Level-One Penalty Waivers (with and without Ineligibility for Postseason Competition).

Waiver Cases by Sport/Subdivision:

Sport	FBS	FCS	Division I (No Football)	Total
Football with Postseason Ineligibility		1		1
Football without Postseason Ineligibility				
Men's Basketball with Postseason Ineligibility	1	1	4	6
Men's Basketball without Postseason Ineligibility		1		1
Men's Cross Country with Postseason Ineligibility				
Men's Cross Country without Postseason Ineligibility		1		1
Men's Soccer with Postseason Ineligibility		1		1
Men's Soccer without Postseason Ineligibility				
Men's Track, Indoor with Postseason Ineligibility				
Men's Track, Indoor without Postseason Ineligibility		1		1
Men's Track, Outdoor with Postseason Ineligibility				
Men's Track, Outdoor without Postseason Ineligibility		1		1
Men's Wrestling with Postseason Ineligibility		1		1
Men's Wrestling without Postseason Ineligibility				
Totals	1	8	4	13

Waiver Cases by Decision:

Sport	Full Relief with Conditions	Partial Relief with Conditions	Relief of Postseason Ineligibility Only	Relief of Level-One Penalty Elements Only	No Relief	Total
Football					1	1
Men's Basketball					7	7
Men's Cross Country					1	1
Men's Soccer					1	1
Men's Track, Indoor					1	1
Men's Track, Outdoor					1	1
Men's Wrestling					1	1
Totals					13	13

Waiver Cases by Conference (one case may include multiple teams):

Conference	Number
Big East Conference	1
Big Sky Conference	1
Big West Conference	1
Colonial Athletic Conference	2
Independent	1
Mid-Eastern Athletic Conference	2
Northeast Conference	1
Southland Conference	1

Level-Three Penalty Waivers (Staff and Committee Decisions).

Waiver Cases by Sport/Division:

Sport	FBS	FCS	Division I (No Football)	Total
Football with Postseason Ineligibility		2		2
Football without Postseason Ineligibility				
Men's Basketball with Postseason Ineligibility	2	1		3
Men's Basketball without Postseason Ineligibility	1	2	1	4
Women's Cross Country with Postseason Ineligibility				
Women's Cross Country without Postseason Ineligibility			1	1
Totals	3	5	2	10

Waiver Cases by Decision:

Sport	Full Relief with Conditions	Partial Relief with no Conditions	Partial Relief with Conditions	Relief of Postseason Ineligibility Only	Relief of Level-Three Penalty Elements Only	No Relief	Awaiting Hearing	Total
Football							4	4
Men's Basketball		1*		1*	1	1	1	5
Women's Cross Country			1*					1
Totals		1	1	1	1	1	5	10

*Institution self-imposed additional penalties.

Waiver Cases by Conference:

Conference	Number
Great West Conference	1
Mid-American Conference	1
Mid-Eastern Athletic Conference	2
Ohio Valley Conference	1
Southeastern Conference	1
Southwestern Athletic Conference	3
Sun Belt Conference	1

Penalty Waiver Appeals and Hearings.

The following is a breakdown of Level-One penalty waiver cases (with or without ineligibility for postseason competition) that were appealed to the Subcommittee on Appeals. Institutions can appeal postseason ineligibility to the chair of the full committee who determines if the case should be forwarded to the committee.

Level-One Penalty/Postseason Ineligibility Waiver Appeals	Subcommittee Decision	Committee Chair Decision on Postseason Ineligibility
8	Staff decision upheld	Denied

The committee heard one Level-Three penalty waiver case in February. That case was appealed to the NCAA Division I Board of Directors Subcommittee on Appeals, and was denied. Five Level-Three penalty waiver cases will be heard by the committee during the April 2012 meetings.

Teams that Avoided Penalties with the Limited Resource Review.

The following is a breakdown of teams that avoided APP penalties and in some cases postseason ineligibility with the limited-resource review* that considers a limited resource team's improvement and the quality of the institution's APR improvement plan.

Sport	Level-One with Postseason Ineligibility	Level-One without Postseason Ineligibility	Level-Three with Postseason Ineligibility	Level-Three without Postseason Ineligibility	Total
Football			1	1	2
Men's Baseball	1		1		2
Men's Basketball			3		3
Men's Wrestling				1	1
Women's Softball		1			1
Women's Track, Indoor				1	1
Women's Track, Outdoor		1	1		2
Women's Volleyball			1	3	4
Totals	1	2	7	6	16

*Note: This filter will be considered by the NCAA Division I Board of Directors during its April meeting. If it is not approved, these teams will be subject to penalties and/or ineligibility for postseason.

NCAA Division I Academic Performance Program
Penalty Structure and Playing and Practice Season Restrictions

Introduction.

In October 2011, the NCAA Division I Board of Directors adopted a new three-level penalty structure for the NCAA Division I Academic Performance Program (APP). The first penalty level limits teams to 16 hours of practice a week over five days, with the lost four hours to be replaced with academic activities. This represents a reduction of four hours and one day per week of practice time. The second penalty level includes additional out-of-season practice restrictions and competition restrictions in either the traditional or nontraditional season, depending on the sport. The third penalty level allows for a menu of penalty options, including coaching suspensions, financial aid reductions and restricted NCAA membership. Since the adoption of the new structure, several questions and issues regarding the application of these penalties have been identified for NCAA Division I Committee on Academic Performance discussion.

Issue No. 1 – Reduction of the Traditional Playing and Practice Season.

The committee has established that the APP Level-Two penalty includes a 10-percent reduction in the playing and practice season and competition for teams without a nonchampionship segment of the playing and practice season. Clarification is sought on the application of this penalty element, specifically in the sport of basketball, which does not have a prescribed number of days for its season. Additionally, NCAA legislation contains multiple references to "regular season" competition and "conference tournament" competition. Some references appear to consider these as one complete unit and others distinguish them. Such distinction impact a penalized team's reduction in the playing and practice season.

The following case study provides an example of the issue at hand:

Men's Basketball Team's Season

First day of practice	October 14
First contest	November 18
Last contest	March 3
Conference tournament	March 5 - 10

Men's Basketball Team's Projected Season Totals	Not Penalized	With 10% Reduction
Number of playing/practice season days excluding conference tournament	98	89
Number of playing/practice season days including conference tournament	104	93
Number of contests excluding conference tournament	29	26
Number of contests including conference tournament	33	29

Questions and Points to Consider:

1. Should the 10-percent reduction in the playing and practice season be taken off the regular season only or the time period that encompasses the regular and the conference tournament?

    a. Basketball does not define its season with a number of days, but penalized teams can count the number of days from the start of practice to the end of the regular season or the end of the conference tournament, exempting required days off and vacation periods and reduce that number by 10-percent.

    b. If the timeframe used to determine the playing and practice season includes the conference tournament, does it matter that some conferences do not allow all teams into the tournament? Does such a team gain an advantage in calculating its playing and practice season with the conference tournament when it may not go?

    c. Should all reductions (practice season and number of contests) be calculated consistently?

2. Should the 10-percent reduction in the number of contests be taken off the NCAA maximums for the regular season or the regular season and the possible conference tournament competitions combined?

    a. Basketball teams are allowed to play a maximum of 29 contests per year (or 27 contests plus one regular season, multiteam event), excluding its conference tournament.

    b. If the team is to include the conference tournament contests in its calculation, but it does not make the tournament, or loses early, does that team gain an advantage

for having included possible conference tournament competition in the calculation?

c. Should all reductions (practice season and number of contests) be calculated consistently?

Staff Recommendation.

The staff recommends using the regular season for both the number of contests and the calculation of the playing season when a penalized team is calculating how to take such penalties. This will allow for clarity and consistency in the penalty calculation. The staff noted this outcome appears consistent with the intent and committee discussions regarding penalties.

Issue No. 2 – Application of Playing and Practice Season Restrictions on Summer Access.

Within the new penalty structure, teams in Level-Two penalties may be subject to the following penalties:

1. Reduction of four hours/one day of practice per week in season. The time must be replaced by academic activities.

2. Reduction of four hours of practice per week out of season. The time must be replaced by academic activities.

3. Cancellation of nonchampionship season or spring football.

4. For sports without nonchampionship season, 10-percent reduction in contests and length of season.

These penalties may also be imposed upon a team that advances to Level-Three penalties.

With the adoption of NCAA Proposal No. 2012-3 (playing and practice seasons – summer athletic activities – men's basketball) (Attachment), men's basketball student-athletes may participate in eight hours per week of required weight training, conditioning and skill-related instruction (not to exceed two hours of week) during an eight-week period during the summer, provided certain requirements were met. Currently, men's basketball is the only sport that allows for such access during the summer. With the adoption of this proposal, several questions have been identified for committee discussion.

Questions.

1. Should this summer access be included within Level-Two penalties for a men's basketball team?

    a. If so, what would be the reduction or would access be eliminated entirely?

    b. If so, to which summer would the penalty apply – the summer before the academic year or the summer after the academic year?

2. If other sports adopt a similar access model, will those sports follow the policy that will be adopted for men's basketball?

Points to Consider.

1. Current legislation does not consider the summer as part of an institution's nonchampionship segment.

2. Proposal was adopted with an academic nexus.

3. Should APP penalties distinguish between the summer and the regular academic year?

Staff Recommendation.

The staff recommends that summer access not be included in APP penalties. The intent of the proposal is to enhance the academic success of men's basketball student-athletes and to strengthen the coach/student-athlete relationship, which is critically important to retaining student-athletes. Including this within the penalty structure would seem contradictory to the intent of the legislation.

Issue No. 3 – Confirmation of the Level-Two Out-of-Season Practice Penalty.

Confirmation is sought regarding the application of Level-Two out-of-season practice penalties. During its October 2011 meeting, the committee specified the application of the Level-Two practice penalty. The report states that penalized teams will face a reduction of "eight hours to four hours per week for athletics activities outside of the playing season. These four hours must be replaced with academically-focused activities. Of the remaining four hours of athletics activities, not more than two hours per week may be spent on skill-related workouts." The report does not include a reference to an additional day off in the off season for a Level-Two

penalty. The staff noted that with intent the committee did not impose an additional day off given the limited number of hours involved (i.e., four hours). The staff concurs that not reducing the number of days is the reasonable outcome, but seeks confirmation this was indeed the intent.

NCAA DI Legislative Proposals

Proposal Number: 2012-3

Title: PLAYING AND PRACTICE SEASONS -- SUMMER ATHLETIC ACTIVITIES -- MEN'S BASKETBALL

Intent: In men's basketball, to permit a student-athlete to participate in eight hours per week of required weight-training, conditioning and skill-related instruction (not to exceed two hours per week) during an eight-week period during the summer, as specified.

A. Bylaws: Amend 13.2, as follows:

13.2 Offers and Inducements.

[13.2.1 through 13.2.6 unchanged.]

13.2.7 Medical Expenses -- Men's Basketball. In men's basketball, an institution may finance medical expenses (including rehabilitation and physical therapy expenses) for a prospective student-athlete who sustains an injury while participating in voluntary summer workouts conducted by an institution's strength and conditioning coach with department-wide duties (see Bylaw 13.11.3.8) or for a prospective student-athlete who sustains an injury while participating in required summer athletic activities (see Bylaw 13.11.3.9).

[13.2.7 renumbered as 13.2.8 unchanged.]

13.2.~~8~~**9** Medical Expenses -- Sports Other Than **Men's Basketball and** Football. In sports other than **men's basketball and** football, an institution may finance medical expenses (including rehabilitation and physical therapy expenses) for a prospective student-athlete who sustains an injury while participating in voluntary summer workouts conducted by an institution's strength and conditioning coach with department-wide duties (see Bylaws ~~*13.11.3.8, 13.11.3.9 and*~~ 13.11.3.10 **and 13.11.3.11**).

[13.2.9 through 13.9.10 renumbered as 13.2.10 through 13.2.11, unchanged.]

B. Bylaws: Amend 13.11.3, as follows:

13.11.3 Tryout Exceptions.

[13.11.3.1 through 13.11.3.8 unchanged.]

13.11.3.9 Required Summer Athletic Activities -- Men's Basketball. In men's basketball, a prospective student-athlete (freshman or transfer) who is enrolled in the institution's summer term or terms may engage in required weight-training, conditioning and skill-related instruction for up to eight weeks (not required to be consecutive weeks). Participation in such activities is limited to a maximum of eight hours per week with not more than two hours per week spent on skill-related instruction. Participation is limited to the period of the institution's summer term or terms (opening day of classes through last day of final exams) in which the prospective student-athlete is enrolled.

13.11.3.9.1 Exception -- National Service Academies -- Incoming Freshmen -- Men's Basketball. In men's basketball, a national service academy may designate eight weeks (not required to be consecutive weeks) of the summer during which incoming freshmen student-athletes who are enrolled in required summer on-campus military training may engage in required weight-training, conditioning and skill-related instruction. Participation in such activities shall be limited to a maximum of eight hours per week with not more than two hours per week spent on skill-related instruction.

13.11.3.9.2 Mandatory Medical Examination. Before participating in any required summer athletic activities, a prospective student-athlete shall be required to undergo a medical examination or evaluation

administered or supervised by a physician (e.g., family physician, team physician). The examination or evaluation shall include a sickle cell solubility test unless documented results of a prior test are provided to the institution or the prospective student-athlete declines the test and signs a written release. The examination or evaluation must have been administered within six months before participation in any athletic activity.

[13.11.3.9 through 13.11.3.10 renumbered as 13.11.3.10 through 13.11.3.11, unchanged.

C. Bylaws: Amend 17.1.6.2.1, as follows:

17.1.6.2.1 Institutional Vacation Period and Summer.

17.1.6.2.1.1 Sports Other than Championship Subdivision Football. In sports other than championship subdivision football, a student-athlete may not participate in any countable athletically related activities outside the playing season during any institutional vacation period and/or summer. Strength and conditioning coaches who are not countable coaches and who perform such duties on a department-wide basis may design and conduct specific workout programs for student-athletes, provided such workouts are voluntary and conducted at the request of the student-athlete.

[17.1.6.2.1.1.1 through 17.1.6.2.1.1.3 unchanged.]

17.1.6.2.1.1.4 Summer Athletic Activities -- Men's Basketball. In men's basketball, a student-athlete who is enrolled in summer school may engage in required weight-training, conditioning and skill-related instruction for up to eight weeks (not required to be consecutive weeks). Participation in such activities shall be limited to a maximum of eight hours per week with not more than two hours per week spent on skill-related instruction. An individual who is not eligible to use the exception to summer school enrollment (Bylaw 17.1.6.2.1.1.4.1) may participate only during the period of the institution's summer term or terms (opening day of classes through last day of final exams) in which he is enrolled.

17.1.6.2.1.1.4.1 Exception to Summer School Enrollment -- Academic Requirements -- Men's Basketball. In men's basketball, a student-athlete may participate in required summer athletic activities for up to eight weeks without being enrolled in summer school, provided the student-athlete has achieved a cumulative minimum grade-point average of 2.200 (based on a maximum 4.000 and as computed pursuant to institutional policies applicable to all students) and has successfully completed the following academic requirements based on the applicable number of full-time terms of enrollment:

(a) After two semesters or three quarters: 30 semester hours or 45 quarter hours;

(b) After four quarters: 60 quarter hours;

(c) After three semesters or five quarters: 45 semester hours or 75 quarter hours;

(d) After four semesters or six quarters: 50 percent of the course requirements in the student-athlete's specific degree program;

(e) After seven quarters: 58.33 percent of the course requirements in the student-athlete's specific degree program;

(f) After five semesters: 62.5 percent of the course requirements in the student-athlete's specific degree program;

(g) After eight quarters: 66.67 percent of the course requirements in the student-athlete's specific degree program;

(h) After six semesters or nine quarters: 75 percent of the course requirements in the student-athlete's specific degree program;

(i) After 10 quarters: 83.33 percent of the course requirements in the student-athlete's specific degree program;

(j) After seven semesters: 87.5 percent of the course requirements in the student-athlete's specific degree program;

(k) After 11 quarters: 91.67 percent of the course requirements in the student-athlete's specific degree program; or

(l) After eight semesters or 12 quarters: completion of the student-athlete's specific baccalaureate degree requirements.

17.1.6.2.1.1.4.2.1 Application to Transfer Student-Athletes -- Men's Basketball. The exception to summer school enrollment does not apply to a transfer student-athlete until he has completed one academic year (two semesters or three quarters) of full time enrollment at the certifying institution.

[Remainder of 17.1.6.2.1 unchanged.]

Source: NCAA Division I Board of Directors

Effective Date: Immediate

Category: Amendment

Topical Area: Eligibility

Rationale: Student-athletes who enroll in summer school, particularly early in their academic careers, tend to experience enhanced academic success during their collegiate enrollment. This proposal recognizes the importance of the accrued academic benefits of summer school attendance and that retention problems drive a low Academic Progress Rate. The development of an institutional connection is a critically important factor in retaining students. Summer bridge programs have been shown to be particularly effective in this regard. Given the critical importance of the relationship between coach and student-athlete, it is fair to consider that enhancing that relationship will also enhance the connection that a student-athlete feels toward the institution. This proposal will provide opportunities for both academic and athletic improvement, which will, in turn, contribute to greater retention of student-athletes. Allowing limited athletically related activities in a structured environment will not significantly impact competitive equity, but it will prove beneficial in establishing stronger relationships and enhancing the student-athlete's bond to the institution.

Budget Impact: Potential increase for summer school financial aid for men's basketball student-athletes.

Impact on Student-Athlete's Time (Academic and/or Athletics): Up to eight hours per week of required athletics activities for up to eight weeks during the summer.

Position Statement(s)
none

History
Oct 03, 2011: Submit; Submitted for consideration.

Jan 14, 2012: Board of Directors, Sponsored

Jan 14, 2012: Board Review, Adopted; Adopted as Emergency Legislation

Jan 15, 2012: Adopted, Override Period; Start of Override Period

Mar 14, 2012: Adopted, Override Period; End of Override Period; (Number of Override Request = 4)

Mar 14, 2012: Adopted; Adopted - Final

NCAA Division I
Academic Performance Program
Manual

[Effective: June 1, 2012]

TABLE OF CONTENTS
NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE
NCAA DIVISION I ACADEMIC PERFORMANCE PROGRAM MANUAL

PURPOSE

Purpose of the NCAA Division I Academic Performance Program (APP) (NCAA Bylaw 23.1.1) 1

NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE

Legislated Duties (Bylaw 23.1.2) 1

Reporting Lines 2

Composition 2

Terms of Office 2

Committee Appointments 3

ORGANIZATION AND RESPONSIBILITIES

Organization 3

Subcommittees 3

DUTIES

Administrative Committee 3

Subcommittee on Data Collection and Reporting 4

Subcommittee on Appeals 5

Selection of Committee Chair 5

Responsibilities of Committee Chair 6

Selection of Vice Chair 7

Selection of Subcommittee Chairs 7

Responsibilities of Subcommittee Chairs 7

Selection of Ad Hoc Members 8

Agenda Development....8

Meeting Participation by Noncommittee on Academic Performance Members....9

Processing Subcommittee Recommendations....9

Voting Procedures....9

Speaking Agent Policy....9

Absences....10

Conflicts of Interest....10

Adopting/Revising and Publishing Policies and Procedures – General....11

INTERPRETATIONS

Responsibilities and Authority (Bylaw 23.1.2)....11

Request Process....12

Required Documentation....12

Staff and Committee Interpretations/Legislation Review....13

Meeting Protocol....14

Issuance of Interpretations....14

Types of Interpretations....14

Review/Appeals....15

Ex Parte Communication....15

KEY TERMS AND CONCEPTS

NCAA Division I Academic Progress Rate (APR)....15

Rate Calculation – General....16

Rate Conversion for Final APR – Semester Schools....16

Multiyear APR 16

Why Total the Rate Over a Number of Years Instead of Averaging the Rates? 17

Squad-Size Adjustments 17

Calculation of APR for Quarter Schools 19

Retention 21

Academic Eligibility 22

Exhausted Eligibility 22

Graduation 23

Census Date 23

Academic Performance Census 23

Head Coaches APR Portfolio 23

Graduation Success Rate 24

COMPOSITION OF THE APR COHORT

2006-07 Cohort and Beyond 24

Noncounters on Athletics Aid – Inclusion in the APR Cohort 25

Recruiting Definition 25

Multisport Student-Athletes 26

Student-Athletes in Cross Country, and Indoor and Outdoor Track and Field 26

Student-Athletes Returning for a Sixth Year 26

ALTERNATIVE IDENTIFICATION OF COHORT OR DEFINITION OF RECRUITED STUDENT-ATHLETE

Introduction 27

Application Procedures 27

Review Procedures 28

Appeals of Staff Decisions 29

Appeal Procedures 29

Review Procedures 29

Reconsideration 29

APR DATA POLICIES

Graduation "Required" After Five Years of Enrollment 30

DELAYED-GRADUATION POINTS

Introduction 30

Requests for Delayed-Graduation Points from Prior Cohort Years 31

Determining Eligibility for a Student-Athlete Who Leaves the Institution 31

Determining Eligibility for Student-Athletes Who Depart an Institution or Quit the Team Without Declaring a Degree 31

Determining Eligibility for Student-Athletes Who Return to an Institution Subsequent to Graduation 32

Year of Residency 32

Fall Term Certification in the Sport of Baseball 33

Progress-Toward-Degree Waivers – Eligibility Point 33

Progress-Toward-Degree Waivers – Retention Point 33

Incomplete Grades 33

LEGISLATED EXCEPTIONS/ALLOWABLE EXCLUSIONS

Introduction 34

Sample APR Calculation Involving Legislated Exceptions 34

Understanding Points for Legislated Exceptions/Allowable Exclusions.....35

International Competition and Olympic Sports Waivers – Retention 36

Medical-Absence Waivers [Bylaw 14.4.3.6-(a)] 37

Calculating Data When Legislated Exception Criteria are Not Satisfied 37

Missed-Term Exception [Bylaw 14.4.3.5-(a)].....37

REPORTING ELIGIBILITY FOR STUDENT-ATHLETES IN A FIVE- OR SIX-YEAR DEGREE PROGRAM

General.....38

Five-Year Degree Programs 39

Six-Year Degree Programs 39

COMMON DATA ENTRY SCENARIOS

Scenarios.....40

APP DATA COLLECTION

Introduction.....43

AMENDING SUBMITTED DATA

Introduction.....44

MEMBERSHIP AND SPORTS SPONSORSHIP ISSUES

Members Subject to the APP 45

New Sports Teams 45

Non-NCAA Championship Sports 46

Institutions/Teams Transitioning from Division I or Discontinuing a Division I Sport.....46

Institutions/Teams Rescinding the Decision to Transition from Division I or Discontinue a Division I Sport....47

Institutions that Reinstate Dropped Sports in Subsequent Years....48

Restricted-Membership Penalty....48

DUE DATES

Submission....49

Legislated Penalties (Bylaw 23.01.3)....49

Notice of Penalties....49

Institutions That Do Not Provide APP Data or Usable APP Data....49

CORRECTING SUBMITTED DATA

Introduction....51

Corrections....51

Effect of Corrections on Previously Earned Penalties and/or Rewards....51

REQUESTS FOR ADJUSTMENTS OF APR

Introduction....51

Adjustment Request Procedures....52

Review Procedures....52

Appeals of Staff Decisions....54

Appeals Procedures....54

Review Procedures....54

Reconsideration....55

Effect of Prior Years' Adjustments on Previously Earned Penalties and/or Rewards....55

DATA COLLECTION WAIVERS

Waivers/Extensions of Filing Deadlines....55

Application Procedures....56

Review Procedures....56

Appeals of Staff Decisions....57

Appeal Procedures....57

Subcommittee Review Procedures....57

Reconsideration....58

WAIVER OF FILING DEADLINE PENALTIES (BYLAW 23.3)

Introduction....59

Application Procedures....59

Review Procedures....59

APPEALS/RECONSIDERATIONS OF FILING DEADLINE PENALTIES

Appeals of Staff Decisions....60

Subcommittee Review Procedures....60

Reconsideration....61

DATA COLLECTION ON TWO-YEAR COLLEGE TRANSFERS

Introduction....61

HEAD COACHES' APR PORTFOLIO

Introduction....62

APP DATA REVIEWS

Introduction....62

REVIEW PROCESS

Selection....63

Responsibilities of the Chancellor/President....64

Responsibilities of the Primary and Secondary Contacts....64

Conference Office Involvement....64

Scope of Data Review....64

Introductory Teleconference....65

Preliminary Report....65

Corrections to the Data....66

Subcommittee Review....66

Failure to Comply with Staff and/or Subcommittee Requests....66

Final Report....67

Ethical Considerations....67

Rules Violations....67

ON-CAMPUS REVIEWS

Notification....68

Length of Visit....68

Introductory Meeting....68

Education Sessions....68

Exit Meeting....69

Costs of the On-Campus Visit....69

Required Changes to Submitted Data and Impact of Changes on Penalties....69

Unusable Data 69

ACCESS TO POSTSEASON COMPETITION AND APP PENALTIES

Introduction 70

Postseason Access Academic Benchmark and Filters 71

Transition Period 72

Transition Period – Limited-Resource Institutions 72

Notification of Loss of Access to Postseason Competition 81

Timing of Loss of Access to Postseason Competition 81

Timeline for New Division I Teams 81

Permission to Contact (Bylaw 13.1.1.3.4) 81

Transfer Exceptions for Student-Athletes on Teams Subject to Loss of Access to Postseason Competition 81

WAIVERS OF INELIGIBILITY FOR POSTSEASON COMPETITION

Introduction 83

Application Procedures 83

Staff Review Procedures 84

Staff Deliberations and Decisions 84

Staff Conflict of Interest 85

Use of Third Parties in Waiver Requests 85

Appeals of Staff Decisions 86

Appeal Procedures 86

Subcommittee Review Procedures 86

Subcommittee Deliberations and Decisions 87

Appeals of Subcommittee Decisions 89

Committee Deliberations and Decisions.....89

Subcommittee/Committee Conflict of Interest 91

Reconsideration.....91

Review of Conditionally Approved Waivers of Ineligibility for Postseason Competition 91

Staff Review Procedures.....91

Staff Deliberations and Decisions.....92

Appeals/Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Ineligibility for Postseason Competition 93

Subcommittee Review Procedures 93

Subcommittee Deliberation and Decisions.....93

Reconsideration.....94

Reporting Staff Decisions 95

APP PENALTIES

Introduction.....95

APP Penalty Benchmark and Filters.....95

Transition Period.....96

Transition Period – Limited-Resource Institutions.....97

APP Penalty Structure.....101

Notification of APP Penalties 102

Timeline to Take APP Penalties 102

Failure to Take a Penalty Within the Prescribed Timeline 103

Timeline for New Division I Teams 103

Membership Issues (Effect of Penalties on Minimum Financial Aid Requirements) 103

Restricted-Membership Penalty 103

Report of APP Penalties Taken 104

WAIVERS OF APP PENALTIES

Introduction 104

Staff Conflict of Interest 104

Subcommittee/Committee Conflict of Interest 105

Delay Requests 105

APP PENALTIES WAIVER PROCEDURES SUMMARY

Level-One and -Two Penalty Waivers 105

Staff Review Procedures 106

Reporting Staff Decision 107

Appeals of Level-One APP Penalties 107

Appeal Procedures 108

Subcommittee Deliberations and Decisions 108

Appeals of Level-Two APP Penalties 110

Appeal Procedures 110

Appeal Participants 110

Documents Reviewed by the Subcommittee 111

Introduction 111

Review of the Appeal.....111

Deliberations and Decision.....112

Subcommittee Deliberations and Decisions.....112

Reconsideration of Level-One or -Two Penalty Waiver Requests.....113

REVIEW OF CONDITIONALLY APPROVED LEVEL-ONE AND -TWO APP PENALTY WAIVERS

Introduction.....114

Review of Conditional Approvals Process.....114

Staff Deliberations and Decisions.....115

APPEALS/RECONSIDERATIONS OF STAFF DECISIONS ON CONDITIONALLY APPROVED LEVEL-ONE OR -TWO PENALTY WAIVERS – DETERMING WHETHER THE CONDITIONS(S) WAS SATISFIED

Subcommittee Review.....116

Subcommittee Deliberations and Decisions.....116

Reconsideration.....117

LEVEL-THREE APP PENALTY WAIVERS (BYLAW 23.2.1.2.3)

Introduction.....118

LEVEL-THREE APP PENALTY ASSIGNMENT AND WAIVERS (BYLAW 23.2.1.2.3.1)

Penalty Assignment Procedures.....118

Definitions.....119

Staff Review Procedures.....120

Staff Deliberations and Decisions.....121

Acceptance of Assigned Penalties.....121

Reporting Staff Decisions 121

Recording 122

Committee Review Factors 122

Hearing Costs 122

Timeframe for Hearing 123

Documents Reviewed by the Committee 123

Hearing Participants 124

Introduction 125

Opening Statements 125

Question and Answer 126

Closing Statements 126

Deliberations and Decision 126

Reporting Committee Decisions 128

Committee Reconsideration 128

Committee Review of Remanded Waiver 128

NCAA DIVISION I BOARD OF DIRECTORS APP APPEALS SUBCOMMITTEE REVIEW

Appeal of Committee Decision 129

Scope of Review 129

Recording 130

Conflict of Interest 130

Appeal Procedures 130

Timeframe for Hearing 131

Documents Reviewed by the Subcommittee 132

Appeal Participants 132

Introductions 133

Committee Issues 133

Review of the Appeal.....134

Committee Deliberations and Decision 135

REVIEW OF CONDITIONALLY APPROVED LEVEL-THREE PENALTY WAIVERS – DETERMINING WHETHER THE CONDITION(S) WAS SATISFIED

Staff Review.....137

Review Factors.....138

Staff Deliberations and Decisions.....138

Committee Review.....138

Committee Review Factors.....139

Committee Deliberations and Decisions.....139

APR IMPROVEMENT PLANS

Introduction.....140

Plan Development and Submission Requirements 140

Institutions Requesting and/or Receiving Supplemental Support Fund 141

APR Improvement Plan Submission Dates 141

2011-12 Team/Institution Reporting Requirements 141

Implementation of APR Improvement Plans.....142

Failure to Develop a Required APR Improvement Plan.....143

APR Improvement Plan Requirements 143

APR Improvement Plan Submission 146

Staff Evaluation of APR Improvement Plans and the Implementation of APR Improvement Plans 146

APR Improvement Plan Online Materials 148

APR Improvement Plan Online Searchable Database 148

PUBLIC RECOGNITION PROGRAM

Introduction 148

APP SUPPLEMENTAL SUPPORT FUND

Introduction 149

Purpose, Goals and Priorities 150

Program Guidelines 150

Professional Development Grant Requests 151

Initiative Requests – Application Process 151

Timeline 152

Examples of Projects/Initiatives Meeting Program's Purpose and Guidelines 152

Examples of Projects/Initiatives That Do Not Meet Program's Purpose and Guidelines 152

APPENDIX

Appendix A: Frequently Asked Questions Regarding APR Cohort Compositions

Appendix B: Examples of Cross-Country and Indoor and Outdoor Track and Field APR Cohort Composition

Appendix C: Miscellaneous Questions on Impact of Graduation on APR

Appendix D: Miscellaneous APR Calculation Examples

Appendix E: Incomplete Grades – Examples of Posting for APR Calculation

Appendix F: Guide of Possible Student-Athlete Outcomes

Appendix G: APR Adjustment Directive

Appendix H: Frequently Asked Questions on Collection of Two-Year Transfer Data

Appendix I: Frequently Asked Questions Regarding Collection of Graduation Rate Data

Appendix J: Frequently Asked Questions on the Head Coaches APR Portfolio

Appendix K: Penalty Scenarios

Appendix L: Frequently Asked Questions on Practice Penalty Application and Reporting Requirements

Appendix M: APP Access to Postseason and Penalty Waiver Directive

Appendix N: Frequently Asked Questions on APR Improvement Plans

PURPOSE

Purpose of the NCAA Division I Academic Performance Program (NCAA Division I Bylaw 23.1.1).

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 rewards those institutions and teams that demonstrate commitment toward the academic progress, retention and graduation of student-athletes and penalizes those that do not. Finally, the membership has created an academic point of access to postseason competition for all teams, based on a minimal level of academic performance using the NCAA Division I Academic Progress Rate (APR). *(Revised: 10/11; Effective: 10/11)*

NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE

Legislated Duties of the NCAA Division I Committee on Academic Performance (Bylaw 23.1.2).

The committee 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 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 manual of the APP.

4. Determine the minimum acceptable APR and GSR for access to postseason competition, the application of APP penalties and all filters.

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 penalties or ineligibility for postseason competition applies.

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), ineligibility for postseason competition 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: 04/07; Effective: 04/07; Revised: 10/11; Effective: 10/11)*

Reporting Lines.

The committee reports to the NCAA Division I Board of Directors.

Composition (Bylaw 23.1.1).

The committee shall consist of 15 members, including a minimum of two chancellors or presidents, 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 shall be on the staff of a Division I active institution or conference. A chancellor or president 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.

As indicated in Bylaw 21.7.2.1, the committee is not subject to the requirement that limits subdivisional representation to not 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. An individual who has served two terms on the committee may not serve further on the committee, except the chair whose term the Board of Directors may extend at two-year intervals.

Committee Appointments.

The NCAA Division I Administration Cabinet shall appoint a committee that shall be responsible for the administration of the APP.

The chair of the committee 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 through respective subcommittee/committee reports.

ORGANIZATION AND RESPONSIBILITIES

Organization.

In order to administer the APP, the committee will organize and assign responsibilities to the subcommittees of the committee.

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. 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: NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting; NCAA Division I Committee on Academic Performance Subcommittee on Appeals and Administrative Committee.

DUTIES

Administrative Committee.

The Administrative Committee consists of each subcommittee chair, the Committee on Academic Performance chair (who also serves as chair of the Administrative Committee), the Committee on Academic Performance vice chair (when applicable) and the chair-elect (when

applicable). All Administrative Committee members, including the chair, may vote on items of business before the committee. *(Revised: 10/08)*

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 manual 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.

Subcommittee on Data Collection and Reporting.

The Subcommittee on Data Collection and Reporting shall consist of five or more committee members and will:

1. Oversee the collection of APR, APC, GSR 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 and/or GSR;

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 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 APP penalty structure;

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 APP penalties based on changes to prior year(s) APP data.

Subcommittee on Appeals.

The Subcommittee on Appeals shall consist of five or more committee members and will:

1. Administer and oversee all aspects of appeals of ineligibility for postseason competition and Level-One and -Two penalties with the exception of teams at Level-Three with postseason ineligibility;

2. Develop and publish waiver policies and procedures for ineligibility for postseason competition and Level-One and -Two penalties;

3. Provide relief for those institutions/teams subject to ineligibility for postseason competition and Level-One and -Two penalties in accordance with the APP penalty waiver directive and this manual; and

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

Selection of Committee Chair.

The committee chair generally serves as chair for the remainder of his or her term. The committee shall nominate one or two of its members to the Board of Directors for possible selection as the committee chair. A committee 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

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 chair to identify committee 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 chair or the staff, at the request of the committee chair, will confirm interest of all nominees.

Responsibilities of Committee Chair.

The committee chair shall:

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

2. Provide reports regarding the work of the committee to Division I governance and membership entities as needed (e.g., NCAA Division I Legislative 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 to written or verbal requests from NCAA-affiliated constituents (e.g., member conferences, member institutions, coaches associations);

5. Oversee development of committee agendas;

6. Appoint members to committee 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 subcommittee chairs;

9. Recommend to the 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 chair to the Board of Directors;

11. Review requests for appeals of subcommittee decisions on ineligibility for postseason competition to determine if the request should be reviewed by the full committee; and *(Revised: 01/12; Effective: 01/12*)

12. Consider requests to extend the timeline for appealing a Level-Three penalty waiver request; and *(Revised: 01/12; Effective: 01/12)*

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

Selection of Vice Chair.

The Board of Directors may, at its discretion, select an individual to serve as vice chair of the Committee on Academic Performance. The vice chair is eligible for position of vice chair only if he or she is the chancellor or president of an active Division I institution. *(Adopted: 10/08)*

Selection of Subcommittee Chairs.

Each of the committee's two subcommittees shall have a chair.

Subcommittee chairs normally shall serve as chair for the remainder of their respective committee 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 chair.

4. The committee 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 chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties.

5. Present subcommittee reports during committee meetings.

6. Participate as members of the Administrative Committee.

7. Recommend selection of new subcommittee chair.

8. The chair of the Subcommittee on Appeals shall hear any requests for extensions of the timeline for Level-One and -Two penalty waiver appeal requests.

Selection of Ad Hoc Members.

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

Agenda Development.

1. The committee chair shall have final authority to determine the committee 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 consideration shall forward such items to the committee's primary staff liaison at the NCAA 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 will receive all subcommittee agendas and supplements in advance of the subcommittee meetings to ensure that each committee 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.

Meeting Participation by Noncommittee on Academic Performance Members.

Appearances of noncommittee members (other than staff) before the committee 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 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. These reports shall include any requests for full committee action recommended by the subcommittee.

2. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.

3. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.

4. If further deliberations are required, the committee 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 shall be by show of hands of the committee/subcommittee members present and voting, except for actions taken by the unanimous or obvious consent. Committee/subcommittee 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 members are expected to adhere to this policy.

Absences.

The committee generally conducts in-person meetings four times annually. Alternates may not be appointed to attend a meeting in the absence of a committee member. Committee 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. Further absences will result in the committee chair or staff contacting the committee member and/or the conference office of the representative to discuss the member's excessive absences. A committee member may be dismissed from the committee after further absences.

Conflicts of Interest.

A committee 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 members must recuse themselves from participation in a waiver appeal, data review or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). 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 or discussion. However, a committee member that has recused him- or herself may participate in the preparation of a waiver request for their own

institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

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 a waiver request or data review must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the committee's review. Participation by a committee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the committee member's participation in committee-related activities.

In the event that the committee chair or a subcommittee chair must recuse himself or herself or is unable to participate in committee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

Adopting/Revising and Publishing Policies and Procedures – General.

The committee shall have the authority to adopt or revise policies and procedures as contained in this APP manual 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. As necessary, adoptions and revisions approved by the committee shall be forwarded for review and approval to the Board of Directors.

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 policies and procedures, including, but not limited to Bylaws 23, 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 and Interpretations Committee, nor the NCAA Division I Legislative Council Subcommittee for Legislative Relief 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 policies 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 interpretation process.

Request Process.

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

1. Referrals from the NCAA academic and membership affairs 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 academic and membership affairs 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. 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.

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 Level-One and -Two 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 Level-One and -Two penalties, any other matters related to appeal, 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 penalties and rewards structure. All issues related to the imposition and appeal of Level-Three 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: 04/07; Effective: 04/07)*

Meeting Protocol.

Committee meetings may occur in person, by teleconference, by email 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 teleconference by the chair of the committee or subcommittee.

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 document applies to the committee members' involvement in interpretive matters.

Issuance of Interpretations.

Interpretations issued by the committee/subcommittee/staff 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 Legislative Services Database for the Internet (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 an interpretation 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.

KEY TERMS AND CONCEPTS

APR

The APR is a term-by-term measure of eligibility, retention and graduation for student-athletes who have received institutional financial aid based in any degree on athletics ability during the academic term(s) in question. For those athletics programs/institutions that do not offer athletically related financial aid, this rate will be calculated on a subset of recruited student-athletes. Data collection for this "snapshot" rate, calculated on a team-by-team basis, will occur at the beginning of each academic year (based on student-athlete academic performance during the previous academic year) and team rates will be reported the following spring. There are several variables required to calculate the APR. First, each institution must determine the term-by-term academic-eligibility status for each student-athlete in the cohort.

Second, the question of retention for each student-athlete must be determined by confirming if each student-athlete returned (or continued enrollment) as a full-time student or satisfied a legislated exception for full-time enrollment as of the fifth week of classes or the official census date, whichever is earlier, in the following regular academic term.

Rate Calculation – General

Each student-athlete in the APR cohort has the ability to earn two points for each regular academic term of full-time enrollment. One point is awarded if the student-athlete is academically eligible to compete the following regular academic term. The other point is awarded if the student-athlete is retained by the institution (i.e., returns to school as a full-time student as of the fifth week of classes or the official census date of the institution, whichever is earlier) in the next regular academic term. Student-athletes who graduate will be given both the eligibility and retention points for the term in which they graduate, while those who leave after five years of enrollment (i.e., 10 full-time semesters or 15 quarters) without graduating will not earn any points for their last term of enrollment in that fifth year. At the start of each academic year, each Division I team's APR will be calculated by adding all points earned by student-athletes in the team's cohort and any delayed-graduation points and dividing that number by the total possible points that could have been earned. The raw APR is multiplied by 1,000 to achieve the final APR.

Beginning fall 2007, the APR was based on four years of data for most institutions (i.e., 2003-04, 2004-05, 2005-06 and 2006-07). Every year thereafter, the most current year's data will be added and the oldest year of data will be removed, creating a four-year rolling rate.

Rate Conversion for Final APR – Semester Schools

Translating the scores from decimals to whole numbers aids in the understanding and interpretability of scores. This translation does not alter the meaning of the scores; rather, it puts the scores in terms that are more understandable. In order to achieve final APR for semester schools, raw APR are multiplied by 1,000.

Example: Raw APR of .97 x 1,000 = 970 final APR

Multiyear APR

The APR is comprised of four years of APR data, resulting in a multiyear rate. 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. The APR is used to demonstrate academic performance of all Division I teams. In addition, it is used to determine what teams are subject to penalties and rewards within the APP structure. The APR also serves as a point of academic access to postseason competition. *(Revised: 10/11; Effective: 10/11)*

Why total the rate over a number of years instead of averaging the rates?

Teams' multiyear APR will be determined by adding the numerators and denominators for all included years and then dividing the overall numerator by the overall denominator to calculate the multiyear rate. This is the statistically correct way of creating a multiyear rate. This method will take into account the differences in numbers of student-athletes in the calculation from year to year and also accounts for teams with smaller cohort sizes. This approach is more accurate and weighs each student-athlete equally.

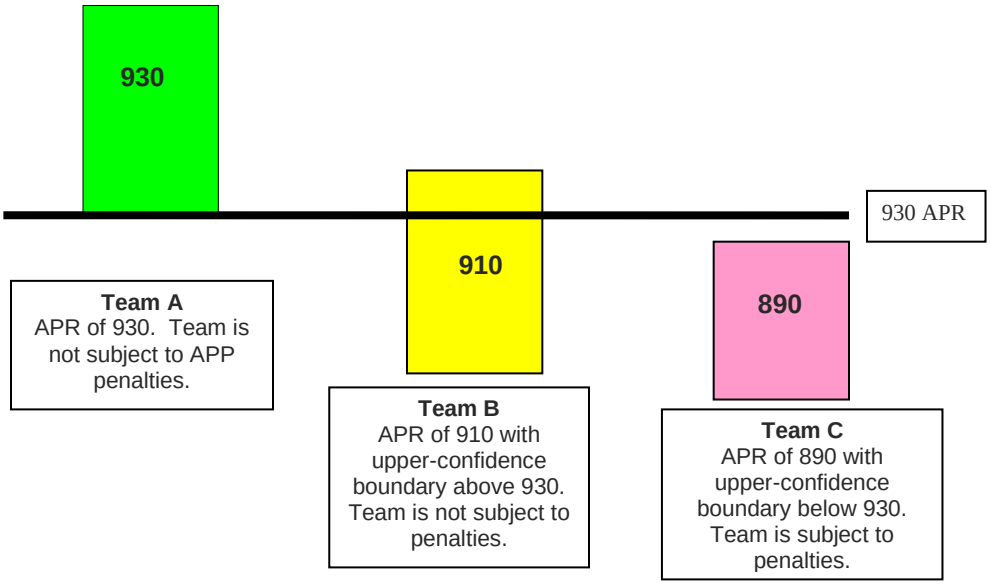
Squad-Size Adjustments

The issue of small sample sizes for particular teams or sports and their impacts relative to APP penalties is addressed using a statistically derived margin of error value for each squad size. This will help ensure that any penalties given to teams with small sample sizes are as statistically valid as those for teams with large sample sizes. A consistent margin of error set at a confidence level of 84 percent will be applied to determine each team's subjectivity to the penalty. This means that the upper-confidence boundary of a team's APR would have to be below 930 (900 in 2011-12 and 2012-13) for that team to be subject to APP penalties.

The squad-size adjustment no longer applies to most teams, and the penalty benchmark must be met using the team's most recent four-year rolling rate. Teams with a multiyear APR that includes less than 30 student-athletes in the four-year cohort and teams with less than four years of APR data will continue to benefit from use of the squad-size adjustment.

The following graphic depicts use of the upper confidence boundary:

Squad-Size Adjustment Example



In this example, Team B has an APR of 910. With the squad-size adjustment, the team's upper-confidence boundary is above 930; therefore, the team is not subject to APP penalties or a loss of access to postseason competition. However, Team C has an APR of 890 and even with the squad-size adjustment, its upper-confidence boundary is below 930. Therefore, Team C will be subject to APP penalties pending a review of the filters.

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 930. Note that that these are approximation to the actual formula and should only serve as rough guidelines.

Number of student-athletes in multiyear APR cohort (N)	Approximate minimum APR to meet squad-size adjusted APR >=930
2	750
3	785
4	805
5	820
6	825
7	835
8	840
9	845
10	850
11	855
12-13	860
14-15	865
16-18	870
19-22	875
23-26	880
27-33	885
34-41	890
42-55	895
56-75	900
76-109	905
110-172	910
173-311	915
312+	920

Calculation of APR for Quarter Schools

During initial development of the assessment component of the NCAA's academic reform package, the APR was envisioned as a single annual check of academic eligibility and retention for each student-athlete. However, in the process of finalizing the APR, strong membership support arose for a term-by-term measure of academic performance that allowed a student-athlete to accrue APR points with each academically successful term and that provided a more direct correspondence with the current Division I progress-toward-degree standards.

The decision to make APR a term-by-term rate created a computational complexity in that student-athletes at semester schools can earn up to four points each year (eligibility and retention

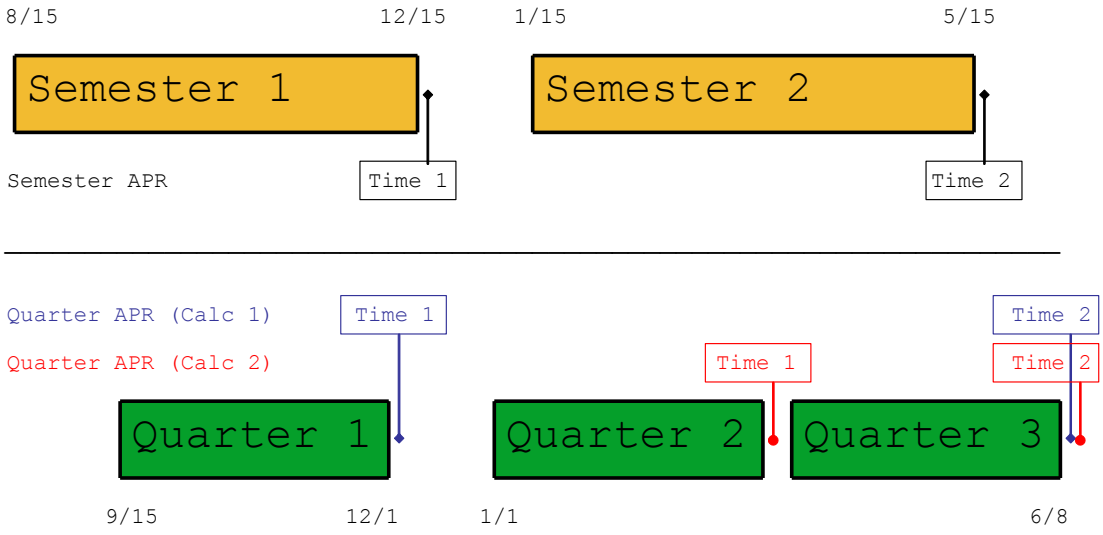
at the end of each of two semesters) while students at quarter schools can each earn up to six points (eligibility and retention at the end of each of three quarters). Significant study of this issue by outside statisticians, the NCAA Data Analysis Research Network, the NCAA Research Committee and the Committee on Academic Performance resulted in clear consensus that quarter schools would unfairly benefit from being able to accrue up to six points per year for each student.

A revised computation of APR for quarter institutions was approved by the Committee on Academic Performance in July 2005 and by the Board of Directors in August 2005. The details of the formula are presented in a companion document on the Committee on Academic Performance website.

The underlying framework for the revised calculation involves a rather simple idea of basing the APR of quarter squads on two assessments during the year rather than three. An end-of-year assessment was chosen as one of the time points because various progress-toward-degree benchmarks are only required to be assessed at that time, because eligibility and retention losses are much more likely at that point in the year, and because it was the only natural assessment point common to both calendar systems. Rather than choosing a single midyear assessment point for quarter squads that takes less of the academic year (end of fall quarter assessment) or more of the academic year (end of winter quarter assessment) into account compared to the midyear assessment performed at semester schools, the quarter squad calculation uses data from both midyear eligibility/retention checks.

Essentially, a rate is calculated using the fall and spring assessments (quarter APR Calculation 1 below) and then averaged with a rate calculated from the winter and spring assessments (quarter APR Calculation 2). The table below displays for a number of student-athlete academic trajectories possible on a quarter squad in a given year, how Calculation 1 (termed the fall-spring calculation in the table) and Calculation 2 (the winter-spring calculation) would work in each case. The points are summed across the two calculations (column labeled eight-point scale) and then numerators and denominators are divided by two to map the components of the quarter squad APR onto a semester-like four-point scale. As can be seen from the examples, the results of the spring assessment contribute more heavily to a student-athlete's APR contribution at the quarter school than do either of the other assessments.

Mapping of Quarter Calendar to Semester Calendar



Notes: Length of bar represents length of academic term (approximately 10 weeks or 50 class days for quarter schools; approximately 15 weeks or 75 class days for semester schools). Chronology of an example academic year shown from left to right.

See Appendix F for a table that provides a rough guide of possible individual student-athlete outcomes.

Retention

A student-athlete will be considered "retained" if he or she returns to the member institution for the next regular academic term and is enrolled full time as of the fifth week of classes or the official census date of the institution, whichever is earlier. Student-athletes who meet a legislated exception to the full-time enrollment legislation and otherwise meet this definition are considered retained. Therefore, if a student-athlete withdraws from a member institution prior to five weeks after the first day of classes or the official census date of the institution, whichever is earlier, he or she has not been "retained" by the institution and the retention point will not be awarded for the previous term. Retention does not require a student-athlete to return to the athletics team, rather it requires the student-athlete to return to the institution as described.

Example:

A student-athlete was a women's volleyball player and received athletics aid at Institution X for 2006-07. At the end of spring 2007, student-athlete earned the eligibility point. The

student-athlete re-enrolled full time at Institution X for fall 2007 and received athletics aid. She then withdrew from Institution X two weeks after the first day of classes. Institution X's official census date is four weeks after the start of the term; as a result, the student-athlete did not earn her retention point for spring 2007, because she was not enrolled as a full-time student at Institution X for the next regular term as of the institution's official census date. Further, the student-athlete will not be included in the cohort for the 2007 fall semester because she withdrew prior to the institution's census date.

Please be aware that waivers of full-time enrollment are considered legislated exceptions. For example, if a student-athlete received a progress-toward-degree waiver for full-time enrollment due to an education-impacting disability, the student-athlete would still be considered retained if he or she returns or continues enrollment at the certifying institution.

Academic Eligibility

A student-athlete will be considered eligible if he or she meets all applicable academic-eligibility requirements after completing the term (e.g., NCAA progress-toward-degree requirements, conference academic requirements, institutional good academic standing), including suspension related to any academic offense. This data field answers the question, "Is this student-athlete academically eligible to compete the next regular academic term?" The question must be answered even if the student-athlete or the student-athlete's team does not compete in that academic term. *(Revised: 10/09; Effective for the 2009-10 APR cohort, not retroactive to any prior year cohorts.)*

A student-athlete is awarded one point for eligibility if the student-athlete is academically eligible to compete in the following regular academic term. Any change to a student-athlete's spring-term-eligibility status must occur not later than the time APR data is submitted in the fall in order to capture the earned eligibility point and any change to a student-athlete's fall or winter-term-eligibility status must occur not later than the sixth week of the subsequent regular academic term in order to capture the earned eligibility point. For example, a student-athlete who was not eligible at the beginning of the spring semester due to an incomplete grade from the fall semester must complete the necessary coursework to become eligible within the first six weeks of the spring term to earn the APR eligibility point for the prior fall term.

Exhausted Eligibility

A recruited student-athlete has exhausted his or her eligibility for competition in the sport in which athletics aid was awarded or received institutional athletics aid per Bylaw 15.5.1.6. This includes:

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 nonqualifier who has used all three seasons of competition and fails to earn a fourth season of competition by not completing 80 percent of his or her degree program prior to the start of his or her fifth year.

3. A fall sport student-athlete who concludes his or her competitive eligibility at the end of the fall term and does not return to the institution subsequent to the fall term.

4. A spring sport student-athlete who concludes his or her competitive eligibility at the end of four years. *(Adopted: 04/07; Effective: 04/07 for the 2007-08 APR cohort, not retroactive to any prior year cohorts.)*

Graduation

A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated. This definition provides for students to be considered "graduated" when the institution defines the student as graduated. Student-athletes who graduate earn more APR value for their team than student-athletes who do not. Only graduates will be given the maximum possible points for their time at an institution.

Census Date

The designated day in an academic term when an institution takes official enrollment counts (e.g., drop/add deadline for classes). This is determined by the institution and will vary from institution to institution.

APC

The APC is an annual compilation of academic performance variables (e.g., credit hours, grade-point average) mandated by Division I legislation, which includes submission of data regarding two-year college transfers student-athletes. Results from previous APC data collections have been the basis for Division I academic legislation and policies. Beginning fall 2009, institutions were required to submit and verify information for the Head Coaches' APR Portfolio as part of its APC data. APC data will be collected annually in the fall in conjunction with APR data. *(Revised: 10/08; Effective with the collection of 2008-09 APC data.)*

Head Coaches APR Portfolio

Available on www.ncaa.org, the Head Coaches APR Portfolio provides single-year APRs for every year during which a head coach is associated with a team, along with hire date and the date the coach left the head coaching position. Any head coach who is in place at any point during an academic year (August 1-July 31) will be assigned that team's APR for that year. For example, if

a coach leaves a program six weeks into an academic year, he or she will still be assigned the APR for that team for the year, as will the coach who is hired to fill the position subsequently.

GSR

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 is calculated for each team. The cohort includes student-athletes who receive athletics aid in the first year of enrollment at the institution either as initial enrollees or transfers. 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.

The Division I membership passed legislation stipulating that all member institutions provide the information contained in its Federal Graduation Rate 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. Data for the GSR will be collected and rates will be calculated as part of the annual graduation rates reporting process each spring/summer. 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.

Beyond combining the pre-existing, six-year rate and the transfer rate for each cohort, it will be necessary to discount student-athletes who withdrew from the institution within the six-year window and would have been academically eligible had they returned (based on NCAA, conference and institutional requirements applicable to each student-athlete).

COMPOSITION OF THE APR COHORT

2006-07 Cohort and Beyond.

For teams awarding institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of student-athletes who:

- Received institutional financial aid based in any degree on athletics ability and are enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier, or satisfied a legislated exception to full-time enrollment. (Legislated exceptions to full-time enrollment include progress-toward-degree waivers that permit less than full-time enrollment.)

Exception: Student-athletes who have graduated and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.

Exception: Student-athletes who are enrolled beyond five years/10 semesters of actual full-time enrollment and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.

For teams that do not offer institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of recruited student-athletes who are enrolled full time and:

1. Are listed on the varsity team's roster on or after the first date of competition in the championship segment; or

2. Have exhausted eligibility and return to the institution as fifth-year students to complete their baccalaureate degree. *(Adopted: 01/07; Effective: 01/07 for the 2006-07 APR cohort, not retroactive to any prior year cohorts.)*

Noncounters on Athletics Aid – Inclusion in the APR Cohort

Noncounters who meet the cohort definition are included in the APR cohort. Fifth-year student-athletes who have exhausted eligibility but return to complete graduation requirements also are included in the APR if they are receiving athletics aid (for those institutions/teams that offer athletics scholarships).

See Appendix A to review frequently asked questions regarding which student-athletes should be included in the APR cohort.

Recruiting Definition.

For teams that do not offer athletics aid, "recruited" is defined per Bylaw 13.02.13.1 as follows:

Actions by staff members or athletics representatives that cause a prospective student-athlete to become a recruited student-athlete at that institution are:

1. Providing a prospective student-athlete with an official visit;

2. Having an arranged, in-person, off-campus encounter with a prospective student-athlete or the prospective student-athlete's parent(s), relatives or legal guardian(s);

3. Initiating or arranging a telephone contact with the prospective student-athlete, the prospective student-athlete's relatives or legal guardian(s) on more than one occasion for the purpose of recruitment; or

4. Issuing a National Letter of Intent or the institution's written offer of athletically related financial aid to the prospective student-athlete. Issuing a written offer of athletically related financial aid to a prospective student-athlete to attend a summer session prior to full-time enrollment does not cause the prospective student-athlete to become recruited.

Multisport Student-Athletes.

A multisport student-athlete receiving athletics aid will be included in the cohort of the sport in which his or her aid counts toward the team limit. For example, if a student-athlete competes in football and outdoor track, his aid would count toward the football team limit and he would, therefore, only be included in the football APR cohort.

For multisport student-athletes, the "recruited" label should be sports specific. In other words, the student-athlete is only in the cohort(s) for the sport(s) in which he or she was recruited.

Student-Athletes in Cross Country, and Indoor and Outdoor Track and Field.

Although athletics aid awarded in cross country, and indoor and outdoor track and field count against a single athletics aid total, an institution's cross country, and indoor and outdoor track and field teams each have a separate APR. The APR for each sport is comprised of student-athletes who receive athletics aid in either cross country, indoor or outdoor track and field and are on each respective team's roster as of the first date of competition of the championship segment. [Note: For institutions that do not offer athletics aid, the APR for each sport is comprised of recruited student-athletes who are on the team's roster as of the first date of competition of the championship segment.] Each team is evaluated separately, even though in most cases many of the student-athletes are the same, to avoid penalizing all teams if one team were to underperform academically.

See Appendix B to review examples regarding the application of APR cohorts to the sports of cross country and indoor and outdoor track and field.

Student-Athletes Returning for a Sixth Year.

Student-athletes who have completed five years or 10 semesters/15 quarters of actual full-time enrollment and have exhausted athletics eligibility are not included in the APR cohort, even if

they continue to receive athletically related financial aid. If the student-athlete has athletics eligibility remaining in the sixth year, generally due to a five-year clock extension, he or she would be a part of the cohort if he or she meets the definition of inclusion in the cohort (i.e., receiving athletics aid and enrolled full time or meets a legislated exception to full-time enrollment).

As a reminder, if after five years the student-athlete has not earned his or her degree, he or she will not earn the eligibility point for the last term of the fifth year. Earning a degree in year six would help a team with its GSR and IPEDS-GRS, but the APR's goal is graduation in five years, consistent with the current Division I progress-toward-degree standards.

ALTERNATIVE IDENTIFICATION OF COHORT OR DEFINITION OF RECRUITED STUDENT-ATHLETE

Introduction.

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 and/or Subcommittee on Data Collection and Reporting will render for the current academic year one of the following decisions:

1. **Approval:** The staff and/or Subcommittee on Data Collection and Reporting determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete.

2. **Denial:** The staff and/or Subcommittee on Data Collection and Reporting 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 13.02.13.1.

3. **Modified Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting permits the institution to use the modified alternative definition of recruited student-athlete.

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 on Data Collection and Reporting's determination shall be final and shall not be subject to further review.

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 on Academic Performance.

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 on Data Collection and Reporting shall determine whether or not any appeal filed after 14 calendar days will be considered.

Review Procedures.

The Subcommittee on Data Collection and Reporting shall conduct its meetings and deliberations by facsimile, teleconference, email, Internet or in-person meeting. Deliberations shall involve only Subcommittee on Data Collection and Reporting members and national office staff.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting until the staff has reviewed and considered the new information.

APR DATA POLICIES

Graduation "Required" After Five Years of Enrollment.

After completion of a student-athlete's 10th full-time semester/15th full-time quarter of actual full-time enrollment, the student-athlete must graduate in order to earn the APR eligibility point for the 10th semester/15th quarter. A student-athlete who completes five years of enrollment and does not graduate will lose the eligibility point for the 10th semester or 15th quarter.

See Appendix C to review questions and answers regarding the application of graduation to APR.

DELAYED-GRADUATION POINTS

Introduction.

An institution will be awarded an APR point (i.e., "1/0") for a former student-athlete who completed 10 semesters or 15 quarters of actual collegiate enrollment without graduating and returns to the institution and graduates or continues enrollment at the institution and graduates. This point will be awarded to the team's APR in the academic year (i.e., term) the former student-athlete graduates, provided the former student-athlete meets the criteria listed below.

The criteria are as follows:

1. The former student-athlete must graduate from the institution fall 2006 or later.

2. The former student-athlete cannot satisfy the definition to be included in the team's APR cohort in the term in which he or she graduated from the institution.

3. The former student-athlete must have lost either the eligibility or retention point in his or her last term in the APR cohort, or would have lost a point if the student-athlete departed prior to the implementation of the APR in 2003-04 or prior to when the institution was first required to submit APR data (e.g., multidivisional, reclassifying or provisional institution). (Note: If the lost eligibility or retention point was adjusted, then no APR point was actually lost, so no delayed point can be awarded.) *(Adopted: 07/06; Effective: 07/06)*

[Note: In order for an institution to award the delayed-graduation point, the former student-athlete must graduate from the original institution where he or she lost the APR point(s) or from a state university-system institution or branch campus with the same federal identification number.]

Requests for Delayed-Graduation Points from Prior Cohort Years.

Institutions are permitted to request delayed-graduation points for any academic year cohort included in the institution's multiyear APR cohort. Such requests will be permitted only during data submission, and delayed-graduation points awarded from prior academic year(s) will not affect the status of any previously earned penalties or incentives. Further, an institution may request relief from a penalty based on the awarding of additional delayed-graduation points in subsequent academic year(s) if the penalty has not been imposed. Retroactive incentives are not available. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years.

Please note that if a team with a single-year APR of 1000 is subsequently awarded delayed-graduation points, such points will be added to the team's multiyear rate. *(Adopted: 07/06; Effective: 07/06)*

Determining Eligibility for a Student-Athlete Who Leaves the Institution.

If a student-athlete departs the institution, the eligibility point is awarded for his or her last term of enrollment if the student-athlete would have been academically eligible to compete the next regular academic term. In other words, the institution must determine what academic-eligibility rules the student-athlete would have been subject to if he or she had returned :i.e., institutional, conference and NCAA), apply those standards to the student-athlete's academic record and determine if he or she would have been academically eligible to compete if he or she had returned.

Determining Eligibility for Student-Athletes Who Depart an Institution or Quit the Team Without Declaring a Degree.

A student-athlete transfers from Institution A to Institution B between his or her fourth and fifth semesters (or sixth and seventh quarters) without declaring a degree at Institution A. May Institution A apply the degree of its choice to the student-athlete's academic record for purposes of determining the student-athlete's eligibility for data collection?

If a student-athlete leaves an institution or quits the team and remains at the institution without declaring a degree at the time degree declaration is legislatively required, an institution may consider the student-athlete's academic record using any of the institution's degree programs for purposes of determining if the student-athlete would have met all required academic-eligibility requirements. If, in using this degree, the student-athlete would have been academically eligible, the institution will be awarded the eligibility point for purposes of the APR.

Determining Eligibility for Student-Athletes Who Return to an Institution Subsequent to Graduation.

A student-athlete graduates from Institution A during the fall term and returns to the institution to complete his or her athletics eligibility in the spring term. How is the student-athlete's eligibility calculated if the student-athlete begins coursework toward a second baccalaureate degree?

Once a student-athlete has graduated, he or she is always awarded the retention point for any subsequent terms of enrollment, even if the graduated student-athlete transfers to another Division I institution and enrolls in graduate school. The eligibility point is earned if the student-athlete is academically eligible to compete in the subsequent academic term (e.g., passes at least six hours of degree credit, remains in good academic standing).

Year of Residency.

Question No. 1:

A *student-athlete transfers to Institution X, enters in the fall term and must serve one year of residency (e.g., does not satisfy a transfer exception). The student-athlete is retained for the spring term and meets all applicable academic-eligibility requirements to be eligible for competition in the spring term (e.g., six-hour and grade-point-average requirements) but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the fall term?*

If the student-athlete would have been academically eligible to compete except for the transfer residency requirement, the student will receive the eligibility point for the fall term.

Question No. 2:

A student-athlete is a partial or nonqualifier at Institution X entering in the fall term and must serve one year of residency (e.g., does not satisfy initial-eligibility requirements). The student-athlete is retained for the spring term and meets all applicable academic-eligibility requirements, but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the spring term?

If the student-athlete is academically eligible to compete except for the residency requirement, the student will receive the eligibility point for the spring term.

Fall Term Certification in the Sport of Baseball.

A baseball student-athlete who was not academically eligible to compete in the fall term per Bylaws 14.4.3.1.3.1, 14.4.3.1.4.2, 14.4.3.1.5, 14.4.3.2.3.1 and 14.4.3.3.2.1 may earn the eligibility point for a term in that academic year if he would have been academically eligible to compete in the subsequent term of the same academic year but for the fall only certification requirement. *(Adopted: 10/07; Effective: 08/08 for the 2008-09 APR cohort.)*

Progress-Toward-Degree Waivers – Eligibility Point.

Student-athletes who receive conference or NCAA waivers of academic requirements earn the eligibility APR point based on the granting of the waiver. [Note: This assumes all other applicable academic-eligibility requirements have been met.] Further, the point is earned if the progress-toward-degree waiver has been granted prior to the APR data submission date. If the waiver was granted after the APR data submission date, the lost eligibility point may be addressed through the adjustment process.

Progress-Toward-Degree Waivers – Retention Point.

Student-athletes who receive a progress-toward-degree waiver that permits them to be enrolled part time, any other waiver that permits less than full-time enrollment or who met a legislated exception to the full-time enrollment requirement are considered retained at the time of enrollment at the institution in a subsequent regular academic term.

See Appendix D for a review of examples of miscellaneous APR calculations.

Incomplete Grades.

Example No. 1:

A basketball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2008 summer term, he or she received an "incomplete" in one class that must be completed in order for him or her to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2008 summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

Example No. 2:

A softball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2007 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term. Therefore, this student-athlete would not have earned the eligibility point for the 2007 fall term, regardless of the term in which the completed course grade was applied.

LEGISLATED EXCEPTIONS/ALLOWABLE EXCLUSIONS

Introduction.

A legislated exception is any deviation from NCAA standards allowed by the legislation itself or a waiver of the legislation. Legislated exceptions/allowable exclusions include student-athletes who:

1. Have spent time in the armed services;

2. Have participated in official religious missions;

3. Have served with recognized foreign aid services of the U.S. government;

4. Meet the requirements for an NCAA pregnancy exception at the time of departure;

5. Meet the requirements for an athletics activities waiver (not an international competition waiver); or

6. Are deceased or permanently disabled.

Sample APR Calculation Involving Legislated Exceptions.

Student-athletes, who leave school, do not meet a legislated exception to the five-year rule and later return, receive how many APR points?

The following sample provides a sample calculation.

	Fall Semester	**Spring Semester**	**Total Points Earned/ Total Possible Points**
Year One	E + R = 2	E + R = 2	4/4
Year Two	E + R = 2	E = 1	3/4
Year Three	No attendance – does NOT meet exception.		Not included in APR this year.
Year Four	E + R = 2	E + R = 2	4/4

Understanding Points for Legislated Exceptions/Allowable Exclusions.

Example No. 1:

Semester One ("2/2")	
Retention	Yes
Eligibility	Yes
Semester Two ("1/1")—SA begins active military duty	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Point Total	**"3/3"**

Example No. 2:

Semester One ("2/2")	
Retention	Yes
Eligibility	Yes
Semester Two ("0/1")—SA not retained—pregnancy exception	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	No
Point Total	**"2/3"**

Example No. 3:

Semester One ("1/1")	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Semester Two (Not enrolled)	
Retention	N/A
Eligibility	N/A
Point Total	**"1/1"**

Example No. 4:

Semester One ("0/1")	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	No
Semester Two (Not enrolled)	
Retention	N/A
Eligibility	N/A
Point Total	**"0/1"**

International Competition and Olympic Sports Waivers – Retention.

[Bylaws 14.2.1.4, 14.4.3.6-(b) and 14.4.3.7]

If a student-athlete is granted a waiver per Bylaws 14.2.1.4, 14.4.3.6-(b) or 14.4.3.7 and therefore is not enrolled for an entire regular academic term, is the APR retention point awarded for the prior term? For example, a student-athlete is in the APR cohort in the 2007 fall semester, but in preparation for the 2008 summer Olympics, receives an Olympic Sports waiver for the 2008 spring semester. How is the retention point considered for the 2007 fall semester?

Student-athletes who receive an Olympic Sports waiver per Bylaw 14.4.3.7 will not have their retention point considered as part of the APR calculation for the term prior to the waiver. In the example, if this student-athlete is academically eligible to compete in the 2008 spring term the student would receive one out of one point (i.e., "1/1") for the fall term. The retention point would not be calculated. This is consistent with the calculation for student-athletes who are allowable exclusions to the graduation rate calculation or legislation exceptions to the five-year clock. Further, such student-athletes would not be included in the cohort for the spring term.

If an institution receives an athletics activities waiver for a student-athlete that participated in the Olympics, the institution should follow all prompts in the APP system related to Legislated Exception/Allowable Exclusion to address the lost retention point. If an institution does not receive or has yet to apply for an athletics activities waiver, the institution will lose the retention point; however, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point.

Note: If an athletics activity waiver is not granted for a student-athlete, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point, even if the student-athlete was granted a progress-toward-degree waiver.

Medical-Absence Waivers [Bylaw 14.4.3.6-(a)].

If a student-athlete is granted a medical-absence waiver per Bylaw 14.4.3.6-(a), is the student-athlete included in the cohort? For example, if a student-athlete in the cohort initially attends the institution for nine weeks, withdraws for a serious medical condition and is granted a medical-absence waiver on his or her return in the spring term, is this student-athlete included in the cohort?

Yes. The student-athlete is included in the cohort for the term(s) in which the medical-absence waiver applies. Any lost APR points should be addressed through the APR adjustment process. *(Adopted: 04/09; Effective with the collection of the 2008-09 APR data, not retroactive to any prior year cohorts.)*

Calculating Data When Legislated Exception Criteria are Not Satisfied.

How should an institution calculate the APR for a student-athlete who uses an exception to the full-time enrollment requirement and subsequently does not fulfill the conditions of that requirement (e.g., a student-athlete enrolled in less than a full-time program of studies required to complete graduation requirements does not graduate in that term)?

The student-athlete would not earn the eligibility point for the term in which he or she enrolled in less than a full-time program of studies and failed to graduate. However, the student-athlete would earn "2/2" in the term in which graduation occurs. Losing the eligibility point would be consistent with the application of the exception for less than full-time enrollment for the final semester of a student-athlete's baccalaureate degree program. Such a student-athlete who fails to complete all degree requirements during the term forfeits eligibility in all sports.

Missed-Term Exception [Bylaw 14.4.3.5-(a)].

An institution may request, one time during a student-athlete's career, an APR adjustment to a lost retention point, based on the following criteria:

1. The student-athlete must meet all criteria for the missed-term exception as outlined in Bylaw 14.4.3.5-(a);

2. The student-athlete must return to the institution as a full-time student in a subsequent term; and

3. The student-athlete must have lost the retention point but earned the eligibility point in his or her last term in the APR cohort prior to departure. *(Adopted: 04/07; Effective: 04/07 for the 2006-07 APR cohort, not retroactive to any prior year cohorts.)*

See Appendix E for further questions and answers regarding application of the missed-term exception.

REPORTING ELIGIBILITY FOR STUDENT-ATHLETES IN A FIVE- OR SIX-YEAR DEGREE PROGRAM

General.

Question No. 1:

What is the definition of a five- or six-year baccalaureate degree program?

If the student-athlete's academic program is identified in the institution's official catalog as a five- or six-year baccalaureate degree program, it should be treated as such for purposes of determining the student-athlete's APR eligibility points. In addition, any baccalaureate degree program that requires at least 150-semester or 225-quarter hours to complete is considered a five-year baccalaureate degree program, according to NCAA legislation.

Question No. 2:

How are APR points awarded for student-athletes enrolled in five- and six-year programs?

A student-athlete enrolled in a five- or six-year degree program will earn an eligibility point in a term if the student-athlete is academically eligible to compete the following regular academic term based on applicable eligibility requirements for five- or six-year baccalaureate degree programs. A student-athlete enrolled in a five- or six-year degree program will earn a retention point if the student-athlete is retained as a full-time student the following regular academic term.

Question No. 3:

How is the APR eligibility point determined for a student-athlete enrolled in a five- or six-year degree program during the last term of his or her fifth year?

The APR eligibility point normally is awarded only if a student-athlete graduates at the conclusion of five years. A student-athlete enrolled in a five- or six-year degree program who is completing his or her fifth year, will be awarded a point for eligibility in the last term, provided he or she meets the academic requirements outlined below.

Five-Year Degree Programs.

A student-athlete in a five-year degree program, or a degree that requires a minimum of 150-semester or 225-quarter hours for completion, must have 83 percent of his/her degree completed and be in good academic standing to be awarded an eligibility point for the last regular academic term of his or her fifth year:

Six-Year Degree Programs.

A student-athlete in a six-year degree program will be awarded a point for eligibility at the end of his or her fifth year provided the student-athlete is in good standing and has completed all requirements of the designated degree program for years one through five.

Example:

Student-athlete B is enrolled in a six-year degree program that requires the student-athlete to complete 208-semester hours. During the sixth year of the degree, the student-athlete is required to complete two rotations for 40-semester hours. At the conclusion of student-athlete B's fifth year, he or she has completed all of the academic requirements of his or her degree except for the two required rotations. The institution may award the eligibility point for this student because he or she has completed all of the requirements for the designated degree programs for years one through five and has only the requirements for the sixth year remaining.

COMMON DATA ENTRY SCENARIOS

Scenarios.

	Fall Semester	**Spring Semester**	**Total Points Earned/ Total Possible Points and Explanation**
SA 1 The five-year graduate.	*Fifth year of enrollment, last season of eligibility, eligible for spring term and retained.* E + R = 2	*Fifth year, last term of eligibility and graduates.* G + G = 2	"4/4"
SA 2 The four-year graduate.	*Fourth year of enrollment, last season of eligibility, eligible for spring and retained.* E + R = 2	*Fourth year, last term of eligibility and graduates.* G + G = 2	*Retention or no retention, the student receives the maximum two points this term since he or she graduated.* "4/4"
SA 3 The four-year graduate continues to the fifth year.	*SA graduated in four years (has baccalaureate) and is eligible to compete in fifth year. SA meets midyear eligibility requirements (e.g., six hours) after fall term and is retained.* E + G = 2		*Graduates who have remaining eligibility automatically receive the retention point. The eligibility point is based only on eligibility requirements for graduates.* *If this SA leaves midyear, he or she receives "2/2" points.* *If this SA is retained for the full year and meets the eligibility requirements in both terms, this SA would receive "4/4" points.*

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 4 The three-year graduate continues to the fourth year.	*SA graduated in three years (has baccalaureate) and is eligible to compete in fourth year. SA meets eligibility requirements (e.g., six hours) in fall term and is retained.* E + G = 2		*See above.*
SA 5 Military service interrupts five-year clock.	*SA enrolls for fall semester, but prior to completing term is called to active military service and is unable to complete the term.* ----------	*SA does not enroll spring semester.* ----------	*SAs who begin a term but are unable to complete the term due to a legislated five-year exception are not included in the team's rate for the uncompleted term.*
SA 6 Religious mission interrupts five-year clock.	*SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA enrolls full time and would be eligible for following fall term but is not retained due to serving a religious mission for the following academic year.* E = 1	*SA receives "3/3" points for the year. The retention point in spring term of departure would not be calculated since military and mission work are exceptions to the five-year rule.*
SA 7 Departs institution after second year and does NOT meet a legislated exception to the five-year clock rule.	*SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA enrolls full time and would be eligible for the following fall term but is not retained and does NOT meet an exception to the five-year clock rule.* E + = 1	*SA does not earn the retention point as the student was not retained the following fall term.* "3/4"

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 8 The five-year nongraduate departs.	*Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA does not earn degree at end of five years and is not retained.* NG + NG = 0	*Five-year SA exhausts eligibility, does not earn degree and is not retained a sixth year.*
SA 9 The five-year nongraduate is retained.	*Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA does not earn degree at the end of five years but is retained to sixth year.* NG + R = 1	*Five-year SA exhausts eligibility, does not earn degree and returns for a sixth year of enrollment.* "3/4"
SA 10 Allowable exclusion: deceased student-athlete.	*SA enrolls for fall semester, but prior to completing term the SA dies.* ----------		*SAs who begin a term, but who are unable to complete the term due to an allowable exclusion are not included in the team's rate for the uncompleted term.*
SA 11 The sixth-year nongraduate is retained.	*Not part of APR cohort.*	*Not part of APR cohort.*	*SA who is retained beyond the fifth year and who is on athletics aid is not included in the APR cohort.*

SA = Student-athlete
E = Eligible
G = Graduates
R = Retained
----- = Not enrolled this term at this institution
NG = Nongraduate after five years

Note: Eligibility for purposes of this chart is defined as academically eligible to compete.

APP DATA COLLECTION

Introduction.

Description of the APP Data Collection Programs.

1. The APP data collection system is an Internet-based software program for the electronic management, submission and reporting of academic performance data that is required by Bylaw 23. The APP is designed to capture data to satisfy membership requirements related to two NCAA initiatives: the APR and the APC.

   Many NCAA Division I institutions employ a software program, such as the NCAA Compliance Assistant (CA), to assist with its athletics compliance needs. If institutions use such software for institutional-eligibility certifications, much of the data necessary to calculate the APR and to meet the submission requirements for the APC are stored in this compliance database. In order to minimize the burden of collecting academic data, automatic electronic migration of data from CA to the APP is available. In addition, electronic importation of data to the APP is available to those institutions using proprietary or "home-grown" compliance software.

2. The graduation rates data collection system is an Internet-based software program designed to collect the necessary information to calculate the IPEDS as well as the GSR. The GSR was proposed in response to concerns regarding the methodology used to calculate the IPEDS-Graduation Rate Survey (GRS). The GSR is intended as an alternative management tool that more accurately reflects the graduation success of student-athletes. It will include student-athletes who transfer into the institution. Furthermore, the GSR will discount student-athletes who depart the institution and would have been academically eligible had they returned.

   The GSR is based on a six-year window for graduation and includes all student-athletes receiving athletically related financial aid entering the institution (i.e., full time, degree seeking), including transfers. For those institutions or teams that do not offer athletically related financial aid, the GSR includes all recruited student-athletes who, on or after the varsity team's first date of competition in the championship segment, are listed on the varsity team's roster.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for member institutions while providing the Division I governance structure with important information on which sound policy decisions can be based.

Official submission of student-body graduation rates (IPEDS-GRS), enrollment, student-athlete graduation rates, GSR and Academic Success Rate (ASR) data is required by **June 1.**

The IPEDS-GRS still must be reported to the NCAA and to prospective student-athletes. The NCAA will continue to report the federal rate to each of our member institutions in a format that meets the requirements of federal law.

The NCAA membership passed legislation stipulating that all member institutions provide the information contained in its federal GRS form to the NCAA. Additionally, all Division I members are required to provide supplemental information that will allow the NCAA to calculate the GSR, and Division II members are required to provide supplemental information that will allow the NCAA to calculate the ASR. The penalty for not providing data by the prescribed due date (i.e., June 1) 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 for the academic year.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for member institutions while providing each division's governance structure with important information on which sound policy decisions can be based.

AMENDING SUBMITTED DATA

Introduction.

If an institution discovers an error to its data after the reporting deadline (i.e., June 1), the institution should contact Maria DeJulio, NCAA research contractor, (mdejulio@ncaa.org or 913/397-7668) about the possibility of making that correction to the institution's data. In addition, institutions will be given the opportunity to review its report for accuracy and will be provided a time period to make any changes to that report.

After the data are submitted to the NCAA, the draft reports that will be published in the fall will be made available. Pull down the "Reports" menu and select either the "Institution Report" or the "GSR/ASR" report. Information regarding verification of the reports and the chancellor/president signature form are also available under this tab. If there are any errors in the reports, please contact Ms. DeJulio to request corrections.

To export data into an Excel spreadsheet, click on the "Export Page" link on the "Reports" tab. Follow the directions to export the specific data set.

Please direct all inquiries to: Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668).

See Appendix I for frequently asked questions and answers to assist the membership with the collection of graduation rates data.

MEMBERSHIP AND SPORTS SPONSORSHIP ISSUES

Members Subject to the APP.

Any NCAA member institution that sponsors a Division I sport must report APP data for that team(s). This includes all active Division I members and multidivisional institutions sponsoring Division I sports.

Institutions or teams that are in the process of reclassifying to Division I are subject to the APP. Such institutions shall be subject to rewards after the collection of two years of required data (e.g., APR, APC, GSR) and three years for penalties. 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. These institutions will appear in the public release with all other Division I institutions. The penalty for a reclassifying institution that fails to submit data is notification to the NCAA Division I Leadership Council, rather than the championship restriction penalties that exist for current Division I members. Additionally, all institutions subject to submission of APP data, regardless of membership status, are permitted to make requests for adjustments of the data.

For example, if an institution becomes subject to the Division I legislation beginning in the 2010-11 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. (*Revised: 10/10; Effective immediately.*)

1. For reclassifying institutions, Bylaw 20.5 requires full compliance with all Division I legislation in the first year of a four-year reclassification process (other than scheduling requirements and eligibility requirements for continuing student-athletes completing their final season of competition).

2. For multidivisional institutions, Bylaw 20.4 requires full compliance with Division I legislation for its Division I sports during the second year of a two-year process.

New Sports Teams.

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

Non-NCAA Championship Sports.

Only NCAA championship sports sponsored by an institution will be included in the APR and, therefore, are the only sports the APP will accept. This includes only those sports for which an NCAA Division I National Championships or National Collegiate Championships are conducted. An exhaustive list of these sports can be found in the Import Module of the APP of the data collection system. The APR does not include sports categorized as women's emerging sports.

Only NCAA championship sports (both Division I and National Collegiate Championships) offered at the varsity level are included in the data collections. Teams that are considered junior varsity are not included in the APP. Varsity teams that compete in non-NCAA championship sports, including emerging sports (e.g., rugby, squash), are not included in the APR, APC and GSR data collections and are not subject to rewards and penalties.

Institutions/Teams Transitioning from Division I or Discontinuing a Division I Sport.

Institutions are required to provide written notification to the staff of the date of the public announcement and the effective date of a transition from Division I.

Once the staff receives notification from the institution, the institution/team:

1. Will no longer be responsible for submitting APP data (i.e., APR, APC, GSR or head coaches' information) beginning with the academic year the staff receives notice.

2. Will not be subject to new APP penalties, but must impose previously earned penalties that apply to the academic years the team/institution continues to compete as a Division I institution/team.

3. Will not be part of any public release of APR and associated penalties, GSR and head coaches' information.

4. Will not be included in the calculation and/or determination of any penalty filters.

5. Will not be eligible for any APP Supplemental Support Fund (SSF) monies.

6. Will not be eligible for public recognition for high academic performance.

7. Will no longer submit APR adjustment requests or APP-penalty waivers.

8. Will no longer be required to submit APR Improvement Plans; however, the staff will review any plans submitted by the institution while it remains a Division I institution/sport.

In these situations, the application of the above-mentioned list will be effective beginning the academic year the institution publicly announces its intention to discontinue, drop or transition a team(s) from Division I.

If a team transitioning from Division I membership received a conditionally approved APP-penalty waiver and the determination of whether the team satisfied the established conditions will result in a team having to impose penalties, then the institution must submit APR/APC data, record of implementation of its APR Improvement Plan and request a waiver of the determination that the conditions were not satisfied.

If an institution's transition to another division or athletics organization has been proposed as a multiyear process, once the staff receives notification from the institution, the situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data Collection and Reporting with a recommendation for its review. The staff would take the following into consideration when determining the appropriate APP requirements the institution needs to fulfill:

1. Length of transition from Division I;

2. Timing of notification to the staff;

3. History of academic performance;

4. Whether or not the institution has teams subject to penalties and the types of penalties;

5. Whether or not the institution's teams will continue to compete at the Division I level during the transition; and

6. Other factors deemed appropriate by the staff and/or institution.

The application of the recommendations above generally will be effective beginning the academic year the staff receives notice of the institution's intention to transition from Division I or to discontinue a sport at the Division I level; however, the staff will be provided flexibility in determining the effective date for each requirement based on the timing of notice received by the staff.

Institutions/Teams Rescinding the Decision to Transition from Division I or Discontinue a Division I Sport.

In instances where an institution rescinds its decision to transition from Division I, each situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data Collection and Reporting with a recommendation for its review with regard to any penalties and their application, once the staff receives notification from the institution. The institution would

be required to submit APP data from any year the institution did not submit data while it was in transition. Further, the institution would be permitted to submit corrections, adjustments and penalty waivers as appropriate based on the timing of the notification. *(Adopted: 07/10; Effective for institutions providing notification to the staff beginning in 2010-11 and beyond.)*

Institutions that Reinstate Dropped Sport in Subsequent Years.

An institution that reinstates a dropped sport(s) must submit APP data according to the following guidelines:

1. 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.

2. 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 and/or Subcommittee on Data Collection and Reporting also will determine any additional requirements on a case-by-case basis.

Restricted-Membership Penalty.

Level-Three penalties include a menu of penalty options that may include 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 may be

reclassified to corresponding membership status (Bylaw 23.2.1.2.4). *(Revised: 10/11; Effective: 10/11)*

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.

DUE DATES

Submission.

Official submission of the data to calculate the APR and to satisfy the requirements for the APC is due within **six weeks** (42 calendar days) following the first day of classes on campus each fall term and June 1 for GSR and Federal Graduation Rate data.

Legislated Penalties (Bylaw 23.1.3).

An institution that fails to submit complete APR, APC or GSR 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 of 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.

Institutions That Do Not Provide APP Data or Usable APP Data.

An institution that does not submit its APR, APC or GSR data by the submission deadline 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 it has submitted the required APR, APC or GSR data. The institution will be required to submit a plan that must include the steps the institution will take in future data collections to ensure timely submission of data or usable data. This plan is not required prior to being reinstated for championships.
(Revised: 10/10; Effective immediately.)

An institution that submits unusable APR, APC or 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 it will be subject to the following process:

1. The staff will conduct an on-campus visit to review documentation supporting the institution's APP data and to conduct an educational session regarding the APP data submission requirements and other topics as deemed necessary by the Committee of Academic Performance and/or staff.

2. Following the on-campus visit, the institution will be placed in a one year probationary period, which may include:

    a. Recurring checks between the staff and the institution's certifying officer;

    b. Required attendance for institutional representatives at NCAA Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;

    c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data Collection and Reporting;

    d. Submission of midyear academic data;

    e. Continued ineligibility for postseason competition for all teams;

    f. Ineligibility for public recognition of any high-performing teams and SSF monies; and

    g. Any additional corrective measures as determined by the Subcommittee on Data Collection and Reporting.

After the one-year probationary period, the staff will conduct a follow-up visit to determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, will be required to participate in an in-person meeting with the full Committee on Academic Performance to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. (*Adopted: 06/10; Effective for institutions selected for data review during the 2010-11 academic year and beyond.*)

CORRECTING SUBMITTED DATA

Introduction.

After submission and validation of an institution's APR/APC information, an institution is provided a 14 calendar-day period to review its data for any errors or omissions and submit any APR adjustments.

Corrections.

Institutions are permitted to request corrections to APR data for all academic years. Such corrections will be permitted only during the correction/adjustment period. Please note that submitting corrections to data from prior academic years will not affect any data reports that have already been made public, although the multiyear APR may be impacted. Please contact Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668) directly for any requests for data corrections to academic years **outside** the current multiyear cohort (i.e., 2003-04 through 2007-08). These specific requests cannot be submitted through the APP Data Collection Portal.

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 Subcommittee on Data Collection and Reporting and provide any necessary supporting documentation. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years. *(Adopted: 01/07)*

REQUESTS FOR ADJUSTMENTS OF APR

Introduction.

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 on Academic Performance'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 the same 14 calendar-day period in which they submit corrections. 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, director of athletics, senior woman administrator, director of compliance or faculty athletics representative and must be provided to the national office. 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 on Data Collection and Reporting may request additional pertinent information before it reaches a final determination. *(Revised: 02/10; Effective with requests submitted fall 2010.)*

In some circumstances (i.e., degree program discontinued, dropped sport), no additional documentation must be submitted to the NCAA. In these instances, the director of athletics and the faculty athletics representative 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, email 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 on Academic Performance (See Appendix G);

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 and/or Subcommittee on Data Collection and Reporting has the authority to consider, deliberate and decide APR adjustment requests. After reviewing all information, the staff and/or Subcommittee on Data Collection and Reporting will render one of the following decisions.

1. **Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting is adjusting part of the normal calculation of the APR.

3. **Conditional Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 of Staff Decisions.

The Committee on Academic Performance has authorized the Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting. The Subcommittee on Data Collection and Reporting's determination shall be final and shall not be subject to further review by any other authority.

The Subcommittee on Data Collection and Reporting shall conduct its deliberations by facsimile, teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data Collection and Reporting members and 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, director of athletics, senior woman administrator, faculty athletics representative or director of compliance 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. *(Revised: 02/10; Effective with requests submitted fall 2010.)*

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 on Data Collection and Reporting 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 on Data Collection and Reporting. The Subcommittee on Data Collection and

Reporting member will be responsible to review the institution's appeal. The Subcommittee on Data Collection and Reporting member can affirm the staff's original decision, at which time the appeal is considered denied and final, or request the Subcommittee on Data Collection and Reporting review the appeal. If the Subcommittee on Data Collection and Reporting reviews an appeal, a simple majority will be necessary for a decision.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting 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: 07/06; Revised: 01/07)*

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 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 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 national office via the Committee on Academic Performance portion of the 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.

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 and/or Subcommittee on Data Collection and Reporting has the authority to hear, deliberate and decide waiver/extension requests. After reviewing all information, the staff and/or Subcommittee on Data Collection and Reporting will render one of the following decisions.

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

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 on Data Collection and Reporting'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 data collection waiver/extension appeals and to render a decision on behalf of the Committee on Academic Performance.

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 on Data Collection and Reporting shall determine whether or not any appeal filed after 14 calendar days shall be heard.

Subcommittee Review Procedures.

The subcommittee may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall involve only subcommittee members and NCAA staff.

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

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

The Subcommittee on Data Collection and Reporting may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall involve only Subcommittee on Data Collection and Reporting members and staff.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting until the staff has reviewed and considered the new information.

WAIVER OF FILING DEADLINE PENALTIES (Bylaw 23.3)

Introduction.

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 and by that request reinstatement for championships eligibility.

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to review waivers of the filing deadline 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 with appeals of staff decisions to 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 has the authority to deliberate and decide waiver requests. After reviewing all information, the staff will render one of the following decisions.

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

2. **Denial:** The staff 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 determines the institution's request demonstrated evidence that warranted partial relief from the prescribed filing deadline penalties; however, the 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, teleconference, email, Internet or in-person meeting. The deliberations of a request shall involve only subcommittee members and staff members.

Subcommittee Review Procedures.

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

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

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

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.

DATA COLLECTION ON TWO-YEAR COLLEGE TRANSFERS

Introduction.

Beginning with the 2008-09 APR/APC data submission, institutions were required to submit additional academic data for student-athletes in the sports of baseball, football and men's and women's basketball who transferred to the submitting institution immediately from a two-year college. During the 2008-09 data collection, institutions were required to provide data on all two-year college transfer student-athletes in the cohort in these four sports. The data will be collected annually and will only be required for those two-year college transfer student-athletes who entered the institution in the academic year for which data is being submitted. *(Adopted: 02/12; Effective: 02/12)*

See Appendix H for questions and answers to assist the membership in its understanding of the data collection for two-year college transfer student-athletes.

HEAD COACHES' APR PORTFOLIO

Introduction.

During its January 2009 meeting, the Board of Directors approved a publicly available database for reporting the APR for all Division I head coaches. During the 2008-09 APR/APC data collection institutions were required to submit the names and employment dates for all head coaches in the sports of baseball, men's and women's basketball, football and women's indoor and outdoor track and field. During the 2009-10 APR/APC data collection, institutions were required to submit data for all other sports as well as the updated 2009-10 data for the original six sports. This data is required for all head coaches employed from August 1, 2003, to the present.

For purposes of this data, only coaches officially employed by a Division I institution as a head coach will be included in the database. A head coach designated as an "interim," will not be included in the portfolio for the "interim" period. Therefore, there may be dates for which there was no "head coach" for this study.

Head coaches will have the opportunity to review their employment history and single-year APR data during a designated time period, to be specified.

Beginning with the 2010-11 data collection, institutions need only update the head coach data for sports in which there was a coaching change within the last academic year. Additionally, institutions must verify the accuracy of the data and make any corrections prior to submitting the 2010-11 APR/APC data. If corrections are needed after the institution has submitted its APR/APC data, institutions may request changes during the 14-day correction phase.

See Appendix J for questions and answers to assist the membership in its understanding of the data collection for head coaches.

APP DATA REVIEWS

Introduction.

Bylaw 23.01.3 and the Committee on Academic Performance Policies and Procedures require APP data to be submitted for all NCAA Division I teams and all teams/institutions that are in the process of transitioning their membership to Division I and are subject to NCAA Division I legislation. All APP data submitted pursuant to Bylaw 23.01.3 must conform to the committee's policies and procedures. In order to ensure the uniformity and accuracy of submitted APP data, the committee will review APP data submitted by selected institutions annually. Please note that the staff will review the institution's APR and GSR data.

REVIEW PROCESS

Selection.

The staff/Subcommittee on Data Collection and Reporting 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;

5. Institutions with a team(s) with an APR(s) ranging from 910 to 950; and

6. 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. The subcommittee may also recommend that an institution be re-selected for review based on the significant number of issues with the institution's APR and GSR data discovered during the APP data review process.

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.

A letter will be sent to the institution's chancellor/president informing him or her that the institution has been chosen to participate in the APP data review process. This letter will also include:

1. A link to the committee's APP data review procedures; and

2. Request for primary and secondary contacts for the purpose of completing the review.

Responsibilities of the Chancellor/President.

Throughout the APP data review process, the chancellor/president must make it clear, by word and action, that the review is a priority and that the all individuals related to APP data submission are involved and responsible for the review.

The chancellor/president is responsible for appointing the institution's primary and secondary contacts. The contacts should be appointed by the chancellor/president or his or her designee. The contacts should have clear authority from and ready access to the chancellor/president. By doing so, the chancellor/president communicates the importance that the institution attaches to the review process and encourages the institution to take the review process seriously. Please note that the primary contact must be a full-time employee of the institution.

Responsibilities of the Primary and Secondary Contacts.

The primary and secondary contacts serve as liaisons between the institution and the staff member throughout the APP data review process. They will facilitate the collection of requested documentation for the staff liaison and answer questions that come up during the review. They are involved in preparing the institution's response to the preliminary findings and carrying out any actions required by the Subcommittee on Data Collection and Reporting as a result of the review.

Conference Office Involvement.

Conference office involvement in the APP data review process is optional. The role of the institution's conference office is determined by the institution. The conference office will receive copies of official correspondence between the NCAA and the institution. The institution will inform the staff member of any additional conference office involvement in the process.

Scope of Data Review.

A staff member will review the institution's APR data and GSR data only to verify the accuracy of the data submitted by the institution. The institution will be expected to cooperate with the staff throughout the APP data review process (i.e., providing requested documentation).

Please note that during the review process, the staff has the authority to determine whether a more comprehensive review is required and/or an on-campus visit is necessary. The staff will notify the institution of the need for such a visit.

Introductory Teleconference.

A staff member will conduct an introductory teleconference with the contacts and others identified by the institution following receipt of the names of the primary and secondary contacts. The purpose of the teleconference is to review the following:

1. The purpose of the APP data review;

2. Committee expectations regarding participation;

3. The decision to include the institution in the review process;

4. The APP data review procedures;

5. Possible on-campus visits;

6. General review timeline; and

7. Possible outcomes of the APP data review.

Prior to the teleconference, the institution will receive an initial request for documentation. The staff will review that request during the teleconference and will answer any questions the institutional contacts may have about the request. The institution will have **four weeks from the introductory teleconference** to respond to that request.

Preliminary Report.

After the staff has completed its review of the APP data, they will provide the institution with a preliminary report of its findings. The preliminary report will be organized to:

1. Identify the specific area reviewed and the definition of each area;

2. The documentation used in the review;

3. The staff's findings; and

4. The staff's recommendations.

The institution will have **two weeks** to respond to the preliminary report.

Corrections to the Data.

Institutions are permitted to make corrections to its data after receiving the staff's preliminary report, provided the institution agrees with the staff's findings. The staff will notify the institution that it may make the agreed upon corrections prior to the Subcommittee on Data Collection and Reporting review. All unresolved issues will be reviewed by the Subcommittee on Data Collection and Reporting.

Subcommittee Review.

The Subcommittee on Data Collection and Reporting will review the institution's preliminary report and responses. Please note the Subcommittee on Data Collection and Reporting can make any or all of the following findings:

1. **No Action Required:** Based on the results of the review, the Subcommittee on Data Collection and Reporting considers the institution's APP data to be in substantial conformity with the applicable NCAA legislation and the Committee on Academic Performance's policies and procedures and the institution is not required to take any action regarding its APP data in a particular area.

2. **Recommended Action:** Based on the results of the review, the Subcommittee on Data Collection and Reporting considers the institution's APP data to be in general conformity with the applicable NCAA legislation and the Committee on Academic Performance'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.

3. **Required Actions:** Based on the staff's findings of the review, the Subcommittee on Data Collection and Reporting does not consider the institution's data to be in conformity with applicable legislation and the Committee on Academic Performance's policies and procedures. The institution will be required to take actions that will bring it in conformity.

Additionally, the Subcommittee on Data Collection and Reporting 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.

Failure to Comply with Staff and/or Subcommittee Requests.

If the institution fails to provide information or documentation that the staff/Subcommittee on Data Collection and Reporting 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.

Final Report.

The Subcommittee on Data Collection and Reporting will provide the institution with a final report of its findings. The report will be organized by topical area and academic year and will provide the Subcommittee on Data Collection and Reporting's findings in each area and any action for the institution regarding these findings.

If an institution fails to take the required action(s) within the stated period, the institution's data will be considered invalid and the institution will be considered to have not submitted its APP data and will be ineligible for any NCAA championship or bowl game until the required action is taken.

Ethical Considerations.

The following guidelines have been established for data reviews in an effort to protect the integrity of the APP data review process:

1. All aspects of the data review visit are to be treated as confidential. This confidentiality extends to evaluation materials provided by the institution (including institutional responses to the staff's findings); issues identified by the staff/Subcommittee on Data Collection and Reporting; the staff's files and notes; and conversations with the institution.

2. Institutions should not offer, and staff members may not accept, gifts or gratuities of any kind.

Rules Violations.

The staff/Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting will also advise the institution of its obligation to self-report violations. The Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting 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 on Data Collection and Reporting refers a potential violation to enforcement, the Subcommittee on Data Collection and Reporting 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.

ON-CAMPUS REVIEWS

Notification.

The staff has the authority to determine that an on-campus review of APP data is necessary at any point in the process. The staff will inform the institution's chancellor/president of the decision to conduct a visit.

Length of Visit.

The APP data review visits will generally take place over a two-day period. Every effort will be made to establish a schedule in advance that reflects accurately the length and scope of the visit. Unanticipated events may require changes in the schedule at the time of the visit; therefore, the staff has the authority to modify the schedule as necessary within the established time period.

Introductory Meeting.

The staff will conduct an informal meeting at the beginning of the visit with the institution's chancellor/president, primary and secondary contacts and any individuals the chancellor/president elects to invite. The purpose of the meeting is to introduce the staff member(s) and to provide a brief outline of what the staff will be doing while on campus.

Education Sessions.

The staff will conduct an informal educational session regarding APP data submission during the in-person visit. The institution may invite participants at its discretion. The purpose of the educational session is to discuss issues that arose from the data review and to provide the institution's staff with an opportunity to ask questions regarding the APP data submission process. Please note, this session is not intended to cover general NCAA interpretive questions nor to discuss the merits of the APP.

The staff will also conduct an educational session regarding the APP for the institution's coaches and other administrators not directly involved in the data review or in the normal collection and submission of the APP data.

Exit Meeting.

The staff will conduct an informal meeting at the end of the visit with the institution's chancellor/president, primary and secondary contact and any other individuals at the chancellor/president's discretion. The purpose of the meeting is to provide general impressions of the visit and to share information, including any serious problems that were discovered during the visit, which may be contained in the staff's formal written preliminary report. Finally, the staff should provide information regarding the next steps in the process and the anticipated timetable.

Costs of the On-Campus Visit.

The costs related to APP data review will be shared by the institution and NCAA.

The institution is responsible for:

1. Work-related needs (e.g., copiers, meetings rooms, computers, Internet access, printers) for the staff member(s) during the visit.

2. All costs associated with preparation and providing requested documentation.

The NCAA is responsible for:

- Expenses of staff member(s) related to the data review visit.

Required Changes to Submitted Data and Impact of Changes on Penalties.

If an institution is required to amend its previously submitted APR and/or GSR data, any resulting change to the institution's APR and/or GSR will not affect the status of any previously earned APP penalties or loss of access to postseason competition. However, if the data, as amended, affects the team's current level of penalty, the team must advance to the appropriate level of penalty. (*Adopted: 06/10; Effective for institutions selected for data review during the 2010-11 academic year and beyond.)*

Unusable Data.

If it is determined that an institution has submitted unusable data during the APP data review process, the following will occur:

1. The staff will conduct an on-campus visit to review documentation supporting the institution's APP data and to conduct an educational session regarding the APP data

submission requirements and other topics as deemed necessary by the Committee on Academic Performance and/or staff.

2. Following the on-campus visit, the institution will be placed in a one year probationary period, which may include:

   a. Recurring checks between the staff and the institution's certifying officer;

   b. Required attendance for institutional representatives at Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;

   c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data Collection and Reporting;

   d. Submission of midyear academic data;

   e. Continued ineligibility for postseason competition for all teams;

   f. Ineligibility for public recognition of any high-performing teams and SSF monies; and

   g. Any additional corrective measures as determined by the Subcommittee on Data Collection and Reporting.

3. After the one-year probationary period, the staff will conduct a follow-up visit to determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, will be required to participate in an in-person meeting with the full committee to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. (*Adopted: 06/10; Effective for institution selected for data review during the 2010-11 academic year and beyond.)*

ACCESS TO POSTSEASON COMPETITION AND APP PENALTIES

Introduction.

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.

In October 2011, the Board of Directors approved modifications to the APP penalty structure. These modifications included a new penalty benchmark as well as a three-level penalty structure for all underperforming teams. Aside from modifying the penalty structure, the Board of Directors also adopted academic standards for access to postseason competition. Therefore, academic performance, as measured by the APR, is now an element of qualification for postseason participation. The modifications are designed to embed academics as a first expectation.

Access to postseason competition and the penalty structure is tied directly to the "benefits" of Association membership. For those sports teams and athletics programs that perform at an unacceptable level academically, benefits will be denied or restricted.

Several key principles guide access to postseason competition and the penalty structure:

1. Access to postseason competition is contingent on an expected level of academic performance as demonstrated with the academic performance program's rates and metrics. Failing to meet these metrics and rates may cause a team to be denied access to post-season competition.

2. The goal is 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 be better realized.

3. The structure must appropriately penalize those programs that have demonstrated a history of academic underachievement (e.g., those with multiyear rates below the penalty benchmark).

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

Bylaw 15.01.8 and Bylaw 23.2 provide the legislative foundation for the penalty structure and academic requirements to access postseason competition.

<u>Postseason Access Academic Benchmark and Filters</u>.

A team with a multiyear APR below 930 is ineligible for postseason competition. Limited filters will be applied to confirm whether or not the team will lose access to postseason.

1. Mission Filter: The first time a team falls below the APP threshold for access to postseason competition it is reviewed with the mission filter. The filter considers if the institution ranks in the bottom 15 percent of all Division I institutions by resources as defined by the current Committee on Academic Performance policy. In such cases if the

team's most recent four year GSR is 50 percent or higher, the filter provides relief from ineligibility for postseason competition. This filter is applied only one time and impacts only postseason access. No other filter exists the first time a team is below the benchmark. Specific Level-One, -Two or -Three penalties are not impacted by this filter.

2. Improvement Filter: If a team falls below the APP threshold for access to postseason competition a second time and beyond, it is reviewed with the improvement filter. This filter considers meaningful improvement as defined by the Committee on Academic Performance as a means to avoid loss of access to postseason competition. Meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is applied the second year and beyond that a team faces a loss of access to postseason competition. Level-One penalties are not impacted by this filter. The impact on Level-Two and -Three penalties is addressed later in this document.

Transition Period.

The Committee on Academic Performance has established a transition period for the 930 multiyear APR academic benchmark for access to postseason competition:

1. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

2. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

3. 2014-15 Postseason Competition – Access is a multiyear APR of at least 930 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years.

Transition Period - Limited-Resource Institutions.

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in

transitioning to the new APP penalty structure and academic access to postseason competition. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all Football Bowl Subdivision (FBS) institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

These recommendations impact both access to postseason competition and Level-One, -Two and -Three penalties. They include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:

    a. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

    b. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

    c. 2014-15 Postseason Competition – Access is a multiyear APR of at least 910 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

    d. 2015-16 Postseason Competition – Access is a multiyear APR of at least 920 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark from penalties and ineligibility for postseason competition if the team meets the following criteria:

    - Demonstrates meaningful APR improvement as defined by the Committee on Academic Performance. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period outlined above. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:

        (1) 900 in the 2010-11 and 2011-12.

(2) 930 in the 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee;

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR improvement plans – significant and critical elements -- if a plan was previously required.

2. Identification of critical issues supported by data.

3. Development of meaningful initiatives that address critical issues.

4. Broad-based participation in the development, assessment and oversight of the plan.

5. Approval by president or chancellor.

6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. *(Adopted: 04/12; Effective: 04/12)*

The following charts may clarify the transition to the new APP access to postseason competition:

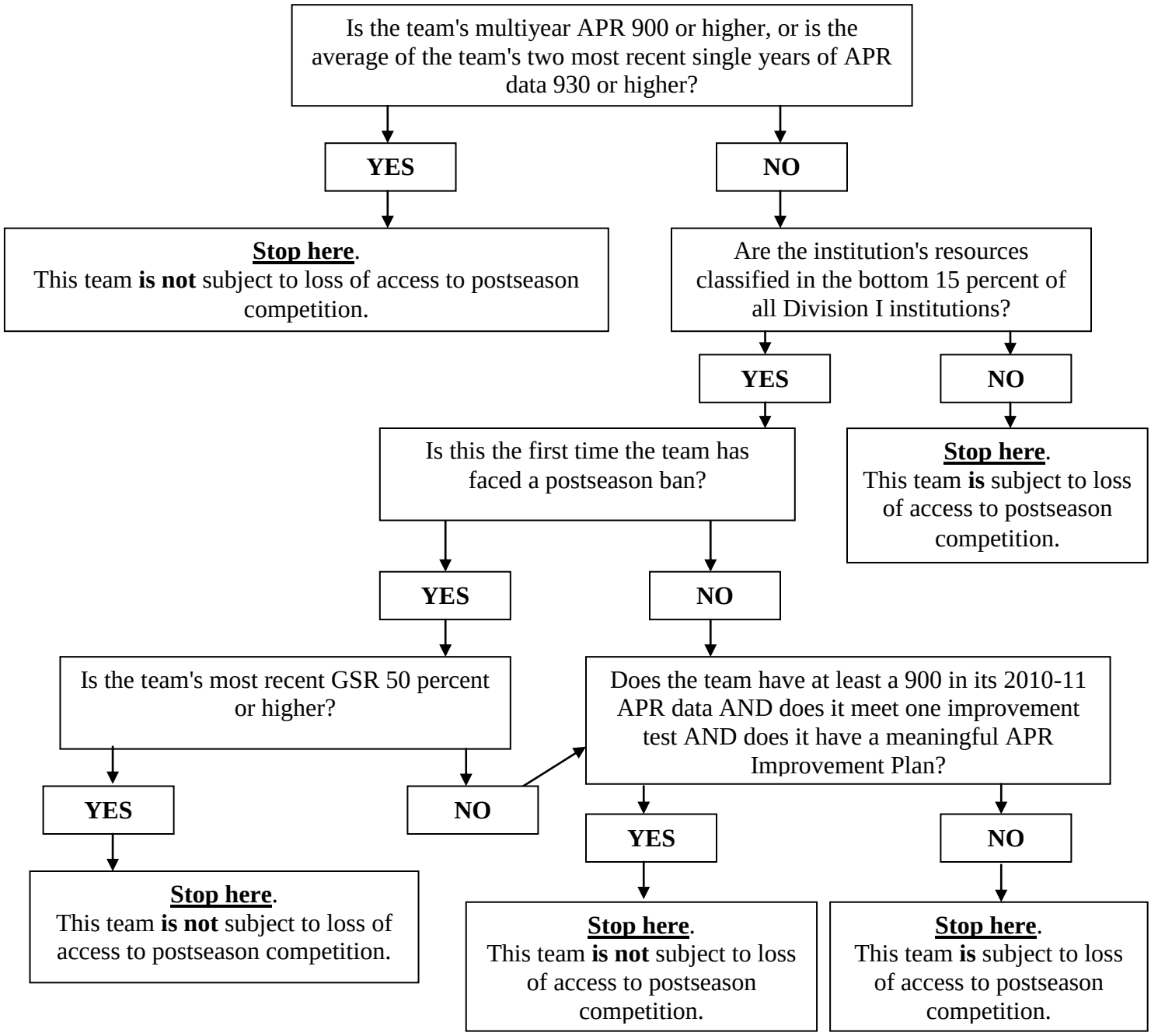
Transition for All Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid Ineligibility for Postseason	Two Most Recent Years Average APR to Avoid Ineligibility for Postseason
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2014-15	Four-year APR of 930 or higher OR	Two most recent years average at or above 940.
2015-16 and Beyond	Four-year APR of 930 or higher *Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

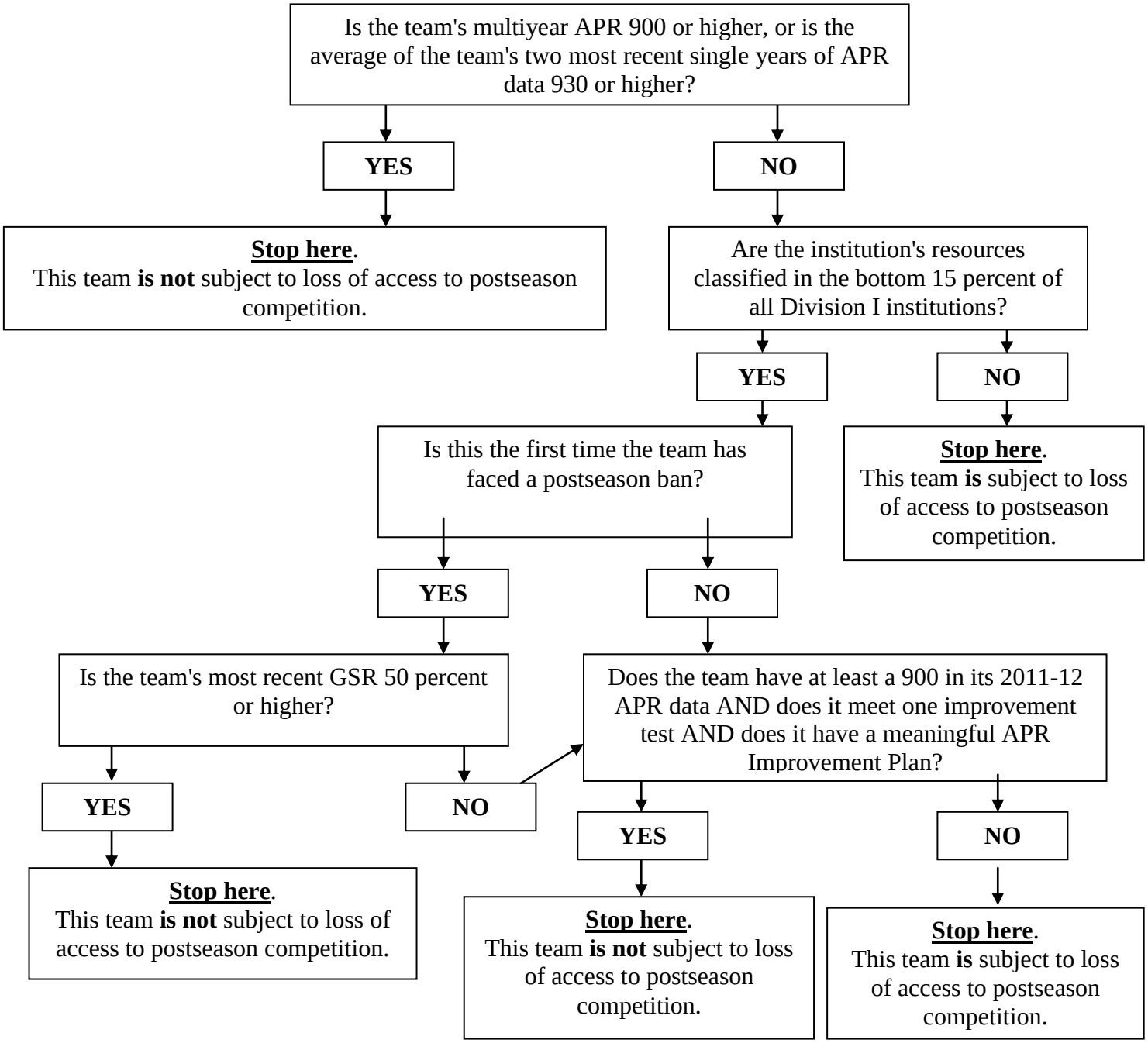
Transition for Limited-Resource Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid Ineligibility for Postseason	Two Most Recent Years Average APR to Avoid Ineligibility for Postseason	Improvement/APR Improvement Filter
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2010-11) plus meets one improvement test plus a meaningful APR Improvement Plan.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2011-12) plus meets one improvement test plus a meaningful APR Improvement Plan.
2014-15	Four-year APR of 910 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2012-13) plus meets one improvement test plus a meaningful APR Improvement Plan.
2015-16	Four-year APR of 920 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2013-14) plus meets one improvement test plus a meaningful APR Improvement Plan.
2016-17 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

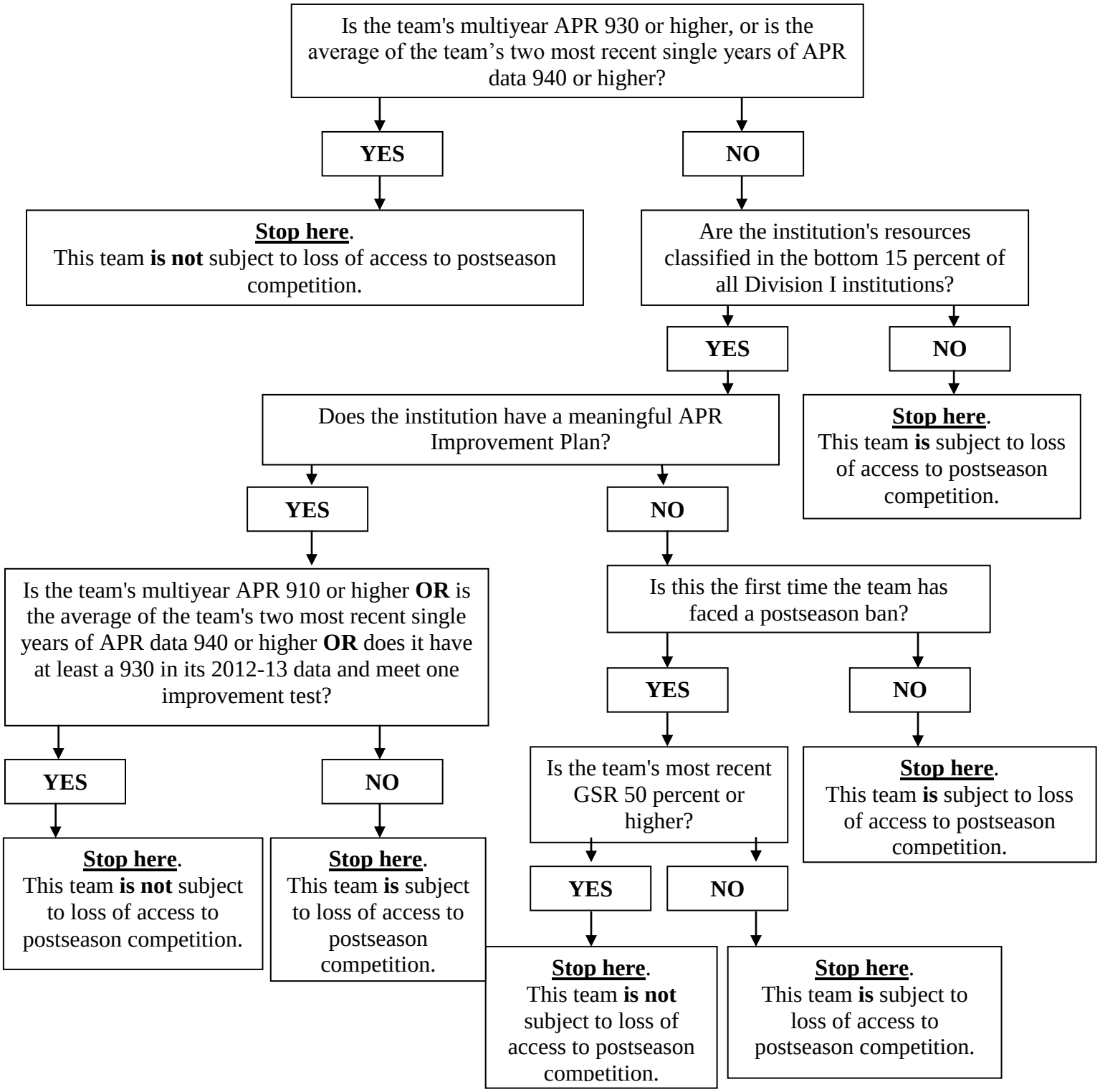
This chart demonstrates the process for determining access to postseason competition conducted in 2012-13:



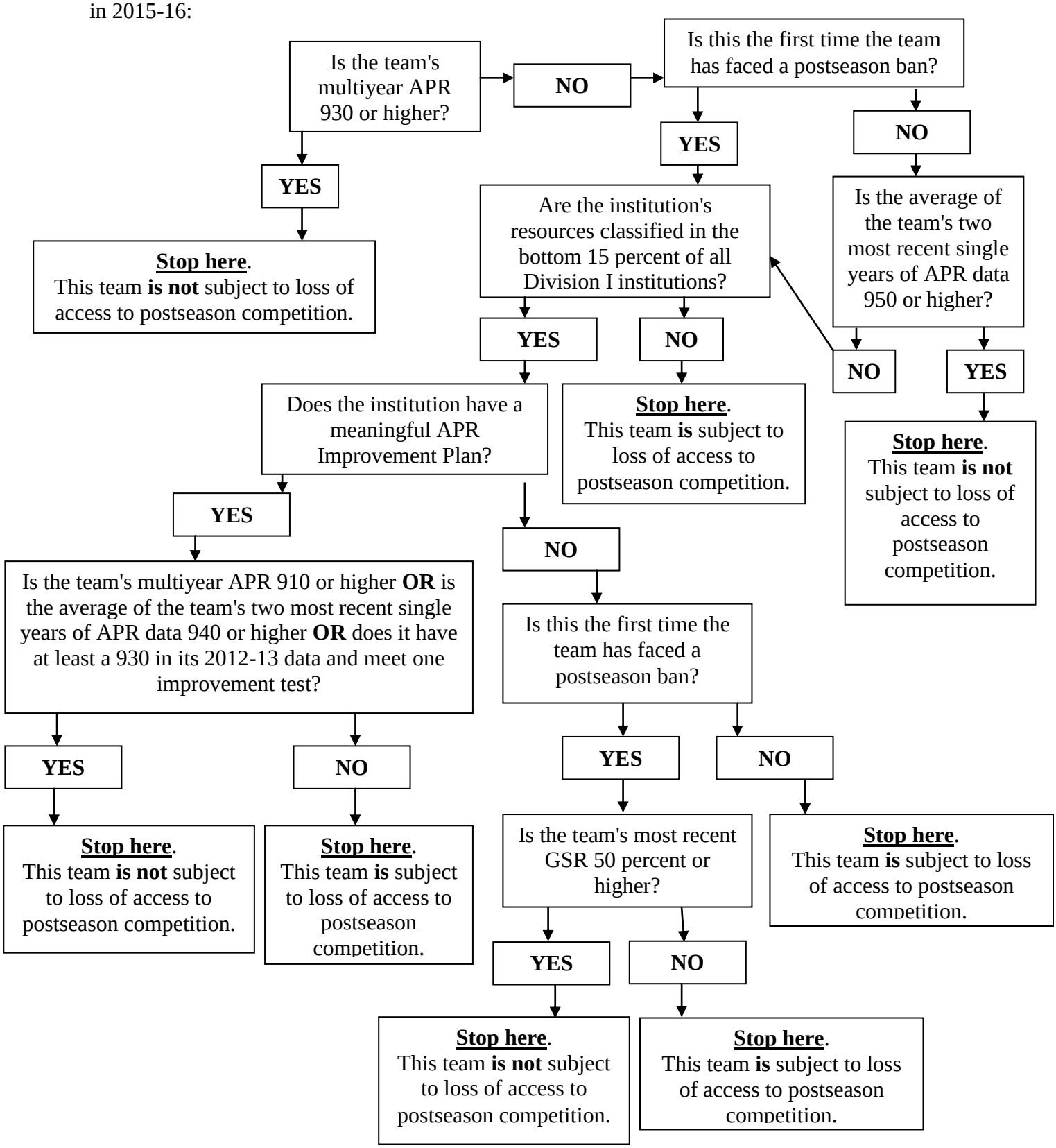
This chart demonstrates the process for determining access to postseason competition conducted in 2013-14:



This chart demonstrates the process for determining access to postseason competition conducted in 2014-15:



This chart demonstrates the process for determining access to postseason competition conducted in 2015-16:



Notification of Loss of Access to Postseason Competition.

Once an institution confirms its data is accurate in the correction period of the data collection process, and if any of the institution's teams are subject to a loss of postseason access, a report will be posted on the institution's password-protected APP website accessed through the APP Data Collection System. The report will indicate the sport(s) that have lost access to postseason competition. The availability of the report is considered official notification of the loss of postseason access. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timing of Loss of Access to Postseason Competition.

Teams subject to loss of access to postseason competition will lose that access in the academic year following official notice of the loss of access. For example, a team that received notice of loss of access to postseason competition during the 2011-12 academic year will be ineligible for postseason competition in the 2012-13 academic year. Public release of all teams losing access to postseason competition in 2012-13 will be announced in June or July 2012.

Timeline for New Division I Teams.

Teams transitioning to Division I will be subject to loss of access to postseason competition after three years of APR/APC data have been submitted.

Permission to Contact (Bylaw 13.1.1.3.4).

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. To this end, only remaining seasons of eligibility will be considered and not the amount of time remaining on the student-athlete's "five-year clock." Therefore, this permission is available only to student-athletes with one season of competition remaining.

Transfer Exceptions for Student-Athletes on Teams Subject to Loss of Access to Postseason Competition.

Requests for a waiver of the transfer year in residence for a student-athlete who transfers when his or her team is subject to ineligibility for postseason competition due to a low APR for the remainder of the student-athlete's seasons of eligibility, may only be initiated by a member institution through existing procedures for the submission of a waiver to the Subcommittee for Legislative Relief.

In order to be eligible for a waiver of the transfer year in residence, pursuant to Bylaw 14.8.2, the loss of access to postseason competition must preclude the student-athlete and/or the student-athlete's team from participating in postseason competition during all remaining seasons of the student-athlete's eligibility. Only remaining seasons of eligibility will be considered, not the amount of time remaining on the student-athlete's "five-year clock." Therefore, the waiver is generally only available to student-athletes with one season of eligibility remaining.

The Committee on Academic Performance or the staff, at the discretion of the Committee on Academic Performance, will have the authority to review waivers of the transfer residency requirement under Bylaw 14.8.2 in order to provide a recommendation to the Subcommittee for Legislative Relief.

All waiver requests should include information regarding the academic impact of the student-athlete's transfer and should be signed by the student-athlete. The following information should be included to describe the academic impact:

1. The student-athlete's career APR eligibility- and retention-point history;

2. The student-athlete's grade-point average and credit hours earned; and

3. The impact of the transfer on the student-athlete's anticipated date of graduation.

The staff will provide an annual report of all requests and decisions to the Committee on Academic Performance.

Notice of the availability of the waiver and waiver decisions will be provided as follows:

1. Teams denied access to postseason competition will be notified of the process via correspondence from the Committee on Academic Performance.

2. Teams that have lost access to postseason competition will be notified of all decisions for student-athletes transferring from its institutions.

3. Student-athletes will be notified of this option by the institutions they attend. *(Adopted: 07/09)*

WAIVERS OF INELIGIBILITY FOR POSTSEASON COMPETITION

Introduction.

In accord with Bylaw 18.4.2.3.1, institutions may request a waiver of the loss of access to postseason competition and the Committee on Academic Performance has the authority to waive the application of the loss of postseason competition. The committee's decision shall be final, conclusive and not subject to further review by any other authority.

For teams within Level-One and Level-Two of the APP penalty structure, the staff will initially hear all waivers of Bylaw 18.4.2.3.1 with appeals heard by the Subcommittee on Appeals. Decisions of the Subcommittee on Appeals may be appealed to the full committee chair based on the criteria outlined in these policies

For teams within Level-Three of the APP penalty structure, the staff will initially review waivers of Bylaw 18.4.2.3.1. If staff does not render a decision, the waiver will be heard by the full committee at an in-person hearing. This hearing will coincide with a hearing regarding the assignment of APP penalties for that team.

Application Procedures.

A member institution that seeks to delay imposing or to waive the application of Bylaw 18.4.2.3.1 shall submit an online waiver application through the LSDB*i* portal 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 loss of access to postseason imposed per Bylaw 18.4.2.3.1. Such a request will also include any request to waive a Level-One, -Two or -Three penalty.

Waiver requests must be filed within 14 calendar days of the institution's completion of the correction/adjustment period, or after receiving a final decision of all adjustment requests.

The online waiver application submitted by the institution will produce a signature page that must be signed by the chancellor or president. The completed waiver application shall set forth the reasons the institution believes that application of Bylaw 18.4.2.3.1 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, subcommittee, and/or committee may request additional pertinent information before a final determination is made.

Staff Review Procedures.

On receipt of an institution's request, the staff will review the application to ensure it is complete, email 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.

Staff Deliberations and Decisions.

The staff has the authority to consider, deliberate and render a decision on all requests to waive ineligibility for postseason competition that accompany a Level-One or -Two penalty. The staff may approve or conditionally approve requests to waive ineligibility for postseason competition that accompany a Level-Three penalty. Staff decisions will be based on some or all of the following criteria:

1. The waiver directive approved by the Committee on Academic Performance; (See Appendix M);

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

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

After reviewing all information, the staff will render one of the following decisions on requests to waive ineligibility for postseason competition that accompany a Level-One or -Two penalty:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the

decision converting to a denial and the loss of access to postseason competition applies to the academic year following notification of the failure to satisfy the conditions.

3. **Denial:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

After reviewing all information, the staff will render one of the following decisions on requests to waive ineligibility for postseason competition that accompany a Level-Three penalty:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition applies to the next academic year (the same year in which the team would have been ineligible for postseason competition originally).

Staff Conflict of Interest.

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, alma mater). A staff 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 loss of access to postseason waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists. Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Use of Third Parties in Waiver Requests.

Institutions are permitted to engage the assistance of a third party (outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP waiver request or in preparing to appeal a staff decision. However, the staff is not to discuss a waiver request with a third party unless directed to by the institution (president or director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation,

decisions and any other issues related to the waiver request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Appeals of Staff Decisions.

The Committee on Academic Performance has authorized the Subcommittee on Appeals to consider appeals of staff decisions involving Bylaw 18.4.2.3 when a team is subject to its first or second postseason competition ban. When a team is facing loss of access to postseason competition in conjunction with Level-Three penalties, staff decisions are appealed to the Committee on Academic Performance. The Committee on Academic Performance hears the appeal via in-person hearing and the institution is required to appear. The Committee on Academic Performance's decision may be appealed to a subcommittee of the Division I Board of Directors.

Appeal Procedures.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office 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 completed waiver appeal application 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 a written explanation why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Appeals shall determine whether or not any appeal filed after seven calendar days will be considered.

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Appeal's review of an appealed case must be provided in writing within the seven calendar-day period between the notice of the staff decision and the date the appeal was originally due. The chair of the Subcommittee on Appeals shall determine whether or not any extension or delay will be granted.

Subcommittee Review Procedures.

The Subcommittee on Appeals may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meetings. A quorum for the Subcommittee on Appeals review of appeals shall be a majority of Subcommittee of Appeals members present and voting. The first time a team is subject to loss of postseason competition, the appeal deliberations shall involve only Subcommittee on Appeals members and staff members. The following times a team is subject to

loss of postseason competition, the appeal deliberations shall involve Subcommittee on Appeals members, staff members and the specified representatives from the institution.

The second time and beyond a team is subject to loss of postseason competition each of the following individuals from the institution must participate in the appeal: (a) chancellor or president (or his or her designee); (b) director of athletics 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 on Appeals 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 teleconference.

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

The staff member who processed the case will present the case to the Subcommittee on Appeals on the teleconference. If the institution is also participating, they will be allotted a specified amount of time to present their appeal rationale and any other pertinent information. The Subcommittee on Appeals members will then engage in a question and answer period, asking questions of both the staff member and/or the institution. At the conclusion of the question and answer period, the staff member and any institutional representatives will exit the teleconference and a separate staff member will support the Subcommittee on Appeals through deliberations. That staff member is only allowed to provide clarification of policies related to the appellate process.

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

<u>Subcommittee Deliberations and Decisions</u>.

Subcommittee on Appeals decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance; (See Appendix M);

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

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

The Subcommittee on Appeals will receive the staff decision, the institution's request and supporting documentation and the team(s) APP data.

A simple majority of the Subcommittee on Appeals 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 Subcommittee on Appeals will render one of the following decisions:

1. **Approval:** The Subcommittee on Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The Subcommittee on Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the 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 loss of access to postseason competition applies to the next academic year (the same year in which the team would have been ineligible for postseason competition originally).

3. **Denial:** The Subcommittee on Appeals determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the next academic year.

Appeals of Subcommittee Decisions.

The Subcommittee on Appeals' decision may be appealed in writing to the Committee on Academic Performance chair, or in the event of recusal by the chair, to the Committee on Academic Performance vice chair. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Appeals' decision. The chair (or vice chair) may deny the appeal request or may forward it to the full committee for further review and consideration. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided.

Any appeal submitted 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.

The chair (or vice chair's) consideration of the appeal must be based on the following criteria: the institution must demonstrate that the Subcommittee on Appeals abused its discretion in denying the request. Abuse of discretion occurs when the Subcommittee on Appeals 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 the Subcommittee on Appeals. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the Subcommittee on Appeals.

If, based on these criteria, the chair (or vice chair) forwards the waiver request to the full committee, the committee hearing may be conducted by teleconference or in-person meeting and shall include some opportunity for the institution to present its request orally as well as in writing. The full committee's decision shall be final and not subject to any further review. Additionally, members of the Subcommittee on Appeals who participated in the initial appeal denial, shall not participate in the full committee appeal, except for the acting chair who may present information but may not deliberate or vote.

Committee Deliberations and Decisions.

If the waiver appeal is to be heard by the committee, decisions will include consideration of the following:

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

2. Extraordinary mitigating circumstances and whether the mitigating circumstances were within the control of the institution and student-athlete(s) and impacted multiple years of APR data;

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

The committee will receive the staff and subcommittee decisions, the institution's request and supporting documentation and the team(s) APP data.

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. **Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the committee in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition.

3. **Denial:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the next academic year. The committee's decisions are final and binding. There is no further appeal.

Subcommittee/Committee Conflict of Interest.

The conflict of interest section of this document applies to all committee members' involvement in waiver and appeal requests.

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 relevant information. Requests with new relevant information may not be considered by the subcommittee until the staff has reviewed the new information. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

Review of Conditionally Approved Waivers of Ineligibility for Postseason Competition.

The 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 met the stated conditions. The staff can accept the institution's argument and waive the unmet condition, or it can allow the denied waiver to stand due to the unmet condition. The staff's decision may be appealed to the Subcommittee on Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

Staff Review Procedures.

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 condition was met and ineligibility for postseason competition 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 must serve a ban from postseason competition in the current academic year. 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 national office via the LSDB*i* 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 met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions.

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

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, department of athletics, and student-athlete(s).

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

3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year.

4. Review of implementation of the APR Improvement Plan submitted with the original waiver as well as previously submitted plans.

5. Any additional information provided by the institution.

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 loss of access to postseason competition.

2. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the institution is subject to the loss of access to postseason competition in the next academic year.

Appeals/Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Ineligibility for Postseason Competition.

Subcommittee Review Procedures.

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

The request must be submitted electronically to the national office via the LSDB*i* 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 met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberation and Decisions.

Subcommittee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, department of athletics, and student-athlete(s).

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

3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year.

4. Review of implementation of the APR Improvement Plan submitted with the original waiver as well as previously submitted plans.

5. Any additional information provided by the institution.

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

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.

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

1. **Approved:** The subcommittee 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 loss of access to postseason competition.

2. **Denied:** The subcommittee determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the institution is subject to the loss of access to postseason competition effective immediately.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the current academic year.

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

Reconsideration.

After the staff and/or subcommittee issued a decision on the review of a conditionally approved waiver of the loss of access to postseason competition, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new relevant information. Requests with new 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.

APP PENALTIES

Introduction.

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. Penalties are designed to restrict or deny the benefits of the NCAA for those teams that have a demonstrated history of academic underachievement.

A team incurs an APP penalty when it presents a multiyear APR below 930 (900 in 2011-12 and 2012-13). APP penalties are progressive and cumulative, with each year below the penalty benchmark bringing more severe penalty elements. The penalty elements must be taken in the academic year following official notification of penalties. Official notification occurs when an institution's APP penalty and access report is available following verification of APP data. Additional information can be found in Bylaw 23 and the APP Penalty Guide. *(Revised: 10/11; Effective: 10/11)*

APP Penalty Benchmark and Filters.

A team with a multiyear APR below the APP penalty benchmark of 930 is subject to APP penalties. The APP penalty structure includes three levels. All teams penalized at Level-Two or -Three are reviewed to determine if the team is filtered out of the penalty structure. This model places strong emphasis on teams demonstrating meaningful academic improvement, particularly in the two most recent data years. (*Adopted: 10/11; Effective with penalties applicable in 2012-13 and beyond.*)

- Improvement Filter: Any team with a multiyear APR below the established benchmark of 930 will be subject to APP penalties. Teams potentially subject to Level-Two or -Three in the penalty structure will have access to an improvement filter. This filter considers meaningful improvement as defined by the Committee on Academic Performance.

  Meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including

delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is calculated electronically and can be applied multiple times, but not when the team faces Level-One penalties.

Improvement Filter Example:

A men's cross country team has the following APR data:

Single-Year APR – Year 1	Single-Year APR – Year 2	Single-Year APR – Year 3	Single-Year APR – Year 4	Multiyear APR
937	844	906	1000	922

The team is subject to a Level-Two penalty and thus allowed to use the improvement filter. Calculation of the two most recent data years' APR:

Year 3		**Year 4**		**2-Year Average**		
29 points earned	+	32 points earned	=	61 points earned	=	953
32 point possible		32 points possible		64 points possible		

The two most recent years' average APR is 950 or greater, so the team meets the improvement filter and is not subject to Level-Two penalties.

Transition Period.

The Committee on Academic Performance has established a transition period for the 930 multiyear APR penalty benchmark:

1. 2012-13 Postseason Competition – The multiyear APR penalty benchmark is 900. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 or higher in the most recent years.

2. 2013-14 Postseason Competition – The multiyear APR penalty benchmark is 900. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 or higher in the most recent years.

3. 2014-15 Postseason Competition – The multiyear APR penalty benchmark is 930. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 in the most recent years.

The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years.

Transition Period - Limited-Resource Institutions.

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in transitioning to the new APP penalty structure and academic access to postseason competition. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all FBS institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

These recommendations impact both access to postseason competition and Level-One, -Two and -Three penalties. They include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:

    a. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

    b. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

    c. 2014-15 Postseason Competition – Access is a multiyear APR of at least 910 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

    d. 2015-16 Postseason Competition – Access is a multiyear APR of at least 920 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark from penalties and ineligibility for postseason competition if the team meets the following criteria:

    - Demonstrates meaningful APR improvement as defined by the Committee on Academic Performance. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period outlined above. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:

(1) 900 in the 2010-11 and 2011-12.

(2) 930 in the 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee;

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR improvement plans – significant and critical elements -- if a plan was previously required.

2. Identification of critical issues supported by data.

3. Development of meaningful initiatives that address critical issues.

4. Broad-based participation in the development, assessment and oversight of the plan.

5. Approval by president or chancellor.

6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. *(Adopted: 04/12; Effective: 04/12)*

The following charts may clarify the transition to the new APP access to postseason competition:

Transition for All Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2014-15	Four-year APR of 930 or higher OR	Two most recent years average at or above 940.
2015-16 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.

Transition for Limited-Resource Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties	Improvement/APR Improvement Filter
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2010-11) plus meets one improvement test plus a meaningful APR Improvement Plan.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2011-12) plus meets one improvement test plus a meaningful APR Improvement Plan.
2014-15	Four-year APR of 910 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2012-13) plus meets one improvement test plus a meaningful APR Improvement Plan.
2015-16	Four-year APR of 920 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2013-14) plus meets one improvement test plus a meaningful APR Improvement Plan.
2016-17 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

APP Penalty Structure.

Teams with a multiyear APR below 930 will be subject to APP penalties. Those at Level-Two or -Three in the penalty structure will have access to the improvement filter, outlined above. The first time a team is subject to an APP penalty, it classified as Level-One. The APP penalty structure is progressive and cumulative. Each time the team presents a multiyear APR below the penalty benchmark, it will move to the next penalty level, while also being subject to the previous penalty level. If the team avoids penalties and ineligibility for postseason competition. for three consecutive years by presenting a multiyear APR at or above 930, by meeting the improvement filter or by receiving a waiver of all APP penalties and ineligibility for postseason, the team will go back to a Level-One penalty if its multiyear APR falls below the benchmark again. Otherwise, each failure to meet the benchmark will result in a repeat of previous penalties, as well as a progression to the next penalty level. If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties.

The APP penalty structure is as follows:

Level-One Penalties: The team is subject to practice restrictions consisting of four hours per week during the declared playing and practice season as well as an additional required day off. The practice time must be replaced with academic activities. Level-One penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Two Penalties: The team is subject to playing and practice season restrictions in addition to Level-One penalties. Penalized team will face a reduction from eight hours to four hours per week for athletics activities outside of the playing season. These four hours must be replaced with academically focused activities. Of the remaining four hours of athletics activities, not more than two hours per week may be spent on skill-related workouts.

In a sport with a nonchampionship segment of the playing and practice season, penalized teams will not be permitted to participate in that segment. In sports where there is no nonchampionship segment distinction, teams will face a 10 percent reduction in the playing and practice season and competition. In the sport of football the team will face the elimination of spring practice and the spring game/scrimmage. Level-Two penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Three Penalties: In addition to the Level-One and -Two penalties, the team is subject to penalties from a menu of options. The institution will have the opportunity to self-impose penalties which can be accepted, rejected or amended by the staff. Should the staff not accept the institution's self-imposed penalties or if the institution asserts that the team should not be penalized, the case will be forwarded to the Committee on Academic Performance for an

in-person hearing. Once determined, Level-Three penalties must be taken in the academic year following notification of APRs and penalties. The menu of penalty options at Level-Three includes but is not limited to the following:

1. Financial aid penalties of any type and in any amount.

2. Additional practice penalties.

3. Additional contest reductions up to the entire season.

4. Restricted or corresponding membership.

5. Coach-specific penalties including game and recruiting restrictions.

6. Restricted access to practice for incoming student-athletes that fall below pre-determined academic standards.

7. Multiyear postseason competition ban.

If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties. Teams in Level- Three penalties over multiple years should expect more stringent penalty elements.

See Appendix K for a review of possible penalty scenarios.

Notification of APP Penalties.

The APR data for the previous academic year is due from each institution six weeks after the start of the fall classes in the subsequent academic year. Once an institution confirms data are accurate and if any of the institution's teams are subject to APP penalties, a penalty report will be posted on the institution's password-protected APP website accessed through the APP data collection system. The report will indicate the penalized team(s) and provide the level of penalty that is applicable to the team(s). The availability of the penalty report is considered official notification of APP penalties. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timeline to Take APP Penalties.

Institutions with a team subject to APP penalties must take the penalties in the academic year following receipt of official notice of the penalty. If a team received notice of its penalty following APP data submission in the fall of 2012-13, those penalties must be taken in the

2013-14 academic year. Components of the cumulative penalty package (i.e., practice restrictions, reduction in number of contests) may not be separated.

Failure to Take a Penalty within the Prescribed Timeline.

Institutions that fail to take APP penalties within the prescribed time period will be required to report a violation of Bylaw 23.2.1.2.2 to the NCAA enforcement staff. (*Adopted: 07/07; Effective: 07/07)*

Timeline for New Division I Teams.

Teams transitioning to Division I will not be subject to penalties until they have submitted three years of APR/APC data.

Membership Issues (Effect of Penalties on Minimum Financial Aid Requirements).

Level-Three penalties may include financial aid penalties 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 Leadership Council (Bylaw 20.9.1.2.10).

Restricted-Membership Penalty.

As part of Level-Three penalties, an institution may be 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 or academic requirements) (Bylaw 20.02.4). An institution placed in restricted membership loses eligibility for a number of Division I 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) does not improve enough to meet the benchmarks, the institution shall be reclassified to corresponding membership status (Bylaw 23.2.1.2.3).

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 Division II or III portion of the athletics program.

Report of APP Penalties Taken.

Institutions are required to provide to the national office documentation that an APP penalty was imposed as prescribed by the Committee on Academic Performance. The institution will be contacted in the summer after the year in which the penalty was to be taken and asked to provide documentation that the penalty was taken. The staff will review the documentation and determine if the team took the penalty appropriately. Failure to take the penalty as prescribed will result in the institution being required to report a secondary violation to the NCAA enforcement staff. That staff will determine the penalty for failure to take the APP penalty.

See Appendix L for frequently asked questions on ensuring practice penalties are imposed correctly and the reporting requirements for APP penalties.

WAIVERS OF APP PENALTIES

Introduction.

As described in Bylaw 23, the Committee on Academic Performance has the authority to waive the application of Bylaw 23.2.1.2.1, Bylaw 23.2.1.2.2 and Bylaw 23.2.1.2.3. The committee has established guidelines for reviewing APP penalty waivers in the APP Penalty Waiver Directive (See Appendix M) and has authorized the Subcommittee on Appeals and the staff to review waivers of Level-One and -Two penalties. The committee has authorized the staff limited review of Level-Three penalties. The subcommittee's decisions relative to Level-One or -Two penalties shall be final, conclusive and not subject to further review by any other authority. Decisions of the Committee on Academic Performance relative to Level-Three penalties may be appealed to a designated Subcommittee of the Division I Board of Directors (Bylaw 23.3). Decision of the Board's subcommittee are final, conclusive and not subject to further review by any other authority. *(Revised: 10/11; Effective: 10/11)*

APP Penalty waivers are considered separately from waivers of ineligibility for postseason competition, although they may be submitted simultaneously. Please refer to that section of this document for more information on loss of access to postseason competition.

Staff Conflict of Interest.

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff 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 loss of access to postseason waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Subcommittee/Committee Conflict of Interest.

The conflict of interest section of this document applies to the committee members' involvement in waiver and appeal requests.

Delay Requests.

APP penalties must be imposed in the academic year following notification of APRs and penalties and the applicable penalty package may not be separated. However, the Committee on Academic Performance's policies and procedures and its APP Penalty Waiver Directive, permit an institution to request a delay in applying a penalty, for one or more of its teams. Such requests will be approved only in rare instances when an institution can demonstrate that it is unable to apply such penalties within the prescribed period due to unanticipated and extraordinary circumstances outside the control of the institution, involved team and student-athlete (e.g., natural disaster). Further, institutions that fail to apply APP penalties within the prescribed time period will be required to report a violation of Bylaw 23.2.1 to the NCAA enforcement staff. *(Adopted: 04/07; Effective: 4/07)*

APP PENALTIES WAIVER PROCEDURES SUMMARY

Level-One and -Two Penalty Waivers.

All Level-One and -Two penalty waiver requests must be submitted electronically to the national office via the LSDB*i* portal. Waivers must be submitted within 14 calendar days of the institution entering the penalty waiver period. An institution may request full or partial relief from any or all of the penalty elements. 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 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 relevant to its request.

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

Any waiver request 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 request filed after 14 calendar days will be considered. *(Revised: 10/06; Revised: 04/07; Revised: 04/11; Effective: 10/11)*

Requests to extend the institution's time to appeal a staff decision or to delay the hearing of an appeal should be provided in writing to the chair of the subcommittee on appeals via the staff member assigned to the case. Such a request should be made within the original seven days to appeal the staff decision. The subcommittee chair has the authority to decide if the extension or delay should be granted.

Staff Review Procedures.

On receipt of an institution's request, the staff will review the application to ensure it is complete, email the institution's designated contact regarding the status of the request and identify the 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.

The staff has the authority to render a decision for all Level-One and -Two penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

The staff has the authority to consider, deliberate and decide Level-One and -Two penalty waiver requests. After reviewing all information, the staff will render one of the following decisions:

1. **Approved:** The staff determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-One or -Two penalty elements.

2. **Partially Approved:** The staff determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One or -Two penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The staff determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One or -Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2. The institution will be responsible for applying the designated penalty or penalties at the originally prescribed times.

Written confirmation of the decision must be provided by the staff to the institution within seven calendar days of its decision.

Reporting Staff Decision.

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. *(Adopted: 10/07)*

Appeals of Level-One Penalties.

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

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 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 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 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: 07/07)*

Subcommittee Deliberations and Decisions.

The subcommittee has the authority to render a decision for all Level-One penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

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, email, Internet or in-person meeting. Such deliberations shall include only subcommittee members and 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.

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

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to the Level-One penalty elements.

2. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.1. The institution will be responsible for applying the designated penalty at the originally prescribed times.

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

Appeals of Level-Two Penalties.

The committee has authorized the Subcommittee on Appeals to consider all appeals of staff decisions involving Bylaw 23.2.1.2.2, Level-Two penalties.

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 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 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 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: 07/07)*

Appeal Participants.

Each of the following individuals from the institution must participate in the Level-Two penalty waiver appeal: (a) chancellor or president (or his or her designee); (b) director of athletics 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 teleconference.

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

The subcommittee chair, at his or her discretion, has the authority to remove a participant from participating or being present on the teleconference. 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, 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.

Introduction.

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 staff will introduce themselves. After the introductions, the subcommittee chair may make announcements.

Review of the Appeal.

The 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 teleconference 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 staff member(s) handling or presenting the case may be present for the deliberations. The 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: 01/08; Effective: 01/08)*

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.

Subcommittee Deliberations and Decisions.

The subcommittee has the authority to render a decision for all Level-Two penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

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, email, Internet or in-person meeting. Such deliberations shall include subcommittee members, staff members supporting the work of the committee, the staff member who processed the staff decision, and specified individuals from the institution (see above).

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

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-Two penalty elements.

2. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Two penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.2 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.2. The institution will be responsible for applying the designated penalty at the originally prescribed times.

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

<u>Reconsideration of Level-One or -Two Penalty Waiver Requests</u>.

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

APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

REVIEW OF CONDITIONALLY APPROVED LEVEL-ONE AND -TWO PENALTY WAIVERS

Introduction.

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 Subcommittee on Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

Review of Conditional Approvals Process.

The staff shall review the APP data and other imposed conditions for 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 phase is complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the 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 penalties at the next available opportunity. In addition, if based on the most recent year's data, the team has become subject to the next penalty level, it must apply that level's penalty elements as well.

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 appeal request must be submitted electronically to the national office via the LSDB*i* 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 or Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional

information that it believes is relevant to the case. The staff 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions.

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

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously created APR Improvement Plan(s).

6. Any additional information provided by the institution.

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 Level-One or -Two penalty.

2. **Denied:** The staff 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 Level-One or -Two penalty.

APPEALS/RECONSIDERATIONS OF STAFF DECISIONS ON CONDITIONALLY APPROVED LEVEL-ONE OR -TWO PENALTY WAIVERS
Determining whether the condition(s) was satisfied.

Subcommittee Review.

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

The request must be submitted electronically to the national office via the LSDB*i* 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 or Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberations and Decisions.

Subcommittee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition, and whether the mitigating circumstances were within the control of the institution and student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously created APR Improvement Plan(s).

6. Any other relevant factors and additional information provided by the institution.

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

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.

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

1. **Approved:** The subcommittee 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 Level-One or -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 Level-One or -Two penalties.

If relief is not provided, the institution will be notified that the penalty will be imposed. Additionally, if the team has become subject to penalties in the current academic year, it will then also be subject to the next level of penalty within the penalty structure. The subcommittee'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 subcommittee to the institution within 21 calendar days of the decision.

Reconsideration.

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

LEVEL-THREE PENALTY WAIVERS (BYLAW 23.2.1.2.3).

Introduction.

The third time a team's APR falls below the penalty benchmark without three consecutive years with no penalties ("clean years") it faces Level-Three penalties. Due to the progressive and cumulative nature of APP penalties, the team at this level is subject to the prescribed Level-One and -Two penalties as well as the menu of penalties at Level-Three. The menu options include but are not limited to the following:

1. Financial aid penalties (any amount, any type);

2. Additional practice reductions beyond those in Level-One and -Two;

3. Additional season and contest reductions beyond those in Level-One and -Two;

4. Restricted and corresponding membership;

5. Coach-specific penalties including game and/or recruiting restrictions;

6. Restricted access to practice for incoming student-athletes who present an academic profile that falls below a pre-determined academic standard; and

7. Multiyear postseason competition ban.

The institution is required to log into the penalty assignment portal in order to self-impose penalties from the menu or to indicate that no penalty is appropriate. The staff will review the institution's selection and may accept or add to the penalties chosen by the institution. The staff can also forward the case on to the Committee on Academic Performance without making a decision.

LEVEL-THREE PENALTY ASSIGNMENT AND WAIVERS (BYLAW 23.2.1.2.3.1)

Penalty Assignment Procedures.

As outlined above, institutions with a team subject to Level-Three penalties shall self-impose Level-Three penalties from the menu of options. This step of the Level-Three penalty application phase occurs via the LSDB*i* portal. All institutions with teams subject to Level-Three penalties are required to log into the LSDB*i* portal in order to select from the menu of penalty options listed in the portal or to indicate that no penalty should be imposed. The penalties must be selected and submitted within 14 calendar days of the institution entering the

penalty waiver period. The penalty assignment process includes a signature page that must be signed by the institution's chancellor or president confirming the self-imposed penalties.

Any penalty assignment submitted after 14 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 14 calendar days will be considered.

Definitions.

For purposes of Level-Three penalties, the following definitions apply.

1. **Lead:** The lead is charged with coordinating the staff review of Level-Three penalties based on authority granted by the committee. He or she facilitates the submission of penalty assignment by penalized institutions as well as penalty waivers. He or she is responsible for ensuring review of all submitted cases for completeness and assigns waivers to waiver case staff. The lead or his/her waiver case staff designee will be present at all waiver hearings to present the case and any staff decisions. 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. **Case Staff:** The case staff is charged with reviewing the case to ensure it is complete and working with the institution to collect any additional information necessary. The staff has the authority to accept the institution's self-imposed penalties and it can also add additional penalties. The institution is then given the opportunity to accept or reject the penalties added by the case staff. If the institution rejects the staff's additional penalties or if the staff decides to defer to the committee the decision regarding what additional penalties should be imposed, the case staff must forward the case to the committee for a hearing. The lead may designate a case staff member to participate in the case hearing (e.g., provide APP data to the committee, responding to questions from the committee and if staff added penalties, 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 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 NCAA Division I Board of Directors APP Appeals Subcommittee. The staff may not be present in the APP Appeals Subcommittee deliberations and will only be present in subcommittee 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 APP Appeals Subcommittee teleconferences. The staff is responsible for supporting the subcommittee before, during and after the appeal and in its deliberations.

5. **Penalty Assignment and Waiver Period:** This is the period of time in the APP process when an institution is able to self-impose Level-Three penalties and appeal any assignment of additional penalties. This occurs after the institution has competed the corrections/adjustments phase of the APP data submission process. Once the data has become finalized an institution will be notified of any APP penalties and the process of self-imposing Level-Three penalties and filing any subsequent waivers becomes available.

Staff Review Procedures.

On receipt of an institution's self-imposed Level-Three penalties, the staff will review the penalties. The institution will receive notification identifying the staff member handling the case. The staff has the authority to accept the institution's self-imposed Level-Three penalties or to add to those penalties. The institution can then accept the staff's decision or appeal to the Committee on Academic Performance.

Staff decisions on assigned penalties will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, athletic department, and student-athlete(s);

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

5. Review of current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s);

6. Any self-imposed penalties; and

7. Other factors deemed relevant to the case.

Staff Deliberations and Decisions.

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

The case staff may accept the self-imposed penalties or determine that additional penalties should be added. If the waiver case staff chooses not to determine if additional penalties should be added, it must forward the waiver to the committee for a hearing. The waiver case staff has 14 calendar days, from the time the case file is complete, to render a decision or forward the case to the committee.

Written confirmation of the assigned penalties and/or the acceptance of the self-imposed penalties must be provided by the staff, on behalf of the committee, to the institution within 14 calendar days of its decision.

Acceptance of Assigned Penalties.

The institution has seven calendar days to accept, in writing, the case staff's additional penalties. 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 staff's penalties, the case staff shall forward the case to the Committee on Academic Performance. The committee will review the case anew at an in-person hearing according to the procedures outlined in the committee review section below. The committee may accept the institution's self-imposed penalties or it may assign additional penalties. The institution will then accept the decision of the committee or request a waiver of the assigned penalties. Waivers are heard by the APP Appeals Subcommittee.

Reporting Staff Decisions.

The staff shall annually submit summaries of all decisions made by the case staff for committee review. The summaries shall not provide institutional names. The committee may not reverse these staff decisions, but may provide feedback and direction for future cases. *(Adopted: 10/09; Effective immediately.)*

Recording.

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

Committee Review Factors.

The committee will generally review each team separately, usually in the order contained in the notice of penalty. However, the committee may review cases involving multiple teams together. When an institution has multiple teams scheduled for in-person hearings with the committee, the institution may submit a written request that the committee conduct a combined hearing for two or more teams. If the committee conducts separate hearings, the committee chair will have the discretion to direct the institution to refrain from repeating information at both hearings. If the hearings are combined, the committee will deliberate separately on each team's penalty assignment. Regardless of whether hearings are held separately or combined, the committee will render separate decisions for each team.

Committee decisions will include consideration of the following: *(Revised: 10/08)*

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, athletic department, and student-athlete(s);

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

5. Review of current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s);

6. Any self-imposed penalties; and

7. Other factors deemed relevant to the case.

Hearing Costs.

The Committee on Academic Performance is responsible for actual and necessary expenses for 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 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 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 Level-Three penalty case will be heard in person, before all committee members in attendance at the hearing. Committee members must be physically present at the hearing in order to participate. The lead 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 case staff. The length of time for the hearing shall be left to the discretion of the committee chair, or acting chair. (*Revised: 12/08)*

Documents Reviewed by the Committee.

The Committee on Academic Performance will receive and review the notice of penalty, penalty assignment application (including any supporting documents), team(s)' APP data (e.g., APR, GSR, 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 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.

Hearing Participants.

The following individuals must participate in the in-person hearing: (a) The institution's chancellor or president; (b) The director of athletics; (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 are 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 hearing may proceed without the unavailable individual. When extenuating circumstances exist, the chair has the discretion of allowing an otherwise unavailable individual to participate in the hearing via videoconference or teleconference, which will be coordinated by the staff members supporting the work of the committee. (*Revised: 12/08)*

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 hearing involving a conference member.

The staff members supporting the work of the committee must participate in all portions of the hearing, including deliberations. In addition, the case staff must participate in the hearing and present to the committee. Case staff and the staff supporting the APP Appeals Subcommittee shall not be present for committee deliberations. Other 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 hearing. Such decisions may be made by the chair or acting chair.

Introduction.

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

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

The case staff will then introduce themselves.

After introductions, the committee chair may make announcements.

Opening Statements.

The 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 20 minutes. The case staff will first provide opening statements, followed by the institution.

The case staff will provide a review of the team's APP history, data and information (e.g., APR, GSR, penalty information, APR Improvement Plan review), 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 request and may include comments in rebuttal to the staff's opening statement. . The institution must also provide a brief summary of the relief it is requesting in its waiver and set forth the rationale for the requested relief. Both summaries may be made by any of the institution's representatives. All speakers in the opening statement are included in the institution's 20 minute time limit.

Committee members may ask questions regarding the requested relief and discuss other possible areas of relief from the penalty elements.

Following the opening statement and committee's questions, the institution may amend its waiver regarding the relief originally requested in the waiver application. The institution shall make this

amendment orally before the committee. If an institution does not amend the waiver, the hearing shall proceed to the question and answer period. *(Revised: 07/09)*

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 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 hearing, the committee members will deliberate. The committee may request additional information from any appropriate source, including the institution or the case staff. In this event, the institution and the 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 staff supporting the committee (but not the staff member who presented the case) may be present for the deliberation. Other staff may be present for the deliberations at the discretion of the committee chair or acting chair. However, the case staff who presented the case and the staff supporting the APP Appeals 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 will render one of the following decisions:

1. **Full Approval:** The committee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to the Level-Three penalty elements or additional penalties from the menu of penalties.

2. **Partially Approved:** The committee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Three penalty elements, but rather some elements will be waived. Partial approvals may include situations where the committee deems the self-imposed penalties from the institution to be sufficient, and does not impose additional penalties on the institution from the menu of penalties.

3. **Conditionally Approved (Full or Partial):** The committee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Three penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.3. The institution will be responsible for applying the designated penalty at the originally prescribed times.

5. **Additional Penalties:** The committee has the ability to levy additional penalties in Level-Three hearings in addition to the default penalties from Level-One and -Two. These penalties will be outlined by the committee within its decision report, and the institution will be responsible for applying the designated 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.

Reporting Committee Decisions.

The committee shall annually submit summaries of all in-person hearing decisions made by the committee to the APP Appeals Subcommittee. The summaries shall not provide institutional names. The APP Appeals Subcommittee's review of these summaries may not result in a different outcome for a particular case or a rehearing of the case. However, given the Board of Directors broad policy oversight for all APP matters, annual case review may result in the APP Appeals Subcommittee recommending the Board of Directors consider a policy matter. *(Adopted: 10/08)*

Committee Reconsideration.

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 relevant information that was not available to institution at the time the original appeal was filed. Requests with new relevant information may not be considered by the APP Appeals 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 APP Appeals Subcommittee. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

Committee Review of Remanded Waiver.

The committee will review such cases through a submission of documentation from the involved institution, the staff and the APP Appeals Subcommittee. The member institution may provide additional written materials that it believes relevant to the subcommittee's decision to remand the case. However, any additional materials submitted by the institution must be relevant to the issues outlined by the subcommittee in its remand decision. All such materials must be provided by the institution to the staff supporting the committee within 14 calendar days of receipt of the remand decision of the APP Appeals Subcommittee. In addition, the staff supporting the committee may provide relevant written materials to the committee in order to assist the committee in its remand consideration. The committee chair may request specific

documentation from the institution or staff, if deemed necessary for the committee's deliberations.

The committee will deliberate via teleconference, videoconference or in-person meetings. Institutional representatives shall not be present for or participate in this review by the committee, other than by providing documents as noted. *(Adopted: 10/09; Effective immediately.)*

APP APPEALS 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 Level-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. Appeals must be submitted within seven calendar days of the institution's receipt of the Committee on Academic Performance decision. The chair of the Board of Directors' subcommittee may provide an extension of this timeline. Such requests will be considered on a case-by-case basis and will take into consideration the mitigation presented for the extension. *(Adopted: 06/10; Effective: 06/10)*

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.

Scope of Review.

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 the Committee on Academic Performance.

Recording.

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

Conflict of Interest.

A Board of Directors subcommittee member must recuse himself or herself from participation in an appeal (i.e., representing his or her institution or deliberating as a subcommittee member) in which he or she is personally connected with an institution or conference (e.g., previous employer, alma mater). A Board of Directors 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. However, a subcommittee member that recused himself or herself may participate in the preparation of the appeal for their own institution, including but not limited to drafting the appeal application, preparing appeal arguments and gathering appeal materials.

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 with and resolved by the chair or acting chair of the subcommittee as soon as recognized, but will not be considered unless the concern is raised prior to the scheduled appeal. Participation by a subcommittee member in previous APP matters involving the institution or with regard to general policy (e.g., an Level-Three waiver appeal) does not constitute a conflict of interest requiring recusal.

In the event that the Board of Directors subcommittee chair must recuse himself 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." In addition, in the event that an institution objects to the chair participating in a review based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the appeal. If the acting chair finds that no conflict exists, the chair may resume his or her role. *(Revised: 12/08)*

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 APP Appeals Subcommittee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an applicant's request. Further, the APP Appeals Subcommittee members may

contact the staff supporting the 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 national office using the LSDB*i* portal. The online appeal application program will produce a signature page that must be signed by the president or chancellor. All appeals must be submitted within seven calendar days of written notification of the Committee on Academic Performance's decision. *(Adopted: 06/10; Effective: 06/10)*

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). The Committee on Academic Performance chair, or acting chair, has the authority to review the submitted appellate brief to determine whether it raises any arguments, data or information not previously presented to the committee. If the committee chair finds that new arguments, data or information has been raised, he or she may raise the issue before the subcommittee. See Committee Issues below for more detail. *(Revised: 10/08)*

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.

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 APP Appeals Subcommittee will determine whether any appeal filed after the seven calendar days may be considered. *(Adopted: 06/10; Effective: 06/10)*

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 APP Appeals Subcommittee.

Timeframe for Hearing.

An appeal of the committee's decision regarding an Level-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 APP Appeals 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 director of athletics; (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 APP Appeals 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 APP Appeals 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.

The 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 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 Board of Directors chair has the discretion to appoint a substitute subcommittee member from the Board of Directors in the event that a member(s) is unavailable to hear an appeal. *(Revised: 07/09)*

Introduction.

The subcommittee chair or acting chair will call the meeting to order and introduce the members of the subcommittee and the staff supporting the APP Appeals 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 staff will then introduce themselves.

After introductions, the subcommittee chair may make announcements.

Committee Issues.

Prior to the review of the appeal, the committee chair may raise any issues he or she has regarding the documentation filed by the institution. Specifically, whether he or she believes that any of the arguments, data or information in the appellate brief is new and was not provided to

the committee during the waiver hearing and the new argument, information or data would have reasonably led to a different decision at the committee level.

Following the committee chair's presentation, the institution will have an opportunity to respond.

After the committee chair's presentation and the institution's response, the subcommittee will deliberate. The subcommittee chair or acting chair will ask everyone, other than subcommittee members and staff supporting the subcommittee to disconnect from the teleconference while they deliberate. After the subcommittee has deliberated appeal participants will be notified that the teleconference will resume.

The subcommittee may render one of the following decisions:

1. The arguments, data or information is not new and the appeal may continue as scheduled; or

2. The arguments, data or information is new and must be remanded back to the committee for reconsideration. *(Adopted: 10/08)*

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 staff supporting the committee may participate in the opening statement as long as their comments are included in the 15 minute time limit. *(Revised: 10/08)*

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 director of athletics may participate in

the opening statement as long as they are employed full time 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 APP Appeals Subcommittee members may ask questions of all participants, including staff member supporting the committee. 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, committee member or staff supporting the committee 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. *(Revised: October 2008)*

If the institution or Committee on Academic Performance desires 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 APP Appeals 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. Otherwise, only subcommittee member and that staff supporting the subcommittee may be present for the deliberation.

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 APP Appeals Subcommittee may: (a) Uphold the committee's decision; or (b) Reverse or remand 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. *(Revised: 07/09)*

If the subcommittee finds that the decision of 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, the subcommittee may render one or more of the following decisions: *(Revised: 07/09)*

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 Level-Three penalties.

2. **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. The subcommittee may require a team to satisfy specified conditions in order to receive relief from the portion of the penalty that is waived. The subcommittee may also provide a partial waiver and remand the case back to the Committee on Academic Performance to consider whether additional conditions should be imposed in light of the reasoning of the subcommittee and in accordance with the committee's policies and procedures. *(Revised: 07/09)*

3. **Remand:** The subcommittee determines that 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 the matter should be remanded to the Committee on Academic Performance to be reconsidered in light of the subcommittee's decision and in accordance with the committee's policies and procedures. *(Adopted: 07/09)*

Only subcommittee members and staff supporting the APP Appeals Subcommittee may be present for the deliberation. A simple majority of the subcommittee members present and voting is necessary for a decision. *(Revised: 07/09)*

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

REVIEW OF CONDITIONALLY APPROVED LEVEL-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 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.

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 national office via the LSDB*i* 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 Factors.

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 student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s).

6. Any additional information provided by the institution or relevant to the appeal.

Staff 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 Level-Three penalties.

2. **Denied:** The staff 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 Level-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 national office via the LSDB*i* 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.

Committee Review Factors.

Committee decisions will include consideration of the following:

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

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

2. 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 current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s).

6. Any additional information provided by the institution or relevant to the appeal.

Committee 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, email, Internet or in-person meeting. Generally, the committee will consider such appeals via teleconference,

while reserving the opportunity to forward cases to in-person meetings of the committee as needed. Such deliberations shall include only committee members and staff members supporting the committee. *(Revised: 07/09)*

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 Level-Three 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 Level-Three penalties and must impose those penalties in the following academic year.

If relief is not provided, the institution will be notified to impose the penalty the academic year subsequent to notification. If the team remains in the penalty structure, these penalties will be in addition to any new penalties.

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.

APR IMPROVEMENT PLANS

Introduction.

APR Improvement Plans are meant to encourage teams and institutions to make immediate improvements in student-athlete academic performance. An APR Improvement Plan should be developed through broad-based campus participation and should identify the critical issues impacting a team's student-athlete academic performance, retention and graduation.

Plan Development and Submission Requirements.

Each institution with a team(s) with a multiyear APR below 930 must develop and submit an APR Improvement Plan to the national office. [Note: All institutions with multiyear rates including at least two years of APR data are subject to the plan development and submission requirements.] Teams that have a squad-size adjusted APR above 930 are not subject to this

requirement. The institution's president or chancellor must approve the institution's APR Improvement Plan. *(Revised: 10/11; Effective: 10/11)*

Institutions selected for an APP data review or going through athletics certification may be required to submit plans to the national office. Further, institutions must submit copies of all previous APR Improvement Plans, progress reports of those plans and any intended plan amendments. *(Adopted: 04/07; Effective: 04/07)*

Institutions that received a conditionally approved waiver of an APP penalty that must demonstrate acceptable implementation of its APR Improvement Plan as a condition of its waiver must submit information regarding implementation of its plan to the national office by the prescribed deadline.

Institutions Requesting and/or Receiving SSF.

Each institution requesting or receiving SSF must develop and submit an APR Improvement Plan for the institution regardless of whether it has any team(s) with a multiyear APR below 930. The plan must outline which initiatives are or will be funded in whole or in part with SSF monies. Additionally, institutions that received SSF monies must submit information regarding implementation of its plan to the national office by the prescribed deadline. (*Adopted: 04/10)*

APR Improvement Plan Submission Dates.

Institutions required to submit plans and information regarding implementation to the national office must do so via the online submission system by the established deadline communicated to the institutions each year. The committee established the following dates for the submission of APR Improvement Plans and/or evidence of implementation of the previous year's plan for the 2011-12 academic year:

2011-12 Team/Institution Reporting Requirements	**Submission Deadline**
Teams that received a conditional waiver of penalties in 2011-12 (implementation only)	October 1
SSF recipient institutions (implementation only)	October 1
Limited-resource teams that met the "improvement plus" filter in 2011-12 (implementation only)	October 1
Limited-resource teams that hope to meet the "improvement plus" filter in 2012-13	October 1
Teams with a multiyear APR below 900	November 1
Institutions requesting SSF	November 1
Teams requesting a waiver of an APP penalty or with waiver request (whichever is earlier).	November 1
Teams with a multiyear APR below 930	January 14, 2013

(Adopted: 04/10; Revised: 10/11; Effective: 10/11)

Implementation of APR Improvement Plans.

Except in unique circumstances (e.g., natural disaster), the staff should not favorably consider any explanation offered by an institution for not implementing all critical element(s) of an APR Improvement Plan. However, the staff may favorably consider the following when evaluating implementation of an institution's plan:

1. Evidence that a critical element of the plan was addressed effectively by an alternate initiative or method not reflected in the original plan; or

2. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s). *(Adopted: 07/09)*

A plan is considered implemented when:

1. The institution demonstrated that the essential steps outlined for every critical issue have been completed;

   - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.

2. The institution achieved or demonstrated progress toward the measurable goals for every critical issue;

3. The individuals/officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and

4. If institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:

   a. Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

   b. Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).

Plans are considered not implemented when:

1. The institution did not demonstrate that the essential steps outlined for every critical issue have been completed;

2. The institution did not demonstrate progress toward the measurable goals for every critical issue;

3. The institution did not implement the steps outlined in the plan that address a critical issue, the institution did not provide:

   a. Evidence that a critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

   b. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s); and

4. The individuals/officers responsible for the goals/steps of every critical issue did not participate in the completion or attempted completion of the goals/steps.

Failure to Develop a Required APR Improvement Plan.

An institution that is required to create and/or submit and APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. Ineligibility to receive SSF grant monies for one year;

2. A presumption that any related penalty waiver(s) will be denied; and

3. Notification to the institution's chancellor or president and conference office that the institution failed to create or submit an acceptable APR Improvement Plan. *(Adopted: 07/09)*

APR Improvement Plan Requirements.

APR Improvement plans must have the following three elements to meet submission requirements and receive a staff evaluation:

Broad-Based Participation.

- The APR Improvement Plan shall be developed with significant input from appropriate constituent groups inside and outside of athletics.

Institutional Approval.

1. The completed APR Improvement Plan must be reviewed and approved by at least three of the individuals listed below, one of which must be the chancellor/president, to ensure

that it carries the commitment and support of the entire institution. Specific dates (e.g., month, day, year) of when the plan was approved must be reported by the institution.

a. Chancellor/president (required) signature page provided in the "Upload/View Documents" section of the APR Improvement Plan website;

b. Provost;

c. Director of athletics;

d. Faculty athletics representative;

e. Head coach;

f. Compliance director; and/or

g. Director of academic support.

2. At the staff's discretion, the institution's chancellor/president may be required to sign an additional statement verifying his or her approval if the plan has been edited after the initial submission.

Data Analysis.

1. Institutions must provide a meaningful analysis of the team(s)'s most current APR data. To document the analysis, the institution must upload any documents, charts, spreadsheets, etc. that were used by the APR Improvement Plan team during its analysis of data.

2. Institutions must include an assessment and evaluation of the academic admissions profiles and academic outcomes for all student-athletes on teams with a multiyear APR below 930. The plan must also include any initiatives (e.g., changes to the entering profile) based on this evaluation.

3. The data analysis submitted by the institution must include the following information:

a. The entering profile of student-athletes (e.g., high school core course grade-point average, two-year transferable credits, ACT/SAT score, risk factor score from Facilitating Learning and Achieving Graduation/, etc.);

b. Current academic profile of student-athlete (e.g., term credit hours attempted and earned, term grade-point average, cumulative grade-point average);

c. Reasons for loss of eligibility point. Specifically, the progress-toward-degree requirement not satisfied by the student-athlete;

d. Circumstances surrounding loss of retention point. (e.g., professional departure, lack of playing time, suspension/dismissal, etc.); and

e. Analysis of patterns and trends in the historical academic data. (e.g., low average credit-hours earned and term grade-point average in the fall, significant amount of 0 for 2's by two-year transfers in final term of eligibility).

Additional required elements of the APR Improvement Plan.

Plan Activity/Assessment.

- The APR Improvement Plan must be active at all times and includes an assessment to determine if the critical issues, measurable goals, and steps are still appropriate.

Timely Development of Plan.

- The APR Improvement Plan must be developed in time for it to be effective for the current academic year.

Identification of Issues.

- Institutions must identify critical issues currently impacting the team(s) APR based on the analysis of the team(s)'s APR data.

Program Areas.

1. The institution must identify one or more of the program areas identified by the Committee on Academic Performance for each of the critical issues addressed by the institution.

2. Please note the committee identified program areas are listed in the "APR Improvement Plan Best Practices" section.

Specific and Measurable Goals.

1. The institution must identify at least one goal per issue. However, the issue may lead to multiple goals.

2. Goals must be stated in terms that are measurable to determine if the goal has been achieved.

Steps to Achieve Goals.

- The APR Improvement Plan must include specific, detailed steps the institution will take to achieve the goals.

Responsible Individuals.

- The institution must identify at least one institutional staff member responsible for carrying out the step(s) to achieve the goals.

Timeline to Complete Goals.

1. The institution must include specific timetable(s) to complete the steps to achieve the goals.

2. The timeline should refer to a point within the academic year, but need not be the next academic year if it is a multiyear goal.

APR Improvement Plan Submission.

The APR Improvement Plan online submission system will be available via single-source sign-on in summer 2012. Currently the online submission system can be found at the following link:

https://web1.ncaa.org/AppPlan/exec/login

Staff Evaluation of APR Improvement Plans and the Implementation of APR Improvement Plans.

1. Staff evaluation of Implementation of APR Improvement Plans:

    a. The staff does not determine if the implementation of an APR Improvement Plan is acceptable or unacceptable.

    b. Institutions with a conditional waiver of APP penalties will meet the implemented APR Improvement Plan requirement when:

        (1) The institution demonstrated that the essential steps outlined for every critical issue have been completed;

            - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.

(2) The institution achieved or demonstrated progress toward the measurable goals for every critical issue;

(3) The individuals or officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and

(4) If the institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:

(a) Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

(b) Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).

2. Staff evaluation of APR Improvement Plans:

a. The staff does not determine if an APR Improvement Plan is acceptable or unacceptable.

b. The staff will confirm that each APR Improvement Plan has the following elements: developed through broad-based participation, meaningful data analysis and presidential approval.

c. If any of the above elements are missing, the plan has not met submission requirements and the staff will return the plan to the institution for revision.

d. The staff's written evaluation of the APR Improvement Plan will provide:

(1) Assessment of broad-based participation in plan's development, institution's data analysis and approval of plan.

(2) Identification of potentially critical issues not addressed by the institution.

(3) Assessment of the effectiveness of the plan's initiatives focusing on:

(a) Individuals responsible for implementation and oversight.

(b) Specificity and adequacy of steps to achieve goal.

(c) Effectiveness to address issue.

3. Updating plans after receipt of staff evaluation:

   a. Institutions are no longer required to amend or update its plan after receiving the staff's evaluation.

   b. If an institution has submitted its plan as part of an APP penalty waiver or SSF request, it will have two weeks after receiving the staff evaluation, to update its APR Improvement Plan.

   c. The staff will not consider plans submitted after this period as new information for purposes of APP penalty waivers.

APR Improvement Plan Online Materials.

Following is a link to educational materials you may find helpful in developing and submitting your institution's APR Improvement Plan and record of implementation. We encourage you to bookmark this link, as we will continue to post APP related updates and materials on this website as they are developed.

The following is a link to APR Improvement Plan Resources:

http://www.ncaa.org/wps/portal/ncaahome?WCM_GLOBAL_CONTEXT=/ncaa/ncaa/legislation+and+governance/committees/division+i/academic+performance/apr+improvement+plan+resources

APR Improvement Plan Online Searchable Database.

As of August 1, 2010, an online searchable database became available for institutions to review APR improvement strategies. Users are able to search, based on a number of criteria, strategies being used to address common issues impacting academic performance. To access the online searchable database, access the link at https://web1.ncaa.org/AppPlan/exec/login and click on "APR Improvement Plans – Search.

See Appendix N for frequently asked questions on APR Improvement Plans.

PUBLIC RECOGNITION PROGRAM

Introduction.

During the 2005-06 academic year, the Committee on Academic Performance instituted a team-centered public recognition program that highlights the academic performance of the top 10 percent of teams in each sport based on APR. In order to be eligible for the Public Recognition Awards list, a team must have reported at least two years of APR data. The list of recognized institutions is posted on the NCAA website and institutions are encouraged to celebrate APR

success throughout the year. The committee will continue attempts to identify and implement additional, meaningful incentives in future years. *(Adopted: 04/07; Effective: 04/07)*

SSF

Introduction.

The SSF was established to support campus-based initiatives designed to foster student-athlete academic success at limited-resource institutions. Grants will be awarded for innovative solutions to barriers preventing student-athlete retention and progress-toward-degree completion that are part of the institution's APR Improvement Plan and success as measured by team (APR and GSR) and student-athlete academic improvement. Specifically, requests for SSF should be tied directly to APR Improvement Plan elements *(Adopted: 04/10; Effective: 04/10).* In addition, the program encourages sharing and adaptation of successful programs on all Division I institutions – including institutions that do not receive SSF support. *(Adopted: 04/10)*

Annually, the staff must provide the committee with a report outlining the impact of all initiatives funded through the SSF. *(Adopted: 04/10)*

Institutional characteristics will be reviewed to identify "limited-resource" institutions. Specifically, the following three measurements will be reviewed: (1) Per capita Pell Grant dollars received (to assess neediness of student-body); (2) Per capita institutional spending (to assess neediness of institution); and (3) Per capita athletics spending (to assess neediness of the athletics department). Institutions with most limited-resources, ranking in the bottom 10 percent, as measured by this metric will be eligible to apply for SSF support. Institutions with resources ranking in the bottom 15 percent will have access to a filter to avoid ineligibility for postseason competition but will not have access to SSF. If an institution was previously eligible for the SSF and has received a multiyear award, but is no longer considered a "limited-resource" institution, the institution will continue to be eligible to receive funds pursuant to the multiyear award. *(Adopted: 07/09; Revised: 10/11; Effective: 10/11)*

Written notification will be provided by the staff to institutions ranking in the bottom 10 and 15 percent based on institutional resources and to institutions no longer within the tenth percentile. (*Adopted: 07/09; Revised: 10/11; Effective: 10/11)*

Multidivisional institutions (i.e., Division II or III institutions that typically sponsor one or two sports at the Division I level) are not eligible for SSF since they are not included in the determination of the bottom tenth percentile of institutions based on resources. *(Adopted: 07/09)*

Purpose, Goals and Priorities.

The program's purpose is to support academic reform by funding campus initiatives designed to increase team APR's and GSR's at limited-resource institutions. Success will be indicated through the increased team APR's and GSR's of recipient institutions. For the 2011-12 academic year, priority will be given to funding professional development activities for staff who provide academic support services to student-athletes. Priority will then be given to initiatives submitted that are directly tied to the institution's APR Improvement Plan(s). Each institution shall demonstrate a history of successful implementation of its plan(s) and demonstrate its commitment of institutional resources to critical elements of its plan(s) that would be supplemented by an SSF award. Due to the amount of available funding, not all eligible institutions may receive funding support for initiative awards submitted during 2011-12.

In accordance with direction from the Committee on Academic Performance, initiative requests will also be reviewed to determine whether they fall within the following three categories:

1. Eligibility: Successful requests will present integrated approaches engaging appropriate campus academic personnel and resources in efforts designed to ensure student-athletes maintain steady progression toward fulfillment of degree requirements, as measured by eligibility status. Effective measures will result in increased "E" points earned by each participating team.

2. Retention: Preferred initiatives will include innovative strategies for enhancing student-athlete persistence, including application of demonstrated retention practices and integration of student-athletes into the broader campus community. Effective measures will result in increased "R" points earned by each participating team.

3. Graduation: Support may be given to degree-completion programs developed to assist student-athletes who need a minimal number of hours to fulfill graduation requirements. Effective measures will result in increased GSR's.

Program Guidelines.

1. Only active members of NCAA Division I that are determined to be "limited-resource" institutions are eligible to receive funds. Multidivisional, limited-resource institutions with Division I teams are not eligible to receive funds, even if such institutions sponsor teams subject to the APP.

2. Grant applications must link specific initiatives to critical elements and measurable outcomes included in an APR Improvement Plan. Applications must also describe the commitment of institutional resources to critical elements of the plan(s) that would be supplemented by the SSF award. Each institution shall also be required to demonstrate a history of successful implementation of its plan(s).

3. Initiatives must be designed after a thorough assessment has been conducted to reveal the nature of each team's particular challenges to academic success.

4. Recipient institutions must demonstrate effective collaboration with non-athletics campus units to ensure all institutional resources are maximized and to underscore integration of athletics into the broader university community.

5. Recipient institutions must be willing to share successful programs and model practices with other institutions, including institutions that have not received APP supplemental support program funding.

6. Institutions receiving grant money must submit annual reports outlining the progress of implementation of the new initiatives.

7. Institutional personnel from recipient institutions may be required to complete APP-related educational programming.

8. Grant sizes will vary based on the scale of proposed initiatives and available funding. Partial awards may be granted and smaller awards may be granted for equipment and professional development requests.

9. Funded projects should demonstrate a capacity for long-term sustainability.

10. The institution's chancellor or president must review and sign the grant application.

Professional Development Grant Requests.

Professional development grants provide funds to attend seminars, conferences and workshops to further professional development for staff who administer academic-support services to student-athletes. This must occur between November 2011 and July 2012. Institutions may submit multiple requests and they will continue to be reviewed until April 1, 2012. Each institution is allowed to request funding to send not more than three staff members to no more than two events per year.

Initiative Requests - Application Process.

Applications will be accepted on an ongoing basis; however, applications must be received by April 1, 2012. The staff will review all applications and will respond to the contact person identified on the application. The staff will determine whether proposed activity fits within the funding priorities of the SSF. Institutions must submit all required APR Improvement Plan information to the national office in order to be eligible for a SSF Initiative Award.

Timeline.

December	Applications available.
April 1	Deadline for submission of professional development and initiative applications for funding during the 2011-12 academic year.
July	Projected timing of initiative awards.

Examples of Projects/Initiatives Meeting Program's Purpose and Guidelines.

1. Professional development of academic support personnel.

2. Programs based on careful, complete assessment of barriers to student-athlete academic success and directly tied to the institution's APR Improvement Plan(s).

3. Projects proposed after a review of demonstrated best practices.

4. Academic support personnel (generally requires institutional contribution).

5. Equipment used to further academic success of student-athletes (i.e., desktop computers, laptop computers, and educational software).

Examples of Projects/Initiatives that Do Not Meet Program's Purpose and Guidelines.

1. Initiatives not tied to an institution's APR Improvement Plan.

2. Initiatives where there is no showing of a commitment of institutional resources to critical elements of its APR Improvement Plan that would be supplemented by a SSF award.

3. Initiatives where there is no showing of successful implementation of an APR Improvement Plan.

4. Athletics operations.

5. Recruiting budget increases.

6. Team-travel budget increases.

7. Research projects.

8. Requests for fundraising efforts/events.

9. Team/student-athlete celebratory or recognition events.

10. Operating deficits.

11. Endowments.

12. Merit increases.

13. Any request that will not be used during the SSF award year.

14. Funding request for current students or student-athletes, including financial aid.

APPENDIX A

Frequently Asked Questions Regarding APR Cohort Composition

Inclusion of Noncounters on Athletics Aid in the APR Cohort.

Question No. 1: Do medical noncounters have to re-enroll full time to earn the retention point?

Answer: Yes. Retention for a student-athlete requires full-time enrollment unless he or she meets a legislated exception to full-time enrollment. Progress-toward-degree waivers of full-time enrollment are considered legislated exceptions.

Question No. 2: If a student-athlete in the cohort initially attends the institution for eight weeks, then receives a medical withdrawal for a serious medical condition, is this student included in the cohort? What if a medical-absence waiver was never submitted because the student did not return to the institution?

Answer: This student-athlete is in the cohort since he or she received athletics aid and was enrolled full time as of the fifth week of classes or official census date, whichever is earlier. The student-athlete's lost APR point(s) may be addressed through the adjustment process.

Revocation of Scholarship during the Term.

Question No. 1: If a student-athlete begins the academic year on athletics aid, but the aid is revoked during the term, is the student-athlete included in the APR calculation for that term? For example, an incoming student-athlete is certified as a qualifier, receives athletics aid and attends classes. However, the student-athlete is declared ineligible midyear due to invalidation of his or her test score and he or she does not receive aid from that point forward. As a condition of reinstatement, the student-athlete will repay the aid received during the fall term. Is the student-athlete included in the team's APR cohort for the fall term, even though the aid will be repaid?

Answer: Such a student-athlete would not be included within the APR cohort, in that the cohort is intended to be comprised of student-athletes who receive only permissible institutional athletically related financial aid. For teams that offer athletics financial aid, the APR cohort was developed to include only student-athletes who received athletically related financial aid and to exclude recruited student-athletes not awarded athletically related financial aid. This included student-athletes who were ineligible to receive athletically related financial aid. To remain consistent with the original design of the APR cohort, student-athletes impermissibly awarded athletically related financial aid are not included in the cohort. If this student-athlete receives athletics aid in subsequent years, he or she will

enter the APR cohort for those terms during which he or she receives athletics aid.

Question No. 2: If a student-athlete begins the spring term full time and on athletics aid, but the student-athlete drops to a part-time status in the middle of the semester and athletics aid is revoked due to part-time status, is the student-athlete included in the APR calculation for that term?

Answer: Because the student-athlete received permissible athletics aid and was enrolled full time as of the institution's fifth week of classes or official census date for that institution, the student-athlete will be included in the team's APR for that term.

Question No. 3: A student-athlete begins the academic year on athletics aid written for the full academic year. The institution includes an academic component in the aid award, requiring the student-athlete to attend study hall in order to keep the aid. If the student-athlete fails to meet the academic component, the aid may be canceled under NCAA legislation. If the aid is canceled midway through the academic term, is this student-athlete included in the APR cohort for that academic term?

Answer: Because the student-athlete received permissible athletics aid as of the fifth week of classes or the official census date, whichever is earlier, the student-athlete would be a part of the team's APR cohort for that academic term. If the aid was canceled prior to the fifth week of classes or the official census date, the student-athlete should be removed from the team's APR cohort for that academic term. If the aid was canceled after the fifth week of classes or the official census date, the student-athlete's lost APR point(s) maybe addressed through the APR adjustment process.

Student-Athletes Who Quit Nonscholarship Teams.

Question No. 1: Is a student-athlete who quits a nonscholarship team at the end of the fall term included in the spring cohort?

Answer: For teams not awarding any athletics aid, a student-athlete is considered in the cohort if he or she is on the team at any point on or after the first date of competition during that term only. He or she will not be included in the APR cohort during the spring term since the student-athlete was not on the team.

Recruited Student-Athletes Whose Standardized Test Scores are Invalidated—Nonscholarship Teams.

Question No. 1: Is a recruited student-athlete whose standardized test score was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier included in the APR cohort?

Answer: No. A recruited student-athlete whose standardized test was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier should not be included in the APR cohort for nonscholarship teams. *(Adopted: 10/2008 effective 10/2008 for the 2008-09 APR cohort, not retroactive to any prior year cohorts)*

Student-Athletes Receiving Athletically Related Financial Aid for Only One Term.

Question No. 1: If a student-athlete received athletics aid in the fall term but not for the spring term (e.g., quits team, aid canceled) and remains enrolled at the institution for the spring term, is he or she in the APR cohort in the spring term?

Answer: Because the student-athlete received athletically related financial aid for the fall semester, he or she will be included in the team's APR for that term only. He or she will not be included in the APR cohort during the spring term since no athletically related financial aid was received.

Student-Athletes Receiving Preseason Expenses or Summer Athletics Aid.

Question No. 1: Does the receipt of preseason expenses or athletics aid during a summer term trigger a student-athlete's inclusion in the cohort?

Answer: The receipt of preseason expenses and athletics aid during the summer term would not result in a student-athlete being included in the cohort. The trigger for including a student-athlete in the cohort is the receipt of athletically related financial aid during a regular academic term.

Student-Athletes Receiving Athletics Aid Contingent on Meeting Nonathletics Criteria.

Question No. 1: If a student-athlete is offered and accepts athletically financial aid contingent on satisfying some nonathletics criteria prior to receiving any athletics aid, is he or she in the APR cohort?

Answer: Provided the student-athlete meets all other criteria to be included in the APR cohort, that student-athlete shall be included in the APR cohort for that term or terms, whether the stated nonathletics criteria are met or not. *(Adopted: 7/2008 effective 7/2008 for the 2007-08 APR cohort, retroactive to any prior year cohorts)*

Student-Athletes Receiving Outside Aid.

Question No. 1: Should student-athletes who receive no athletics aid but receive outside aid that is countable against the team limit (e.g., athletics participation considered a major criterion) be included in the APR cohort?

Answer: Student-athletes whose only countable aid is outside aid would not be included in the cohort. The cohort is comprised of student-athletes who receive institutional financial aid based in any degree on athletics ability. Because the outside scholarship is not considered institutional aid, the student-athlete is not included in the APR cohort for that team.

Question No. 2: Should a student-athlete who has exhausted eligibility and receives athletics aid from the Student-Athlete Opportunity Fund or NCAA degree-completion program be included in the APR cohort?

Answer: A student-athlete who is receiving aid from the Student-Athlete Opportunity Fund to offset expenses normally covered by an athletics scholarship (i.e., tuition, fees, room, board and/or books) WOULD be included in the cohort, provided he or she is receiving the monies from the fund within six years after his or her initial full-time collegiate enrollment, the monies are awarded during the academic year, and the student-athlete has not yet enrolled beyond five years/10 semesters of actual full-time enrollment.

Since the requirement is to be considered part of the cohort and is based on the student-athlete receiving institutional athletics financial aid, receipt of funds from the NCAA degree-completion program would NOT result in the student-athlete being included as part of the cohort.

APPENDIX B

Examples of Cross-Country and Indoor and Outdoor Track and Field APR Cohort Composition

Example No. 1: A student-athlete receives athletics aid and is on the cross country team roster on the first date of competition for the championship segment. The student-athlete is also on the indoor and outdoor track and field rosters on the first date of competition in the championship segment for these sports. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, indoor track and field and outdoor track and field.

Example No. 2: A student-athlete receives athletics aid and is on the outdoor track and field roster on the first date of competition for the championship segment. The student-athlete is also on the indoor track and field roster on the first date of competition of the championship segment, but does not participate in cross country and, thus, is not on the cross country roster. In which APR cohort(s) should the student-athlete be included?

Answer: Indoor track and field and outdoor track and field.

Example No. 3: A student-athlete receives athletics aid and is on the cross country, and indoor track and field roster on the first date of competition for the championship segment (assuming the institution's indoor track and field season begins in the fall). The student-athlete withdraws from the institution after the fall term. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country and indoor track and field for the fall term.

Example No. 4: A student-athlete receives athletics aid and is on the cross country roster on the first date of competition of the championship segment. The student-athlete is not on the team's roster on the first dates of competition of the championship segments for either indoor or outdoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 5: A student-athlete is on the cross country, and indoor and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete's institution offers athletics aid in these sports; however, the student-athlete does not receive athletics aid. In which APR cohort(s) should the student-athlete be included?

Answer: None, because the student-athlete is not receiving athletics aid.

Example No. 6: A student-athlete's institution does not offer athletics aid in any sports. The student-athlete was recruited and was on the cross country, and outdoor track and field rosters on the first dates of competition of the championship segments. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and outdoor track and field.

Example No. 7: A student-athlete was included only in the cross country APR cohort for the 2005-06 academic year. The student-athlete exhausted his or her eligibility for cross country in 2005-06. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2006-07 academic year. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 8: A scholarship student-athlete is on the cross country, and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete exhausted his or her eligibility for indoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and indoor and outdoor track and field.

Example No. 9: A scholarship student-athlete was included in the cross country, and indoor and outdoor track and field APR cohorts for the 2005-06 academic year. The student-athlete exhausted his or her eligibility for cross country, and indoor and outdoor track and field in 2005-06. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2006-07 academic year. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and indoor and outdoor track and field.

APPENDIX C

Miscellaneous Questions on Impact of Graduation on APR

Question No. 1: May a student-athlete use the summer after his or her tenth semester/fifteenth quarter in order to graduate and earn the eligibility point?

Answer: A student-athlete may use summer hours completed after his or her tenth semester/fifteenth quarter to complete graduation requirements, as long as they are completed prior to the beginning of the next regular academic term. Student-athletes who graduate at any time during the summer are included in the last full-time term the student-athlete was enrolled during the regular academic year for APP purposes.

Question No. 2: May a student-athlete return to the institution in the fall term to graduate and earn the retention point?

Answer: If a student-athlete returns in the fall term to graduate, the student-athlete will be a "1/2" for the prior spring term. If the student-athlete graduates that fall term, he or she may earn a delayed-graduation point for his or her team, provided the criteria are met.

Question No. 3: How does use of a missed-term exception affect the requirement to graduate within five years of enrollment?

Answer: For APR purposes, a student-athlete has five years **of actual full-time enrollment** (i.e., 10 semesters/15 quarters) in which to graduate. The term to which a missed-term exception is applied does not count against the five-year period for graduation.

Question No. 4: How does the use of a term in which a student-athlete is allowed to be enrolled part time due to a progress-toward-degree waiver affect the requirement to graduate within five years of full-time enrollment?

Answer: A term in which a student-athlete is permitted to be enrolled less than full time due to a progress-toward-degree waiver is still considered a full-time term of attendance for purposes of the APR. For example, a student-athlete with an education-impacting disability is granted a progress-toward-degree waiver to be enrolled part time and the student-athlete uses the part-time enrollment option during two regular terms during his or her academic career. At the conclusion of his or her fifth year of full-time enrollment, the student-athlete must graduate in order to earn both points because the two part-time terms were legislated exceptions.

Incomplete Grades – Graduation.

Example No. 1: A basketball student-athlete received athletically related financial aid during the 2006-07 academic year. At the conclusion of the 2007 summer term, he or she received an "incomplete" in one class needed to earn his or her degree. At the institution, an "incomplete" credit is posted in the term in which the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2007 summer term. The student-athlete's five-year period to obtain his or her degree ended in summer 2007. What is the impact of the incomplete on the institution's APR?

Answer: If the student-athlete finished the incomplete prior to the APR submission date and, per institutional policy, the grade for the course was posted on the 2007 summer term – which would have added the credit hour(s) necessary for graduation – he or she earned the eligibility point for spring 2007 once that grade was posted and the institution considers the student-athlete a graduate in the previous term. If the grade was posted after the APR submission date, the institution may award a delayed-graduation point for the student-athlete during the next academic year's APR data submission.

Example No. 2: An institution's particular degree program requires that students complete an internship prior to graduation. Many of the institution's student-athletes who have completed their eligibility and are enrolled in this degree program register for the internship during the summer, but do not complete it and take an "incomplete" so that they can complete the internship during the fall semester. However, because they are actually registered for the internship during the summer and the internship is the final piece needed to complete the degree, student-athletes are not actually registered for any classes during the fall. What is the impact of the incomplete on the institution's APR?

Answer: If student-athletes do not complete the internship by the end of the summer term and are not enrolled in the fall term, they do not earn the retention point. However, institutions have the opportunity to change data prior to the APP data submission deadline if "incompletes" are replaced with grades/credits posted back to the term. Accordingly, if the student-athletes in question eventually finish their internships and institutional policy allows for the "incomplete" to be replaced with grades/credits posted to the summer term, the team may be able to earn the "lost" point by requesting a delayed-graduation point.

Other Graduation Calculation Issues.

Example No. 1: A student-athlete is enrolled in the 2006 fall semester, is not retained for the 2007 spring semester and then graduates summer 2007. Will he or she earn the graduation points (two points) for the 2007 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated summer 2007. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 2: A student-athlete completed all coursework for graduation in the 2006 fall semester but graduation was not conferred until the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete had completed all graduation requirements (administrative and academic) prior to the start of the next academic term (in this case, spring 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she "graduated" in spring 2007.

Example No. 3: A student-athlete completed all coursework for graduation except for four units in the 2006 fall semester. He or she then completed a course at a junior college in the winter intersession, transferred those credits back to the original institution and graduated in the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete graduated prior to the start of the next academic year (in this case, fall 2007), then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated in spring 2007.

Example No. 4: A student-athlete receives all incomplete grades for the 2006 fall semester, which is his or her tenth full-time term of collegiate enrollment. He or she then completes all the necessary coursework to remove the incomplete grades and graduated in the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated summer 2007. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 5: A student-athlete graduated from Institution A with eligibility remaining, transferred to Institution B per NCAA Division I Bylaw 14.1.9 and received athletics aid to participate in athletics at the second institution. How is this student-athlete reflected in Institution B's APR?

Answer:

1. The student-athlete is included in the cohort for Institution B since he or she received athletics aid.

2. The student-athlete will automatically receive the retention point for each semester that he or she continues after graduation.

3. The student-athlete will receive the eligibility point if he or she meets NCAA, conference and institutional requirements for graduate student-athletes (e.g., Bylaw 14.1.8.2.1.4).

A graduate student who has earned an undergraduate degree will always earn the retention point. The eligibility point will be earned based on meeting whatever academic-eligibility rules are applicable (i.e., six hours).

Example No. 6: A student-athlete who attends an institution for five years and exhausts his or her eligibility but does not graduate receives how many points for the last term of the fifth year?

Answer: If the student-athlete returns for his or her sixth year, he or she will lose the eligibility point since he or she did not graduate in five years. However, since the student-athlete was retained, he or she will receive the retention point.

If the student-athlete withdraws from the institution, he or she will lose both the eligibility and retention points since the student-athlete did not graduate in five years and was not retained.

Example No. 7: A student-athlete only needed a few credits to graduate in spring 2007 and thus, enrolls less than full time. Will he or she earn the retention point for the 2006 fall term?

Answer: Taking only those courses required to graduate is a legislated exception to the full-time enrollment legislation (Bylaw 14.1.8.2.1.3). If the student-athlete meets this bylaw, he or she meets an exception to the full-time enrollment legislation and, therefore, is considered retained. Additionally, the student-athlete also must be included in the cohort during the spring term.

Example No. 8: During the fall semester, a student-athlete enrolled in 12 hours, later dropped to nine hours and passed eight hours. The student-athlete did not enroll for the spring semester. During the summer, the student-athlete attended and graduated. How is this student-athlete reflected in the institution's APR?

Answer: For the fall semester, the student-athlete will earn the eligibility and retention points because he or she graduated before the next fall semester. The institution will receive credit for the student-athlete's graduation. For the spring semester, the student-athlete is not in the cohort.

Example No. 9: Following the completion of the fall term, a student-athlete graduates and exhausts his or her eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the APR cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated <u>and</u> have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Miscellaneous APR Calculation Examples

Example No. 1: A student-athlete enrolled full time in the fall semester, earned eligibility and returned for the spring semester. The student-athlete enrolled full time in the spring, withdrew in the sixth week of the semester after the census date and did not earn any hours. The student-athlete does not return to the institution the next fall term.

Answer: This student-athlete would earn "2/2" in fall and "0/2" in spring, assuming the student-athlete did not earn the eligibility point.

Example No. 2: In the fall term, a student-athlete enrolled full time and earned the eligibility point; however, the student-athlete did not enroll in the spring. The student-athlete then returned to school full time the next fall.

Answer: The student-athlete earned "1/2" points for the fall term and would not receive the retention point. The student-athlete is not in the cohort for the spring term.

Example No. 3: A student-athlete enrolled full time in the fall term and was not academically eligible for the spring term. The student-athlete did not enroll in the spring term. The student-athlete attended summer classes and became eligible for the fall term. Then, the student-athlete returned full time in the next fall term.

Answer: This student-athlete earned "0/2" points for the fall term and remained "0/2" despite regaining eligibility during the summer. The eligibility point is based on eligibility going into the next regular academic term, which was spring. The student-athlete was not included in the spring cohort, so he or she was "0/2" for the entire academic year.

Example No. 4: A student-athlete enrolled full time in the fall term and participated in a study-abroad program sponsored or affiliated with the institution in the spring term. He or she earned eligibility for the next academic year and was retained in the next fall term.

Answer: The student-athlete earned "2/2" points for the fall term and earned "2/2" points for the spring term.

[Note: The student-athlete must be participating in a study-abroad program that is affiliated with the student-athlete's institution. If a student-athlete participated in a study-abroad program that is independent of the student-athlete's institution, the student-athlete would lose the retention point and earn "1/2" points.]

Example No. 5: A student-athlete on athletics aid was enrolled full time in the fall term and attended classes for 15 days, which is after the official census date, at Institution A. The student-athlete subsequently transferred prior to Institution B's census date and prior to the fifth week of classes and completed the fall term at Institution B.

Answer: The student-athlete is included in the fall cohort at Institution A and Institution B. The student-athlete was enrolled full time as of the fifth week of classes or the official census date, whichever is earlier at both institutions.

Example No. 6: A student-athlete was enrolled in the winter term and was academically eligible to compete at the end of the term. The student-athlete spent the spring term in a co-op program as part of his or her degree program. He or she was considered to be enrolled full time by the institution, but received no credit hours for the co-op program and will need a progress-toward-degree waiver in order to be eligible the following fall.

Answer: The student-athlete earned a "2/2" for the winter term and is part of the spring cohort if he or she was on athletics aid. However, since the student-athlete earned no credit hours, he or she is a "1/2" for the spring term unless a progress-toward-degree waiver is granted. If a progress-toward-degree waiver is granted, the student-athlete will earn "2/2" points.

Example No. 7: Following the completion of the fall term, a football student-athlete graduates and exhausts his eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the APR cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated <u>and</u> have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Application of the Missed-Term Exception Adjustment

Question No. 1: Is the institution required to apply the missed-term exception to determine the academic eligibility of a student-athlete when he or she re-enrolls at the institution?

Answer: An institution is not required to apply the missed-term exception in order to request an adjustment for the lost retention point. As long as the student-athlete qualifies for the missed-term exception pursuant to Bylaw 14.4.3.5-(a) and the criteria listed above are met, an institution may request an adjustment for the retention point for the term prior to missing the term(s).

Question No. 2: May an institution request an adjustment for the retention point on more than one occasion for the same student-athlete based on the missed-term exception criteria?

Answer: No. An institution may request an adjustment to a lost retention point based on the missed-term exception criteria one time during a student-athlete's academic career.

Question No. 3: May an institution request an adjustment of the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled for consecutive terms in more than one academic year? For example:

Fall 2006 – student-athlete enrolled; eligible but not retained.
Spring 2007 – student-athlete not enrolled.
Fall 2007 – student-athlete not enrolled.
Spring 2008 – student-athlete returns to institution.

Answer: An institution is permitted to request an adjustment for the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled full time in multiple, regular academic terms.

Question No. 4: Is an institution permitted to request adjustments for the retention point based on the missed-term exception criteria for any academic year cohort included in the institution's multiyear APR cohort?

Answer: This policy was effective starting with the 2006-07 APR cohort that was submitted fall 2007 and is not retroactive to any prior year cohorts. Thus, beginning fall 2007, an institution may request an adjustment for a retention point based on the missed-term criteria for a term missed by a student-athlete during the 2006-07 academic year and subsequent missed terms thereafter.

Incomplete Grades – Examples of Posting for APR Calculation.

Example No. 1: A basketball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2008 summer term, he or she received an "incomplete" in one class that must be completed in order for him or her to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2008 summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

Example No. 2: A softball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2007 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term. Therefore, this student-athlete would not have earned the eligibility point for the 2007 fall term, regardless of the term in which the completed course grade was applied.

APPENDIX F

Guide of Possible Student-Athlete Outcomes

The following table is provided as a rough guide of possible individual student-athlete outcomes.

E1	R1	E2	R2	E3	R3	F,S calc	W,S calc	8 Point scale	4 Point scale
N	A					0/1	0/1	0/2	0/1
N	C					1/2	1/2	2/4	1/2
N	N					0/2	0/2	0/4	0/2
N	Y					1/2	1/2	2/4	1/2
Y	A					1/1	1/1	2/2	1/1
Y	C					2/2	2/2	4/4	2/2
Y	G					2/2	2/2	4/4	2/2
Y	N					1/2	1/2	2/4	1/2
Y	T					1/1	1/1	2/2	1/1
Y	Y					2/2	2/2	4/4	2/2
		N	A			0/1	0/1	0/2	0/1
		N	C			1/2	1/2	2/4	1/2
		N	N			0/2	0/2	0/4	0/2
		N	Y			1/2	1/2	2/4	1/2
		Y	A			1/1	1/1	2/2	1/1
		Y	C			2/2	2/2	4/4	2/2
		Y	G			2/2	2/2	4/4	2/2
		Y	N			1/2	1/2	2/4	1/2
		Y	T			1/1	1/1	2/2	1/1
		Y	Y			2/2	2/2	4/4	2/2
				N	A	0/1	0/1	0/2	0/1
				N	C	1/2	1/2	2/4	1/2
				N	N	0/2	0/2	0/4	0/2
				N	Y	1/2	1/2	2/4	1/2
				Y	A	1/1	1/1	2/2	1/1
				Y	C	2/2	2/2	4/4	2/2
				Y	G	2/2	2/2	4/4	2/2
				Y	N	1/2	1/2	2/4	1/2
				Y	T	1/1	1/1	2/2	1/1
				Y	Y	2/2	2/2	4/4	2/2
N	Y	N	N			1/4	0/2	1/6	0.5/3
N	Y	N	Y			2/4	1/2	3/6	1.5/3
N	Y	Y	G			3/4	2/2	5/6	2.5/3
N	Y	Y	N			2/4	1/2	3/6	1.5/3
N	Y	Y	Y			3/4	2/2	5/6	2.5/3
Y	C	N	C			3/4	1/2	4/6	2/3

E1	R1	E2	R2	E3	R3	F,S calc	W,S calc	8 Point scale	4 Point scale
Y	C	Y	C			4/4	2/2	6/6	3/3
Y	G	Y	C			4/4	2/2	6/6	3/3
Y	Y	N	A			2/3	0/1	2/4	1/2
Y	Y	N	N			2/4	0/2	2/6	1/3
Y	Y	N	Y			3/4	1/2	4/6	2/3
Y	Y	Y	A			3/3	1/1	4/4	2/2
Y	Y	Y	G			4/4	2/2	6/6	3/3
Y	Y	Y	N			3/4	1/2	4/6	2/3
Y	Y	Y	T			3/3	1/1	4/4	2/2
Y	Y	Y	Y			4/4	2/2	6/6	3/3
		N	Y	N	N	0/2	1/4	1/6	0.5/3
		N	Y	N	Y	1/2	2/4	3/6	1.5/3
		N	Y	Y	N	1/2	2/4	3/6	1.5/3
		N	Y	Y	Y	2/2	3/4	5/6	2.5/3
		Y	C	N	C	1/2	3/4	4/6	2/3
		Y	C	Y	C	2/2	4/4	6/6	3/3
		Y	Y	N	A	0/1	2/3	2/4	1/2
		Y	Y	N	N	0/2	2/4	2/6	1/3
		Y	Y	N	Y	1/2	3/4	4/6	2/3
		Y	Y	Y	G	2/2	4/4	6/6	3/3
		Y	Y	Y	N	1/2	3/4	4/6	2/3
		Y	Y	Y	Y	2/2	4/4	6/6	3/3
N	Y	N	Y	N	N	1/4	1/4	2/8	1/4
N	Y	N	Y	N	Y	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	G	3/4	3/4	6/8	3/4
N	Y	N	Y	Y	N	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	Y	3/4	3/4	6/8	3/4
N	Y	Y	Y	N	N	1/4	2/4	3/8	1.5/4
N	Y	Y	Y	N	Y	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	G	3/4	4/4	7/8	3.5/4
N	Y	Y	Y	Y	N	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	Y	3/4	4/4	7/8	3.5/4
Y	C	Y	C	N	C	3/4	3/4	6/8	3/4
Y	C	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	G	N	C	Y	C	4/4	3/4	7/8	3.5/4
Y	G	Y	C	N	C	3/4	3/4	6/8	3/4
Y	G	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	Y	N	Y	N	N	2/4	1/4	3/8	1.5/4
Y	Y	N	Y	N	Y	3/4	2/4	5/8	2.5/4
Y	Y	N	Y	Y	G	4/4	3/4	7/8	3.5/4

Y	Y	N	Y	Y	N	3/4	2/4	5/8	2.5/4
Y	Y	N	Y	Y	Y	4/4	3/4	7/8	3.5/4
Y	Y	Y	G	N	C	3/4	3/4	6/8	3/4
Y	Y	Y	G	Y	C	4/4	4/4	8/8	4/4
Y	Y	Y	Y	N	A	2/3	2/3	4/6	2/3
Y	Y	Y	Y	N	N	2/4	2/4	4/8	2/4
Y	Y	Y	Y	N	Y	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	A	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	G	4/4	4/4	8/8	4/4
Y	Y	Y	Y	Y	N	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	T	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	Y	4/4	4/4	8/8	4/4
N	N			N	N	0/4	0/4	0/8	0/4
N	N			N	Y	1/4	1/4	2/8	1/4
N	Y			Y	Y	3/4	3/4	6/8	3/4
Y	A			Y	Y	3/3	3/3	6/6	3/3
Y	N			N	N	1/4	1/4	2/8	1/4
Y	N			N	Y	2/4	2/4	4/8	2/4
Y	N			Y	G	3/4	3/4	6/8	3/4
Y	N			Y	N	2/4	2/4	4/8	2/4
Y	N			Y	Y	3/4	3/4	6/8	3/4
Y	Y			Y	G	4/4	4/4	8/8	4/4
Y	Y			Y	Y	4/4	4/4	8/8	4/4

Table created by Donald Morrison, faculty athletics representative, University of California, Los Angeles. Supplemented in August 2009 by NCAA research staff.

E_n = Eligibility status at the end of term *n* within a given academic year.

R_n = Retention status at the end of term *n* within a given academic year.

Y = Student-athlete was eligible or retained after that term.

N = Student-athlete was not eligible or retained after that term.

G = Student-athlete graduated that term.

A=APR point was adjusted.

T=Retention point automatically adjusted due to transfer.

C=Continuing/Post-baccalaureate student-athlete.

Blank = Student-athlete not in cohort during that term.

F,S calc = Partial APR contribution for student-athlete based on fall and spring E,R checks.

W,S calc = Partial APR contribution for student-athlete based on winter and spring E,R checks.

8-point scale = Sum of points earned/possible under each calculation.

4-point scale = Actual APR contribution for student-athlete.

APPENDIX G

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 and retention. 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 retention 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 eligibility + retention for the APR calculation.

The Committee on Academic Performance has approved this directive to provide guidance to the NCAA staff and the Subcommittee on Data Collection and Reporting in reviewing APR adjustment requests. The committee recognizes 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 APP cohort. Each student-athlete is able to earn two points for each regular academic term he or she is in the cohort. The eligibility 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 retention 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 retention point for having graduated. A student-athlete who earns both points in an academic term is recorded as "2 for 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 eligibility 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 eligibility, 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 eligibility and/or retention points. Rather it removes the lost points from both the numerator and the denominator. Thus the 1/2 becomes a "1 for 1", or the 0/2 becomes a "0 for 1" or "0 for 0". Please note some adjustment criteria require the earning of the eligibility point in order for the request to be considered.

Circumstances Warranting an Adjustment of the Eligibility or Retention 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 eligibility and/or retention point may be considered for an adjustment in the following situations. In all circumstances, contemporaneous documentation must be included. If relief for the lost retention 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 eligibility 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.

      Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the NCAA Division I Progress-Toward-Degree Waivers Committee), which

coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the Legislative Services Database for the Internet (LSDB*i)* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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.

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. *(Adopted: 4/2009 effective 4/2009 for the 2008-09 APR cohort, retroactive to any prior year cohorts).*

f. Other unforeseen events and/or circumstances beyond the student-athlete's and/or institution's control that led to lost eligibility and/or retention points in a term that the student-athlete did not complete.

2. <u>Academic Term Was Completed, Student-Athlete Not Eligible</u>.

A student-athlete who completed a regular academic term as a full-time student may receive an adjustment to a lost eligibility 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 retention 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.

Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the Progress-Toward-Degree Waivers Committee), which coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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. <u>Academic Term Completed, Student-Athlete Not Retained</u>.

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 retention 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 eligibility 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 four-year 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.

Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the Progress-Toward-Degree Waivers Committee), which coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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.

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. *(Adopted: 4/2009 effective 4/2009 for the 2008-09 APR cohort, retroactive to any prior year cohorts).*

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 retention point adjusted one time during his or her academic career based on this mitigation.

Note: If a request meets all criteria for adjustment of the lost retention point, it should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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 completed 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 eligibility 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.

Note: If a request meets all criteria for adjustment of the lost retention point, it should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal.

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 eligibility 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 eligibility point in order for the retention 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).

c. Student-athletes impacted by the National Basketball Association (NBA) lockout.

The student-athlete completed the 2011 spring term and was not retained due to pursuing professional basketball as a vocation. (Note: A student-athlete is still required to earn the eligibility point). Such pursuit may be demonstrated by the following:

(1) The student-athlete was drafted by any professional basketball league;

(2) For undrafted student-athletes, documentation verifying the student-athlete was invited to and/or participated in 2011 NBA Draft Combine; and

(3) For student-athletes who do not meet either of the above criteria, it would be acceptable documentation if the student-athlete signs a contract with a professional sports team or organization within one year following the end of the lockout in the respective sport.

This adjustment is only available for those student-athletes who were not retained after the 2011 spring semester or quarter who pursued professional basketball as a vocation.

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 eligibility 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. 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 eligibility 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 2.0, but less than 2.6 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, academic performance each term of full-time enrollment, student-athlete's academic success compared to other students with similar admissions profiles, academic support services at the next institution and a reasonable expectation of graduation within five years of initial full-time enrollment).

Note: This adjustment will be subject to a high review standard and will be filed through the LSDB*i* portal.

c. The student-athlete was not retained because he or she transferred to another institution and meets the following criteria:

(1) The institution from which the student-athlete transferred received an approval of a NCAA Division I Legislative Council Subcommittee for Legislative Relief waiver of the residency requirement under Bylaw 14.8.2-(e) and the committee recommended approval of the waiver request.

(2) 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.

(Adopted: 7/2009 effective 7/2009 for the 2008-09 APR cohort, not retroactive to any prior year cohorts).

Circumstances that Do Not Warrant an Adjustment of the Retention 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).

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 eligibility 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 eligibility and/or retention points as appropriate, depending on the unique circumstances of the request.

APPENDIX H

Frequently Asked Questions on Collection of Two-Year Transfer Data

Question No. 1: Why are institutions being asked to submit this additional data?

Answer: Since June 2007, four separate groups within the NCAA governance structure have initiated reviews of issues impacting the academic performance of two-year college transfer student-athletes. Each group noted the need for additional research regarding the academic performance of two-year college transfer student-athletes, specifically their performance at their respective two-year college(s). However, there are limited data available on the two-year college academic performance of student-athletes. Without comprehensive data on two-year college transfer student-athletes, the membership's ability to provide thorough analysis regarding the academic preparation and success of two-year college transfers is limited. The collection of these data is essential in understanding the academic profiles of two-year college transfers and is providing reliable data to various governance groups as they consider policies and legislative changes regarding two-year college transfers.

Question No. 2: Why are the additional academic data only being collected for four sports?

Answer: The four identified sports have the largest number of transfer students from two-year colleges. In addition, it is anticipated that data from these sports will be sufficient for obtaining the research to inform policy decisions.

Question No. 3: Does this data submission require institutions to submit data on all two-year college transfer student-athletes in all years that make up the multiyear APR cohort?

Answer: No. Institutions are required to provide data on all two-year college transfer student-athletes in the 2011-12 cohort in the four sports, if the student-athlete enrolled at the submitting institution during the 2011-12 academic year.

Question No. 4: Does the institution need to submit any documentation (e.g., transcripts, credit evaluation) to the national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus in the event of an APP data review.

Question No. 5: What if an institution does not submit any data or incomplete data on its two-year college transfers?

Answer: If an institution fails to submit any data or submits incomplete data on its two-year college transfers, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships. If an institution is unable to obtain the requisite data or encounters issues with this data collection, the institution should contact the NCAA academic and membership affairs staff.

Question No. 6: What if the institution is unable to obtain requisite information until after the APR/APC data has been submitted?

Answer: This information must be completed and submitted with the institution's APR data. If this timeline cannot be met, the institution should request an extension of the data submission deadline.

Question No. 7: Does the additional academic data have to be submitted for a student-athlete who initially attended a four-year institution, then transferred to a two-year college and then transferred to the submitting institution (i.e., 4-2-4 transfer)?

Answer: Yes; however, the submitting institution needs to only report the additional academic data for the student-athlete's attendance at the two-year college. Credits earned by the student-athlete from the first four-year institution should not be entered into the new data fields regarding two-year college attendance; however, they should be included in the total transfer credits field.

Question No. 8: Does the additional academic data have to be submitted for a student-athlete who initially attended a two-year college, then transferred to a different four-year institution and then transferred to the submitting institution (i.e., 2-4-4 transfer)?

Answer: Institutions are required to supply the additional academic data only for student-athletes who transferred directly from a two-year college to the current institution.

Question No. 9: What is difference between total credit hours, transferrable credit hours and degree credit hours?

Answer: Total credit hours are those credits hours the student-athlete earned at the two-year college(s). Transferrable credit hours are only those credit hours earned at the two-year college(s) that transferred into your institution. Degree credit hours are only those credit hours earned at a two-year

college that transferred into your institution and were applied to the student-athlete's designated degree program at the time of transfer.

Question No. 10: Should hours earned at a two-year college prior to initial full-time collegiate enrollment be included in these data?

Answer: Yes. All two-year college hours should be reported regardless of when the student-athlete earned them (e.g., high school dual enrollment, prior to initial full-time enrollment).

Question No. 11: What if the student-athlete transferred to the submitting institution prior to being required to designate a degree program?

Answer: The submitting institution should report all credits that would transfer into <u>any</u> degree program at the four-year institution.

Question No. 12: What if the student-athlete changed majors after his or her first term at the submitting institution?

Answer: The degree credit hours field should reflect the student-athlete's degree program at the time of transfer.

Question No. 13: What is the difference between overall grade-point average and transferrable grade-point average?

Answer: The overall grade-point average is the total grade-point average based on all coursework at the two-year college(s). The transferrable grade-point average is not a requirement for the additional academic data, but is the grade-point average earned in all courses that transferred into the institution as defined in Bylaw 14.5.4.5.3.2 (calculation of grade-point average for transferable credit).

Question No. 14: How is the overall two-year college grade-point average determined?

Answer: If the student-athlete only attended one two-year college, then the cumulative grade-point average at that two-year college should be reported. If the student-athlete attended more than one two-year college, the submitting institution should calculate the overall two-year college grade-point average by adding total grade points earned at all two-year colleges divided by total credits attempted for a grade at all two-year colleges.

For example:

John attended two-year college A. John attempted 27 credit hours for a grade, however, only earned 24 credit hours and earned 70 grade points. His grade-point average at two-year college A is 70/27 = 2.59.

John then transferred to two-year college B. John attempted 40 credit hours for a grade and earned 40 credit hours and earned 98 grade points. His grade-point average at two-year college B is 98/40 = 2.45.

His overall two-year college grade-point average is (70 + 98)/ (27+40) = 2.51.

Question No. 15: What if the student-athlete received an initial-eligibility waiver and was considered to be a partial qualifier?

Answer: Please indicate the student-athlete was a nonqualifier for purposes of this data collection.

Question No. 16: What if the student-athlete did not have a final academic certification from the NCAA Eligibility Center?

Answer: The student-athlete should be reported as not being certified or as not registering with the NCAA Eligibility Center.

Question No. 17: May I import the data from Compliance Assistance (CA)?

Answer: No. The majority of these data fields are currently not available in CA.

Question No. 18: What should be reported if the student-athlete was charged with a season of competition but did not actually compete? For example, the student-athlete competed after his or her 21st birthday prior to initial full-time enrollment and was charged with a season of competition.

Answer: Only the number of seasons in which the student-athlete actually participated at a two-year college should be reported.

Question No. 19: What is considered to be a physical education activity credit?

Answer: Physical education activity courses are courses which involve body movement produced by skeletal muscles resulting in energy expenditures through organized group or class activities (e.g., swimming, team sports, weight lifting). Physical education theory or pedagogy courses should not be reported as physical education activity courses.

Question No. 20: What is considered an English credit?

Answer: Courses that were offered in the two-year college's English department and were earned (both college level and remedial) should be reported as English credit hours earned. Courses that transferred into the submitting institution's English department should be reported as English credit hours transferred. A course that transferred into another department but met a writing requirement would not be considered an English course (e.g., history course with a writing component).

Question No. 21: What is considered a math credit?

Answer: Courses that were offered in the two-year college's mathematics department and were earned (both college level and remedial) should be reported as math credit hours earned. Courses that transferred into the submitting institution's mathematics department should be reported as math credit hours transferred. A course that transferred into another department but met a quantitative requirement would not be considered a math course (e.g., logic course offered in the philosophy department).

Question No. 22: What is considered a science credit?

Answer: Courses that were offered in the two-year college's natural or physical science departments (e.g., biology, chemistry, physics, geology) and were earned (both college level and remedial) should be reported as science credit hours earned. Courses that transferred into the submitting institution's natural or physical science departments should be reported as science credit hours transferred. Social science courses (e.g., psychology, sociology) and health science courses (e.g., nursing, exercise science) would not be considered a science course.

Question No. 23: What is considered a remedial course?

Answer: A course is remedial if it does not count as college-level credit and does not count toward any degree program at the institution. Generally a remedial course is a prerequisite for courses that are countable toward any degree program. Remedial courses may also be referred to as "college-preparatory," "compensatory," "developmental" or "review."

Question No. 24: Should remedial English, math and/or science courses be reported in the total number of credits earned at the two-year college?

Answer: Yes. Remedial hours the student-athlete completed at the two-year college should be included in reporting the total number of hours earned. However, remedial courses are generally not transferrable to a four-year institution; therefore, they should not be reported as transferrable or degree credit hours.

Question No. 25: What should be reported if the submitting institution does not accept any credit hours from two-year colleges?

Answer: The institution must report zero for the degree credit hours and transfer credit hours fields. The institution will not be able to submit its APP data if these fields are blank.

Question No. 26: Is part-time attendance at a two-year college included in determining the total number of two-year colleges attended?

Answer: Yes. Please include all two-year colleges that the student-athlete attended including high school dual enrollment and attendance prior to initial full-time enrollment.

Question No. 27: What if the student-athlete earned an associate of science or an associate of applied science instead of an associate of arts degree?

Answer: If the student-athlete received an associate degree prior to transferring to the submitting institution, the student-athlete should be reported as a two-year college graduate.

Question No. 28: If a student-athlete attended a two-year college using semester terms and the submitting institution is a quarter institution, should the number of terms the student-athlete attended the two-year college be reported in semesters or quarters?

Answer: The submitting institution should convert the terms to its academic calendar (semesters or quarters). For example, if a student-athlete attended a two-year college for four semesters and transferred to a quarter institution, the submitting institution should report six terms at the two-year college (1 semester = 3/2 quarters and 1 quarter = 2/3 semester).

Question No. 29: Are institutions required to submit the data for transfer student-athletes who attended a two-year college in a foreign country?

Answer: No. A two-year college in a foreign country is considered to be a four-year college for NCAA transfer purposes.

APPENDIX I

Frequently Asked Questions
Collection of Graduation Rate Data

Institutional Reporting Requirements.

Question No. 1: What do I need to submit?

Answer: All NCAA member institutions **MUST** complete the student-body graduation rates and the student-body enrollment (first column on that page). Institutions that offer athletics aid also must complete the student-athlete enrollment.

Division I members also must provide the Graduation Success Rate (GSR) for student-athletes; Division II members also must provide the Academic Success Rate (ASR) for student-athletes. If you are a Division III member participating in **voluntary** pilot, you also will be providing ASR data for your student-athletes.

Question No. 2: Our institution recently dropped a sport/reclassified from Division I to Division III and is no longer awarding athletics aid in that particular sport or throughout the athletics program for all sports. What data do we need to submit?

Answer: Your institution is required to complete the federal [Postsecondary-Education Data Systems (IPEDS)] section for student-athletes up to and including the last freshman cohort for which your institution awarded athletics aid. For example, if the last freshman class that was awarded athletics aid was the class entering fall 2005; then, the 2005 fall cohort would be the last cohort for which your institution would be required to submit IPEDS data.

Question No. 3: Our institution began to report APR data for the 2006-07 cohort. Since our institution does not have a 2005-06 APR cohort, which is being reported this year, what data reporting requirements do we need to meet?

Answer: Your institution would be required to report the following data for the 2005-06 cohort:

a. Student-body graduation rate data.

b. Student-athlete graduation rate data.

c. Student-athlete enrollment data.

d. Student-body enrollment data.

e. Student-athlete GSR data.

Question No. 4: Is our institution required to submit data for sports that are not being used to meet sports-sponsorship requirements?

Answer: Yes, institutions must report data for ALL sports even if the sport is not being used to meet NCAA sports-sponsorship requirements.

Question No. 5: Our institution awards athletics aid in a non-NCAA sponsored sport. How does our institution report graduation rates, GSR and ASR data for that sport?

Answer: If your institution awards athletics aid in a non-NCAA sponsored sport, your institution is required to report its graduation rates in order to comply with federal reporting requirements. Your institution will need to import its data using a text file. Instructions for creating the file may be found under the "Data Collection/Import" tab.

Student Reporting.

Question No. 1: When our institution imported data from the NCAA Division I Academic Performance Program (APP) data collection system into the graduation rates data collection system, the import included student-athletes who should not be reported in this data collection year's GSR cohort. Why did this occur?

Answer: Student-athletes are imported from the APP data collection system based on their initial full-time enrollment at any institution/your institution and inclusion in the APR cohort. If the student-athlete's first term at any institution/your institution was entered incorrectly in the APP data collection system, corrections will need to be made to the APR data and the student-athlete should be deleted from the cohort in the GSR system. The institution should review the files it maintains on campus to verify the accurate cohort.

Question No. 2: Our institution's census (enrollment) date is after the fifth week of classes. Should a student-athlete who was included in the APR data be included in the GSR data if he or she withdrew after the fifth week of classes but before the census (enrollment) date?

Answer: No, the APR definition for inclusion in the cohort is different than the federal or GSR definition. Only student-athletes who were enrolled as of the institution's census (enrollment) date should be included in the graduation (federal and GSR) cohorts.

Question No. 3: Our institution does not offer athletics aid in a sport and has a nonscholarship freshman who was on a team's roster for only the freshman year – he or she either left or was removed from the team. Does our institution still need to include this student-athlete when reporting GSR/ASR data?

Answer: Yes, such a student-athlete remains in the cohort, regardless of the number of years he or she participated in a sport.

Question No. 4: What do we do if we have multiple records for the same student-athlete within the same APR cohort?

Answer: Your institution will need to delete all records except for one within the GSR data collection portal after you have imported the records from the APP data collection system and request a correction to your institution's APR data for that cohort.

Question No. 5: How are multisport student-athletes reported?

Answer: Multisport student-athletes should be reported only ONCE and should be placed in the sport for which they received athletics aid as freshmen. If a student-athlete received athletics aid in more than one sport during the freshman year, the federal hierarchy should be followed (i.e., football, basketball, baseball, cross-country/track, all other sports) and the student-athlete should be reported accordingly.

A student-athlete who did not receive athletics aid as a freshman but was recruited or on a roster as of the first date of competition, should be reported in that sport. Institutions should use the federal hierarchy for a freshman student-athlete who participated in more than one sport without receiving athletics aid. If the freshman student-athlete did not receive athletics aid, but participated in more than one of the "other" sports, the institution should select a sport to place the student-athlete.

Question No. 6: A student-athlete graduated from another four-year institution and then transferred to our institution seeking a second baccalaureate or graduate degree. Should this student-athlete be included in our institution's reporting of graduation rates data?

Answer: No, the student-athlete has already graduated from another institution and should be excluded from your institution's GSR. Graduation rates, GSR and ASR reporting are for undergraduate students and student-athletes only.

Question No. 7: How are the sports of cross country, indoor and outdoor track and field reported for the GSR/ASR? In the past, these three sports have been combined when reporting the IPEDS-Graduation Rate Survey/federal graduation data. Will the GSR/ASR also combine these three sports when reporting data?

Answer: Yes, these three sports will continue to be combined. However, if cross country, indoor or outdoor track and field teams fall into the APP penalty structure and the GSR is needed for one of these three sports, that institution may be required to provide the data necessary to separate the graduation rate by sport.

Question No. 8: Our institution has a student-athlete who received athletics aid for indoor and outdoor track but left the team before the first date of competition and remained enrolled at the institution. Therefore, the student-athlete was not included in the APR cohort; however, does our institution need to report the graduation information for this student-athlete?

Answer: Yes, since the student-athlete received athletics aid, your institution is required to report graduation rates data for the individual and will need to add the student-athlete to the specific sport within the graduation rates data collection system.

Question No. 9: How should we report student-athletes who were awarded athletics aid after their freshman year?

Answer: Student-athletes who did not receive athletics aid their first year at your institution should not be included in this reporting. In addition for ASR reporting of nonscholarship student-athletes, the student-athlete must have been on the roster during his or her freshman year.

Question No. 10: Our institution has a student-athlete who enrolled part time at <u>our institution</u> for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include them in the reporting year's cohort?

Answer: No, the student-athlete should not be included within the reporting year's cohort.

Question No. 11: Our institution has a student-athlete who enrolled part time at another institution for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, the student-athlete should be included in the reporting year's cohort and should be considered a transfer (i.e., four year, two year).

Question No. 12: Our institution has a student-athlete who enrolled in the fall term, but did not receive athletics aid until the spring term. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, freshmen who enter an institution in the fall can receive athletics aid at any time during their freshman year to be included in the reporting. However, midyear freshmen and transfers MUST receive athletics aid their first time at your institution to be included in the GSR and ASR.

Question No. 13: What is the GSR/ASR ID number?

Answer: This is a unique identification number that your institution needs to create and enter for student-athletes who are not in a reporting year's APR/Academic Tracking System cohort, but should be included in the reporting year's GSR/ASR cohort. This should be a unique number and we recommend that you use your institutional or school identification number for that student-athlete in order to avoid duplicate numbers.

Allowable Exclusions/Left Eligible Reporting.

Question No. 1: If a student-athlete leaves our institution to serve in the armed forces for another country, can he or she be reported as an allowable exclusion?

Answer: Yes, a student-athlete who leaves your institution to serve in any country's armed forces may be reported as an allowable exclusion.

Question No. 2: Our institution has a female student-athlete who became pregnant and was indicated as an allowable exclusion in APR. Is pregnancy also an allowable exclusion for graduation rates, GSR and ASR?

Answer: No, allowable exclusions for graduation rates, GSR and ASR are limited to military service, death or permanent disability, church mission and foreign aid service. Pregnancy is NOT considered an allowable exclusion for this data report and cannot be reported as such.

Question No. 3: If a student-athlete was diagnosed with cancer, would this be considered an allowable exclusion?

Answer: Yes.

Question No. 4: Our institution has a student-athlete who initially enrolled full time at another four-year institution the 2003 fall term and received athletics aid. The student-athlete left that institution following the 2004 spring term for active military duty and was reported by that institution as an allowable exclusion for this reporting. The student-athlete then transferred to our institution in the 2006 fall term and received athletics aid. However, the student-athlete did not graduate by August 2009, which is the end of the sixth year since initial full-time enrollment. Can our institution report this student-athlete as an allowable exclusion even though the student-athlete did not report for active military duty while enrolled at our institution?

Answer: Yes.

Question No. 5: Our institution had several student-athletes who were medical noncounters who continued to receive athletics aid after their freshman year. Are these student-athletes considered allowable exclusions for GSR reporting?

Answer: No, these student-athletes would not be considered allowable exclusions for the GSR since they are not permanently disabled and were able to return to your institution.

Question No. 6: Our institution has a student-athlete who received a medical-absence waiver for an entire academic year. In prior APR data collections, these student-athletes were not included within the APR cohort. Is this the same for GSR reporting?

Answer: No, student-athletes who receive a medical-absence waiver should be included within the GSR cohort if they meet the definition to be included within the GSR cohort.

Question No. 7: Our institution has a student-athlete who left the institution academically ineligible because of incomplete grades on his transcript. He returned to our institution to make up the coursework and received passing grades. Can our institution report the student-athlete as "Left Eligible?"

Answer: No, both GSR and ASR data submissions require institutions to report on those student-athletes with athletics eligibility remaining who left their institutions prior to receiving their baccalaureate degree and who would

have been academically eligible to compete in the next regular academic term had they returned to their institutions. Since these student-athletes would have been academically ineligible to compete had they returned to their institutions, they would be noted as academically ineligible for GSR or ASR reporting and cannot be reported as "Left Eligible."

Question No. 8: A student-athlete left the institution academically ineligible; however, the student-athlete received an APR adjustment for the lost eligibility point. Can that student-athlete be reported as "Left Eligible?"

Answer: No, adjustments in the APR do not apply to the GSR. Since this student-athlete left the institution academically ineligible to compete had he or she returned to the institution, he or she would be noted as academically ineligible for GSR reporting and cannot be reported as "Left Eligible."

Question No. 9: A student-athlete left our institution academically eligible with athletics eligibility remaining after the third year of enrollment; however, the student-athlete returned to the institution prior to the end of the sixth year since initial full-time enrollment and has not yet graduated. Can this student-athlete be reported as "Left Eligible?"

Answer: No, the student-athlete's status must be determined based upon his or her last status at your institution as of the end of the sixth year since initial full-time enrollment (August 31, 2011).

APPENDIX J

Frequently Asked Questions on the Head Coaches APR Portfolio

Question No. 1: Why are institutions required to submit additional data for the original six sports reported last year?

Answer: Moving forward, institutions will be required to submit yearly updates to their coaching information. The information is drawn from the membership database so institutions who keep their information current within the database will have the appropriate information displayed in the APR/APC system. Institutions will still be required to verify that the data reported is correct.

Question No. 2: Can this data be imported from CA?

Answer: No. However, the majority of head coaches' data are already prepopulated in the institution's APP data collection site, so this is not part of a CA import.

Question No. 3: How were the head coaches' data that are prepopulated in the data collection system obtained?

Answer: The information is obtained from the NCAA membership database and sports-sponsorship forms submitted by the institution.

Question No. 4: Should an "interim" head coach be reported?

Answer: No. Only permanent head coaches should be reported in the data collection system. There may be time periods in which the institution reports no head coach for a sport.

Question No. 5: If a sport had co-head coaches, should both coaches' names be reported?

Answer: Yes. All head coaches should be reported. The data collection system will allow overlapping employment periods and the ability to enter multiple head coaches for an academic year for a sport.

Question No. 6: Will head coaches be able to view their employment dates and the team's single-year APRs?

Answer: Yes. Head coaches will have an opportunity to view their employment dates with the institution(s) and the team's single-year APRs, but not that of other coaches, prior to the public release. However, head coaches will not be able to make corrections to the data. All corrections regarding their employment dates must be submitted by the institution.

Question No. 7: Is there an appeals process available to the head coach if he or she wishes to appeal the team's APRs?

Answer: No. Coaches will have the opportunity to review employment dates; however, there will not be an opportunity to appeal the information reported in the APR portfolio. Such opportunities for appeals would have been available during the annual APP Data Collection Process (e.g., data corrections and adjustments).

Question No. 8: How will head coaches who are no longer employed at a Division I institution be notified of the opportunity to review their employment dates and APRs?

Answer: The NCAA will notify all coaches through their respective coaches' association and a public notice on the NCAA webite of their opportunity to review data. That notification will advise coaches who are not currently employed at an NCAA member institution, to fill out a form with their contact information and will receive log-in information.

Question No. 9: What does an institution need to do if the head coach listed in the data collection site appears correct but the name is misspelled?

Answer: The institution should report the misspelling by clicking on the button "Report Misspelling." The NCAA staff will review the request and make the necessary corrections to the head coach's name. An NCAA staff member will contact the individual making the request to notify them of the change.

Question No. 10: Is the employment start date the date the head coach signed the employment contract, or the date the coach began duties as a head coach?

Answer: The employment start date should be the date on which the coach started duties as a head coach.

Question No. 11: Is the employment end date the date on which the coach was no longer employed by the institution or the date on which the coach was no longer the head coach?

Answer: The employment end date is the date on which the coach was no longer the head coach of that sport.

Question No. 12: What if an institution does not submit any data or incomplete data for the head coaches?

Answer: Since this information is considered part of the APC data collection, if an institution fails to submit any data or submits incomplete data on its head coaches, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships.

Question No. 13: Will institutions be able to submit corrections to the data after submission of all APR/APC data?

Answer: Yes. Any corrections to the head coaches' employment data must be submitted during the institution's regular corrections period with any corrections to an institution's APR data. Institutions are permitted to request corrections to APC and APR data for any academic year, including academic years not included in the current multiyear APR calculation. Only institutions (not individuals) may request the corrections.

Question No. 14: Will the APR for head coaches be reported as an average for all years they were employed at the institution?

Answer: No. The APR reported will be the team's single-year APR for each academic year (August 1 through July 31) the head coach was employed at the institution.

Question No. 15: When will the head coaches' APR be reported publicly?

Answer: The head coaches' APR is currently available on the NCAA website and will be updated annually each spring.

Question No. 16: Does the institution need to submit any documentation (e.g., contracts, employment records) to the NCAA national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus for purposes of an APP Data Review.

Question No. 17: If an institution sponsors one or two sports at the Division I level, are they required to submit this data for those sports?

Answer: Yes. This data collection applies to its Division I teams even though the institution is a Division II or Division III institution.

Question No. 18: If an institution used to sponsor a sport and dropped it or transitioned it to another division, are they required to submit this data for those sports?

Answer: Yes. Institutions will be asked to provide the information for each of the years in which the sport was an active Division I team. If the sport was dropped or transitioned prior to the 2003-04 academic year, the institution will not be required to provide the information for that year. However, if the APR from an academic year for the team is not reported as part of the institution's APR report, it will not be included as part of the public release of this data.

Penalty Scenarios

The following scenarios are designed to assist institutions in understanding the progressive and cumulative nature of APP penalties.

Example One:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is above 930. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but team satisfies the improvement filter. The team is eligible for the improvement filter because it would have been subject to a Level-Two Penalty year. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but team receives an APP Penalty Waiver as well as a waiver of ineligibility for postseason. This qualifies as clean year number three. No penalty and team is reset to Level One in the penalty structure if it falls below the benchmark in the future.

Year 5: Team APR is below 930. Team is again subject to Level-One Penalty of a four-hour and one-day practice reduction in the playing and practice season. Because the team is back at Level-One Penalties it is not eligible for the improvement filter.

Example Two - Football Team:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is below 930 but satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two penalty year. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One and -Two Penalties, including a four-hour and one day practice reduction in the playing and practice season and elimination of spring football practice and the spring game.

Year 5: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three Penalties, including a four-hour and one-day practice reduction in the playing and practice season, and elimination of spring football practice and the spring game and additional penalties from the penalty menu.

Example Three – Basketball Team:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is below 930 but team satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two Penalty. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but team satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but team does not satisfy the improvement filter and is subject to Level-One and -Two Penalties, including a four-hour and one-day practice reduction in the playing and practice season and a 10-percent reduction in the number of basketball games (three games).

Year 5: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number one.

Year 6: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 7: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three penalties, including a four-hour and one-day practice reduction in the playing and practice season, a 10-percent reduction in the number of basketball games (three games) and several penalties from the penalty menu.

Year 8: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-Three Penalties again. Penalties will include a four-hour and one day practice reduction in the playing and practice season, a 10-percent reduction in the number of basketball games (three games) and several penalties from the penalty menu. It is likely that the penalties selected from the menu of options will be more severe.

Frequently Asked Questions on Practice Penalty Application and Reporting Requirements

The following will assist institutions in ensuring the practice penalties are imposed correctly:

Question No. 1: When does the four-hour practice restriction apply?

Answer: The Level-One APP penalty practice restriction only applies during the period when the team is subject to the 20 hour per week limitation. The Level-Two APP penalty practice restriction applies during the period when the team is subject to the eight hour per week limitation.

Question No. 2: Do the hour or additional day off restrictions apply when there are no daily and weekly hour limits per the bylaws (e.g., vacation periods)?

Answer: 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.

Question No. 3: Do the hour and/or additional day off restrictions apply to practice and participation in conference and/or postseason championships?

Answer: 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 penalty.

Question No. 4: In the sport of basketball, does the additional day off restriction apply when a team is participating in three contests a week?

Answer: The exception to the one day off per week does not apply to the team's penalty. Therefore, a basketball team subject to the day off as part of its APP penalties must take that day off during a week in which the team participates in three contests.

Question No. 5: In the sport of basketball, how does Bylaw 17.1.6.4.7 affect a team subject to the additional day off penalty?

Answer: If the institution uses the legislated exception for the day off per week requirement when it has three contests in the same week, the following requirements apply:

1. The team will not impose the additional day off penalty during the week the team satisfies the condition of the legislated exception (i.e., the week it does not engage in any countable athletically related activities for two days) and

2. The team will replace the four hours of missed practice time for one of those two days with approved academic support activities that must be completed on the same day.

Question No. 6: 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 APP penalty?

Answer: 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:

Question No. 1: What are acceptable academic activities?

Answer: The following activities are acceptable academic activities:

1. Study hall.

2. Tutoring.

3. Meeting with academic support personnel.

4. Meeting with departmental academic advisor.

5. Meeting with professor.

6. Meeting with formal study group.

7. Meeting with informal study group.

8. Faculty mentoring.

9. Peer mentoring.

10. Meeting with career counselor.

11. Career development seminar.

12. Life skills development session.

13. Campus seminars.

14. Supplemental instruction session.

15. Study skills seminars.

The following activities would **NOT** be considered acceptable academic activities:

1. Meeting with coaches in their offices to study.

2. Academic activity while traveling (e.g., on a bus, plane, at hotel).

3. Academic meetings with coaches.

4. Community service with athletics team/department.

5. Promotional activities.

6. Hosting recruits for official or unofficial visits.

7. Team meetings (not related to academics).

Question No. 2: Does the institution have to document the academic activities for student-athletes who are not in the APR cohort?

Answer: No.

Question No. 3: Do all student-athletes on the penalized team have to complete the same academic activity?

Answer: No, institutions can determine what academic activities are most appropriate for each student-athlete on the penalized team. But all

student-athletes in the team's cohort must participate in some academic activity to replace the practice time. This must be documented.

Question No. 4: Should the academic activities be related to the elements included in the team's/institution's APR Improvement Plans?

Answer: It is not necessary that the activities be specifically related to the issues identified within the APR Improvement Plan, however, this is encouraged.

Question No. 5: 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)?

Answer: No. Practice penalties are team penalties. 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. The institution does not have the discretion to excuse high performing student-athletes from the required academic activities. As stated above, all team members do not have to participate in the same academic activities. However, every student-athlete on the penalized team is required to participate in monitored academic activities. This participation should be logged to demonstrate that the penalty was taken as prescribed. *(Revised: October 2009; October 2010)*

Question No. 6: Who is responsible for monitoring the academic activity?

Answer: Each institution must designate the staff member(s) responsible for monitoring the activities. All team members' time must be monitored and recorded so that it can be reported back to the staff. *(Revised: October 2010)*

<u>The following outlines the reporting requirements for APP penalties</u>:

Question No. 1: When does an institution have to report how the team applied the penalty?

Answer: All materials must be submitted to the NCAA national office not later than August 1 following the academic year in which the penalty was applied. For example, teams applying the penalty during the 2012-13 academic year must submit an electronic report to the Committee on Academic Performance not later than August 1, 2013.

Question No. 2: May an institution provide a squad list to document that a financial aid penalty was imposed?

Answer: The institution may submit a squad list. Squad lists submitted to document appropriate application of financial aid penalties must include all required signatures. *(Adopted: October 2009)*

Question No. 3: What will an institution have to report regarding the academic activities the team participated in place of practice time?

Answer: The institution will need to include a narrative completed by a person who works with academic support for student-athletes. The narrative must describe the academic activities the student-athletes on the team participated in to replace the reduced practice. The narrative should demonstrate how all student-athletes used the added academic time, even if all student-athletes did not participate in the same activities. The institution should also include logs of student-athletes participating in the academic activities.

Question No. 4: How will an institution report reductions in playing and practice time, seasons of competition and nonchampionship segments of the team's playing and practice season?

Answer: The institution will need to include practice logs, a record of the team's completed schedule to indicate these penalty elements were taken appropriately.

Question No. 5: What if a team does not impose all or part of the penalty?

Answer: The institution shall report a violation to the NCAA enforcement staff.

[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) and 23.2.1.2.2 (financial aid, playing and practice seasons and recruiting limitations)]

APPENDIX M

NCAA Division I Committee on Academic Performance
Academic Performance Program
Access to Postseason and Penalty Waiver Directive

Background.

The central purpose of the 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 multiyear APR, falls below 930, that team becomes ineligible for postseason competition and is subject to penalties. The NCAA Division I Committee on Academic Performance has established a transition period in which the APP penalty benchmark will be 900 for penalties taken in 2012-13 and 2013-14 (i.e., directive is effective immediately for review of waivers submitted in 2011-12). In addition, filters are applied to teams' data to account for improvement and resources in the penalty calculation. NCAA Bylaws 18.4.2.3.1, 23.2.2.3 and 23.3 provide for waivers of APP penalties or access to postseason competition. The committee 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.

Guiding Principles.

1. Requests to waive ineligibility for postseason and APP Level One, Two and Three penalties will be considered independently. The requests are filed simultaneously, but the access to postseason competition and APP penalties have different standards for relief.

2. APP penalty and postseason waiver requests involve a review of the entire athletics team's overall academic performance. The APR is a team rate and not based on the academic performance of a single student-athlete. Therefore, the review of waiver requests shall consider all student-athletes included in the team's multiyear APR. This approach considers the loss of all APR points, not just those of select students. This approach could be referred to as the "top-down approach" (e.g., start at an APR of 1000 and explain the loss of all points).

3. APR Improvement Plans are reviewed with the waiver request. Plans should be designed to assist teams in achieving APRs above the penalty benchmarks in a reasonable time by identifying and addressing issues impacting a team's APR with measurable goals, steps to achieve the stated goals and a timetable for implementation.

4. The identification of academically under-performing teams that are subject to an APP penalty includes consideration of resource level and squad size. Therefore, the staff/subcommittee/committee will generally not consider these elements in its review of APP penalty waiver or loss of access to postseason waiver requests.

Waivers of Ineligibility for Postseason Competition.

1. First Occasion Team is Ineligible for Postseason Competition. Institutions are permitted to submit a waiver request the first occasion a team is subject to postseason competition ineligibility. The committee has established a high threshold for relief in these cases and generally relief will not be provided.

- Factors to be Considered. The staff/subcommittee will consider the following factors in reviewing such a request:

  (1) Extraordinary Mitigating Circumstances. The institution's cited mitigation must be clearly out of the control of the institution, the athletics department and the team's student-athletes. It must pertain to matters not previously addressed in the APP (e.g., small squad size, institutional mission). Finally it must have impacted the team over the multiple years that make up the four-year APR. An example of mitigation that would be considered extraordinary is a natural disaster that impact a team's APR over multiple years. An example of mitigation that would not be considered extraordinary would be head coaching change, significant leadership change at the institution, or institutional reclassification.

  (2) APR Improvement Plan. An institution's commitment to improving the penalized team's academic performance as outlined in the APR Improvement Plan must be considered in reviewing a waiver requesting relief from postseason competition ineligibility. Plans will be reviewed for focus on critical areas impacting academic success as well as other components demonstrating the institution's accountability toward meeting the stated goals of the APP (e.g., graduating student-athletes).

  (3) Academic Factors. A waiver request must include a comprehensive review of the team's historical academic trends to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly event (see the list on Page No. 4). Trending will also be evaluated to determine if the team is making progress with respect to the penalty benchmark.

(4) Alternative Penalty Options. An institution may request that an alternative penalty be imposed in lieu of postseason ineligibility. The institution must include an explanation of how the alternate penalty equates to a loss of postseason access.

2. Second Occasion Team is subject to Loss of Postseason Competition. Institutions are permitted to request a waiver of a team's loss of access to postseason competition.

- Factors to be Considered. The second or subsequent time a team loses access to postseason competition, the staff/subcommittee/committee will review the request using the same factors used in considering an APP penalty waiver (see Page Nos. 4 – 7 for more information). If a team has demonstrated meaningful improvement and some of the factors in item 3-b below are present, the level of mitigation required to receive relief may be less stringent than what is required the first occasion a team was ineligible for postseason competition.

3. Notes on Outcomes. A loss of access to postseason competition waiver request will be approved, conditionally approved or denied.

a. First occasion loss of access to postseason waiver requests should be denied if the institution cannot demonstrate extraordinary mitigating circumstances as described on Page No. 2. Other factors listed in item number one above will be examined, but absent extraordinary mitigation are not likely to result in an approval.

b. Second and subsequent waivers of loss of access to postseason competition should be denied if the institution cannot demonstrate:

(1) Significant academic improvement that is sustainable;

(2) Mitigating circumstances as defined on Page No. 7;

(3) An APR Improvement Plan that demonstrates the institution's commitment to improving the team's academic performance by identifying critical issues that have impacted the team's APR and addressing those issues with clear steps and measurable goals; and

(4) An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time.

APP Penalty Waivers.

Institutions are permitted to request a waiver of a team's APP penalties. The staff/subcommittee/committee will consider the following factors in reviewing such a request:

1. Academic Factors. Evaluating a team's academic performance is an important part of the APP penalty waiver process. The staff/subcommittee/committee's review of a team's academic performance may include consideration of the following elements:

    a. A comprehensive review of the team's historical APP performance, including any penalty history and academic trends to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly event. Trending will also be evaluated to determine if the team is making sustainable progress toward the penalty benchmark.

    b. The team's Graduation Success Rate and Federal Graduation Rate, if available.

    c. Eligibility and Retention. The team's eligibility and retention will be compared against the following:

        (1) All other Division I teams in the same sport.

        (2) The institution's teams.

    d. The team's academic profile including hours earned, grade-point average, eligibility and retention points.

    e. The 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.

    f. The number of graduates the team has generated over the four years that make up the multiyear rate.

    g. The number of student-athletes who were not academically eligible and not retained included in the multiyear APR.

    h. Other academic data elements that may be relevant to the case.

2. Other Factors. The staff/subcommittee/committee's review of a team's academic performance may also include consideration of the following elements:

   a. Size of variance between the team's APR and the applicable APP penalty benchmark (930).

   b. The team's single-year APRs that comprise the multiyear rate. Specifically, the number of single-year APRs above or below the penalty benchmarks (930).

   c. The institution's history of implementation of its APR Improvement Plan as well as the current plan's ability to address critical issues.

   d. Mitigating circumstances that have affected the team's APR (see below).

   e. An institution may request that an alternative penalty be imposed in lieu of the assigned APP penalty or a penalty option from the menu offered at Level Three. Should an institution offer an alternative penalty, the staff/committee/subcommittee would consider the various factors as well as the alternate penalty in the decision. The institution must demonstrate how the alternate penalty equates to the penalty it would replace.

   f. Teams asserting that they have advanced in the penalty structure due to corrections to APP data identified in an APP data review must demonstrate that the current penalty is due to a lost opportunity for the institution to identify academic issues impacting the teams academic performance; to develop an appropriate APR Improvement Plan and to have an opportunity to rectify academic issues. If the institution can demonstrate this lost opportunity to identify and correct academic issues affecting the team's academic performance the staff and/or subcommittee/committee may consider this a mitigating circumstance warranting relief from a penalty, however all such requests will be reviewed on a case-by-case basis to allow for other factors to be reviewed as well.

3. Mitigating Circumstances. 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 supported by objective documentation. The institution may reference mitigation that was considered in a previous waiver request if the impact of the mitigation is evidenced in the current APR. 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.

Circumstances not considered compelling mitigation 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;

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; or

e. Circumstances 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.

Institutions are limited to submitting information concerning mitigating circumstances only for the academic years used to calculate that team's current multiyear APR. However, the staff, subcommittee and committee reserve the right to consider any relevant information that would explain the team's historical performance.

4. Level-Three Penalty Options. An institution with a team subject to Level-Three Penalties must self-impose penalties from a list of menu options. These penalties are in addition to the prescribed penalties. The institution may also elect to request an alternative penalty be imposed. The staff/committee will consider the institution's self-imposed penalty elements in the waiver decision. The staff/committee can also prescribe additional penalties for the team.

5. Notes on Outcomes. An APP penalty waiver request will be partially or fully approved or conditionally approved, or denied. Requests will likely be denied if the institution cannot demonstrate:

a. Significant academic improvement that is sustainable; OR

b. The team is performing well academically but for one or more years of APP data impacted by compelling, documented mitigating circumstances;

c. An APR Improvement Plan that demonstrates the institution's commitment to improving the team's academic performance by identifying critical issues that have impacted the team's APR and addressing those issues with clear steps and measurable goals;

d. An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time; and

e. Appropriate self-imposed penalties at Level Three.

Use of Conditional Approvals.

Waivers of APP penalties and ineligibility for postseason competition may receive conditional approval. A waiver that is conditionally approved does not waive the team's penalty unless the team satisfies the stated condition(s). These conditions may include, but are not limited to:

1. Acceptable implementation of the institution's written APR Improvement Plan;

2. Attendance at mandatory educational sessions;

3. Meeting or maintaining single-year eligibility and retention goals and/or, meeting or maintaining a specified single-year APR without the inclusion of delayed-graduation points;

4. Requiring the institution to implement certain elements of its APR Improvement Plan determined to be "critical" to improved academic performance;

5. Requiring the institution to demonstrate it has satisfied its commitment of resources to enhance academic support initiatives that are part of the institution's APR Improvement Plan or cited in its APP penalty waiver/hearing rationale;

6. Requiring the institution to impose limits, restrictions or penalties that are part of its APR Improvement Plan or cited in its waiver/hearing rationale (e.g., withhold a head coach from contests);

7. Requiring an institution to use the NCAA Facilitating Learning and Achieving Graduation/Graduation Risk Overview program; and

8. Requiring an institution comply with identified minimal academic profiles for entering student-athletes that are part of its APR Improvement Plan or its waiver/hearing rationale. *(Revised: 10/2008;10/2010)*

An institution/team that fails to meet the stated condition(s) by the given timeframe shall have the waiver decision converted to a denial and the APP penalty must be applied to the team. The institution must impose the applicable penalty within the prescribed period of time.

Review of Conditionally Approved Penalty Waivers.

At some point established by the committee, such as the start of the academic year following the year in which the waiver was conditionally approved, the staff verifies that all established conditions were met (e.g., single-year APR, acceptable implementation of APR Improvement Plan). If the staff concludes that the team has not satisfied the condition(s) of the penalty waiver, the subcommittee and staff may consider mitigating circumstances presented by the institution. Such reviews shall occur on a case-by-case basis, and shall include consideration of any mitigation for the team's failure to reach the target APR, as well as the totality of the team's circumstances with regard to the imposed conditions. In such cases, the staff will review factors including improvement in the single-year and multiyear APR, how close the team came to meeting the target and mitigating circumstances. This action does not change an institution's opportunity to explain why it failed to meet the condition(s) or to appeal a decision by the staff to the subcommittee. The subcommittee will hear such appeals via teleconference. The subcommittee's decision is final.

Finally, if it is determined that a conditional waiver is not satisfied and the waiver is denied, the institution must impose the resulting penalties in the time period prescribed by the committee, but generally the academic year following denial of the appeal or, if there was no appeal, following determination that the conditions were not met (e.g., determined condition was not met in 2011-12 results in the imposition of the penalties in 2012-13).

If the team is subject to a penalty in the next academic year, the team is potentially subject to the penalty level that was conditionally waived and the next penalty level if it fails to meet the conditions of the waived penalty.

APR Improvement Plans.

APR Improvement Plans are meant to encourage institutions that have a team with an APR below 930 to implement strategies 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 930 in a reasonable period of time. Therefore, APR Improvement Plans submitted with a waiver will be reviewed as follows:

1. Institutions/teams will be accountable for identifying issues impacting the penalized team's ability to move its APR above the established penalty benchmark. The following shall be addressed:

    a. Identify any 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.

    b. Identify specific target APR goals for the team(s) for the current academic year that will assist the team in meeting the 930 benchmark in a reasonable period of time.

    c. Identify all steps the institution has taken toward implementation of any previous APR Improvement Plan and progress toward the measurable goals.

2. If an institution fails to create and submit an acceptable APR Improvement Plan, as defined by the committee, there is a presumption that any penalty waiver request will be denied.

Frequently Asked Questions on APR Improvement Plans

Question No. 1: When do I have to file an Improvement Plan with the NCAA National Office?

Answer: An institution is required to file an improvement plan if a team's APR is below 930, if the institution is requesting a penalty waiver, or if the institution is requesting NCAA Supplemental Support Fund.

Question No. 2: Do I need to submit a plan to the NCAA if a team's APR score is below a 930 but higher than a 900?

Answer: If a team's APR score is between a 930 and a 900, the institution is required to submit an improvement plan to the NCAA national office by the date determined by the committee and NCAA staff. Previously, institutions with teams below 925 and above 900 were required to keep the plan on file on campus. This policy change requires teams with a multiyear APR below 930 to file its APR Improvement Plan with the NCAA staff.

Question No. 3: Do I need to submit an APR Improvement Plan if the team is eligible to use the squad size adjustment?

Answer: It depends. If the team's APR is below 930 WITH the squad size adjustment, that team IS REQUIRED to submit an APR Improvement Plan with the NCAA staff. If the team's score is above 930 WITH the squad size adjustment, the team IS NOT required to submit an APR Improvement Plan.

Question No. 4: If my institution is requesting supplemental support funds, do I need to submit my improvement plan to the NCAA national office?

Answer: Yes, if your institution is requesting supplemental support funds your institution is required to submit an improvement plan.

Question No. 5: Is a data analysis required for improvement plan submission?

Answer: Yes, institutions must provide a meaningful analysis of the team(s)'s most current APR data. The expectation is that an institution will complete a thorough data analysis before the creation of the improvement plan. Plans must include an assessment and evaluation of the academic admissions profiles and academic outcomes for all student-athletes on teams with a multiyear APR below 930. The plan must include any initiatives (e.g., changes to the entering profile) based on this evaluation.

REPORT OF THE NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE SUBCOMMITTEE ON DATA COLLECTION AND REPORTING APRIL 17, 2012, TELECONFERENCE

ACTION ITEMS.

1. Legislative Items.

- None.

2. Nonlegislative Items.

- **NCAA Academic Performance Program Data and Penalty Reports for 2012-13.**

  (1) Recommendation. The NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting recommends the NCAA Division I Committee on Academic Performance approve the institutional and public NCAA Division I Academic Progress Rate (APR) and penalty reports to be used during the 2012-13 academic year. [Attachments]

  (2) Effective Date. Immediate for use during the 2012-13 academic year.

  (3) Rationale. Each year, the NCAA Academic Performance Program (APP) data and penalty reports are updated to reflect changes in data collection and/or the penalty structure. The reports are intended to provide institutions with their teams' APR and a summary of the teams subject to penalties and postseason ineligibility.

  (4) Estimated Budget Impact. None.

  (5) Student-Athlete Impact. None.

INFORMATIONAL ITEMS.

1. Definition of Graduation within the Academic Performance Program. The subcommittee reviewed a situation at a member institution with student-athletes who complete all requirements for graduation after a summer term but do not officially graduate until the following winter because the institution does not have a summer commencement. The subcommittee was asked to determine whether or not such student-athletes should be considered graduates after the spring term for the purposes of the APR.

The current definition of graduation, as found in the APP Data Collection Guide, states: "A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated."

Under this current definition, an institution would not be permitted to mark a student-athlete as graduated for the previous spring-retention point because the institution does not officially consider these student-athletes as graduated until the degree is conferred. The institution would also not be permitted to award the eligibility point for the spring term if the student-athlete in this situation has completed 10 semesters or 15 quarters as a full-time student. The subcommittee agreed not to change the current definition of graduation and noted that institutions who lose APR points for such student-athletes may request relief for any lost points through the APR adjustment process since such circumstances are outside the control of the student-athlete. An institution would need to provide documentation of its policy regarding certifying graduation and verification that the student-athlete has completed all academic and administrative requirements for graduation.

2. Update on APP Data Reviews. The subcommittee received an update on the progress of the 41 institutions that have been selected for APP data reviews for this year.

Subcommittee Chair: David Jamison, Robert Morris University, Northeast Conference
Staff Liaisons: Binh T. Nguyen, Academic and Membership Affairs
Andy Louthain, Academic and Membership Affairs

April 17, 2012	
Attendees	Absentees
Jerry Bovee, Weber State University	Greg Sankey, Southeastern Conference
Michael Cross, Bradley University	
Kenneth Ferguson, University of Missouri, Kansas City	
Barbara Luebke, University of Rhode Island	
Other Participants Greg Dana, Maria DeJulio	

2011-12 NCAA Division I Academic Progress Rate
Institutional Report

Institution: _____ **Date of Report**: _____

This report is based on NCAA Division I Academic Progress Rate (APR) data submitted by the institution for the 2008-09, 2009-10, 2010-11 and 2011-12 academic years. The multiyear and 2011-12 single-year rates will be reported publicly in 2013. Institutions are encouraged to forward this report to appropriate institutional personnel on campus. *[Note: All information contained in this report is for four academic years. Some squads may still have small sample sizes within certain sport groups. In accordance with the Family Educational Rights and Privacy Act's (FERPA's) interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report for cells made up of three or fewer students without student consent.]*

Sport	*APR*			*Eligibility/Graduation*		*Retention*	
	Multiyear Rate (N)	**Multiyear Rate Upper Confidence Boundary**	**2011-12 (N)**	**Multiyear Rate**	**2011-12 (N)**	**Multiyear Rate**	**2011-12 (N)**
M Baseball	000 (N)	000	000 (N)	000	000	000	000
M Basketball	000 (N)	000	000 (N)	000	000	000	000
M Football	000 (N)	000	000 (N)	000	000	000	000
M Golf	000 (N)	000	000 (N)	000	000	000	000
M Swimming	000 (N)	000	000 (N)	000	000	000	000
M Tennis	000 (N)	000	000 (N)	000	000	000	000
M Indoor Track and Field	000 (N)	000	000 (N)	000	000	000	000
M Outdoor Track and Field	000 (N)	000	000 (N)	000	000	000	000
W Basketball	000 (N)	000	000 (N)	000	000	000	000
W Golf	000 (N)	000	000 (N)	000	000	000	000
W Gymnastics	000 (N)	000	000 (N)	000	000	000	000
W Softball	000 (N)	000	000 (N)	000	000	000	000
W Soccer	000 (N)	000	000 (N)	000	000	000	000
W Swimming	000 (N)	000	000 (N)	000	000	000	000
W Tennis	000 (N)	000	000 (N)	000	000	000	000
W Indoor Track	000 (N)	000	000 (N)	000	000	000	000
W Outdoor Track	000 (N)	000	000 (N)	000	000	000	000

* Denotes data representing three or fewer student-athletes. In accordance with FERPA's interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report in cells made up of three or fewer students without student consent.
N/A = No APR or not applicable.
N = Number of student-athletes represented.
1 Denotes APR that does not subject the team to ineligibility for postseason competition based on resource level and the team's Graduation Success Rate.
2 Denotes APR that does not subject the team to ineligibility for postseason competition due to the team's demonstrated academic improvement.
3 Denotes APR that does not subject the team to ineligibility for postseason competition due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to ineligibility for postseason competition. Squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
4 Denotes APR that does not subject the team to penalties due to the team's demonstrated academic improvement.
5 Denotes APR that does not subject the team to penalties due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to penalties. The squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
6 Denotes APR based on a one year cohort, not subject to ineligibility for postseason competition and/or any penalties.
7 Denotes APR based on a two year cohort, not subject to ineligibility for postseason competition and/or any penalties.

DRAFT

2011-12 NCAA Division I Academic Progress Rate
Public Report

Institution: _____ **Date of Report:** _____

This report is based on NCAA Division I Academic Progress Rate (APR) data submitted by the institution for the 2008-09, 2009-10, 2010-11 and 2011-12 academic years. *[Note: All information contained in this report is for four academic years. Some squads may still have small sample sizes within certain sport groups. In accordance with the Family Educational Rights and Privacy Act's (FERPA's) interpretation of federal privacy regulations, data cells containing three or fewer student-athletes have been suppressed and are indicated by an * symbol.]*

The following chart represents by-sport APR averages for noted subgroups.

	Multiyear APR	2011-12 APR	Percentile Rank within Sport	Percentile Rank within All Sports	All Division I	Public Institutions	Private Institutions	Football Bowl Subdivision	Football Championship Subdivision	Division I (Non-Football)
	By Sport – Men's									
Baseball (N)										
Basketball (N)										
Football (N)										
Ice Hockey (N)										
	By Sport – Women's									
Lacrosse (N)										
Softball (N)										
Volleyball (N)										
	By Sport – Co-Ed									
Rifle (N)										

* Denotes data representing three or fewer student-athletes. In accordance with FERPA's interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report in cells made up of three or fewer students without student consent.
N/A = No APR or not applicable.
N = Number of student-athletes represented.
1 Denotes APR that does not subject the team to ineligibility for postseason competition based on resource level and the team's Graduation Success Rate.
2 Denotes APR that does not subject the team to ineligibility for postseason competition due to the team's demonstrated academic improvement.
3 Denotes APR that does not subject the team to ineligibility for postseason competition due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to ineligibility for postseason competition. Squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
4 Denotes APR that does not subject the team to penalties due to the team's demonstrated academic improvement.
5 Denotes APR that does not subject the team to penalties due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to penalties. The squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
6 Denotes APR based on a one year cohort, not subject to ineligibility for postseason competition and/or any penalties.
7 Denotes APR based on a two year cohort, not subject to ineligibility for postseason competition and/or any penalties.

2011-12 NCAA DIVISION I ACADEMIC PERFORMANCE PROGRAM
SUMMARY OF PENALTIES

Institution: **State University** **Date of Report:** **05/01/2013**

Access to Postseason Competition for the 2013 - 14 Academic Year

The following teams at your institution are ineligible for postseason competition. The information contained in this summary is subject to change based on the outcome of any NCAA Division I Academic Progress Rate (APR) adjustments and/or waivers of penalties.

Men's Basketball	Women's Tennis

Summary of Penalties for the 2013 - 14 Academic Year

This report provides a summary of the teams identified at your institution that are subject to Level-One, Level-Two or Level-Three penalties. The penalty structure has a cumulative effect that continues to apply each year as a team progresses through the structure. Each year a team fails to meet the NCAA Division I Academic Perforamnce Program (APP) requirements, another level of penalties will be added. The information contained in this summary is subject to change based on the outcome of any APR adjustments and/or waivers of penalties.

SPORT	MULTIYEAR APR	PENALTY LEVEL	PENALTY – LEVEL-ONE	PENALTY – LEVEL-TWO	PENALTY – LEVEL-THREE
Baseball, Men's	875	Level-One	In season: Limited to five days and 16 hours of countable activity per week.		
Basketball, Men's	838	Level-Three	In season: Limited to five days and 16 hours of countable activity per week.	Out of season: Limited to four hours of countable activity per week. Ten percent reduction in contests and length of season.	Awaiting institution response.

1 Specific information on the playing and practice season penalty may be located in the APP General Summary document located on the Reports tab within the APP data collection portal.
2 The team is also subject to a penalty that was previously conditionally waived; however, the team failed to meet the condition and the penalty must now be imposed.
3 Denotes that team is not subject to ineligibility for postseason competition based on resource level and the team`s Graduation Success Rate.
4 Denotes that team is not subject to ineligibility for postseason competition due to the team`s demonstrated academic improvement.
5 The team`s Level-One penalty has been waived.
6 The team`s Level-Two penalty has been waived.
7 The team`s Level-Three penalty has been waived.
8 The team`s Postseason ineligibility has been waived.
9 The institution's penalty waiver request is pending.

Supplement No. 8

Effective Date of Initial-Eligibility Legislation

Membership comments received as of April 10 regarding amending the effective date for the new initial-eligibility standards from 2015 to 2016.

Jennifer,

First thank you for allowing the membership the opportunity to proved feedback regarding the time-line for implementing the initial eligibility requirements. I have two concerns as it relates to the 10 core-course requirement by the start of their senior year.

1) How will this be applied in cases where the student has enrolled in high school course work during their 7th and 8th grade years? For example, I am noticing a trend that more and more students are enrolling in high school classes prior to the 9th grade. The high schools are applying these courses for graduation, therefore, I am concerned that high school guidance counselors will include these classes as part of the 10 core courses. Thus, this could potentially increase the amount of waivers from the membership.
This is due to the fact that the membership generally does not start evaluating transcripts until the prospects senior year (when they are allowed to make official visits). We need to clarify with high schools what counts in the 10 core courses, and also need to clarify 7th and 8th grade coursework. I am concerned that this will unfairly penalize students because they are actually to enhance their academics by taking classes earlier in their career. Therefore, we should consider allowing these classes to be included in the initial-eligibility certification process in some fashion.

2) How will the 10 courses be addressed for individuals with an educational impacting disability (learning difference)? As an individual who has an EID and is working on a doctorate degree in Educational Leadership Studies, and whose wife teaches special education I have a unique perspective on this issue. We cannot require this to be applied for students with diagnosed EID's. I would not have meant the 10-course requirement following my junior year in high school. The reason was due to the fact that I was enrolled in remedial (one-one-one instruction for English, math, and study skills during my first two years of high school). However, in order to prepare myself for college this was my only option as I needed to determine how my learning difference would impact my education for high school and beyond. Students in these situations have enough to worry about and adding this 10-core course requirement will put undue and unnecessary pressure on these students. As you aware, EID's effect students in various ways, and at least in my case, I wasn't fully "comfortable" with my EID or successful academically until my junior year of high school.

However, I went on to graduate high school with honors. I enrolled in college and played basketball as a walk-on at Western Carolina University. I earned my master's at West Virginia University (WVU) and I am working on my dissertation to complete my doctorate from (WVU). I can't imagine what would have happened to me if I was deemed a non-qualifier because I did not meet the 10 core course requirement. I feel before this 10-course requirement is applied we should thoroughly address this for EID students and make adjustments accordingly. This is a "slippery slope" if the rule is adopted as is without an exception for students with learning differences.

I hope this helps and thanks again for allowing us to provide feedback as it relates to the new initial eligibility requirements.

Chad Wall
Assistant Athletic Director

VCU Athletics
1200 West Broad Street
P.O. Box 843013
Richmond,VA 23284
(O): 804.828.7618 (F): 804.827.6215

VCUATHLETICS.COM

Diane and Jen,

You may have received feedback from the University of Oklahoma on this issue. However, we discussed this in our Executive staff meeting last week and I wanted you to know that we support the delay. However, I also wanted to communicate to you the fact that we support the increased requirements and in concept, we all feel the sooner implemented the better. Our concern only relates to the fact that we feel in principle, such a change should not impact PSAs who are currently in the system. The delay is reasonable in order to provide adequate time to properly educate all of the various constituencies upon whom PSAs depend for advice.

Thank you for the opportunity to respond and please contact me if you have any additional questions or concerns.

Best.

Connie Dillon
Faculty Athletics Representative
University of Oklahoma

Jen,

On behalf of our institution (and specifically Athletic Director Steve Pederson and FAR Dr. Susan Albrecht) we are writing to express our support in delaying the effective date for the new initial-eligibility legislation to August 1, 2016. In our immediate efforts to educate local high schools administrators on the enactment of the legislation, much of the negative feedback we received was not necessarily directed towards the changes, but more so the fact that the legislation impacted freshmen students already enrolled within a high school curriculum. The concerns related to this group are magnified in that there are specific requirements that must be met prior to the start of year 4 (which seemingly provides for an even shorter turnaround time for this group).

It seems appropriate to delay the legislation so that high schools have had a chance to become educated and familiar with the requirements of the new legislation prior to the enrollment of the first class for which it impacts. This may also decrease the amount of waivers the NCAA staff will have to review for the incoming class of 2015.

Hope you are well and I imagine I will bump into you somewhere this summer!

Thanks,
Dan

Dan Bartholomae
Associate Athletic Director/Compliance & Sport Services
University of Pittsburgh

Dave Blank,

Thank you for your feedback.

Title: Director of Athletics,
Comment:
I would recommend that careful consideration be given to the timing of the implementation of this new policy. High schools should be given ample notice and all members will need some educational time to make sure the implementation is done in a manner that allows recruits to be properly educated and prepared for maximum ability to be eligible immediately.

Hi Jen,

EWU is in favor of delaying the implementation of the new initial eligibility requirements for the class graduating in 2016. This will allow us more time to educate the high schools on the upcoming changes, and doesn't affect the freshman class that is currently in school, who were not even aware that these changes were going to be made when they scheduled their courses. It could put them at an unfair disadvantage.

When we implement the new 2 year JUCO requirements, it doesn't affect the students already in school (the implementation begins for student enrolling in college Fall 2012). This has usually been the standard with other implementations of the initial eligibility requirements and should stay the same whether in high school or a junior college.

Thanks!

EASTERN WASHINGTON UNIVERSITY
start something big

Don Ross, Ph.D.
Associate Director of Athletics EWU Athletics
207 Physical Education Building Cheney, WA 99004 509.359.7436
dross@ewu.edu goeags.com

Hi Jennifer,

Iowa State University (ISU) would like to request that the increased initial eligibility standards are delayed from taking effect until 2016. ISU fears the membership did not have time to properly educated this year's high school freshmen.

Thank you,

Dustin M. Gray
Assistant Athletics Director for Compliance
Iowa State University

Diane,

Central Michigan University supports delaying the effective date for increased Division I initial-eligibility requirements until 2016.

While we have already begun educational outreach to local high schools, we do not feel that the information was explained to the high schools early enough to allow for proper planning for this freshmen class. By the time the new standards were announced, it was too late to change fall courses. We also noticed that some of the Michigan high schools did not hear about the new standards until our staff spoke at the MIAAA Conference last month. By that point, these prospects had two semesters of coursework that were not scheduled with the new standards in mind.

Thank you for allowing us to provide feedback on this changes.

Elise Paulson

Elise Paulson
Compliance Coordinator
Central Michigan University | Intercollegiate Athletics

Glada Horvat,

Thank you for your feedback.

Title: Senior Associate Athletic Director,
Comment:
I believe the implementation of the new requirements should be effective for the class that begins in Fall 2016. This will keep from penalizing 9th graders who started the year without the knowledge of increased standards. Everyone is starts high school this fall can be held to the new standards and make their academic decisions accordingly. It is a fair thing to do.

Good afternoon, Diane:
I wanted to inform you of the Big Sky Conference's support of delaying implementation of the new initial-eligibility requirements until 2016. This will allow conferences and our member institutions to better educate our secondary schools, while will give future prospects a better understanding of the academic requirements for future NCAA participation.

I have also instructed our institutions to voice their support of the delayed implementation.

Please let me know if you need anything further from me.

Thanks!
Jaynee

Jaynee Nadolski
Assistant Commissioner-Compliance/SWA
Big Sky Conference

Jim Hoffman,

Thank you for your feedback.

Title: Director of Compliance,
Comment:
From reading the article, it seems that the main focus of altering the rule may involve changing the effective date. I don't see any point to that--the effective date in place is perfect; it's far away enough so that PSA's well into their high school careers don't have to change their ways, and it's soon enough to be able to fix the academic issues which are present in some student-athletes. I am a bit concerned about the size of the jump in standards though. I'm sure the scale was arrived at after extensive research of the profiles of typical graduates as opposed to non-graduates, but I dread 2015 becoming the year where records are broken for number of signed PSA's whose NLI's are invalidated due to not being certified. The first year, whenever it is, will have a shock effect. The same happened when we went from 25/50/75 to 40/60/80 for continuing eligibility; in that first year, the jump from 25 to 40 percent after two years caught a lot of student-athletes off guard and necessitated a spike in summer school courses. (Some of my coaches were vocal in complaining that this rule change was ridiculous, unfair, discriminatory against student-athletes, and all kinds of negative things.) Then after a year we all accepted it, moved on, everybody exceeds 40 percent, and we looked back in amazement wondering how anybody could have ever missed the 25 percent benchmark and why the jump to 40 percent seemed so controversial.

To Whom it May Concern:

While I am generally in favor of the initial eligibility rule changes currently set to commence enforcement August 2015, I strongly believe delaying their implementation by one year until August 2016 is appropriate. While our coaching staffs and compliance staff are working hard to get the word out to secondary schools, more time is needed to ensure the message has truly been received and understood. Change is difficult for any organization, and it is especially difficult when the consequences are delayed, as is the case for secondary schools relative to these rules. Our staff finds that many public school districts are understaffed and overworked, and they are doing all they can to simply deal with the crises and daily tasks of immediate concern. We believe it is going to take some additional time for there to be a more thorough educational effort to be implemented, and to prevent potential prospective student-athletes who could otherwise succeed at our institution, from getting caught ineligible due to the system's failure to effectively structure their individual educational paths.

Thank you for soliciting and for listening to our feedback and concerns. Rest assured, we are working hard to prepare ourselves and our prospective students for these changes; we simply need more time to do it effectively.

Sincerely,
Joseph R. Castiglione

Joel,

Thank you for your feedback.

Title: McMullen,
Comment:
We have already begun educating high schools in our area about the new rule changes and their effective date. I believe that that the current implementation date will not be problematic for PSA's.

Hi Jen,

I received an email from Joey D suggesting that we should email you any comments regarding the possibility of delaying the effective date for the increased initial-eligibility requirements.

West Virginia University supports delaying the effective date until 2016. Current high school freshmen could be adversely impacted by an effective date of 2015 since the changes were adopted in Fall 2011 after their freshman year commenced. As a result, it's possible high school freshmen were not adequately prepared for the changes. In the event they weren't enrolled in the appropriate core courses at the time of the change, we could see an increase in waiver requests if the effective date is not changed. Delaying the effective date is reasonable to ensure that prospective student-athletes who will be impacted by the new rules have the opportunity to prepare for the increased standards.

If you would like to discuss this further, feel free to give me a call.

Thanks!

Keli

Keli Cunningham
Associate Athletics Director
West Virginia University

Kelly Webb,

Thank you for your feedback.

Title: Assistant Commissioner,
Comment:
The general consensus among our Conference compliance administrators and academic support personnel was that delaying the effective date for this legislation would be beneficial. Pushing the effective date back to 2016 would provide more time to educate the high school community. We want to ensure prospective student-athletes fully understand and correctly apply the new initial-eligibility requirements.

Jen and Diane:
The University of Texas is fully supportive of postponing the effective date of the increased initial eligibility standards legislation to be effective 8/1/16 instead of 8/1/15. We believe that it is in the best interest of the prospective student-athletes and institutions to enable sufficient time to educate. Currently, based on our conversations with our coaches, individuals at UIL and Texas High School Coaches Association information has not reached the prospective student-athletes that are current freshman. Allowing us the remainder of this year and summer to do an educational push with various coaches clinics, academic counselor associations, etc. we believe would help minimize the amount of waiver cases that might arise should we move forward with the current effective date.
Thank you in advance for consideration and please let us know if there is anything we can do to provide further feedback and/or assist in educational outreach.
Sincerely,

Lori Smith, CCEP
Assistant Athletics Director
Athletics Risk Management & Compliance Services
The University of Texas at Austin

Diane and Jennifer,

As requested by the Committee on Academic Performance, the University of Missouri wishes to express support to delay the effective date of the increased initial-eligibility requirements until 2016. We believe that to do so will reduce the potential for future waivers in 2015 based upon lack of knowledge or less time to fulfill the increased requirements than those entering college on or after August 1, 2016.

We know that there is a plan in place for sharing the new standards throughout the high school community. This will be a daunting task. If it hasn't already been considered, we also recommend that messaging on this matter be shared at summer certified events in men's and women's basketball.

Thank you for your work on this matter.

Sincerely,
Mitzi

Molly Sullivan,

Thank you for your feedback.

Title: Asst. AD Compliance,
Comment:
Loyola University, Chicago supports the delay in the effective date for the new initial eligibility requirements. We have concerns about the effectiveness of education by the NCAA to the high schools. If this task falls to the institutions it would be beneficial to have one more year to educate the high schools and their constituents. We are also concerned that with the adoption in October that high schools would have lost one semester, maybe even a year, in getting the 10 core courses in the first two years of high school enrollment. Our additional concern is that high schools that require theology classes will be at a disadvantage since those classes are not considered core courses.

Proposed NCAA changes : An unintended consequence?

Portia H. Shields, Ph.D.
President, Tennessee State University

When Bear Bryant fielded his first integrated football team in 1970 he changed the complexion and level of play throughout the southern United States. Recent legislative actions by the Division I Board of Directors and ongoing conversations by the NCAA, pose the threat of reversing racial progress not only in Division I sports for African Americans and other minorities, but college attendance for student athletes in general. Mission centered Colleges and Universities especially Historically Black Colleges and Universities(HBCU'S) and public access institutions will suffer the greatest loss but small colleges in most conferences and even big schools whose recruits apply with variable college preparation will be negatively impacted as well. And, the question is why this legislation now and how does it improve matters for the NCAA or for our institutions of higher learning?

Let's see what's proposed and then, the most likely consequence, intended or not.

Currently, the Division I governance structure is reviewing the concept of the Year of Academic Readiness. This concept would permit prospective student-athletes who are determined by NCAA not to be academic "qualifiers" the option of delaying the start of their athletic "eligibility clock" during the initial year of enrollment at a two-year college, which would allow them to engage in academic remediation. During their time at the two-year schools (five semesters minimum), students would also be expected to complete at least 48 semester hours of transferable credit, with a specified number of credits in English, Math and Science, earn a minimum 2.5 GPA and graduate. Never mind that while enrolled at the two-year college, these students, keen on getting their "game on" at four-year institutions, don't want to delay, but, that they would achieve the expected outcome is indeed a question to ponder. In other words, without intentional and personalized tutoring, counseling and

advising, which are difficult for colleges to provide, an unintended consequence is that they could just drop out. Moreover, some sad facts on community colleges militate against putting so much emphasis on them.

A recent review of two-year colleges showed, nationally, a 15% graduation rate in six years. In Texas 12% of African Americans graduated in six years. At one Dallas two-year college, 160 African Americans enrolled taking a full load. Six years later, seven of them had earned a degree, a few had transferred to technical college or four-year institutions, but 81% had dropped out. Graduation rates at four-year colleges, while not near where they should be nationally (57%), show that students who attend them are more than twice as likely as those who begin at a two-year college to earn a degree in six years. The rate for African Americans was 43% overall and for African American males, 33%. The more selective the schools, the better academically prepared students, including minorities do; but, also, the more selective the school, the fewer the number of

minorities eligible to enroll. Nevertheless, students who made just average grades and less than stellar test scores cannot be expected to measure up in academics against those whose parents make certain their children have the necessary resources and experiences including SAT prep. These almost ensure that students will adjust to the rigors of college life with relative ease.

So what is the alternative for students who want to begin D-I play? At Tennessee State University (TSU), all freshman students are invited to academic boot camp for four weeks right after high school graduation. Those who come take one core course, pick up technology, study and time management skills, and provide service to the community. In addition, they hear from speakers who made it against the odds, and academically successful TSU Students mentor them. At the end of the program, they are advised and receive their academic schedules before returning home for the remainder of the summer. Eighty-six percent of the boot campers returned in fall 2011 and the spring 2012 retention rate was 99%.

Additionally, at its October 2011 meeting, the Division-I Board of Directors revised academic requirements for entering freshman (enrolling on or after August 1, 2015) to be eligible for financial aid, practice and competition during the first academic year in residence. As part of this change, the Board established an "academic redshirt" standard, premised on an increased sliding GPA and test score scale. For example, A 2.3 GPA would require a 1080 SAT score to play, yet, a student with a 2.3GPA with 900 would practice and receive a scholarship, but not play. Which coaches could afford to "sit" scholarships on the bench and field competitive teams? The following was noted by NCAA when proposed: "these concepts represent a philosophical shift requiring demonstration of academic success in order for a student-athlete to compete in the initial year of enrollment." Under this "shift" into academic sinking sand as I see it, students at HBCUs and other small institutions would have to muster superior GPAs because at these schools, 75% of students, on average, scored lower scores than those that will be required in 2015. The majority of small school

athletes are the same students who spent time in high school play and practice, mainly in under-resourced schools and did not have the advantage of preparatory standardized assessment classes. An unintended consequence could be that these prospective student-athletes would not even try to go to college at all, since they would know they could not meet the new standards. If this standard didn't convince them, then the other concept that was also adopted in October, which requires the prospective student-athlete to complete all but 10 core courses by the start of their senior high school year, will certainly slow their ambitions down.

A quick review of the freshmen student-athletes at TSU in all sports reveals that, if the new rules were applicable today, although they meet Tennessee Board of Regents standards of eligibility, only 31 out of 50 student athletes would be eligible to compete immediately. Nineteen would be able to practice and receive aid only. Out of 21 freshmen football players only 9 would be eligible to play or practice and receive aid. Although minority serving institutions and small

D-I Colleges will be hardest hit, higher education options for the students who desire to attend these schools as well as those wanting to compete at larger institutions will diminish exponentially. And then, where will the students go and what will they do, with no hope of college and no dream to seek?

Now what GPAs did our boot campers bring from high school last summer? They started at 1.9 and went to 4.0, but at the end of the summer, 100% of the students passed the core course and 99% of them are still in college.

In addition, and as a result of the Division-I memberships' request to override Proposal No. 2011-96, the Division-I governance structure is currently exploring the concept of allowing institutions to provide student-athletes with miscellaneous grants up to $2,000. It is not clear what the miscellaneous grants would provide except enough dollars to price minority serving and small institutions out of the market or cause these institutions to get that money from students who don't play sports, in the form of fees. It would seem to

be a better plan to redirect some of the D-I money to assist small and minority serving institutions in providing bridge programs, additional counseling, advising and mentoring necessary to help student-athletes do better academically at both two and four year colleges. Perhaps, with sure funding from NCAA, boot camps would spring up around the country. At TSU, our full scholarship students receive tuition, room board and books. They volunteer to read to elementary children; they cut each other's hair and they study together, under the watchful eyes of coaches. They know that if they need some small things like ramen noodles, soap or a toothbrush, they can do what the rest of our students do; go to the Tiger Pantry, where these items are provided at no cost.

Now, it's important to raise standards. And I am convinced our students can meet them given the proper instruction and resources as TSU is experiencing these positive outcomes. Moreover, the state's recent Complete College Tennessee Act (CCTA) ties state funding to graduation rates. This wake-up call has all state

institutions creating strategies, evaluating results and implementing changes to meet the desired outcomes we know can be achieved for all students, including athletes. Without help though, raising requirements have little benefit but only serve to exclude. At TSU, some of the student-athletes would be able to meet the standards; others would not. But, taking a look at historical data, we find that the graduation rate of student-athletes at TSU is higher than that of the entire student body and most institutions across the country at 73%. Let's see why. First, they are required to study; they have to go to bed on time; they are constantly checked on as in, if "you skip class, you don't play"; they have a social network; and they belong to other campus organizations. Moreover, coaches follow up with faculty on each athlete's progress. Recently our football coach heaped praise on a biology professor, who tutors freshmen because all his freshmen players passed the class.

I believe the impact of these recently adopted proposals will virtually eliminate competitiveness among all small institutions, for

good athletes, as in, student-athletes who could meet the standards will attend a university capable of providing the proposed miscellaneous grants and more. And, why wouldn't they? The others will have to take their dreams elsewhere. As important, these legislative changes have the potential to destroy the image of minority serving and small D-I institutions at the same time. "If you're here, it must be because you could not get there". Is that the message NCAA and D-I wants to send? If so, they must be prepared for the consequence that the complexion of the game will change back to a re-segregated team structure. Is that the consequence intended? I certainly hope not. When I watch sports or attend games now, I contemplate how the new changes will alter not only college sports, but professional ranks too. But, the most important question about the majority of academic talent who don't have access to SAT training, private tutors, mentors or role models is, why deny them an opportunity? HBCU's stress this point: It's not how they look when they come in, but how they look when they leave for they know that the scores reflect experience related to

achievement more than academic quality and potential. If we deny the less than academically prepared students, whom I view as academic raw talent that has not yet been fully developed, an opportunity to succeed, we will find more and more minorities on street corners and perhaps, in our ever growing penal systems.

Bear Bryant was inspired to bring Black players to "Bama" by the need to succeed in football. For poor and minority youth, the reasons are the same. Students who are talented in sports stay in school and go to college for one purpose only: to succeed in life and, well, perhaps to join the NFL, NBA, or some other professional league, if that's possible. They should not be penalized for being of minority decent or born in families of lower socio-economic means, which thus far has translated into unequal educational opportunity in America. It's a mother's mantra: "Everyone won't get to the pros my son," she said, "but everyone can get a house and a good honest job if they go to college." To that mantra, the NCAA's response so far has signaled—"Just a minute, not so fast."

Shalini Shanker,

Thank you for your feedback.

Title: Assistant AD for Compliance,
Comment:
I do not think that it is necessary to delay the effective date for the new initial eligibility standards. Even if it is postponed, some students will fail to meet the standards so it is irrelevant if is is effective in 2015 or 2016.

California
Community College Counselors/
Advisors Academic Association for Athletics
3C4A.ORG

TO: President Mark Emmert, NCAA and President Walter Harrison, Chair Division I Committee on Academic Performance.

FROM: President Evans Roderick, California Community College Association of Academic Advisors/Counselors for Athletics (3C4A) on behalf of the entire 3C4A Membership

DATE: April 15, 2012

RE: Implementation of New Two-year College Transfer Requirements effective August 1, 2012 (Proposal Nos. 2011-69) Extension Request to August 1, 2013

The members of the California Community College Association of Academic Advisors/Counselors for Athletics (3C4A) are committed to the academic success and support of the student athletes on our campuses. We are in favor of academic reform within the NCAA and applaud their efforts to improve the 2-year college transfer graduation rates. However; we are humbly requesting the NCAA delay the implementation of the new academic transfer requirements by one year until August 1, 2013 for the following reasons:

1.) The original discussions included a year of "Academic Readiness" for the 2-year college student athlete (Proposal 2011-65), but this concept has now been tabled by the NCAA for further discussion; this was intended to be an avenue to prepare our students for the increased standards. We were hoping to have this year included with the new academic transfer requirements as part of a "packaged deal."
2.) Our current "gray-shirt" students who started in our 2-year colleges in 2011 were advised to stay under 12 units and not start their "clock," but now these students will be adversely effected and will be forced to meet these higher standards when they enroll fulltime next academic year.
3.) An extra year before implementation would help us inform incoming high school graduates of the higher standards; therefore allowing us to better prepare them for the next level.
4.) The NCAA has already moved the implementation of the new initial eligibility requirements for high school students from 2015 to 2016, so there is already a precedent for increasing the time for implementation.
5.) The current economic crisis in California and in the nation is making it harder for students to get the classes they need to graduate and transfer on, so an extra year of information prior to implementation would be academically benefit students to achieving their goal.

In summary, the 3C4A, on behalf of its 103 member institutions and 53 dues paying members, requests that the NCAA delay the implementation of Proposal Nos. 2011-69 to August 1, 2013. Please contact President Evans Roderick by phone at (626) 222-8058 or by e-mail at ERoderick@MtSAC.edu with any questions. We look forward to hearing from you.

Respectfully submitted,

President Evans Roderick and all members of the 3C4A

NCAA Staff Recommendations Regarding the White Case Settlement Former Student-Athlete Fund

Introduction.

During its January meeting the NCAA Executive Committee discussed a plan for the use of the residual funds left from the White Case Settlement over a three-year period. The committee approved the use of $3 million ($1 million per year) of the $8.8 million remaining funds to augment the NCAA Division I Supplemental Support Fund (SSF). The committee charged the NCAA staff with providing a recommendation of how much of the remaining $5.8 million should be allocated to limited-resourced institutions over the next three years and how the funds should be allocated. The committee also charged the staff with establishing metrics to measure the success of these funds being allocated to limited-resourced institutions.

The staff is recommending two proposals that would allocate the remaining $5.8 million to limited-resourced institutions over the next three years. These two proposals will provide an opportunity to assist all institutions defined as limited resourced.

Limited-Resource Institutions Pilot Program. (Attachment A)

This proposal allows limited-resourced institutions the opportunity to apply to participate in a program where significant funds would be allocated to assist these institutions in developing systems and enhancements to increase the academic performance of student-athletes attending these institutions. Detailed application and selection criteria have been created and metrics have been established to hold institutions accountable and to measure the success of the program over the three year period. It is estimated that $4.8 million will be used to administer this program over the three year period.

NCAA Division I Supplemental Support Fund Programming Initiative. (Attachment B)

This proposal allocates additional funds to the Division I SSF to be used by institutions to enhance specific programs that directly affect student-athletes. These funds would be in addition to the $3 million that was approved by the NCAA Division I Executive Committee in January. These funds would be administered through the SSF structure but would have additional reporting requirements to hold institutions accountable for the proper use of the funds and to better measure the success of the initiative. The staff is proposing an additional $1 million be allocated for this initiative.

The funding of these two proposals will provide additional funds to all institutions defined as limited resource. Each institution would have the opportunity to apply for the pilot program and those that are not accepted into the program will still have the opportunity to receive assistance to implement some of the initiatives that are included in the pilot program.

Limited-Resource Institutions Pilot Program

Objective.

Implement a three-year pilot program with an estimated five to nine NCAA Division I limited-resource institutions for the purpose of further developing systems and enhancements that assist each institution in meeting the requirements of the NCAA Division I Academic Performance Program (APP), including increasing the graduation rates and academic success of student-athletes. Money will be funded for the program for a three-year period; beyond the three-year period there is no guarantee additional funding will be available.

Outcomes.

The primary measurable outcome for institutions participating in the pilot program is NCAA Division I Academic Progress Rate (APR) improvement and the development of a sustainable plan to ensure all teams meet the 930 APR benchmark.

Other specific benchmarks and outcomes should be set based on the specifics of the institution's plan and situation. Examples include:

1. Progress in APRs for teams below the 930 benchmark.

2. Improved individual student-athlete performances (credits earned per term, grade-point average).

3. Improved APR retention of student-athletes.

4. Improved APR eligibility of student-athletes.

5. Improved single-year APR.

6. Sustained commitment and engagement from university chancellor or president, director of athletics (AD) and other key institutional administrators.

7. Implementation of APR improvement plan.

8. Increased real-time graduates.

9. Accountability for dollars spent – submission of accounting of all dollars and assessment of impact of dollars.

Selection of Institutions.

1. Institutions must submit an application to participate in the program. Applications must include the following:

a. Key contact information for institutional staff responsible for oversight of program.

b. Statement from the chancellor or president indicating involvement and support.

c. Penalty history for all teams, if any.

d. Infractions history, if any.

e. NCAA Division I Academic Performance Program Supplemental Support Fund (SSF) history, if any.

f. Historical overview of APRs and assessment of use of improvement plans.

g. How additional resources could assist the institution specifically in improving APRs and how the dollars would be allocated.

h. Development of comprehensive plan, including use of NCAA dollars that demonstrates plan for improvement. This shall include both short and long term goals.

i. Establishment of projected single-year targets that move teams from below the benchmark to above the benchmark.

j. Matching dollars put forward by institution to show building sustainability of program (e.g., Year One: institution commits 25 percent of NCAA dollars allocated, Year Two: institution commits 50 percent of dollars allocated, Year Three: institution commits 75 percent of dollars allocated).

2. The NCAA staff will add to the application each of the following:

a. Historical overview and assessment of APRs.

b. Historical overview of implementation of improvement plans including significant and critical elements of plan.

3. Applications will be reviewed by the NCAA staff to ensure completion of application and that basic requirements have been met. As part of staff review, staff will conduct a teleconference with the institution. Staff will prepare information for review by a membership group made up of approximately five identified NCAA Division I

Committee on Academic Performance and Limited-Resource Institution Advisory Group members. NCAA staff will provide support to this group which will be responsible for selecting the pilot schools.

4. Applications that are not complete will not be forwarded to the selection group.

Factors Considered in Selection of Institutions.

1. Demonstrated support and involvement of chancellor or president and AD in approving, oversight and implementation of the plan.

2. Involvement of head coaches of teams not meeting APR benchmarks.

3. Specific request for use of NCAA dollars and rationale demonstrating how such expenditures will meet the pilot program's objective.

4. Demonstration of sustainability beyond the pilot.

5. Review use of SSF dollars, if any, to date.

6. Demonstrated success in implementation of APR improvement plans to date.

7. School is not under major enforcement investigation or has a recent finding of lack of institutional control. Circumstances of finding of lack of institutional control and actions taken by institution will be considered.

8. Ability to match grant dollars during and beyond pilot program (inclusion of dollars allocated that were not previously allocated).

Defining Limited Resource for Purposes of the Pilot.

Bottom 10 percent based on current APP criteria. Football Bowl Subdivision institutions in bottom 10 percent will not be eligible for pilot program.

Components of Pilot Program.

1. Dollars will be awarded for a one-year period and will be renewed based on demonstration of meeting established benchmarks after first year. Intent will be to provide institutions with dollars for two years; however, institution must demonstrate

success during first year to continue to receive funds. Institution may receive a third year of funding if institution can demonstrate that a third year is warranted.

2. Grants will be awarded up to $300,000 per institution, annually.

3. Examples of possible uses of dollars:

   a. Summer bridge program.

   b. Summer school.

   c. Fifth year of aid.

   d. Staffing.

   e. Equipment.

   f. Facilities.

4. Requirements of program:

   a. Two campus visits by NCAA staff annually. Institutional staff members involved in visits include chancellor or president, AD, academic support personnel, individual responsible for APR, sampling of coaches, sampling of student-athletes. It is anticipated that one or two NCAA staff members would make campus visits.

   b. Attendance at December SSF workshop.

   c. Attend a meeting held at the NCAA Convention.

   d. Monthly conference calls with NCAA staff.

   e. Produce midyear update on implementation.

   f. Participate in available limited-resource educational opportunities.

   g. Attendance at other conferences based on institutional needs [e.g., Regional Rules Seminars, National Association of Academic Advisors for Athletics (N4A), etc.].

   h. Student-athlete involvement.

i. Educational component for staff and coaches.

5. Mandatory financial reporting:

a. Money is restricted and may only be used for explicit purposes as outlined in pilot program.

b. Institution will be required to submit quarterly financial statement.

c. Institution is subject to audit.

d. Annual financial report must be provided.

e. Plan for sustainability included.

Budget.

1. Staffing: TBD; approximately $125,000 per year for three years = $375,000.

2. Travel: Approximately $20,000 per year for three years = $60,000. Two NCAA staff per visit, two visits per school, estimated four schools in pilot each year, total of 16 trips.

3. Funds for institution: Approximately $900,000 per year for three years (2012-13, 2013-14 and 2014-15). Note: all travel for institutional staff members to attend meetings and other components of program would be funded through school allotment.

Timeline.

April 2012	Forward to Committee on Academic Performance, Limited-Resource Advisory Group and NCAA Division I Board of Directors for review.
August 2012	NCAA Executive Committee review.
September 2012	Open submission of applications.
November 2012	Review of applications by staff.
December 2012	Review of applications by subcommittee.
January 2013	First year of funding provided (funding will be provided in January 2013, 2014 and 2015).

The NCAA Division I Supplemental Support Fund Programming Initiative

Objective.

Enhance the NCAA Division I Supplemental Support Fund (SFF) with additional funding and additional opportunities to provide resources that will directly affect student-athletes. Currently, the SSF can only be used for professional development of staff and for major initiatives but cannot be used directly for student-athletes. This initiative would revise the SFF guidelines and provide more funding to allow institutions to continue professional development and programmatic initiatives as well as directly assisting student-athletes with academic needs.

Outcomes.

The primary outcome of this initiative is the increased academic performance of the student-athletes that were assisted through the initiative. Additional desired outcomes may include increased NCAA Division I Academic Progress Rates, increased graduation rates and increased financial commitments from institutional administrators (e.g., chancellor/president, director of athletics) to help support programs the institution ran with the money from this initiative.

Components of the Initiative.

This initiative would be administered through the current SSF program and institutions would apply for the additional dollars through that process. These funds would be administered under the following requirements:

a. The current administrative policies of the SSF will be revised to include the opportunity for institutions to request dollars to be used in the following programs:

    1. Summer bridge programs;

    2. Summer school funding; and

    3. Exhausted-eligibility scholarships (student-athletes who are currently enrolled as full-time students, have exhausted the permissible four seasons of competition and have not yet graduated).

b. Institutions using SSF dollars to fund these programs will be required to provide the following information as part of the application process:

    1. A description of which of the above-mentioned programs will be funded with the money;

2. The names of the student-athletes that will be given assistance through this program prior to using the funds;

3. A description of the expected outcomes from the programs funded by this money;

4. A description of how those outcomes will be measured by the institution; and

c. Institutions using SSF dollars to fund these programs will be required to provide the following information when reporting on the use of the money:

1. Documented evidence that the money provided for these specific programs was used for that purpose;

2. The academic performance data for the specific student-athletes that were provided assistance through this program;

3. Retention data for the specific student-athletes that were provided assistance through this program; and

4. If an institution is unable to provide evidence the money provided for these specific programs was used for that purpose the institution will not be permitted to apply for those funds for the next year.

Budget.

It is recommended that $1 million be allocated for the administration of this programming initiative. These dollars would be in addition to the $3 million that has already been allocated to the SSF from the White Case Settlement dollars. The amount would allow each institution to apply for and receive approximately $33,000 over a two year period.

NCAA Working Group on Collegiate Model – Rules
Bylaw 14 Update

Overview.

NCAA Working Group on Collegiate Model - Rules is currently engaged in a review of the association's regulatory structure. Specifically, the working group was charged with reducing the number of unenforceable or inconsequential rules (those that do not support the enduring values of the NCAA); and modify those that remain to emphasize the most strategically important matters. To accomplish its charge the working group has focused its review on two key areas:

1. Institutional commitments. Creating principles that are designed to articulate the priorities for the association. Further, all bylaws and future legislation will need to advance one or more of these commitments. (Attachment A)

2. Operating bylaws. Reviewing current legislation to determine if the bylaw is meaningful and of consequence (e.g., national significance, support one or more commitments), is it enforceable and does it further student-athlete success.

Timeline.

The review of each of the bylaws has been divided into two phases:

- Phase 1 (Part 1) – Review NCAA Division I Bylaws 11 (personnel), 13 (recruiting) and 16 (awards and benefits).

- Phase 1 (Part 2) – Review Bylaws 12 (amateurism) and 14 (eligibility).

- Phase 2 – Review Bylaws 15 (financial aid) and 17 (playing season).

The following is a list of anticipated next steps and the timing of those steps:

1. March 19 – April 20: Solicit and gather membership feedback on commitments and changes to Bylaws 11, 13 and 16.

2. April 2012: Provide NCAA Division I Board of Directors with progress report, review institutional commitments and membership feedback.

3. Spring and summer 2012: Continue to gather membership feedback.

4. October 2012 or January 2013: Board considers recommendations from working group.

Concepts Being Considered for Bylaw 14.

1. Create an academic success operating bylaw that focuses specifically on student-athlete and team academic success. This will emphasize the primacy of academics at an individual and institutional level. (Attachment B)

   - As part of an academic success operating bylaw the following changes are being considered:

     (1) Combine the bylaws that govern the NCAA Division I Academic Performance Program with those that regulate the academic performance of student-athletes; and

     (2) Remove from the academic success operating bylaw legislation that does not have a direct affect on a student-athlete's academic success. For example:

       (a) Legislation that requires the completion of various forms before a student-athlete is eligible for completion and practice (e.g., student-athlete statement, drug testing consent form). Although these forms may be necessary, they have little if any connection to the academic success of a student-athlete.

       (b) Legislation that governs the number of seasons of intercollegiate competition a student-athlete is permitted to use.

       (c) High school all-star games. Current legislation in Bylaw 14 limits the number of high school all-star games a prospective student-athlete is able to participate in for the sport of football and basketball.

       (d) Outside competition. Current legislation in Bylaw 14 restricts the participation of an enrolled student-athlete in competition while not representing the institution's intercollegiate athletics program.

2. Consider possible changes to the current legislation for four-year college transfers. Seek input from academic bodies and other groups within and outside of the association to determine if additional academic standards and/or other changes are appropriate to align these bylaws with academic based principles and enduing values of the association.

3. For those bylaws that remain in the academic success operating bylaw, eliminate legislation that is duplicative, inconsequential and/or unenforceable. The following examples are some of the bylaws identified for elimination:

   a. Bylaw 14.1.2.2 (high school review committee) and Bylaw 14.1.2.3 (student records review committee). These bylaws are duplicative of legislation that already exists in Bylaw 21.

   b. Bylaw 14.3.1.1.1.1 (submission of final transcripts). This bylaw requires the submission of final transcripts for those student-athletes that have been certified as a qualifier pursuant to the early academic certification exception. Thought leaders consider this as inconsequential since these student-athletes have already been determined to be academically prepared.

   c. Bylaw 14.4.3.1.7.1 (documentation of degree program designation) and portion of Bylaw 14.4.3.1.7 (designation of degree program) that prescribe how a student-athlete must document the designation of his or her degree. This legislation is not necessary since each institution has prescribed policies that regulate how a student must declare a degree.

4. Consider the appropriate role of the NCAA when investigating and resolving allegations of a violation of academic integrity by prospective and continuing student-athletes. Engage thought leaders from the membership and various groups within and outside of the governance structure to examine this issue and provide the working group with options for its consideration. It should be noted that this issue is linked to the work of the enforcement working group and on-going collaboration with that group is expected.

ATTACHMENT A
SUPPLEMENT NO. 10

NATIONAL COLLEGIATE ATHLETIC ASSOCIATION WORKING GROUP ON THE COLLEGIATE MODEL – RULES

NCAA CONSTITUTION (ARTICLE 2) INSTITUTIONAL COMMITMENTS

INTRO

- Currently entitled “Constitution, Article 2 - Principles for Conduct of Intercollegiate Athletics”
- Describes 16 different Principles “to which the members are committed.”
- Designed to articulate the priorities at the highest level and set the overall direction for the Association.
- Intentionally broad, as implementing detail is provided in supporting and specific bylaws.
- All bylaws in the Manual, and all future legislation, should advance one or more of these provisions.

INTRO

Recommended changes are designed to:

(1) more accurately capture the fundamental principles of the Collegiate Model,

(2) update arguably obsolete language, and

(3) streamline and simplify provisions in Constitution 2.

Note: Not all constitutional principles are being reviewed by this group but remain very important (e.g., diversity, gender equity, fiscal management).

CONSTITUTION, ARTICLE 2

ELEMENTS OF THE COLLEGIATE MODEL

2.1 ENACTMENT OF BYLAWS

Bylaws enacted by the Association's members governing the conduct of intercollegiate athletics shall be designed to advance the Collegiate Model, foster competition in amateur athletics and promote the Association's enduring values set forth in this Constitution. In some instances, a careful balancing of these values may be necessary to help achieve the purposes of the Association.

Note: This provision is derived from current Constitution 2.01 (General Principle).

2.1 ENACTMENT OF BYLAWS

Question:

- Does this make sufficiently clear that subsequent bylaw proposals need to support the NCAA's most basic principles and commitments?

2.2 THE COMMITMENT TO AMATEURISM

Member institutions shall conduct their athletics programs for students who participate as a part of their educational experience, thus maintaining a line of demarcation between student-athletes who choose to participate in the Collegiate Model from athletes competing in the professional model.

Note: This provision updates and clarifies Constitution 2.9 (Amateurism). It is designed to clearly state the membership's dedication to amateur competition, while allowing flexibility for implementing definitions and bylaws. It is also broad enough to capture portions of Constitution 2.13 (Financial Aid) and, when combined with other commitments, would allow that provision to be removed as a stand-alone section in Article 2.

2.2 THE COMMITMENT TO AMATEURISM

Question:

- Are there specific subjects that should be added here in support of amateurism?

2.3 THE COMMITMENT TO FAIR COMPETITION

Alternative 1:

Bylaws of the Association shall be designed to promote the opportunity for institutions and eligible student-athletes to engage in fair competition. Member institutions shall abide by uniform bylaws in areas impacting athletics competition including but not limited to personnel, eligibility and amateurism, recruiting, financial aid, the length of playing and practice seasons and the number of institutional competitions per sport. However, bylaws shall not be designed to foreclose advantages that may arise from an institution's decisions regarding allocation of resources or from advantages or disadvantages that may arise from geographical location.

2.3 THE COMMITMENT TO FAIR COMPETITION

Alternative 2:

The member institutions are committed to the principle of competitive fairness. Competitive fairness requires that student-athletes compete against their peers. This requires that all member institutions compete within the framework of the collegiate model of athletics where athletic competition is an integral part of the student-athlete's effort to acquire a degree in higher education.

2.3 THE COMMITMENT TO FAIR COMPETITION

Alternative 2 (continued):

Competitive fairness suggests that the framework for the student's experience should be one in which academic pursuit is expected and reinforced, where the student-athletes are competing against amateurs like themselves rather than against professionals, and where the rules of the game as well as rules relating to recruitment, eligibility, financial aid and benefits, and conduct do not impose burdens on any team or individual that are not imposed on all teams or individuals. Competitive fairness does not support rules or regulations that prevent or reduce the advantages that arise from a student-athlete's level of talent or an institution's financial or other natural advantages.

2.3 THE COMMITMENT TO FAIR COMPETITION

Note: These alternatives are designed to update and clarify Constitution 2.10 (Competitive Equity). They are also designed to capture portions of Constitution 2.12 (Eligibility), 2.13 (Financial Aid), 2.14 (Playing and Practice Seasons) and perhaps 2.15 (Postseason Competitions) and 2.9 (Amateurism).

2.3 THE COMMITMENT TO FAIR COMPETITION

Questions:

- Feedback on the scope of "fair competition" and the level of specificity to include in this provision would be helpful.
- Please also provide feedback on whether this provision should include the proposed language clarifying that "fair competition" does not mean removing all advantages that may inure to a member institution based on its resources or other factors.

2.4 THE COMMITMENT TO INTEGRITY AND SPORTSMANSHIP

It is the responsibility of each member institution to conduct its athletics programs and manage its representatives and student-athletes in a manner that promotes the ideals of higher education and the integrity of intercollegiate athletics. Member institutions are committed to encouraging behavior that advances the interests of the Association, its membership and the Collegiate Model. All individuals associated with intercollegiate athletics programs and events should adhere to such fundamental values as respect, fairness, civility, honesty and responsibility. These values should be manifest not only in athletics participation, but also in the broad spectrum of activities affecting the athletics programs.

Note: This would represent a new addition to Article 2, derived in part from Constitution 2.4 (Sportsmanship and Ethical Conduct).

2.4 THE COMMITMENT TO INTEGRITY AND SPORTSMANSHIP

Question:

- Please provide feedback on whether this language captures the overall concepts of integrity and sportsmanship and, if not, what should be added.

2.5 THE COMMITMENT TO INSTITUTIONAL CONTROL AND COMPLIANCE

It is the responsibility of each member institution to monitor and control its athletics programs, its representatives and its student-athletes to assure compliance with the Constitution and bylaws of the Association. It is also the responsibility of each member institution to report all instances of noncompliance to the Association and cooperate with the Association's enforcement efforts. Upon a finding of one or more violations, an institution shall be subject to such disciplinary and corrective actions as may be recommended by the Association on behalf of the entire membership.

Note: This contains elements of Constitution 2.1 (Institutional Control and Responsibility) and 2.8 (Rules Compliance).

2.5 THE COMMITMENT TO INSTITUTIONAL CONTROL AND COMPLIANCE

Question:

- Please provide feedback on whether this provision makes clear the general responsibility of member institutions to comply with applicable bylaws, and to cooperate in related investigations.

2.6 THE COMMITMENT TO STUDENT-ATHLETE WELL-BEING

Intercollegiate athletics programs shall be conducted in a manner designed to enhance the well-being of student-athletes who choose to participate and to prevent undue commercial or other influences that may interfere with their scholastic, athletics or related interests. It is the responsibility of each member institution to establish and maintain an environment in which student-athletes' activities, in all sports, are conducted as an integral part of the educational experience. Each member institution should also provide an environment that fosters fairness, sportsmanship, honesty and positive relationships between student-athletes and representatives of the institution.

.

2.6 THE COMMITMENT TO STUDENT-ATHLETE WELL-BEING

Note: Portions of this language are borrowed from current Constitution 2.2 (Student-Athlete Well-Being) and 2.11 (Recruiting). The provision is also designed to capture portions of Constitution 2.14 (Playing and Practice Seasons) and 2.15 (Postseason Competition) and, when combined with other commitments, would allow those to be removed as stand-alone provisions in Article 2.

2.6 THE COMMITMENT TO STUDENT-ATHLETE WELL-BEING

Question:

- Please provide feedback about whether the first sentence fits better in this section or in the Commitment to Amateurism.

2.7 THE COMMITMENT TO SOUND ACADEMIC STANDARDS

Standards of the Association governing participation in intercollegiate athletics, including postseason competition, shall be designed to assure proper emphasis on educational objectives and the academic success of student-athletes who choose to participate at a member institution. Intercollegiate athletics programs shall be maintained as a vital component of the educational program, and student-athletes shall be an integral part of the student body. Each member institution's admission and academic standards for student-athletes shall be consistent with the standards adopted by the institution for the student body in general.

2.7 THE COMMITMENT TO SOUND ACADEMIC STANDARDS

Note: This language contains elements found in Constitution 2.5 (Sound Academic Standards) and 2.12 (Eligibility). It is broad enough to cover initial and continuing eligibility standards that are tied directly to academic readiness and performance. Other eligibility standards (such as rules about seasons of competition, transfers, outside competition and certain promotional activities) can fall within the Commitment to Fair Competition.

2.7 THE COMMITMENT TO SOUND ACADEMIC STANDARDS

Question:

- Please provide feedback on whether additional educational goals should be included in this provision.

2.8 THE COMMITMENT TO RESPONSIBLE RECRUITING STANDARDS

Recruiting bylaws shall be designed to promote informed decisions and balance the interests of prospective student-athletes, their educational institutions and the Association's member institutions.

Note: This provision is largely subsumed by the Commitments to Fair Competition and Student-Athlete Well-Being. However, it is included as a stand-alone section here given its importance to the membership and the importance of balancing different interests.

2.8 THE COMMITMENT TO RESPONSIBLE RECRUITING STANDARDS

Question:

- Please provide feedback on whether this should remain a stand-alone provision or, alternatively, whether additional detail is warranted.

2.9 THE COMMITMENT TO DIVERSITY AND INCLUSION

The Association shall promote an atmosphere of respect for and sensitivity to the dignity of every person. The Association should not adopt bylaws that would prevent member institutions from promoting diversity or from complying with applicable laws, ordinances or policies regarding civil rights.

2.9 THE COMMITMENT TO DIVERSITY AND INCLUSION

2.9.1 Nondiscrimination. It is the policy of the Association to refrain from discrimination with respect to its educational programs, activities and employment policies, including on the basis of age, color, disability, gender, national origin, race, religion, creed, sexual orientation, genetic information or any other classification protected by federal law. It is the responsibility of each member institution to comply with applicable laws regarding nondiscrimination and to determine independently its own nondiscrimination policies.

2.9 THE COMMITMENT TO DIVERSITY AND INCLUSION

2.9.2 Governance Diversity. The Association shall promote diversity of representation within its governance structure. This includes assuring diverse membership in Association-wide bodies, each divisional governing body and their supporting committees, cabinets, councils and other groups.

2.9 THE COMMITMENT TO DIVERSITY AND INCLUSION

Note: This language combines provisions currently located in Constitution 2.3 (Gender Equity), 2.6 (Nondiscrimination) and 2.7 (Diversity Within Governance Structures). This provision is not specifically within the purview of this Working Group. These provisions are included to demonstrate how Article 2 might look upon completion.

2.9 THE COMMITMENT TO DIVERSITY AND INCLUSION

Question:

- Please provide feedback on whether these provisions adequately address the NCAA's commitment to diversity and inclusion.

Academic Success Principle-Based Outcome Statements

The following is a list of the principle-base outcome statements developed to guide the academic behavior of student-athletes, teams and institutions.

Principle-Based Outcome Statements.

1. Student-athletes participating in intercollegiate athletics are generally expected to earn a baccalaureate or equivalent degree within five years of initial collegiate enrollment.

2. Academic standards should facilitate a student-athlete's opportunity to earn a baccalaureate or equivalent degree.

    a. Academic standards should ensure that prospective and transfer student-athletes are academically prepared for the academic rigors of pursuing a degree while participating in intercollegiate athletics.

    b. Academic standards should ensure that enrolled student-athletes are making meaningful progress toward a baccalaureate degree.

3. Eligibility for practice, competition and receipt of athletics aid shall be conditioned on satisfying academic standards of the association and the certifying member institution.

4. Student-athletes, prospective student-athletes and institutional staff members should engage in sound academic behavior that demonstrates academic integrity in accordance with institutional policies and NCAA legislation.

5. Academic progress, retention and graduation of student-athletes and team academic standards are a means of access to postseason competition and other privileges of Division I membership.

6. Student-athletes should be provided appropriate academic support based on their individual needs, institutional mission and academic standards, and NCAA academic requirements. Institutions should consider their ability to provide such support in the recruitment and admission of student-athletes.

7. Admissions decisions for both entering first-year and two- and four-year transfer student-athletes are the sole responsibility of each member institution and shall adhere to the institution's admission policies.

8. Consistent with NCAA bylaws, each member conference and member institution must establish policies to limit class time missed due to student-athletes' participation in intercollegiate athletics and such policies shall be reviewed and approved by the appropriate institutional body/individual outside of athletics.

Supplement
No. 11
To Be Distributed
at the meeting

SUPPLEMENT NO. 4a

National and Sport-Group APR Averages, Trends and Penalties

Division I Committee on Academic Performance
DRAFT -- Do not distribute

April 2012

NCAA Research

Average Four-Year APRs

Includes 2007-08 through 2010-11 Academic Years

	Four-Year Average
Overall	**973 (+3)**
Baseball	**965 (+6)**
Men's Basketball	**950 (+5)**
Football	**949 (+3)**
Women's Basketball	**970 (+2)**

Notes: (1) APR displayed for all squads submitting data for 2010-11 (N=6,413)
(2) Numbers in parentheses are point changes from 4-year APRs reported in May 2011.
(3) Changes in aggregates over time reflect changes in academic behaviors, changes in the institutional composition of Division I and changes in how retention was calculated beginning with 2007-08 data.

Average APRs by Sport for Men's Teams
(Four-Year APR for 2007-08 thru 2010-11 AY)

SPORT	# Teams	Four-Year APR Average
Baseball	297	965
Basketball	344	950
Cross Country	314	973
Fencing	18	970
Football (FBS)	120	952
Football (FCS)	124	945
Golf	298	973
Gymnastics	16	983
Ice Hockey	58	982
Lacrosse	60	972
Rifle (co-ed)	23	973
Skiing	11	975
Soccer	203	968
Swimming	137	974
Tennis	260	973
Track (Indoor)	258	963
Track (Outdoor)	277	965
Volleyball	23	976
Water Polo	22	979
Wrestling	80	960

Average APRs by Sport for Women's Teams
(Four-Year APR for 2007-08 thru 2010-11 AY)

SPORT	# Teams	Four-Year APR Average
Basketball	342	970
Bowling	34	958
Crew	84	986
Cross Country	341	981
Fencing	22	978
Field Hockey	78	990
Golf	254	985
Gymnastics	62	988
Ice Hockey	34	987
Lacrosse	91	987
Skiing	12	983
Soccer	321	980
Softball	288	978
Swimming	196	985
Tennis	321	982
Track (Indoor)	312	974
Track (Outdoor)	318	975
Volleyball	327	980
Water Polo	33	979

Aggregate Trends in Single-Year APR, Eligibility and Retention

NCAA Research

Changes in the APR Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average APR	Median APR	APR Distribution Standard Deviation
2003-04	960.6	971	44.2
2004-05	960.6	971	43.6
2005-06	961.4	971	42.1
2006-07	964.3	974	39.6
2007-08	971.3	981	35.2
2008-09	973.0	983	34.2
2009-10	973.9	984	34.5
2010-11	973.9	983	32.5

Notes:
(1) Rates include adjustments and delayed graduation points.
(2) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(3) APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red).

Changes in the Eligibility Rate Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average Eligibility Rate	Eligibility Distribution Standard Deviation
2003-04	965.2	54.4
2004-05	963.6	52.0
2005-06	963.9	51.3
2006-07	966.6	49.5
2007-08	969.8	45.5
2008-09	972.8	42.8
2009-10	974.5	41.9
2010-11	974.3	40.4

Notes:
(1) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(2) Median eligibility rates were at or near 1000 in each of the years (approximately 50% of all squads lose no eligibility points in a given year).

Changes in the Retention Rate Distribution among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Average Retention Rate	Median Retention Rate	Retention Distribution Standard Deviation
2003-04	953.9	964	52.1
2004-05	954.2	966	53.6
2005-06	954.7	964	51.7
2006-07	957.1	968	49.5
2007-08	967.8	979	41.3
2008-09	968.9	981	40.7
2009-10	969.5	982	41.0
2010-11	970.2	982	38.9

Notes:
(1) Analyses based on N=5,828 squads that have sponsored the sport within Division I during all eight years of the APR program.
(2) APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red).

Sport Trends in Single-Year APR, Eligibility and Retention

NCAA Research

APR, Eligibility and Retention Trends in Baseball, Men's Basketball and Football

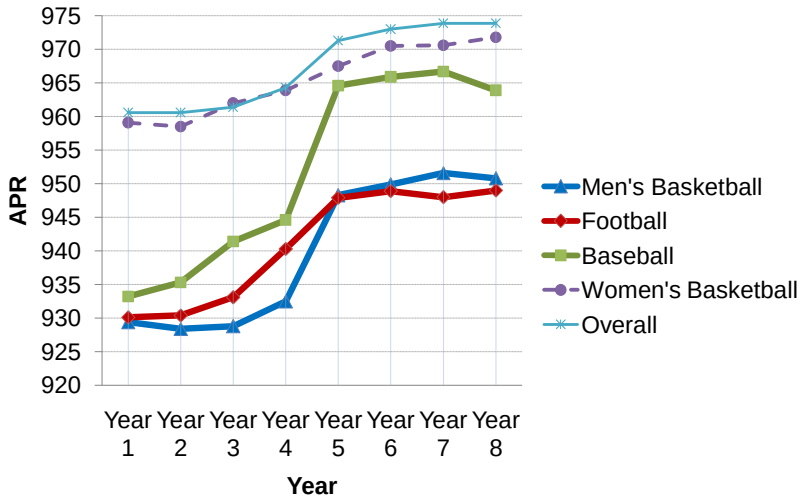
APR	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	933.2	935.3	941.4	944.6	964.6	965.9	966.7	963.9
Men's Basketball	929.4	928.4	928.8	932.5	948.3	949.9	951.6	950.8
Football	930.1	930.4	933.1	940.3	947.9	948.9	948.0	949.0
Women's Basketball	959.2	958.5	962.0	963.9	967.5	970.5	970.6	971.8

ELIGIBILITY	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	940.6	938.0	940.2	950.4	968.4	967.9	972.5	969.8
Men's Basketball	936.5	935.3	935.9	947.3	958.3	956.6	960.7	960.3
Football	921.2	919.5	921.9	929.1	934.5	938.4	937.0	939.8
Women's Basketball	970.8	968.4	974.8	973.9	970.6	976.6	977.1	977.0

RETENTION	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	919.2	923.5	930.6	928.4	947.4	952.8	952.2	950.7
Men's Basketball	917.0	910.5	909.2	907.1	928.2	934.7	932.7	931.6
Football	933.7	933.3	936.0	941.5	949.8	949.7	949.7	949.7
Women's Basketball	945.0	944.8	945.3	949.8	960.0	960.3	961.6	963.7

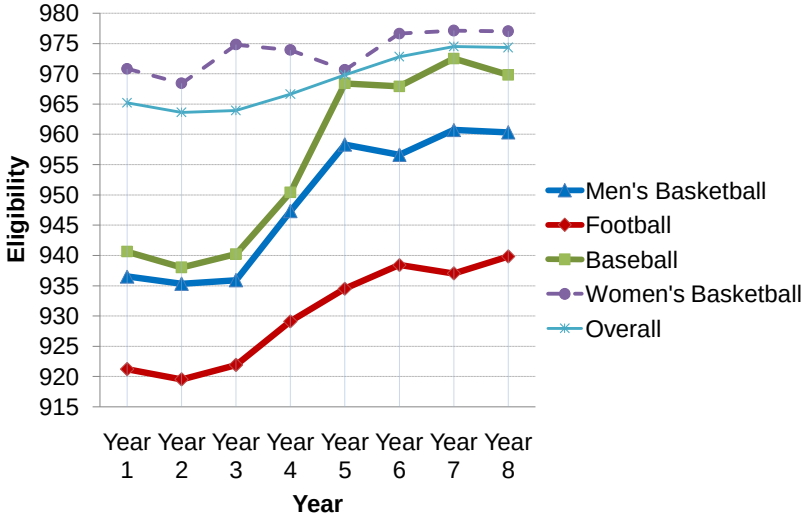
Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

APR Trends in Baseball, Men's Basketball and Football



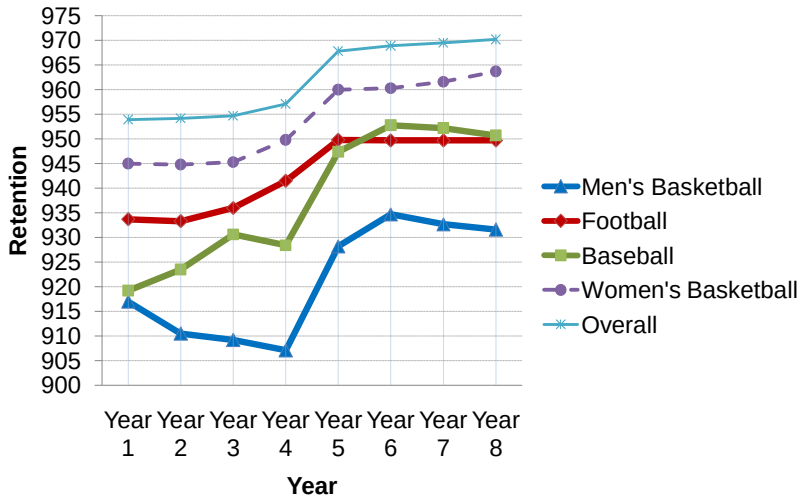
Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Eligibility Trends in Baseball, Men's Basketball and Football



Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Retention Trends in Baseball, Men's Basketball and Football



Notes:
1. Analyses based on 274 baseball squads, 323 men's basketball squads, 230 football squads, and 321 women's basketball squads that sponsored the sport within Division I during all eight years.
2. APR retention calculation changed beginning in 2007-08 to grant point adjustments for certain transfer students (timing of calculation change indicated in red). Change did not affect eligibility rate calculation.

Average APRs by Sport for Men's Teams (Single-Year APRs in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	933	935	941	945	965	966	967	964
Basketball	929	928	929	932	948	950	952	951
Cross Country	959	961	962	966	968	971	978	979
Football	930	930	933	940	948	949	948	949
Golf	963	960	962	962	973	978	974	969
Ice Hockey	971	972	967	971	980	981	982	981
Lacrosse	969	972	976	973	975	975	976	974
Soccer	954	953	953	961	969	969	970	966
Swimming	973	962	965	970	973	977	973	977
Tennis	959	966	959	967	969	970	976	974
Track (Indoor)	951	951	949	956	959	965	966	964
Track (Outdoor)	951	952	950	956	961	966	968	964
Wrestling	944	938	944	947	966	959	962	959

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average Eligibility Rates by Sport for Men's Teams (Single-Year Eligibility Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	941	938	940	950	968	968	972	970
Basketball	937	935	936	947	958	957	961	960
Cross Country	957	966	963	962	962	968	974	974
Football	921	919	922	929	935	938	937	940
Golf	971	966	967	964	975	979	977	971
Ice Hockey	981	980	979	981	984	986	986	985
Lacrosse	974	975	978	981	978	978	979	975
Soccer	962	962	961	967	972	973	974	970
Swimming	970	960	963	967	966	972	972	973
Tennis	970	974	970	973	969	975	982	980
Track (Indoor)	944	941	935	943	942	953	954	952
Track (Outdoor)	943	941	935	942	945	954	955	952
Wrestling	944	933	937	936	956	950	961	952

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years.

Average Eligibility Rates by Sport for Men's Teams – 2010-11 vs. 2005-06 Single-Year Rate

Rank	SPORT	2010-11	Δ E-Rate
1	Ice Hockey	985	+6
2	Tennis	980	+10
3	Lacrosse	975	-3
4	Cross Country	974	+11
5	Swimming	973	+10
6	Golf	971	+4
7	Soccer	970	+9
8	Baseball	970	+30
9	Basketball	960	+24
10	Track (Outdoor)	952	+17
11	Track (Indoor)	952	+17
12	Wrestling	952	+15
13	Football	940	+18

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years. Δ E-Rate = 2010-11 single-year eligibility rate minus 2005-06 single-year eligibility rate.

Average Retention Rates by Sport for Men's Teams (Single-Year Retention Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	919	923	931	928	947	953	952	951
Basketball	917	910	909	907	928	935	933	932
Cross Country	959	955	959	967	968	971	978	980
Football	934	933	936	941	950	950	950	950
Golf	953	951	955	957	968	974	969	966
Ice Hockey	959	959	952	955	972	972	974	974
Lacrosse	962	968	973	963	970	969	971	970
Soccer	942	940	941	948	960	959	962	956
Swimming	973	962	962	970	976	977	972	978
Tennis	947	957	946	958	966	960	967	965
Track (Indoor)	956	958	958	963	969	970	970	970
Track (Outdoor)	955	958	960	962	971	972	972	970
Wrestling	942	934	941	947	964	959	957	959

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average APRs by Sport for Women's Teams (Single-Year APRs in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	959	958	962	964	968	971	971	972
Crew	985	976	985	987	985	984	986	986
Cross Country	972	971	970	972	979	978	983	986
Field Hockey	983	985	984	983	989	991	989	989
Golf	973	971	977	977	985	985	985	984
Gymnastics	982	982	983	985	988	989	990	987
Lacrosse	983	985	985	986	987	991	988	989
Soccer	972	972	973	976	978	981	980	982
Softball	966	966	965	970	977	980	979	979
Swimming	978	979	979	979	983	984	988	984
Tennis	969	970	973	970	983	983	976	987
Track (Indoor)	965	965	964	965	971	972	976	977
Track (Outdoor)	966	966	966	967	971	974	977	978
Volleyball	968	970	969	972	980	980	980	979

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

Average Eligibility Rate by Sport for Women's Teams (Single-Year Eligibility Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	971	968	975	974	971	977	977	977
Crew	989	981	986	987	986	983	985	985
Cross Country	977	975	976	975	978	980	984	986
Field Hockey	989	993	990	991	992	994	994	994
Golf	980	975	982	984	986	990	988	987
Gymnastics	983	981	983	987	987	988	988	989
Lacrosse	992	989	991	990	990	991	989	991
Soccer	983	982	980	983	981	983	984	985
Softball	971	971	970	974	978	981	979	981
Swimming	982	983	984	980	982	986	990	984
Tennis	981	979	984	982	989	987	984	990
Track (Indoor)	966	962	959	961	964	965	971	973
Track (Outdoor)	966	964	959	962	963	967	971	973
Volleyball	978	980	979	983	984	984	984	982

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years.

Average Eligibility Rates by Sport for Women's Teams – 2010-11 Rate vs. 2005-06 Rate

Rank	SPORT	2010-11	Δ E-Rate
1	Field Hockey	994	+4
2	Lacrosse	991	+0
3	Tennis	990	+6
4	Gymnastics	989	+6
5	Golf	987	+5
6	Cross Country	986	+10
7	Crew	985	-1
8	Soccer	985	+5
9	Swimming	984	+0
10	Volleyball	982	+3
11	Softball	981	+11
12	Basketball	977	+2
13	Track (Outdoor)	973	+14
14	Track (Indoor)	973	+14

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years. Δ E-Rate = 2010-11 single-year eligibility rate minus 2005-06 single-year eligibility rate.

Average Retention Rate by Sport for Women's Teams (Single-Year Retention Rates in Sports with 50 or More Teams)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Basketball	945	945	945	950	960	960	962	964
Crew	981	971	982	984	981	982	984	984
Cross Country	966	967	962	965	976	975	981	983
Field Hockey	976	976	975	973	986	987	981	983
Golf	965	966	971	969	982	978	981	979
Gymnastics	979	980	981	983	987	988	992	985
Lacrosse	974	980	977	979	983	988	985	985
Soccer	960	960	963	966	972	976	973	977
Softball	961	958	956	961	973	975	977	973
Swimming	973	974	973	975	982	980	984	983
Tennis	956	959	961	957	976	978	967	982
Track (Indoor)	963	966	966	965	974	975	977	979
Track (Outdoor)	964	967	969	967	974	977	979	980
Volleyball	956	958	956	958	973	974	974	974

Notes: Analyses based on N=5,828 squads that sponsored the sport within Division I during all eight years. Retention calculation changed in 2007-08 (timing of calculation change indicated in red) to grant point adjustments for certain transfer students.

APR Delayed Graduation Points

NCAA Research

Distribution of Total Number of Delayed Graduation Points Earned

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Overall	653	995	1,227	1,405	1,502	1,354	1,213	1,080
Baseball	107	143	187	161	210	166	125	99
MBB	48	91	108	92	94	79	84	87
WBB	24	38	40	48	45	45	29	32
Football	194	287	299	354	398	346	332	296

Note: Includes only N=5,828 squads in APR each of last 8 years.

Trends in APR 0-for-2s

Changes in the Number of 0-for-2s among all Squads Submitting Data in Each Year (2003-04 to 2010-11)

Number of Squads = 5,828	Number of 0-for-2s on these Squads	Percent of Total Student-Athlete Cohort
2003-04	3,811	3.6%
2004-05	3,847	3.6%
2005-06	3,618	3.3%
2006-07	3,196	2.9%
2007-08	2,965	2.7%
2008-09	2,820	2.5%
2009-10	2,684	2.4%
2010-11	2,779	2.5%

Notes:
(1) Analyses based on N=5,828 squads that sponsored the sport within Division I during all 8 years .
(2) "0-for-2" defined as student-athletes separating from a school while academically ineligible.
(3) 0-for-2 counts based on cohort definitions – SAs playing multiple sports could appear as multiple 0-for-2s in this table.
(4) Change from 2004-05 to 2010-11 represents a 27% reduction in the number of 0-for-2s.

Trends in Number of 0-for-2s -- Student-Athletes Leaving School While Academically Ineligible

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Men	2,889 (5.1%)	2,886 (5.0%)	2,686 (4.5%)	2,387 (4.1%)	2,128 (3.6%)	2,050 (3.4%)	1,982 (3.3%)	2,085 (3.5%)
Women	917 (1.9%)	958 (2.0%)	929 (1.9%)	803 (1.6%)	833 (1.6%)	767 (1.5%)	697 (1.3%)	688 (1.3%)

SPORT	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Baseball	413 (5.6%)	381 (5.0%)	337 (4.4%)	307 (4.0%)	235 (3.0%)	212 (3.0%)	189 (2.8%)	233 (3.4%)
Men's Basketball	319 (7.8%)	316 (7.6%)	308 (7.3%)	254 (6.1%)	197 (4.7%)	193 (4.6%)	188 (4.5%)	182 (4.4%)
Football	1,302 (7.0%)	1,283 (6.8%)	1,151 (6.1%)	1,046 (5.6%)	929 (4.9%)	912 (4.8%)	935 (4.8%)	928 (4.8%)
Women's Basketball	135 (3.0%)	146 (3.2%)	121 (2.7%)	98 (2.2%)	129 (2.9%)	100 (2.2%)	107 (2.4%)	99 (2.2%)

Notes:
(1) Analyses based on squads that sponsored the sport within Division I during all eight years.
(2) N = Number of student-athletes leaving school while ineligible ("0-for-2s") during that academic year (includes SAs who left ineligible after exhausting their eligibility).
(3) % = Percentage of individuals in that sport who were 0-for-2s in that academic year.

Trends in the Number of Transfer Student-Athletes

NCAA Research

Trends in Transfer Composition of Division I Student-Athlete Population

	Overall							
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	86.7%	86.8%	87.2%	87.6%	88.0%	88.6%	88.7%	88.4%
2-year Transfers	6.1%	5.9%	5.6%	5.3%	5.1%	4.9%	5.0%	5.3%
4-year Transfers	7.2%	7.2%	7.2%	7.2%	6.9%	6.5%	6.3%	6.4%

2010-11 Transfer Composition of Division I Student-Athlete Population (by Sport)

	Baseball	Men's Basketball	Football	Men's Other	Women's Basketball	Women's Other
Non-Transfers	77.2%	73.5%	87.2%	89.1%	83.3%	91.3%
2-year Transfers	19.9%	15.6%	7.7%	3.2%	8.4%	2.6%
4-year Transfers	2.9%	10.9%	5.1%	7.6%	8.3%	6.1%

2010-11 Transfer Composition of Division I Student-Athlete Population (Men's Sports with 50 or More Teams)

SPORT	2010-11	
	2-year	4-year
Baseball	19.9%	2.9%
Basketball	15.6%	10.9%
Cross Country	2.6%	7.6%
Football	7.7%	5.1%
Golf	4.4%	7.8%
Ice Hockey	2.0%	4.0%
Lacrosse	0.8%	3.5%
Soccer	3.6%	11.2%
Swimming	1.9%	4.6%
Tennis	2.3%	15.0%
Track (Indoor)	4.0%	7.8%
Track (Outdoor)	4.2%	7.7%
Wrestling	2.5%	4.4%

2010-11 Transfer Composition of Division I Student-Athlete Population (Women's Sports with 50 or More Teams)

SPORT	2010-11	
	2-year	4-year
Basketball	8.4%	8.3%
Crew	1.4%	4.0%
Cross Country	2.3%	6.2%
Field Hockey	0.3%	3.2%
Golf	2.3%	7.7%
Gymnastics	0.5%	2.9%
Lacrosse	0.8%	3.4%
Soccer	1.3%	5.5%
Softball	6.2%	4.7%
Swimming	0.9%	4.6%
Tennis	1.7%	13.0%
Track (Indoor)	3.0%	6.5%
Track (Outdoor)	3.0%	6.4%
Volleyball	4.8%	8.0%

Trends In Number (Percent) of Transfers Into Division I: Men's Baseball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	5,356 (72.7)	5,506 (72.7)	5,592 (72.7)	5,665 (74.1)	5,738 (74.0)	5,455 (76.3)	5,327 (77.8)	5,259 (77.5)
2-year Transfers	1,423 (19.3)	1,417 (18.7)	1,397 (18.2)	1,332 (17.4)	1,366 (17.6)	1,273 (17.8)	1,279 (18.7)	1,324 (19.5)
4-year Transfers	593 (8.0)	651 (8.6)	696 (9.1)	650 (8.5)	651 (8.4)	417 (5.8)	242 (3.5)	200 (2.9)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Men's Basketball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	3,039 (74.0)	3,027 (72.6)	3,033 (72.1)	3,011 (72.0)	3,094 (73.8)	3,087 (74.1)	3,123 (74.8)	3,072 (73.9)
2-year Transfers	684 (16.7)	726 (17.4)	750 (17.8)	725 (17.3)	651 (15.5)	635 (15.3)	633 (15.2)	642 (15.4)
4-year Transfers	385 (9.4)	415 (10.0)	424 (10.1)	445 (10.7)	449 (10.7)	439 (10.6)	421 (10.1)	445 (10.7)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Men's Football

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	16,150 (86.6)	16,430 (86.8)	16,568 (87.2)	16,430 (87.2)	16,664 (87.7)	16,765 (87.8)	16,933 (87.8)	16,903 (87.3)
2-year Transfers	1,514 (8.1)	1,519 (8.0)	1,419 (7.5)	1,368 (7.3)	1,341 (7.1)	1,368 (7.2)	1,401 (7.3)	1,476 (7.6)
4-year Transfers	987 (5.3)	989 (5.2)	1,022 (5.4)	1,042 (5.5)	988 (5.2)	962 (5.0)	951 (4.9)	969 (5.0)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

Trends In Number (Percent) of Transfers Into Division I: Women's Basketball

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Non-Transfers	3,744 (82.6)	3,770 (83.1)	3,821 (84.1)	3,799 (83.6)	3,766 (83.7)	3,767 (84.0)	3,749 (83.6)	3,703 (83.5)
2-year Transfers	445 (9.8)	434 (9.6)	409 (9.0)	418 (9.2)	427 (9.5)	390 (8.7)	397 (8.9)	368 (8.3)
4-year Transfers	341 (7.5)	331 (7.2)	309 (6.8)	326 (7.2)	313 (6.9)	325 (7.3)	338 (7.5)	364 (8.2)

Note: Trends in total Division I student-athlete population composition across N=5,828 teams competing in Division I during this eight year period.

NCAA Division I
Academic Performance Program
Manual

[Effective: June 1, 2012]

TABLE OF CONTENTS
NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE
NCAA DIVISION I ACADEMIC PERFORMANCE PROGRAM MANUAL

PURPOSE

Purpose of the NCAA Division I Academic Performance Program (APP) (NCAA Bylaw 23.1.1) 1

NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE

Legislated Duties (Bylaw 23.1.2) 1

Reporting Lines 2

Composition 2

Terms of Office 2

Committee Appointments 3

ORGANIZATION AND RESPONSIBILITIES

Organization 3

Subcommittees 3

DUTIES

Administrative Committee 3

Subcommittee on Data Collection and Reporting 4

Subcommittee on Appeals 5

Selection of Committee Chair 5

Responsibilities of Committee Chair 6

Selection of Vice Chair 7

Selection of Subcommittee Chairs 7

Responsibilities of Subcommittee Chairs 7

Selection of Ad Hoc Members 8

Agenda Development....8

Meeting Participation by Noncommittee on Academic Performance Members....9

Processing Subcommittee Recommendations....9

Voting Procedures....9

Speaking Agent Policy....9

Absences....10

Conflicts of Interest....10

Adopting/Revising and Publishing Policies and Procedures – General....11

INTERPRETATIONS

Responsibilities and Authority (Bylaw 23.1.2)....11

Request Process....12

Required Documentation....12

Staff and Committee Interpretations/Legislation Review....13

Meeting Protocol....14

Issuance of Interpretations....14

Types of Interpretations....14

Review/Appeals....15

Ex Parte Communication....15

KEY TERMS AND CONCEPTS

NCAA Division I Academic Progress Rate (APR)....15

Rate Calculation – General....16

Rate Conversion for Final APR – Semester Schools....16

Multiyear APR 16

Why Total the Rate Over a Number of Years Instead of Averaging the Rates? 17

Squad-Size Adjustments 17

Calculation of APR for Quarter Schools 19

Retention 21

Academic Eligibility 22

Exhausted Eligibility 22

Graduation 23

Census Date 23

Academic Performance Census 23

Head Coaches APR Portfolio 23

Graduation Success Rate 24

COMPOSITION OF THE APR COHORT

2006-07 Cohort and Beyond 24

Noncounters on Athletics Aid – Inclusion in the APR Cohort 25

Recruiting Definition 25

Multisport Student-Athletes 26

Student-Athletes in Cross Country, and Indoor and Outdoor Track and Field 26

Student-Athletes Returning for a Sixth Year 26

ALTERNATIVE IDENTIFICATION OF COHORT OR DEFINITION OF RECRUITED STUDENT-ATHLETE

Introduction 27

Application Procedures 27

Review Procedures 28

Appeals of Staff Decisions 29

Appeal Procedures 29

Review Procedures 29

Reconsideration 29

APR DATA POLICIES

Graduation "Required" After Five Years of Enrollment 30

DELAYED-GRADUATION POINTS

Introduction 30

Requests for Delayed-Graduation Points from Prior Cohort Years 31

Determining Eligibility for a Student-Athlete Who Leaves the Institution 31

Determining Eligibility for Student-Athletes Who Depart an Institution or Quit the Team Without Declaring a Degree 31

Determining Eligibility for Student-Athletes Who Return to an Institution Subsequent to Graduation 32

Year of Residency 32

Fall Term Certification in the Sport of Baseball 33

Progress-Toward-Degree Waivers – Eligibility Point 33

Progress-Toward-Degree Waivers – Retention Point 33

Incomplete Grades 33

LEGISLATED EXCEPTIONS/ALLOWABLE EXCLUSIONS

Introduction 34

Sample APR Calculation Involving Legislated Exceptions 34

Understanding Points for Legislated Exceptions/Allowable Exclusions.....35

International Competition and Olympic Sports Waivers – Retention 36

Medical-Absence Waivers [Bylaw 14.4.3.6-(a)] 37

Calculating Data When Legislated Exception Criteria are Not Satisfied 37

Missed-Term Exception [Bylaw 14.4.3.5-(a)].....37

REPORTING ELIGIBILITY FOR STUDENT-ATHLETES IN A FIVE- OR SIX-YEAR DEGREE PROGRAM

General.....38

Five-Year Degree Programs 39

Six-Year Degree Programs 39

COMMON DATA ENTRY SCENARIOS

Scenarios.....40

APP DATA COLLECTION

Introduction.....43

AMENDING SUBMITTED DATA

Introduction.....44

MEMBERSHIP AND SPORTS SPONSORSHIP ISSUES

Members Subject to the APP 45

New Sports Teams 45

Non-NCAA Championship Sports 46

Institutions/Teams Transitioning from Division I or Discontinuing a Division I Sport.....46

Institutions/Teams Rescinding the Decision to Transition from Division I or Discontinue a Division I Sport....47

Institutions that Reinstate Dropped Sports in Subsequent Years....48

Restricted-Membership Penalty....48

DUE DATES

Submission....49

Legislated Penalties (Bylaw 23.01.3)....49

Notice of Penalties....49

Institutions That Do Not Provide APP Data or Usable APP Data....49

CORRECTING SUBMITTED DATA

Introduction....51

Corrections....51

Effect of Corrections on Previously Earned Penalties and/or Rewards....51

REQUESTS FOR ADJUSTMENTS OF APR

Introduction....51

Adjustment Request Procedures....52

Review Procedures....52

Appeals of Staff Decisions....54

Appeals Procedures....54

Review Procedures....54

Reconsideration....55

Effect of Prior Years' Adjustments on Previously Earned Penalties and/or Rewards....55

DATA COLLECTION WAIVERS

Waivers/Extensions of Filing Deadlines....55

Application Procedures....56

Review Procedures....56

Appeals of Staff Decisions....57

Appeal Procedures....57

Subcommittee Review Procedures....57

Reconsideration....58

WAIVER OF FILING DEADLINE PENALTIES (BYLAW 23.3)

Introduction....59

Application Procedures....59

Review Procedures....59

APPEALS/RECONSIDERATIONS OF FILING DEADLINE PENALTIES

Appeals of Staff Decisions....60

Subcommittee Review Procedures....60

Reconsideration....61

DATA COLLECTION ON TWO-YEAR COLLEGE TRANSFERS

Introduction....61

HEAD COACHES' APR PORTFOLIO

Introduction....62

APP DATA REVIEWS

Introduction....62

REVIEW PROCESS

Selection....63

Responsibilities of the Chancellor/President....64

Responsibilities of the Primary and Secondary Contacts....64

Conference Office Involvement....64

Scope of Data Review....64

Introductory Teleconference....65

Preliminary Report....65

Corrections to the Data....66

Subcommittee Review....66

Failure to Comply with Staff and/or Subcommittee Requests....66

Final Report....67

Ethical Considerations....67

Rules Violations....67

ON-CAMPUS REVIEWS

Notification....68

Length of Visit....68

Introductory Meeting....68

Education Sessions....68

Exit Meeting....69

Costs of the On-Campus Visit....69

Required Changes to Submitted Data and Impact of Changes on Penalties....69

Unusable Data 69

ACCESS TO POSTSEASON COMPETITION AND APP PENALTIES

Introduction 70

Postseason Access Academic Benchmark and Filters 71

Transition Period 72

Transition Period – Limited-Resource Institutions 72

Notification of Loss of Access to Postseason Competition 81

Timing of Loss of Access to Postseason Competition 81

Timeline for New Division I Teams 81

Permission to Contact (Bylaw 13.1.1.3.4) 81

Transfer Exceptions for Student-Athletes on Teams Subject to Loss of Access to Postseason Competition 81

WAIVERS OF INELIGIBILITY FOR POSTSEASON COMPETITION

Introduction 83

Application Procedures 83

Staff Review Procedures 84

Staff Deliberations and Decisions 84

Staff Conflict of Interest 85

Use of Third Parties in Waiver Requests 85

Appeals of Staff Decisions 86

Appeal Procedures 86

Subcommittee Review Procedures 86

Subcommittee Deliberations and Decisions 87

Appeals of Subcommittee Decisions 89

Committee Deliberations and Decisions.....89

Subcommittee/Committee Conflict of Interest 91

Reconsideration.....91

Review of Conditionally Approved Waivers of Ineligibility for Postseason Competition 91

Staff Review Procedures.....91

Staff Deliberations and Decisions.....92

Appeals/Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Ineligibility for Postseason Competition 93

Subcommittee Review Procedures 93

Subcommittee Deliberation and Decisions.....93

Reconsideration.....94

Reporting Staff Decisions 95

APP PENALTIES

Introduction.....95

APP Penalty Benchmark and Filters.....95

Transition Period.....96

Transition Period – Limited-Resource Institutions.....97

APP Penalty Structure.....101

Notification of APP Penalties 102

Timeline to Take APP Penalties 102

Failure to Take a Penalty Within the Prescribed Timeline 103

Timeline for New Division I Teams 103

Membership Issues (Effect of Penalties on Minimum Financial Aid Requirements) 103

Restricted-Membership Penalty 103

Report of APP Penalties Taken 104

WAIVERS OF APP PENALTIES

Introduction 104

Staff Conflict of Interest 104

Subcommittee/Committee Conflict of Interest 105

Delay Requests 105

APP PENALTIES WAIVER PROCEDURES SUMMARY

Level-One and -Two Penalty Waivers 105

Staff Review Procedures 106

Reporting Staff Decision 107

Appeals of Level-One APP Penalties 107

Appeal Procedures 108

Subcommittee Deliberations and Decisions 108

Appeals of Level-Two APP Penalties 110

Appeal Procedures 110

Appeal Participants 110

Documents Reviewed by the Subcommittee 111

Introduction 111

Review of the Appeal.....111

Deliberations and Decision.....112

Subcommittee Deliberations and Decisions.....112

Reconsideration of Level-One or -Two Penalty Waiver Requests.....113

REVIEW OF CONDITIONALLY APPROVED LEVEL-ONE AND -TWO APP PENALTY WAIVERS

Introduction.....114

Review of Conditional Approvals Process.....114

Staff Deliberations and Decisions.....115

APPEALS/RECONSIDERATIONS OF STAFF DECISIONS ON CONDITIONALLY APPROVED LEVEL-ONE OR -TWO PENALTY WAIVERS – DETERMING WHETHER THE CONDITIONS(S) WAS SATISFIED

Subcommittee Review.....116

Subcommittee Deliberations and Decisions.....116

Reconsideration.....117

LEVEL-THREE APP PENALTY WAIVERS (BYLAW 23.2.1.2.3)

Introduction.....118

LEVEL-THREE APP PENALTY ASSIGNMENT AND WAIVERS (BYLAW 23.2.1.2.3.1)

Penalty Assignment Procedures.....118

Definitions.....119

Staff Review Procedures.....120

Staff Deliberations and Decisions.....121

Acceptance of Assigned Penalties.....121

Reporting Staff Decisions 121

Recording 122

Committee Review Factors 122

Hearing Costs 122

Timeframe for Hearing 123

Documents Reviewed by the Committee 123

Hearing Participants 124

Introduction 125

Opening Statements 125

Question and Answer 126

Closing Statements 126

Deliberations and Decision 126

Reporting Committee Decisions 128

Committee Reconsideration 128

Committee Review of Remanded Waiver 128

NCAA DIVISION I BOARD OF DIRECTORS APP APPEALS SUBCOMMITTEE REVIEW

Appeal of Committee Decision 129

Scope of Review 129

Recording 130

Conflict of Interest 130

Appeal Procedures 130

Timeframe for Hearing 131

Documents Reviewed by the Subcommittee 132

Appeal Participants 132

Introductions 133

Committee Issues 133

Review of the Appeal.....134

Committee Deliberations and Decision 135

REVIEW OF CONDITIONALLY APPROVED LEVEL-THREE PENALTY WAIVERS – DETERMINING WHETHER THE CONDITION(S) WAS SATISFIED

Staff Review.....137

Review Factors.....138

Staff Deliberations and Decisions.....138

Committee Review.....138

Committee Review Factors.....139

Committee Deliberations and Decisions.....139

APR IMPROVEMENT PLANS

Introduction.....140

Plan Development and Submission Requirements 140

Institutions Requesting and/or Receiving Supplemental Support Fund 141

APR Improvement Plan Submission Dates 141

2011-12 Team/Institution Reporting Requirements 141

Implementation of APR Improvement Plans.....142

Failure to Develop a Required APR Improvement Plan.....143

APR Improvement Plan Requirements 143

APR Improvement Plan Submission 146

Staff Evaluation of APR Improvement Plans and the Implementation of APR Improvement Plans 146

APR Improvement Plan Online Materials 148

APR Improvement Plan Online Searchable Database 148

PUBLIC RECOGNITION PROGRAM

Introduction 148

APP SUPPLEMENTAL SUPPORT FUND

Introduction 149

Purpose, Goals and Priorities 150

Program Guidelines 150

Professional Development Grant Requests 151

Initiative Requests – Application Process 151

Timeline 152

Examples of Projects/Initiatives Meeting Program's Purpose and Guidelines 152

Examples of Projects/Initiatives That Do Not Meet Program's Purpose and Guidelines 152

APPENDIX

Appendix A: Frequently Asked Questions Regarding APR Cohort Compositions

Appendix B: Examples of Cross-Country and Indoor and Outdoor Track and Field APR Cohort Composition

Appendix C: Miscellaneous Questions on Impact of Graduation on APR

Appendix D: Miscellaneous APR Calculation Examples

Appendix E: Incomplete Grades – Examples of Posting for APR Calculation

Appendix F: Guide of Possible Student-Athlete Outcomes

Appendix G: APR Adjustment Directive

Appendix H: Frequently Asked Questions on Collection of Two-Year Transfer Data

Appendix I: Frequently Asked Questions Regarding Collection of Graduation Rate Data

Appendix J: Frequently Asked Questions on the Head Coaches APR Portfolio

Appendix K: Penalty Scenarios

Appendix L: Frequently Asked Questions on Practice Penalty Application and Reporting Requirements

Appendix M: APP Access to Postseason and Penalty Waiver Directive

Appendix N: Frequently Asked Questions on APR Improvement Plans

PURPOSE

Purpose of the NCAA Division I Academic Performance Program (NCAA Division I Bylaw 23.1.1).

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 rewards those institutions and teams that demonstrate commitment toward the academic progress, retention and graduation of student-athletes and penalizes those that do not. Finally, the membership has created an academic point of access to postseason competition for all teams, based on a minimal level of academic performance using the NCAA Division I Academic Progress Rate (APR). *(Revised: 10/11; Effective: 10/11)*

NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE

Legislated Duties of the NCAA Division I Committee on Academic Performance (Bylaw 23.1.2).

The committee 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 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 manual of the APP.

4. Determine the minimum acceptable APR and GSR for access to postseason competition, the application of APP penalties and all filters.

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 penalties or ineligibility for postseason competition applies.

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), ineligibility for postseason competition 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: 04/07; Effective: 04/07; Revised: 10/11; Effective: 10/11)*

Reporting Lines.

The committee reports to the NCAA Division I Board of Directors.

Composition (Bylaw 23.1.1).

The committee shall consist of 15 members, including a minimum of two chancellors or presidents, 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 shall be on the staff of a Division I active institution or conference. A chancellor or president 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.

As indicated in Bylaw 21.7.2.1, the committee is not subject to the requirement that limits subdivisional representation to not 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. An individual who has served two terms on the committee may not serve further on the committee, except the chair whose term the Board of Directors may extend at two-year intervals.

Committee Appointments.

The NCAA Division I Administration Cabinet shall appoint a committee that shall be responsible for the administration of the APP.

The chair of the committee 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 through respective subcommittee/committee reports.

ORGANIZATION AND RESPONSIBILITIES

Organization.

In order to administer the APP, the committee will organize and assign responsibilities to the subcommittees of the committee.

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. 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: NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting; NCAA Division I Committee on Academic Performance Subcommittee on Appeals and Administrative Committee.

DUTIES

Administrative Committee.

The Administrative Committee consists of each subcommittee chair, the Committee on Academic Performance chair (who also serves as chair of the Administrative Committee), the Committee on Academic Performance vice chair (when applicable) and the chair-elect (when

applicable). All Administrative Committee members, including the chair, may vote on items of business before the committee. *(Revised: 10/08)*

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 manual 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.

Subcommittee on Data Collection and Reporting.

The Subcommittee on Data Collection and Reporting shall consist of five or more committee members and will:

1. Oversee the collection of APR, APC, GSR 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 and/or GSR;

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 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 APP penalty structure;

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 APP penalties based on changes to prior year(s) APP data.

Subcommittee on Appeals.

The Subcommittee on Appeals shall consist of five or more committee members and will:

1. Administer and oversee all aspects of appeals of ineligibility for postseason competition and Level-One and -Two penalties with the exception of teams at Level-Three with postseason ineligibility;

2. Develop and publish waiver policies and procedures for ineligibility for postseason competition and Level-One and -Two penalties;

3. Provide relief for those institutions/teams subject to ineligibility for postseason competition and Level-One and -Two penalties in accordance with the APP penalty waiver directive and this manual; and

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

Selection of Committee Chair.

The committee chair generally serves as chair for the remainder of his or her term. The committee shall nominate one or two of its members to the Board of Directors for possible selection as the committee chair. A committee 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

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 chair to identify committee 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 chair or the staff, at the request of the committee chair, will confirm interest of all nominees.

Responsibilities of Committee Chair.

The committee chair shall:

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

2. Provide reports regarding the work of the committee to Division I governance and membership entities as needed (e.g., NCAA Division I Legislative 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 to written or verbal requests from NCAA-affiliated constituents (e.g., member conferences, member institutions, coaches associations);

5. Oversee development of committee agendas;

6. Appoint members to committee 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 subcommittee chairs;

9. Recommend to the 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 chair to the Board of Directors;

11. Review requests for appeals of subcommittee decisions on ineligibility for postseason competition to determine if the request should be reviewed by the full committee; and *(Revised: 01/12; Effective: 01/12*)

12. Consider requests to extend the timeline for appealing a Level-Three penalty waiver request; and *(Revised: 01/12; Effective: 01/12)*

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

Selection of Vice Chair.

The Board of Directors may, at its discretion, select an individual to serve as vice chair of the Committee on Academic Performance. The vice chair is eligible for position of vice chair only if he or she is the chancellor or president of an active Division I institution. *(Adopted: 10/08)*

Selection of Subcommittee Chairs.

Each of the committee's two subcommittees shall have a chair.

Subcommittee chairs normally shall serve as chair for the remainder of their respective committee 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 chair.

4. The committee 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 chair that a member of his or her subcommittee be replaced if such member is not fulfilling his or her duties.

5. Present subcommittee reports during committee meetings.

6. Participate as members of the Administrative Committee.

7. Recommend selection of new subcommittee chair.

8. The chair of the Subcommittee on Appeals shall hear any requests for extensions of the timeline for Level-One and -Two penalty waiver appeal requests.

Selection of Ad Hoc Members.

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

Agenda Development.

1. The committee chair shall have final authority to determine the committee 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 consideration shall forward such items to the committee's primary staff liaison at the NCAA 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 will receive all subcommittee agendas and supplements in advance of the subcommittee meetings to ensure that each committee 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.

Meeting Participation by Noncommittee on Academic Performance Members.

Appearances of noncommittee members (other than staff) before the committee 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 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. These reports shall include any requests for full committee action recommended by the subcommittee.

2. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.

3. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.

4. If further deliberations are required, the committee 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 shall be by show of hands of the committee/subcommittee members present and voting, except for actions taken by the unanimous or obvious consent. Committee/subcommittee 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 members are expected to adhere to this policy.

Absences.

The committee generally conducts in-person meetings four times annually. Alternates may not be appointed to attend a meeting in the absence of a committee member. Committee 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. Further absences will result in the committee chair or staff contacting the committee member and/or the conference office of the representative to discuss the member's excessive absences. A committee member may be dismissed from the committee after further absences.

Conflicts of Interest.

A committee 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 members must recuse themselves from participation in a waiver appeal, data review or committee discussion in which he or she is personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). 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 or discussion. However, a committee member that has recused him- or herself may participate in the preparation of a waiver request for their own

institution, including but not limited to drafting the waiver application, preparing waiver arguments and gathering waiver materials.

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 a waiver request or data review must be raised with and resolved by the chair or acting chair as soon as recognized but will not be considered unless the concern is raised prior to the committee's review. Participation by a committee member in previous APP matters involving the institution or with regard to general policy (e.g., APR adjustments) does not constitute a conflict of interest requiring recusal.

This conflict of interest policy shall apply for all aspects of the committee member's participation in committee-related activities.

In the event that the committee chair or a subcommittee chair must recuse himself or herself or is unable to participate in committee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, in the event that an institution objects to the chair participating in a review or waiver request based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the hearing. If the acting chair finds that no conflict exists, then the chair may resume his or her role. *(Revised: 12/08)*

Adopting/Revising and Publishing Policies and Procedures – General.

The committee shall have the authority to adopt or revise policies and procedures as contained in this APP manual 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. As necessary, adoptions and revisions approved by the committee shall be forwarded for review and approval to the Board of Directors.

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 policies and procedures, including, but not limited to Bylaws 23, 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 and Interpretations Committee, nor the NCAA Division I Legislative Council Subcommittee for Legislative Relief 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 policies 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 interpretation process.

Request Process.

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

1. Referrals from the NCAA academic and membership affairs 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 academic and membership affairs 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. 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.

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 Level-One and -Two 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 Level-One and -Two penalties, any other matters related to appeal, 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 penalties and rewards structure. All issues related to the imposition and appeal of Level-Three 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: 04/07; Effective: 04/07)*

Meeting Protocol.

Committee meetings may occur in person, by teleconference, by email 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 teleconference by the chair of the committee or subcommittee.

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 document applies to the committee members' involvement in interpretive matters.

Issuance of Interpretations.

Interpretations issued by the committee/subcommittee/staff 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 Legislative Services Database for the Internet (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 an interpretation 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.

KEY TERMS AND CONCEPTS

APR

The APR is a term-by-term measure of eligibility, retention and graduation for student-athletes who have received institutional financial aid based in any degree on athletics ability during the academic term(s) in question. For those athletics programs/institutions that do not offer athletically related financial aid, this rate will be calculated on a subset of recruited student-athletes. Data collection for this "snapshot" rate, calculated on a team-by-team basis, will occur at the beginning of each academic year (based on student-athlete academic performance during the previous academic year) and team rates will be reported the following spring. There are several variables required to calculate the APR. First, each institution must determine the term-by-term academic-eligibility status for each student-athlete in the cohort.

Second, the question of retention for each student-athlete must be determined by confirming if each student-athlete returned (or continued enrollment) as a full-time student or satisfied a legislated exception for full-time enrollment as of the fifth week of classes or the official census date, whichever is earlier, in the following regular academic term.

Rate Calculation – General

Each student-athlete in the APR cohort has the ability to earn two points for each regular academic term of full-time enrollment. One point is awarded if the student-athlete is academically eligible to compete the following regular academic term. The other point is awarded if the student-athlete is retained by the institution (i.e., returns to school as a full-time student as of the fifth week of classes or the official census date of the institution, whichever is earlier) in the next regular academic term. Student-athletes who graduate will be given both the eligibility and retention points for the term in which they graduate, while those who leave after five years of enrollment (i.e., 10 full-time semesters or 15 quarters) without graduating will not earn any points for their last term of enrollment in that fifth year. At the start of each academic year, each Division I team's APR will be calculated by adding all points earned by student-athletes in the team's cohort and any delayed-graduation points and dividing that number by the total possible points that could have been earned. The raw APR is multiplied by 1,000 to achieve the final APR.

Beginning fall 2007, the APR was based on four years of data for most institutions (i.e., 2003-04, 2004-05, 2005-06 and 2006-07). Every year thereafter, the most current year's data will be added and the oldest year of data will be removed, creating a four-year rolling rate.

Rate Conversion for Final APR – Semester Schools

Translating the scores from decimals to whole numbers aids in the understanding and interpretability of scores. This translation does not alter the meaning of the scores; rather, it puts the scores in terms that are more understandable. In order to achieve final APR for semester schools, raw APR are multiplied by 1,000.

Example: Raw APR of .97 x 1,000 = 970 final APR

Multiyear APR

The APR is comprised of four years of APR data, resulting in a multiyear rate. 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. The APR is used to demonstrate academic performance of all Division I teams. In addition, it is used to determine what teams are subject to penalties and rewards within the APP structure. The APR also serves as a point of academic access to postseason competition. *(Revised: 10/11; Effective: 10/11)*

Why total the rate over a number of years instead of averaging the rates?

Teams' multiyear APR will be determined by adding the numerators and denominators for all included years and then dividing the overall numerator by the overall denominator to calculate the multiyear rate. This is the statistically correct way of creating a multiyear rate. This method will take into account the differences in numbers of student-athletes in the calculation from year to year and also accounts for teams with smaller cohort sizes. This approach is more accurate and weighs each student-athlete equally.

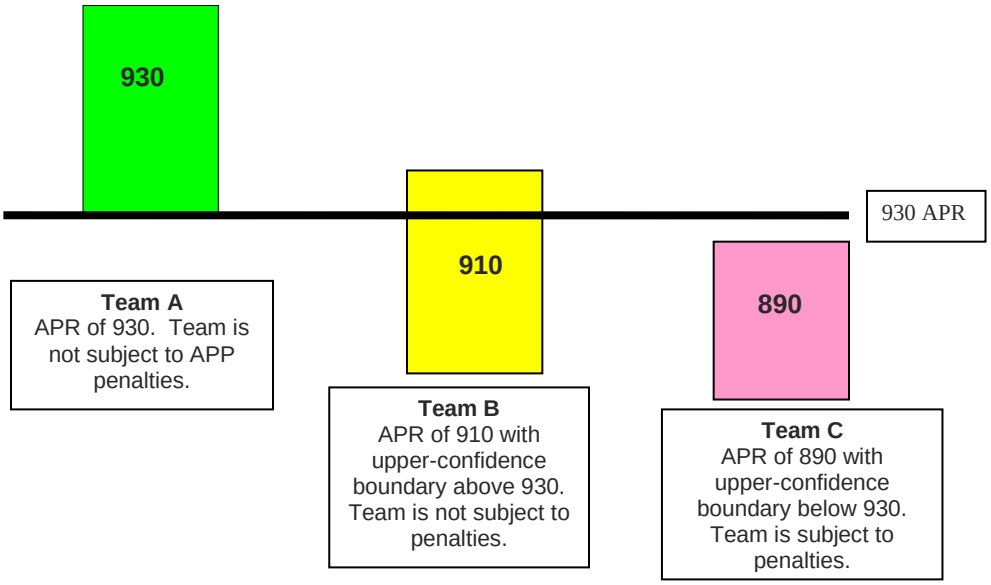
Squad-Size Adjustments

The issue of small sample sizes for particular teams or sports and their impacts relative to APP penalties is addressed using a statistically derived margin of error value for each squad size. This will help ensure that any penalties given to teams with small sample sizes are as statistically valid as those for teams with large sample sizes. A consistent margin of error set at a confidence level of 84 percent will be applied to determine each team's subjectivity to the penalty. This means that the upper-confidence boundary of a team's APR would have to be below 930 (900 in 2011-12 and 2012-13) for that team to be subject to APP penalties.

The squad-size adjustment no longer applies to most teams, and the penalty benchmark must be met using the team's most recent four-year rolling rate. Teams with a multiyear APR that includes less than 30 student-athletes in the four-year cohort and teams with less than four years of APR data will continue to benefit from use of the squad-size adjustment.

The following graphic depicts use of the upper confidence boundary:

Squad-Size Adjustment Example



In this example, Team B has an APR of 910. With the squad-size adjustment, the team's upper-confidence boundary is above 930; therefore, the team is not subject to APP penalties or a loss of access to postseason competition. However, Team C has an APR of 890 and even with the squad-size adjustment, its upper-confidence boundary is below 930. Therefore, Team C will be subject to APP penalties pending a review of the filters.

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 930. Note that that these are approximation to the actual formula and should only serve as rough guidelines.

Number of student-athletes in multiyear APR cohort (N)	Approximate minimum APR to meet squad-size adjusted APR >=930
2	750
3	785
4	805
5	820
6	825
7	835
8	840
9	845
10	850
11	855
12-13	860
14-15	865
16-18	870
19-22	875
23-26	880
27-33	885
34-41	890
42-55	895
56-75	900
76-109	905
110-172	910
173-311	915
312+	920

Calculation of APR for Quarter Schools

During initial development of the assessment component of the NCAA's academic reform package, the APR was envisioned as a single annual check of academic eligibility and retention for each student-athlete. However, in the process of finalizing the APR, strong membership support arose for a term-by-term measure of academic performance that allowed a student-athlete to accrue APR points with each academically successful term and that provided a more direct correspondence with the current Division I progress-toward-degree standards.

The decision to make APR a term-by-term rate created a computational complexity in that student-athletes at semester schools can earn up to four points each year (eligibility and retention

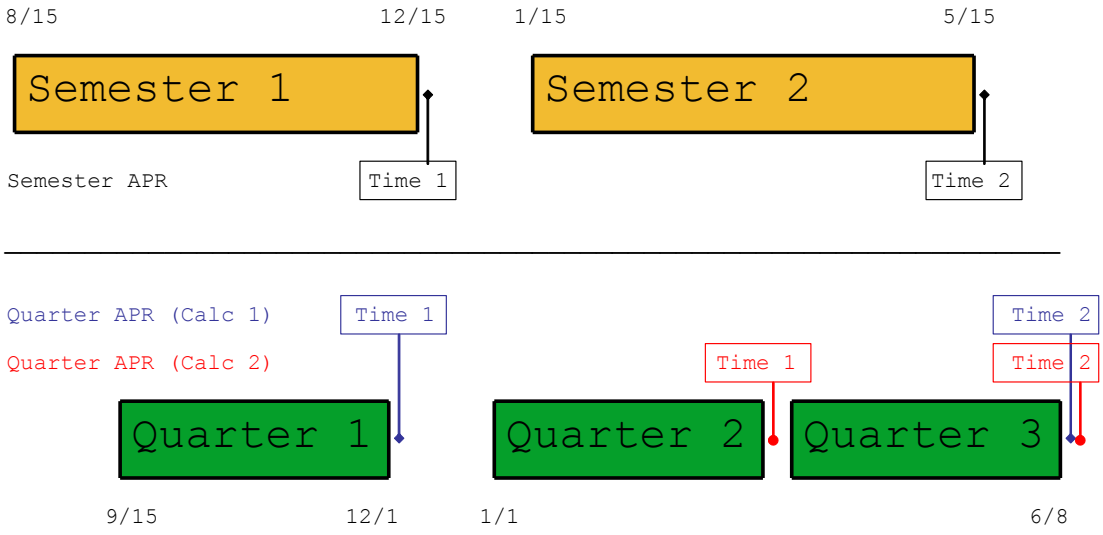
at the end of each of two semesters) while students at quarter schools can each earn up to six points (eligibility and retention at the end of each of three quarters). Significant study of this issue by outside statisticians, the NCAA Data Analysis Research Network, the NCAA Research Committee and the Committee on Academic Performance resulted in clear consensus that quarter schools would unfairly benefit from being able to accrue up to six points per year for each student.

A revised computation of APR for quarter institutions was approved by the Committee on Academic Performance in July 2005 and by the Board of Directors in August 2005. The details of the formula are presented in a companion document on the Committee on Academic Performance website.

The underlying framework for the revised calculation involves a rather simple idea of basing the APR of quarter squads on two assessments during the year rather than three. An end-of-year assessment was chosen as one of the time points because various progress-toward-degree benchmarks are only required to be assessed at that time, because eligibility and retention losses are much more likely at that point in the year, and because it was the only natural assessment point common to both calendar systems. Rather than choosing a single midyear assessment point for quarter squads that takes less of the academic year (end of fall quarter assessment) or more of the academic year (end of winter quarter assessment) into account compared to the midyear assessment performed at semester schools, the quarter squad calculation uses data from both midyear eligibility/retention checks.

Essentially, a rate is calculated using the fall and spring assessments (quarter APR Calculation 1 below) and then averaged with a rate calculated from the winter and spring assessments (quarter APR Calculation 2). The table below displays for a number of student-athlete academic trajectories possible on a quarter squad in a given year, how Calculation 1 (termed the fall-spring calculation in the table) and Calculation 2 (the winter-spring calculation) would work in each case. The points are summed across the two calculations (column labeled eight-point scale) and then numerators and denominators are divided by two to map the components of the quarter squad APR onto a semester-like four-point scale. As can be seen from the examples, the results of the spring assessment contribute more heavily to a student-athlete's APR contribution at the quarter school than do either of the other assessments.

Mapping of Quarter Calendar to Semester Calendar



Notes: Length of bar represents length of academic term (approximately 10 weeks or 50 class days for quarter schools; approximately 15 weeks or 75 class days for semester schools). Chronology of an example academic year shown from left to right.

See Appendix F for a table that provides a rough guide of possible individual student-athlete outcomes.

Retention

A student-athlete will be considered "retained" if he or she returns to the member institution for the next regular academic term and is enrolled full time as of the fifth week of classes or the official census date of the institution, whichever is earlier. Student-athletes who meet a legislated exception to the full-time enrollment legislation and otherwise meet this definition are considered retained. Therefore, if a student-athlete withdraws from a member institution prior to five weeks after the first day of classes or the official census date of the institution, whichever is earlier, he or she has not been "retained" by the institution and the retention point will not be awarded for the previous term. Retention does not require a student-athlete to return to the athletics team, rather it requires the student-athlete to return to the institution as described.

Example:

A student-athlete was a women's volleyball player and received athletics aid at Institution X for 2006-07. At the end of spring 2007, student-athlete earned the eligibility point. The

student-athlete re-enrolled full time at Institution X for fall 2007 and received athletics aid. She then withdrew from Institution X two weeks after the first day of classes. Institution X's official census date is four weeks after the start of the term; as a result, the student-athlete did not earn her retention point for spring 2007, because she was not enrolled as a full-time student at Institution X for the next regular term as of the institution's official census date. Further, the student-athlete will not be included in the cohort for the 2007 fall semester because she withdrew prior to the institution's census date.

Please be aware that waivers of full-time enrollment are considered legislated exceptions. For example, if a student-athlete received a progress-toward-degree waiver for full-time enrollment due to an education-impacting disability, the student-athlete would still be considered retained if he or she returns or continues enrollment at the certifying institution.

Academic Eligibility

A student-athlete will be considered eligible if he or she meets all applicable academic-eligibility requirements after completing the term (e.g., NCAA progress-toward-degree requirements, conference academic requirements, institutional good academic standing), including suspension related to any academic offense. This data field answers the question, "Is this student-athlete academically eligible to compete the next regular academic term?" The question must be answered even if the student-athlete or the student-athlete's team does not compete in that academic term. *(Revised: 10/09; Effective for the 2009-10 APR cohort, not retroactive to any prior year cohorts.)*

A student-athlete is awarded one point for eligibility if the student-athlete is academically eligible to compete in the following regular academic term. Any change to a student-athlete's spring-term-eligibility status must occur not later than the time APR data is submitted in the fall in order to capture the earned eligibility point and any change to a student-athlete's fall or winter-term-eligibility status must occur not later than the sixth week of the subsequent regular academic term in order to capture the earned eligibility point. For example, a student-athlete who was not eligible at the beginning of the spring semester due to an incomplete grade from the fall semester must complete the necessary coursework to become eligible within the first six weeks of the spring term to earn the APR eligibility point for the prior fall term.

Exhausted Eligibility

A recruited student-athlete has exhausted his or her eligibility for competition in the sport in which athletics aid was awarded or received institutional athletics aid per Bylaw 15.5.1.6. This includes:

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 nonqualifier who has used all three seasons of competition and fails to earn a fourth season of competition by not completing 80 percent of his or her degree program prior to the start of his or her fifth year.

3. A fall sport student-athlete who concludes his or her competitive eligibility at the end of the fall term and does not return to the institution subsequent to the fall term.

4. A spring sport student-athlete who concludes his or her competitive eligibility at the end of four years. *(Adopted: 04/07; Effective: 04/07 for the 2007-08 APR cohort, not retroactive to any prior year cohorts.)*

Graduation

A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated. This definition provides for students to be considered "graduated" when the institution defines the student as graduated. Student-athletes who graduate earn more APR value for their team than student-athletes who do not. Only graduates will be given the maximum possible points for their time at an institution.

Census Date

The designated day in an academic term when an institution takes official enrollment counts (e.g., drop/add deadline for classes). This is determined by the institution and will vary from institution to institution.

APC

The APC is an annual compilation of academic performance variables (e.g., credit hours, grade-point average) mandated by Division I legislation, which includes submission of data regarding two-year college transfers student-athletes. Results from previous APC data collections have been the basis for Division I academic legislation and policies. Beginning fall 2009, institutions were required to submit and verify information for the Head Coaches' APR Portfolio as part of its APC data. APC data will be collected annually in the fall in conjunction with APR data. *(Revised: 10/08; Effective with the collection of 2008-09 APC data.)*

Head Coaches APR Portfolio

Available on www.ncaa.org, the Head Coaches APR Portfolio provides single-year APRs for every year during which a head coach is associated with a team, along with hire date and the date the coach left the head coaching position. Any head coach who is in place at any point during an academic year (August 1-July 31) will be assigned that team's APR for that year. For example, if

a coach leaves a program six weeks into an academic year, he or she will still be assigned the APR for that team for the year, as will the coach who is hired to fill the position subsequently.

GSR

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 is calculated for each team. The cohort includes student-athletes who receive athletics aid in the first year of enrollment at the institution either as initial enrollees or transfers. 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.

The Division I membership passed legislation stipulating that all member institutions provide the information contained in its Federal Graduation Rate 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. Data for the GSR will be collected and rates will be calculated as part of the annual graduation rates reporting process each spring/summer. 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.

Beyond combining the pre-existing, six-year rate and the transfer rate for each cohort, it will be necessary to discount student-athletes who withdrew from the institution within the six-year window and would have been academically eligible had they returned (based on NCAA, conference and institutional requirements applicable to each student-athlete).

COMPOSITION OF THE APR COHORT

2006-07 Cohort and Beyond.

For teams awarding institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of student-athletes who:

- Received institutional financial aid based in any degree on athletics ability and are enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier, or satisfied a legislated exception to full-time enrollment. (Legislated exceptions to full-time enrollment include progress-toward-degree waivers that permit less than full-time enrollment.)

Exception: Student-athletes who have graduated and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.

Exception: Student-athletes who are enrolled beyond five years/10 semesters of actual full-time enrollment and have exhausted athletics eligibility shall not be included in the APR cohort even if such students meet the above criteria.

For teams that do not offer institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of recruited student-athletes who are enrolled full time and:

1. Are listed on the varsity team's roster on or after the first date of competition in the championship segment; or

2. Have exhausted eligibility and return to the institution as fifth-year students to complete their baccalaureate degree. *(Adopted: 01/07; Effective: 01/07 for the 2006-07 APR cohort, not retroactive to any prior year cohorts.)*

Noncounters on Athletics Aid – Inclusion in the APR Cohort

Noncounters who meet the cohort definition are included in the APR cohort. Fifth-year student-athletes who have exhausted eligibility but return to complete graduation requirements also are included in the APR if they are receiving athletics aid (for those institutions/teams that offer athletics scholarships).

See Appendix A to review frequently asked questions regarding which student-athletes should be included in the APR cohort.

Recruiting Definition.

For teams that do not offer athletics aid, "recruited" is defined per Bylaw 13.02.13.1 as follows:

Actions by staff members or athletics representatives that cause a prospective student-athlete to become a recruited student-athlete at that institution are:

1. Providing a prospective student-athlete with an official visit;

2. Having an arranged, in-person, off-campus encounter with a prospective student-athlete or the prospective student-athlete's parent(s), relatives or legal guardian(s);

3. Initiating or arranging a telephone contact with the prospective student-athlete, the prospective student-athlete's relatives or legal guardian(s) on more than one occasion for the purpose of recruitment; or

4. Issuing a National Letter of Intent or the institution's written offer of athletically related financial aid to the prospective student-athlete. Issuing a written offer of athletically related financial aid to a prospective student-athlete to attend a summer session prior to full-time enrollment does not cause the prospective student-athlete to become recruited.

Multisport Student-Athletes.

A multisport student-athlete receiving athletics aid will be included in the cohort of the sport in which his or her aid counts toward the team limit. For example, if a student-athlete competes in football and outdoor track, his aid would count toward the football team limit and he would, therefore, only be included in the football APR cohort.

For multisport student-athletes, the "recruited" label should be sports specific. In other words, the student-athlete is only in the cohort(s) for the sport(s) in which he or she was recruited.

Student-Athletes in Cross Country, and Indoor and Outdoor Track and Field.

Although athletics aid awarded in cross country, and indoor and outdoor track and field count against a single athletics aid total, an institution's cross country, and indoor and outdoor track and field teams each have a separate APR. The APR for each sport is comprised of student-athletes who receive athletics aid in either cross country, indoor or outdoor track and field and are on each respective team's roster as of the first date of competition of the championship segment. [Note: For institutions that do not offer athletics aid, the APR for each sport is comprised of recruited student-athletes who are on the team's roster as of the first date of competition of the championship segment.] Each team is evaluated separately, even though in most cases many of the student-athletes are the same, to avoid penalizing all teams if one team were to underperform academically.

See Appendix B to review examples regarding the application of APR cohorts to the sports of cross country and indoor and outdoor track and field.

Student-Athletes Returning for a Sixth Year.

Student-athletes who have completed five years or 10 semesters/15 quarters of actual full-time enrollment and have exhausted athletics eligibility are not included in the APR cohort, even if

they continue to receive athletically related financial aid. If the student-athlete has athletics eligibility remaining in the sixth year, generally due to a five-year clock extension, he or she would be a part of the cohort if he or she meets the definition of inclusion in the cohort (i.e., receiving athletics aid and enrolled full time or meets a legislated exception to full-time enrollment).

As a reminder, if after five years the student-athlete has not earned his or her degree, he or she will not earn the eligibility point for the last term of the fifth year. Earning a degree in year six would help a team with its GSR and IPEDS-GRS, but the APR's goal is graduation in five years, consistent with the current Division I progress-toward-degree standards.

ALTERNATIVE IDENTIFICATION OF COHORT OR DEFINITION OF RECRUITED STUDENT-ATHLETE

Introduction.

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 and/or Subcommittee on Data Collection and Reporting will render for the current academic year one of the following decisions:

1. **Approval:** The staff and/or Subcommittee on Data Collection and Reporting determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete.

2. **Denial:** The staff and/or Subcommittee on Data Collection and Reporting 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 13.02.13.1.

3. **Modified Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting permits the institution to use the modified alternative definition of recruited student-athlete.

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 on Data Collection and Reporting's determination shall be final and shall not be subject to further review.

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 on Academic Performance.

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 on Data Collection and Reporting shall determine whether or not any appeal filed after 14 calendar days will be considered.

Review Procedures.

The Subcommittee on Data Collection and Reporting shall conduct its meetings and deliberations by facsimile, teleconference, email, Internet or in-person meeting. Deliberations shall involve only Subcommittee on Data Collection and Reporting members and national office staff.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting until the staff has reviewed and considered the new information.

APR DATA POLICIES

Graduation "Required" After Five Years of Enrollment.

After completion of a student-athlete's 10th full-time semester/15th full-time quarter of actual full-time enrollment, the student-athlete must graduate in order to earn the APR eligibility point for the 10th semester/15th quarter. A student-athlete who completes five years of enrollment and does not graduate will lose the eligibility point for the 10th semester or 15th quarter.

See Appendix C to review questions and answers regarding the application of graduation to APR.

DELAYED-GRADUATION POINTS

Introduction.

An institution will be awarded an APR point (i.e., "1/0") for a former student-athlete who completed 10 semesters or 15 quarters of actual collegiate enrollment without graduating and returns to the institution and graduates or continues enrollment at the institution and graduates. This point will be awarded to the team's APR in the academic year (i.e., term) the former student-athlete graduates, provided the former student-athlete meets the criteria listed below.

The criteria are as follows:

1. The former student-athlete must graduate from the institution fall 2006 or later.

2. The former student-athlete cannot satisfy the definition to be included in the team's APR cohort in the term in which he or she graduated from the institution.

3. The former student-athlete must have lost either the eligibility or retention point in his or her last term in the APR cohort, or would have lost a point if the student-athlete departed prior to the implementation of the APR in 2003-04 or prior to when the institution was first required to submit APR data (e.g., multidivisional, reclassifying or provisional institution). (Note: If the lost eligibility or retention point was adjusted, then no APR point was actually lost, so no delayed point can be awarded.) *(Adopted: 07/06; Effective: 07/06)*

[Note: In order for an institution to award the delayed-graduation point, the former student-athlete must graduate from the original institution where he or she lost the APR point(s) or from a state university-system institution or branch campus with the same federal identification number.]

Requests for Delayed-Graduation Points from Prior Cohort Years.

Institutions are permitted to request delayed-graduation points for any academic year cohort included in the institution's multiyear APR cohort. Such requests will be permitted only during data submission, and delayed-graduation points awarded from prior academic year(s) will not affect the status of any previously earned penalties or incentives. Further, an institution may request relief from a penalty based on the awarding of additional delayed-graduation points in subsequent academic year(s) if the penalty has not been imposed. Retroactive incentives are not available. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years.

Please note that if a team with a single-year APR of 1000 is subsequently awarded delayed-graduation points, such points will be added to the team's multiyear rate. *(Adopted: 07/06; Effective: 07/06)*

Determining Eligibility for a Student-Athlete Who Leaves the Institution.

If a student-athlete departs the institution, the eligibility point is awarded for his or her last term of enrollment if the student-athlete would have been academically eligible to compete the next regular academic term. In other words, the institution must determine what academic-eligibility rules the student-athlete would have been subject to if he or she had returned :i.e., institutional, conference and NCAA), apply those standards to the student-athlete's academic record and determine if he or she would have been academically eligible to compete if he or she had returned.

Determining Eligibility for Student-Athletes Who Depart an Institution or Quit the Team Without Declaring a Degree.

A student-athlete transfers from Institution A to Institution B between his or her fourth and fifth semesters (or sixth and seventh quarters) without declaring a degree at Institution A. May Institution A apply the degree of its choice to the student-athlete's academic record for purposes of determining the student-athlete's eligibility for data collection?

If a student-athlete leaves an institution or quits the team and remains at the institution without declaring a degree at the time degree declaration is legislatively required, an institution may consider the student-athlete's academic record using any of the institution's degree programs for purposes of determining if the student-athlete would have met all required academic-eligibility requirements. If, in using this degree, the student-athlete would have been academically eligible, the institution will be awarded the eligibility point for purposes of the APR.

Determining Eligibility for Student-Athletes Who Return to an Institution Subsequent to Graduation.

A student-athlete graduates from Institution A during the fall term and returns to the institution to complete his or her athletics eligibility in the spring term. How is the student-athlete's eligibility calculated if the student-athlete begins coursework toward a second baccalaureate degree?

Once a student-athlete has graduated, he or she is always awarded the retention point for any subsequent terms of enrollment, even if the graduated student-athlete transfers to another Division I institution and enrolls in graduate school. The eligibility point is earned if the student-athlete is academically eligible to compete in the subsequent academic term (e.g., passes at least six hours of degree credit, remains in good academic standing).

Year of Residency.

Question No. 1:

A *student-athlete transfers to Institution X, enters in the fall term and must serve one year of residency (e.g., does not satisfy a transfer exception). The student-athlete is retained for the spring term and meets all applicable academic-eligibility requirements to be eligible for competition in the spring term (e.g., six-hour and grade-point-average requirements) but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the fall term?*

If the student-athlete would have been academically eligible to compete except for the transfer residency requirement, the student will receive the eligibility point for the fall term.

Question No. 2:

A student-athlete is a partial or nonqualifier at Institution X entering in the fall term and must serve one year of residency (e.g., does not satisfy initial-eligibility requirements). The student-athlete is retained for the spring term and meets all applicable academic-eligibility requirements, but is serving a year of residency and is not able to compete in the spring. Does this student-athlete earn the eligibility APR point for the spring term?

If the student-athlete is academically eligible to compete except for the residency requirement, the student will receive the eligibility point for the spring term.

Fall Term Certification in the Sport of Baseball.

A baseball student-athlete who was not academically eligible to compete in the fall term per Bylaws 14.4.3.1.3.1, 14.4.3.1.4.2, 14.4.3.1.5, 14.4.3.2.3.1 and 14.4.3.3.2.1 may earn the eligibility point for a term in that academic year if he would have been academically eligible to compete in the subsequent term of the same academic year but for the fall only certification requirement. *(Adopted: 10/07; Effective: 08/08 for the 2008-09 APR cohort.)*

Progress-Toward-Degree Waivers – Eligibility Point.

Student-athletes who receive conference or NCAA waivers of academic requirements earn the eligibility APR point based on the granting of the waiver. [Note: This assumes all other applicable academic-eligibility requirements have been met.] Further, the point is earned if the progress-toward-degree waiver has been granted prior to the APR data submission date. If the waiver was granted after the APR data submission date, the lost eligibility point may be addressed through the adjustment process.

Progress-Toward-Degree Waivers – Retention Point.

Student-athletes who receive a progress-toward-degree waiver that permits them to be enrolled part time, any other waiver that permits less than full-time enrollment or who met a legislated exception to the full-time enrollment requirement are considered retained at the time of enrollment at the institution in a subsequent regular academic term.

See Appendix D for a review of examples of miscellaneous APR calculations.

Incomplete Grades.

Example No. 1:

A basketball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2008 summer term, he or she received an "incomplete" in one class that must be completed in order for him or her to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2008 summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

Example No. 2:

A softball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2007 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term. Therefore, this student-athlete would not have earned the eligibility point for the 2007 fall term, regardless of the term in which the completed course grade was applied.

LEGISLATED EXCEPTIONS/ALLOWABLE EXCLUSIONS

Introduction.

A legislated exception is any deviation from NCAA standards allowed by the legislation itself or a waiver of the legislation. Legislated exceptions/allowable exclusions include student-athletes who:

1. Have spent time in the armed services;

2. Have participated in official religious missions;

3. Have served with recognized foreign aid services of the U.S. government;

4. Meet the requirements for an NCAA pregnancy exception at the time of departure;

5. Meet the requirements for an athletics activities waiver (not an international competition waiver); or

6. Are deceased or permanently disabled.

Sample APR Calculation Involving Legislated Exceptions.

Student-athletes, who leave school, do not meet a legislated exception to the five-year rule and later return, receive how many APR points?

The following sample provides a sample calculation.

	Fall Semester	**Spring Semester**	**Total Points Earned/ Total Possible Points**
Year One	E + R = 2	E + R = 2	4/4
Year Two	E + R = 2	E = 1	3/4
Year Three	No attendance – does NOT meet exception.		Not included in APR this year.
Year Four	E + R = 2	E + R = 2	4/4

Understanding Points for Legislated Exceptions/Allowable Exclusions.

Example No. 1:

Semester One ("2/2")	
Retention	Yes
Eligibility	Yes
Semester Two ("1/1")—SA begins active military duty	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Point Total	**"3/3"**

Example No. 2:

Semester One ("2/2")	
Retention	Yes
Eligibility	Yes
Semester Two ("0/1")—SA not retained—pregnancy exception	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	No
Point Total	**"2/3"**

Example No. 3:

Semester One ("1/1")	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Semester Two (Not enrolled)	
Retention	N/A
Eligibility	N/A
Point Total	**"1/1"**

Example No. 4:

Semester One ("0/1")	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	No
Semester Two (Not enrolled)	
Retention	N/A
Eligibility	N/A
Point Total	**"0/1"**

International Competition and Olympic Sports Waivers – Retention.

[Bylaws 14.2.1.4, 14.4.3.6-(b) and 14.4.3.7]

If a student-athlete is granted a waiver per Bylaws 14.2.1.4, 14.4.3.6-(b) or 14.4.3.7 and therefore is not enrolled for an entire regular academic term, is the APR retention point awarded for the prior term? For example, a student-athlete is in the APR cohort in the 2007 fall semester, but in preparation for the 2008 summer Olympics, receives an Olympic Sports waiver for the 2008 spring semester. How is the retention point considered for the 2007 fall semester?

Student-athletes who receive an Olympic Sports waiver per Bylaw 14.4.3.7 will not have their retention point considered as part of the APR calculation for the term prior to the waiver. In the example, if this student-athlete is academically eligible to compete in the 2008 spring term the student would receive one out of one point (i.e., "1/1") for the fall term. The retention point would not be calculated. This is consistent with the calculation for student-athletes who are allowable exclusions to the graduation rate calculation or legislation exceptions to the five-year clock. Further, such student-athletes would not be included in the cohort for the spring term.

If an institution receives an athletics activities waiver for a student-athlete that participated in the Olympics, the institution should follow all prompts in the APP system related to Legislated Exception/Allowable Exclusion to address the lost retention point. If an institution does not receive or has yet to apply for an athletics activities waiver, the institution will lose the retention point; however, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point.

Note: If an athletics activity waiver is not granted for a student-athlete, the institution would be permitted to file an adjustment request during the appropriate period to address the lost retention point, even if the student-athlete was granted a progress-toward-degree waiver.

Medical-Absence Waivers [Bylaw 14.4.3.6-(a)].

If a student-athlete is granted a medical-absence waiver per Bylaw 14.4.3.6-(a), is the student-athlete included in the cohort? For example, if a student-athlete in the cohort initially attends the institution for nine weeks, withdraws for a serious medical condition and is granted a medical-absence waiver on his or her return in the spring term, is this student-athlete included in the cohort?

Yes. The student-athlete is included in the cohort for the term(s) in which the medical-absence waiver applies. Any lost APR points should be addressed through the APR adjustment process. *(Adopted: 04/09; Effective with the collection of the 2008-09 APR data, not retroactive to any prior year cohorts.)*

Calculating Data When Legislated Exception Criteria are Not Satisfied.

How should an institution calculate the APR for a student-athlete who uses an exception to the full-time enrollment requirement and subsequently does not fulfill the conditions of that requirement (e.g., a student-athlete enrolled in less than a full-time program of studies required to complete graduation requirements does not graduate in that term)?

The student-athlete would not earn the eligibility point for the term in which he or she enrolled in less than a full-time program of studies and failed to graduate. However, the student-athlete would earn "2/2" in the term in which graduation occurs. Losing the eligibility point would be consistent with the application of the exception for less than full-time enrollment for the final semester of a student-athlete's baccalaureate degree program. Such a student-athlete who fails to complete all degree requirements during the term forfeits eligibility in all sports.

Missed-Term Exception [Bylaw 14.4.3.5-(a)].

An institution may request, one time during a student-athlete's career, an APR adjustment to a lost retention point, based on the following criteria:

1. The student-athlete must meet all criteria for the missed-term exception as outlined in Bylaw 14.4.3.5-(a);

2. The student-athlete must return to the institution as a full-time student in a subsequent term; and

3. The student-athlete must have lost the retention point but earned the eligibility point in his or her last term in the APR cohort prior to departure. *(Adopted: 04/07; Effective: 04/07 for the 2006-07 APR cohort, not retroactive to any prior year cohorts.)*

See Appendix E for further questions and answers regarding application of the missed-term exception.

REPORTING ELIGIBILITY FOR STUDENT-ATHLETES IN A FIVE- OR SIX-YEAR DEGREE PROGRAM

General.

Question No. 1:

What is the definition of a five- or six-year baccalaureate degree program?

If the student-athlete's academic program is identified in the institution's official catalog as a five- or six-year baccalaureate degree program, it should be treated as such for purposes of determining the student-athlete's APR eligibility points. In addition, any baccalaureate degree program that requires at least 150-semester or 225-quarter hours to complete is considered a five-year baccalaureate degree program, according to NCAA legislation.

Question No. 2:

How are APR points awarded for student-athletes enrolled in five- and six-year programs?

A student-athlete enrolled in a five- or six-year degree program will earn an eligibility point in a term if the student-athlete is academically eligible to compete the following regular academic term based on applicable eligibility requirements for five- or six-year baccalaureate degree programs. A student-athlete enrolled in a five- or six-year degree program will earn a retention point if the student-athlete is retained as a full-time student the following regular academic term.

Question No. 3:

How is the APR eligibility point determined for a student-athlete enrolled in a five- or six-year degree program during the last term of his or her fifth year?

The APR eligibility point normally is awarded only if a student-athlete graduates at the conclusion of five years. A student-athlete enrolled in a five- or six-year degree program who is completing his or her fifth year, will be awarded a point for eligibility in the last term, provided he or she meets the academic requirements outlined below.

Five-Year Degree Programs.

A student-athlete in a five-year degree program, or a degree that requires a minimum of 150-semester or 225-quarter hours for completion, must have 83 percent of his/her degree completed and be in good academic standing to be awarded an eligibility point for the last regular academic term of his or her fifth year:

Six-Year Degree Programs.

A student-athlete in a six-year degree program will be awarded a point for eligibility at the end of his or her fifth year provided the student-athlete is in good standing and has completed all requirements of the designated degree program for years one through five.

Example:

Student-athlete B is enrolled in a six-year degree program that requires the student-athlete to complete 208-semester hours. During the sixth year of the degree, the student-athlete is required to complete two rotations for 40-semester hours. At the conclusion of student-athlete B's fifth year, he or she has completed all of the academic requirements of his or her degree except for the two required rotations. The institution may award the eligibility point for this student because he or she has completed all of the requirements for the designated degree programs for years one through five and has only the requirements for the sixth year remaining.

COMMON DATA ENTRY SCENARIOS

Scenarios.

	Fall Semester	**Spring Semester**	**Total Points Earned/ Total Possible Points and Explanation**
SA 1 The five-year graduate.	*Fifth year of enrollment, last season of eligibility, eligible for spring term and retained.* E + R = 2	*Fifth year, last term of eligibility and graduates.* G + G = 2	"4/4"
SA 2 The four-year graduate.	*Fourth year of enrollment, last season of eligibility, eligible for spring and retained.* E + R = 2	*Fourth year, last term of eligibility and graduates.* G + G = 2	*Retention or no retention, the student receives the maximum two points this term since he or she graduated.* "4/4"
SA 3 The four-year graduate continues to the fifth year.	*SA graduated in four years (has baccalaureate) and is eligible to compete in fifth year. SA meets midyear eligibility requirements (e.g., six hours) after fall term and is retained.* E + G = 2		*Graduates who have remaining eligibility automatically receive the retention point. The eligibility point is based only on eligibility requirements for graduates.* *If this SA leaves midyear, he or she receives "2/2" points.* *If this SA is retained for the full year and meets the eligibility requirements in both terms, this SA would receive "4/4" points.*

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 4 The three-year graduate continues to the fourth year.	*SA graduated in three years (has baccalaureate) and is eligible to compete in fourth year. SA meets eligibility requirements (e.g., six hours) in fall term and is retained.* E + G = 2		*See above.*
SA 5 Military service interrupts five-year clock.	*SA enrolls for fall semester, but prior to completing term is called to active military service and is unable to complete the term.* ----------	*SA does not enroll spring semester.* ----------	*SAs who begin a term but are unable to complete the term due to a legislated five-year exception are not included in the team's rate for the uncompleted term.*
SA 6 Religious mission interrupts five-year clock.	*SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA enrolls full time and would be eligible for following fall term but is not retained due to serving a religious mission for the following academic year.* E = 1	*SA receives "3/3" points for the year. The retention point in spring term of departure would not be calculated since military and mission work are exceptions to the five-year rule.*
SA 7 Departs institution after second year and does NOT meet a legislated exception to the five-year clock rule.	*SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA enrolls full time and would be eligible for the following fall term but is not retained and does NOT meet an exception to the five-year clock rule.* E + = 1	*SA does not earn the retention point as the student was not retained the following fall term.* "3/4"

	Fall Semester	Spring Semester	Total Points Earned/ Total Possible Points and Explanation
SA 8 The five-year nongraduate departs.	*Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA does not earn degree at end of five years and is not retained.* NG + NG = 0	*Five-year SA exhausts eligibility, does not earn degree and is not retained a sixth year.*
SA 9 The five-year nongraduate is retained.	*Fifth year of enrollment, SA enrolls full time, earns eligibility and returns for spring semester.* E + R = 2	*SA does not earn degree at the end of five years but is retained to sixth year.* NG + R = 1	*Five-year SA exhausts eligibility, does not earn degree and returns for a sixth year of enrollment.* "3/4"
SA 10 Allowable exclusion: deceased student-athlete.	*SA enrolls for fall semester, but prior to completing term the SA dies.* ----------		*SAs who begin a term, but who are unable to complete the term due to an allowable exclusion are not included in the team's rate for the uncompleted term.*
SA 11 The sixth-year nongraduate is retained.	*Not part of APR cohort.*	*Not part of APR cohort.*	*SA who is retained beyond the fifth year and who is on athletics aid is not included in the APR cohort.*

SA = Student-athlete
E = Eligible
G = Graduates
R = Retained
----- = Not enrolled this term at this institution
NG = Nongraduate after five years

Note: Eligibility for purposes of this chart is defined as academically eligible to compete.

APP DATA COLLECTION

Introduction.

Description of the APP Data Collection Programs.

1. The APP data collection system is an Internet-based software program for the electronic management, submission and reporting of academic performance data that is required by Bylaw 23. The APP is designed to capture data to satisfy membership requirements related to two NCAA initiatives: the APR and the APC.

   Many NCAA Division I institutions employ a software program, such as the NCAA Compliance Assistant (CA), to assist with its athletics compliance needs. If institutions use such software for institutional-eligibility certifications, much of the data necessary to calculate the APR and to meet the submission requirements for the APC are stored in this compliance database. In order to minimize the burden of collecting academic data, automatic electronic migration of data from CA to the APP is available. In addition, electronic importation of data to the APP is available to those institutions using proprietary or "home-grown" compliance software.

2. The graduation rates data collection system is an Internet-based software program designed to collect the necessary information to calculate the IPEDS as well as the GSR. The GSR was proposed in response to concerns regarding the methodology used to calculate the IPEDS-Graduation Rate Survey (GRS). The GSR is intended as an alternative management tool that more accurately reflects the graduation success of student-athletes. It will include student-athletes who transfer into the institution. Furthermore, the GSR will discount student-athletes who depart the institution and would have been academically eligible had they returned.

   The GSR is based on a six-year window for graduation and includes all student-athletes receiving athletically related financial aid entering the institution (i.e., full time, degree seeking), including transfers. For those institutions or teams that do not offer athletically related financial aid, the GSR includes all recruited student-athletes who, on or after the varsity team's first date of competition in the championship segment, are listed on the varsity team's roster.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for member institutions while providing the Division I governance structure with important information on which sound policy decisions can be based.

Official submission of student-body graduation rates (IPEDS-GRS), enrollment, student-athlete graduation rates, GSR and Academic Success Rate (ASR) data is required by **June 1.**

The IPEDS-GRS still must be reported to the NCAA and to prospective student-athletes. The NCAA will continue to report the federal rate to each of our member institutions in a format that meets the requirements of federal law.

The NCAA membership passed legislation stipulating that all member institutions provide the information contained in its federal GRS form to the NCAA. Additionally, all Division I members are required to provide supplemental information that will allow the NCAA to calculate the GSR, and Division II members are required to provide supplemental information that will allow the NCAA to calculate the ASR. The penalty for not providing data by the prescribed due date (i.e., June 1) 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 for the academic year.

Collection of this academic data is vital to the success of the overall academic reform process. These systems strive to minimize the administrative burden for member institutions while providing each division's governance structure with important information on which sound policy decisions can be based.

AMENDING SUBMITTED DATA

Introduction.

If an institution discovers an error to its data after the reporting deadline (i.e., June 1), the institution should contact Maria DeJulio, NCAA research contractor, (mdejulio@ncaa.org or 913/397-7668) about the possibility of making that correction to the institution's data. In addition, institutions will be given the opportunity to review its report for accuracy and will be provided a time period to make any changes to that report.

After the data are submitted to the NCAA, the draft reports that will be published in the fall will be made available. Pull down the "Reports" menu and select either the "Institution Report" or the "GSR/ASR" report. Information regarding verification of the reports and the chancellor/president signature form are also available under this tab. If there are any errors in the reports, please contact Ms. DeJulio to request corrections.

To export data into an Excel spreadsheet, click on the "Export Page" link on the "Reports" tab. Follow the directions to export the specific data set.

Please direct all inquiries to: Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668).

See Appendix I for frequently asked questions and answers to assist the membership with the collection of graduation rates data.

MEMBERSHIP AND SPORTS SPONSORSHIP ISSUES

Members Subject to the APP.

Any NCAA member institution that sponsors a Division I sport must report APP data for that team(s). This includes all active Division I members and multidivisional institutions sponsoring Division I sports.

Institutions or teams that are in the process of reclassifying to Division I are subject to the APP. Such institutions shall be subject to rewards after the collection of two years of required data (e.g., APR, APC, GSR) and three years for penalties. 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. These institutions will appear in the public release with all other Division I institutions. The penalty for a reclassifying institution that fails to submit data is notification to the NCAA Division I Leadership Council, rather than the championship restriction penalties that exist for current Division I members. Additionally, all institutions subject to submission of APP data, regardless of membership status, are permitted to make requests for adjustments of the data.

For example, if an institution becomes subject to the Division I legislation beginning in the 2010-11 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. (*Revised: 10/10; Effective immediately.*)

1. For reclassifying institutions, Bylaw 20.5 requires full compliance with all Division I legislation in the first year of a four-year reclassification process (other than scheduling requirements and eligibility requirements for continuing student-athletes completing their final season of competition).

2. For multidivisional institutions, Bylaw 20.4 requires full compliance with Division I legislation for its Division I sports during the second year of a two-year process.

New Sports Teams.

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

Non-NCAA Championship Sports.

Only NCAA championship sports sponsored by an institution will be included in the APR and, therefore, are the only sports the APP will accept. This includes only those sports for which an NCAA Division I National Championships or National Collegiate Championships are conducted. An exhaustive list of these sports can be found in the Import Module of the APP of the data collection system. The APR does not include sports categorized as women's emerging sports.

Only NCAA championship sports (both Division I and National Collegiate Championships) offered at the varsity level are included in the data collections. Teams that are considered junior varsity are not included in the APP. Varsity teams that compete in non-NCAA championship sports, including emerging sports (e.g., rugby, squash), are not included in the APR, APC and GSR data collections and are not subject to rewards and penalties.

Institutions/Teams Transitioning from Division I or Discontinuing a Division I Sport.

Institutions are required to provide written notification to the staff of the date of the public announcement and the effective date of a transition from Division I.

Once the staff receives notification from the institution, the institution/team:

1. Will no longer be responsible for submitting APP data (i.e., APR, APC, GSR or head coaches' information) beginning with the academic year the staff receives notice.

2. Will not be subject to new APP penalties, but must impose previously earned penalties that apply to the academic years the team/institution continues to compete as a Division I institution/team.

3. Will not be part of any public release of APR and associated penalties, GSR and head coaches' information.

4. Will not be included in the calculation and/or determination of any penalty filters.

5. Will not be eligible for any APP Supplemental Support Fund (SSF) monies.

6. Will not be eligible for public recognition for high academic performance.

7. Will no longer submit APR adjustment requests or APP-penalty waivers.

8. Will no longer be required to submit APR Improvement Plans; however, the staff will review any plans submitted by the institution while it remains a Division I institution/sport.

In these situations, the application of the above-mentioned list will be effective beginning the academic year the institution publicly announces its intention to discontinue, drop or transition a team(s) from Division I.

If a team transitioning from Division I membership received a conditionally approved APP-penalty waiver and the determination of whether the team satisfied the established conditions will result in a team having to impose penalties, then the institution must submit APR/APC data, record of implementation of its APR Improvement Plan and request a waiver of the determination that the conditions were not satisfied.

If an institution's transition to another division or athletics organization has been proposed as a multiyear process, once the staff receives notification from the institution, the situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data Collection and Reporting with a recommendation for its review. The staff would take the following into consideration when determining the appropriate APP requirements the institution needs to fulfill:

1. Length of transition from Division I;

2. Timing of notification to the staff;

3. History of academic performance;

4. Whether or not the institution has teams subject to penalties and the types of penalties;

5. Whether or not the institution's teams will continue to compete at the Division I level during the transition; and

6. Other factors deemed appropriate by the staff and/or institution.

The application of the recommendations above generally will be effective beginning the academic year the staff receives notice of the institution's intention to transition from Division I or to discontinue a sport at the Division I level; however, the staff will be provided flexibility in determining the effective date for each requirement based on the timing of notice received by the staff.

Institutions/Teams Rescinding the Decision to Transition from Division I or Discontinue a Division I Sport.

In instances where an institution rescinds its decision to transition from Division I, each situation will be considered on a case-by-case basis with the staff providing the Subcommittee on Data Collection and Reporting with a recommendation for its review with regard to any penalties and their application, once the staff receives notification from the institution. The institution would

be required to submit APP data from any year the institution did not submit data while it was in transition. Further, the institution would be permitted to submit corrections, adjustments and penalty waivers as appropriate based on the timing of the notification. *(Adopted: 07/10; Effective for institutions providing notification to the staff beginning in 2010-11 and beyond.)*

Institutions that Reinstate Dropped Sport in Subsequent Years.

An institution that reinstates a dropped sport(s) must submit APP data according to the following guidelines:

1. 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.

2. 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 and/or Subcommittee on Data Collection and Reporting also will determine any additional requirements on a case-by-case basis.

Restricted-Membership Penalty.

Level-Three penalties include a menu of penalty options that may include 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 may be

reclassified to corresponding membership status (Bylaw 23.2.1.2.4). *(Revised: 10/11; Effective: 10/11)*

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.

DUE DATES

Submission.

Official submission of the data to calculate the APR and to satisfy the requirements for the APC is due within **six weeks** (42 calendar days) following the first day of classes on campus each fall term and June 1 for GSR and Federal Graduation Rate data.

Legislated Penalties (Bylaw 23.1.3).

An institution that fails to submit complete APR, APC or GSR 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 of 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.

Institutions That Do Not Provide APP Data or Usable APP Data.

An institution that does not submit its APR, APC or GSR data by the submission deadline 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 it has submitted the required APR, APC or GSR data. The institution will be required to submit a plan that must include the steps the institution will take in future data collections to ensure timely submission of data or usable data. This plan is not required prior to being reinstated for championships.
(Revised: 10/10; Effective immediately.)

An institution that submits unusable APR, APC or 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 it will be subject to the following process:

1. The staff will conduct an on-campus visit to review documentation supporting the institution's APP data and to conduct an educational session regarding the APP data submission requirements and other topics as deemed necessary by the Committee of Academic Performance and/or staff.

2. Following the on-campus visit, the institution will be placed in a one year probationary period, which may include:

    a. Recurring checks between the staff and the institution's certifying officer;

    b. Required attendance for institutional representatives at NCAA Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;

    c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data Collection and Reporting;

    d. Submission of midyear academic data;

    e. Continued ineligibility for postseason competition for all teams;

    f. Ineligibility for public recognition of any high-performing teams and SSF monies; and

    g. Any additional corrective measures as determined by the Subcommittee on Data Collection and Reporting.

After the one-year probationary period, the staff will conduct a follow-up visit to determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, will be required to participate in an in-person meeting with the full Committee on Academic Performance to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. (*Adopted: 06/10; Effective for institutions selected for data review during the 2010-11 academic year and beyond.*)

CORRECTING SUBMITTED DATA

Introduction.

After submission and validation of an institution's APR/APC information, an institution is provided a 14 calendar-day period to review its data for any errors or omissions and submit any APR adjustments.

Corrections.

Institutions are permitted to request corrections to APR data for all academic years. Such corrections will be permitted only during the correction/adjustment period. Please note that submitting corrections to data from prior academic years will not affect any data reports that have already been made public, although the multiyear APR may be impacted. Please contact Ms. DeJulio (mdejulio@ncaa.org or 913/397-7668) directly for any requests for data corrections to academic years **outside** the current multiyear cohort (i.e., 2003-04 through 2007-08). These specific requests cannot be submitted through the APP Data Collection Portal.

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 Subcommittee on Data Collection and Reporting and provide any necessary supporting documentation. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years. *(Adopted: 01/07)*

REQUESTS FOR ADJUSTMENTS OF APR

Introduction.

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 on Academic Performance'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 the same 14 calendar-day period in which they submit corrections. 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, director of athletics, senior woman administrator, director of compliance or faculty athletics representative and must be provided to the national office. 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 on Data Collection and Reporting may request additional pertinent information before it reaches a final determination. *(Revised: 02/10; Effective with requests submitted fall 2010.)*

In some circumstances (i.e., degree program discontinued, dropped sport), no additional documentation must be submitted to the NCAA. In these instances, the director of athletics and the faculty athletics representative 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, email 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 on Academic Performance (See Appendix G);

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 and/or Subcommittee on Data Collection and Reporting has the authority to consider, deliberate and decide APR adjustment requests. After reviewing all information, the staff and/or Subcommittee on Data Collection and Reporting will render one of the following decisions.

1. **Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting is adjusting part of the normal calculation of the APR.

3. **Conditional Approval:** The staff and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 and/or Subcommittee on Data Collection and Reporting 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 of Staff Decisions.

The Committee on Academic Performance has authorized the Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting. The Subcommittee on Data Collection and Reporting's determination shall be final and shall not be subject to further review by any other authority.

The Subcommittee on Data Collection and Reporting shall conduct its deliberations by facsimile, teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data Collection and Reporting members and 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, director of athletics, senior woman administrator, faculty athletics representative or director of compliance 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. *(Revised: 02/10; Effective with requests submitted fall 2010.)*

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 on Data Collection and Reporting 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 on Data Collection and Reporting. The Subcommittee on Data Collection and

Reporting member will be responsible to review the institution's appeal. The Subcommittee on Data Collection and Reporting member can affirm the staff's original decision, at which time the appeal is considered denied and final, or request the Subcommittee on Data Collection and Reporting review the appeal. If the Subcommittee on Data Collection and Reporting reviews an appeal, a simple majority will be necessary for a decision.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting 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: 07/06; Revised: 01/07)*

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 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 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 national office via the Committee on Academic Performance portion of the 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.

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 and/or Subcommittee on Data Collection and Reporting has the authority to hear, deliberate and decide waiver/extension requests. After reviewing all information, the staff and/or Subcommittee on Data Collection and Reporting will render one of the following decisions.

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

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 on Data Collection and Reporting'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 data collection waiver/extension appeals and to render a decision on behalf of the Committee on Academic Performance.

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 on Data Collection and Reporting shall determine whether or not any appeal filed after 14 calendar days shall be heard.

Subcommittee Review Procedures.

The subcommittee may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall involve only subcommittee members and NCAA staff.

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

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

The Subcommittee on Data Collection and Reporting may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meeting. Such deliberations shall involve only Subcommittee on Data Collection and Reporting members and staff.

Reconsideration.

After the staff and/or Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting until the staff has reviewed and considered the new information.

WAIVER OF FILING DEADLINE PENALTIES (Bylaw 23.3)

Introduction.

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 and by that request reinstatement for championships eligibility.

Pursuant to Bylaw 23, the Committee on Academic Performance has the authority to review waivers of the filing deadline 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 with appeals of staff decisions to 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 has the authority to deliberate and decide waiver requests. After reviewing all information, the staff will render one of the following decisions.

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

2. **Denial:** The staff 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 determines the institution's request demonstrated evidence that warranted partial relief from the prescribed filing deadline penalties; however, the 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, teleconference, email, Internet or in-person meeting. The deliberations of a request shall involve only subcommittee members and staff members.

Subcommittee Review Procedures.

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

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

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

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.

DATA COLLECTION ON TWO-YEAR COLLEGE TRANSFERS

Introduction.

Beginning with the 2008-09 APR/APC data submission, institutions were required to submit additional academic data for student-athletes in the sports of baseball, football and men's and women's basketball who transferred to the submitting institution immediately from a two-year college. During the 2008-09 data collection, institutions were required to provide data on all two-year college transfer student-athletes in the cohort in these four sports. The data will be collected annually and will only be required for those two-year college transfer student-athletes who entered the institution in the academic year for which data is being submitted. *(Adopted: 02/12; Effective: 02/12)*

See Appendix H for questions and answers to assist the membership in its understanding of the data collection for two-year college transfer student-athletes.

HEAD COACHES' APR PORTFOLIO

Introduction.

During its January 2009 meeting, the Board of Directors approved a publicly available database for reporting the APR for all Division I head coaches. During the 2008-09 APR/APC data collection institutions were required to submit the names and employment dates for all head coaches in the sports of baseball, men's and women's basketball, football and women's indoor and outdoor track and field. During the 2009-10 APR/APC data collection, institutions were required to submit data for all other sports as well as the updated 2009-10 data for the original six sports. This data is required for all head coaches employed from August 1, 2003, to the present.

For purposes of this data, only coaches officially employed by a Division I institution as a head coach will be included in the database. A head coach designated as an "interim," will not be included in the portfolio for the "interim" period. Therefore, there may be dates for which there was no "head coach" for this study.

Head coaches will have the opportunity to review their employment history and single-year APR data during a designated time period, to be specified.

Beginning with the 2010-11 data collection, institutions need only update the head coach data for sports in which there was a coaching change within the last academic year. Additionally, institutions must verify the accuracy of the data and make any corrections prior to submitting the 2010-11 APR/APC data. If corrections are needed after the institution has submitted its APR/APC data, institutions may request changes during the 14-day correction phase.

See Appendix J for questions and answers to assist the membership in its understanding of the data collection for head coaches.

APP DATA REVIEWS

Introduction.

Bylaw 23.01.3 and the Committee on Academic Performance Policies and Procedures require APP data to be submitted for all NCAA Division I teams and all teams/institutions that are in the process of transitioning their membership to Division I and are subject to NCAA Division I legislation. All APP data submitted pursuant to Bylaw 23.01.3 must conform to the committee's policies and procedures. In order to ensure the uniformity and accuracy of submitted APP data, the committee will review APP data submitted by selected institutions annually. Please note that the staff will review the institution's APR and GSR data.

REVIEW PROCESS

Selection.

The staff/Subcommittee on Data Collection and Reporting 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;

5. Institutions with a team(s) with an APR(s) ranging from 910 to 950; and

6. 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. The subcommittee may also recommend that an institution be re-selected for review based on the significant number of issues with the institution's APR and GSR data discovered during the APP data review process.

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.

A letter will be sent to the institution's chancellor/president informing him or her that the institution has been chosen to participate in the APP data review process. This letter will also include:

1. A link to the committee's APP data review procedures; and

2. Request for primary and secondary contacts for the purpose of completing the review.

Responsibilities of the Chancellor/President.

Throughout the APP data review process, the chancellor/president must make it clear, by word and action, that the review is a priority and that the all individuals related to APP data submission are involved and responsible for the review.

The chancellor/president is responsible for appointing the institution's primary and secondary contacts. The contacts should be appointed by the chancellor/president or his or her designee. The contacts should have clear authority from and ready access to the chancellor/president. By doing so, the chancellor/president communicates the importance that the institution attaches to the review process and encourages the institution to take the review process seriously. Please note that the primary contact must be a full-time employee of the institution.

Responsibilities of the Primary and Secondary Contacts.

The primary and secondary contacts serve as liaisons between the institution and the staff member throughout the APP data review process. They will facilitate the collection of requested documentation for the staff liaison and answer questions that come up during the review. They are involved in preparing the institution's response to the preliminary findings and carrying out any actions required by the Subcommittee on Data Collection and Reporting as a result of the review.

Conference Office Involvement.

Conference office involvement in the APP data review process is optional. The role of the institution's conference office is determined by the institution. The conference office will receive copies of official correspondence between the NCAA and the institution. The institution will inform the staff member of any additional conference office involvement in the process.

Scope of Data Review.

A staff member will review the institution's APR data and GSR data only to verify the accuracy of the data submitted by the institution. The institution will be expected to cooperate with the staff throughout the APP data review process (i.e., providing requested documentation).

Please note that during the review process, the staff has the authority to determine whether a more comprehensive review is required and/or an on-campus visit is necessary. The staff will notify the institution of the need for such a visit.

Introductory Teleconference.

A staff member will conduct an introductory teleconference with the contacts and others identified by the institution following receipt of the names of the primary and secondary contacts. The purpose of the teleconference is to review the following:

1. The purpose of the APP data review;

2. Committee expectations regarding participation;

3. The decision to include the institution in the review process;

4. The APP data review procedures;

5. Possible on-campus visits;

6. General review timeline; and

7. Possible outcomes of the APP data review.

Prior to the teleconference, the institution will receive an initial request for documentation. The staff will review that request during the teleconference and will answer any questions the institutional contacts may have about the request. The institution will have **four weeks from the introductory teleconference** to respond to that request.

Preliminary Report.

After the staff has completed its review of the APP data, they will provide the institution with a preliminary report of its findings. The preliminary report will be organized to:

1. Identify the specific area reviewed and the definition of each area;

2. The documentation used in the review;

3. The staff's findings; and

4. The staff's recommendations.

The institution will have **two weeks** to respond to the preliminary report.

Corrections to the Data.

Institutions are permitted to make corrections to its data after receiving the staff's preliminary report, provided the institution agrees with the staff's findings. The staff will notify the institution that it may make the agreed upon corrections prior to the Subcommittee on Data Collection and Reporting review. All unresolved issues will be reviewed by the Subcommittee on Data Collection and Reporting.

Subcommittee Review.

The Subcommittee on Data Collection and Reporting will review the institution's preliminary report and responses. Please note the Subcommittee on Data Collection and Reporting can make any or all of the following findings:

1. **No Action Required:** Based on the results of the review, the Subcommittee on Data Collection and Reporting considers the institution's APP data to be in substantial conformity with the applicable NCAA legislation and the Committee on Academic Performance's policies and procedures and the institution is not required to take any action regarding its APP data in a particular area.

2. **Recommended Action:** Based on the results of the review, the Subcommittee on Data Collection and Reporting considers the institution's APP data to be in general conformity with the applicable NCAA legislation and the Committee on Academic Performance'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.

3. **Required Actions:** Based on the staff's findings of the review, the Subcommittee on Data Collection and Reporting does not consider the institution's data to be in conformity with applicable legislation and the Committee on Academic Performance's policies and procedures. The institution will be required to take actions that will bring it in conformity.

Additionally, the Subcommittee on Data Collection and Reporting 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.

Failure to Comply with Staff and/or Subcommittee Requests.

If the institution fails to provide information or documentation that the staff/Subcommittee on Data Collection and Reporting 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.

Final Report.

The Subcommittee on Data Collection and Reporting will provide the institution with a final report of its findings. The report will be organized by topical area and academic year and will provide the Subcommittee on Data Collection and Reporting's findings in each area and any action for the institution regarding these findings.

If an institution fails to take the required action(s) within the stated period, the institution's data will be considered invalid and the institution will be considered to have not submitted its APP data and will be ineligible for any NCAA championship or bowl game until the required action is taken.

Ethical Considerations.

The following guidelines have been established for data reviews in an effort to protect the integrity of the APP data review process:

1. All aspects of the data review visit are to be treated as confidential. This confidentiality extends to evaluation materials provided by the institution (including institutional responses to the staff's findings); issues identified by the staff/Subcommittee on Data Collection and Reporting; the staff's files and notes; and conversations with the institution.

2. Institutions should not offer, and staff members may not accept, gifts or gratuities of any kind.

Rules Violations.

The staff/Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting will also advise the institution of its obligation to self-report violations. The Subcommittee on Data Collection and Reporting 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 on Data Collection and Reporting 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 on Data Collection and Reporting refers a potential violation to enforcement, the Subcommittee on Data Collection and Reporting 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.

ON-CAMPUS REVIEWS

Notification.

The staff has the authority to determine that an on-campus review of APP data is necessary at any point in the process. The staff will inform the institution's chancellor/president of the decision to conduct a visit.

Length of Visit.

The APP data review visits will generally take place over a two-day period. Every effort will be made to establish a schedule in advance that reflects accurately the length and scope of the visit. Unanticipated events may require changes in the schedule at the time of the visit; therefore, the staff has the authority to modify the schedule as necessary within the established time period.

Introductory Meeting.

The staff will conduct an informal meeting at the beginning of the visit with the institution's chancellor/president, primary and secondary contacts and any individuals the chancellor/president elects to invite. The purpose of the meeting is to introduce the staff member(s) and to provide a brief outline of what the staff will be doing while on campus.

Education Sessions.

The staff will conduct an informal educational session regarding APP data submission during the in-person visit. The institution may invite participants at its discretion. The purpose of the educational session is to discuss issues that arose from the data review and to provide the institution's staff with an opportunity to ask questions regarding the APP data submission process. Please note, this session is not intended to cover general NCAA interpretive questions nor to discuss the merits of the APP.

The staff will also conduct an educational session regarding the APP for the institution's coaches and other administrators not directly involved in the data review or in the normal collection and submission of the APP data.

Exit Meeting.

The staff will conduct an informal meeting at the end of the visit with the institution's chancellor/president, primary and secondary contact and any other individuals at the chancellor/president's discretion. The purpose of the meeting is to provide general impressions of the visit and to share information, including any serious problems that were discovered during the visit, which may be contained in the staff's formal written preliminary report. Finally, the staff should provide information regarding the next steps in the process and the anticipated timetable.

Costs of the On-Campus Visit.

The costs related to APP data review will be shared by the institution and NCAA.

The institution is responsible for:

1. Work-related needs (e.g., copiers, meetings rooms, computers, Internet access, printers) for the staff member(s) during the visit.

2. All costs associated with preparation and providing requested documentation.

The NCAA is responsible for:

- Expenses of staff member(s) related to the data review visit.

Required Changes to Submitted Data and Impact of Changes on Penalties.

If an institution is required to amend its previously submitted APR and/or GSR data, any resulting change to the institution's APR and/or GSR will not affect the status of any previously earned APP penalties or loss of access to postseason competition. However, if the data, as amended, affects the team's current level of penalty, the team must advance to the appropriate level of penalty. (*Adopted: 06/10; Effective for institutions selected for data review during the 2010-11 academic year and beyond.)*

Unusable Data.

If it is determined that an institution has submitted unusable data during the APP data review process, the following will occur:

1. The staff will conduct an on-campus visit to review documentation supporting the institution's APP data and to conduct an educational session regarding the APP data

submission requirements and other topics as deemed necessary by the Committee on Academic Performance and/or staff.

2. Following the on-campus visit, the institution will be placed in a one year probationary period, which may include:

   a. Recurring checks between the staff and the institution's certifying officer;

   b. Required attendance for institutional representatives at Regional Rules Seminars and/or participation in APP webinars or other educational opportunities;

   c. Creation of an academic certification and data improvement plan for review by the staff and/or the Subcommittee on Data Collection and Reporting;

   d. Submission of midyear academic data;

   e. Continued ineligibility for postseason competition for all teams;

   f. Ineligibility for public recognition of any high-performing teams and SSF monies; and

   g. Any additional corrective measures as determined by the Subcommittee on Data Collection and Reporting.

3. After the one-year probationary period, the staff will conduct a follow-up visit to determine the reliability of the institution's APP data. If it is determined that the institution's data remains unusable, the institution will remain subject to the conditions imposed during the probationary year. In addition, institutional representatives, including the institution's president, will be required to participate in an in-person meeting with the full committee to discuss the issues regarding the institution's data. A report of that meeting shall be provided to the Administration Cabinet for its consideration. (*Adopted: 06/10; Effective for institution selected for data review during the 2010-11 academic year and beyond.)*

ACCESS TO POSTSEASON COMPETITION AND APP PENALTIES

Introduction.

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.

In October 2011, the Board of Directors approved modifications to the APP penalty structure. These modifications included a new penalty benchmark as well as a three-level penalty structure for all underperforming teams. Aside from modifying the penalty structure, the Board of Directors also adopted academic standards for access to postseason competition. Therefore, academic performance, as measured by the APR, is now an element of qualification for postseason participation. The modifications are designed to embed academics as a first expectation.

Access to postseason competition and the penalty structure is tied directly to the "benefits" of Association membership. For those sports teams and athletics programs that perform at an unacceptable level academically, benefits will be denied or restricted.

Several key principles guide access to postseason competition and the penalty structure:

1. Access to postseason competition is contingent on an expected level of academic performance as demonstrated with the academic performance program's rates and metrics. Failing to meet these metrics and rates may cause a team to be denied access to post-season competition.

2. The goal is 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 be better realized.

3. The structure must appropriately penalize those programs that have demonstrated a history of academic underachievement (e.g., those with multiyear rates below the penalty benchmark).

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

Bylaw 15.01.8 and Bylaw 23.2 provide the legislative foundation for the penalty structure and academic requirements to access postseason competition.

<u>Postseason Access Academic Benchmark and Filters</u>.

A team with a multiyear APR below 930 is ineligible for postseason competition. Limited filters will be applied to confirm whether or not the team will lose access to postseason.

1. Mission Filter: The first time a team falls below the APP threshold for access to postseason competition it is reviewed with the mission filter. The filter considers if the institution ranks in the bottom 15 percent of all Division I institutions by resources as defined by the current Committee on Academic Performance policy. In such cases if the

team's most recent four year GSR is 50 percent or higher, the filter provides relief from ineligibility for postseason competition. This filter is applied only one time and impacts only postseason access. No other filter exists the first time a team is below the benchmark. Specific Level-One, -Two or -Three penalties are not impacted by this filter.

2. Improvement Filter: If a team falls below the APP threshold for access to postseason competition a second time and beyond, it is reviewed with the improvement filter. This filter considers meaningful improvement as defined by the Committee on Academic Performance as a means to avoid loss of access to postseason competition. Meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is applied the second year and beyond that a team faces a loss of access to postseason competition. Level-One penalties are not impacted by this filter. The impact on Level-Two and -Three penalties is addressed later in this document.

Transition Period.

The Committee on Academic Performance has established a transition period for the 930 multiyear APR academic benchmark for access to postseason competition:

1. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

2. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

3. 2014-15 Postseason Competition – Access is a multiyear APR of at least 930 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years.

Transition Period - Limited-Resource Institutions.

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in

transitioning to the new APP penalty structure and academic access to postseason competition. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all Football Bowl Subdivision (FBS) institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

These recommendations impact both access to postseason competition and Level-One, -Two and -Three penalties. They include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:

    a. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

    b. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

    c. 2014-15 Postseason Competition – Access is a multiyear APR of at least 910 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

    d. 2015-16 Postseason Competition – Access is a multiyear APR of at least 920 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark from penalties and ineligibility for postseason competition if the team meets the following criteria:

    - Demonstrates meaningful APR improvement as defined by the Committee on Academic Performance. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period outlined above. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:

        (1) 900 in the 2010-11 and 2011-12.

(2) 930 in the 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee;

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR improvement plans – significant and critical elements -- if a plan was previously required.

2. Identification of critical issues supported by data.

3. Development of meaningful initiatives that address critical issues.

4. Broad-based participation in the development, assessment and oversight of the plan.

5. Approval by president or chancellor.

6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. *(Adopted: 04/12; Effective: 04/12)*

The following charts may clarify the transition to the new APP access to postseason competition:

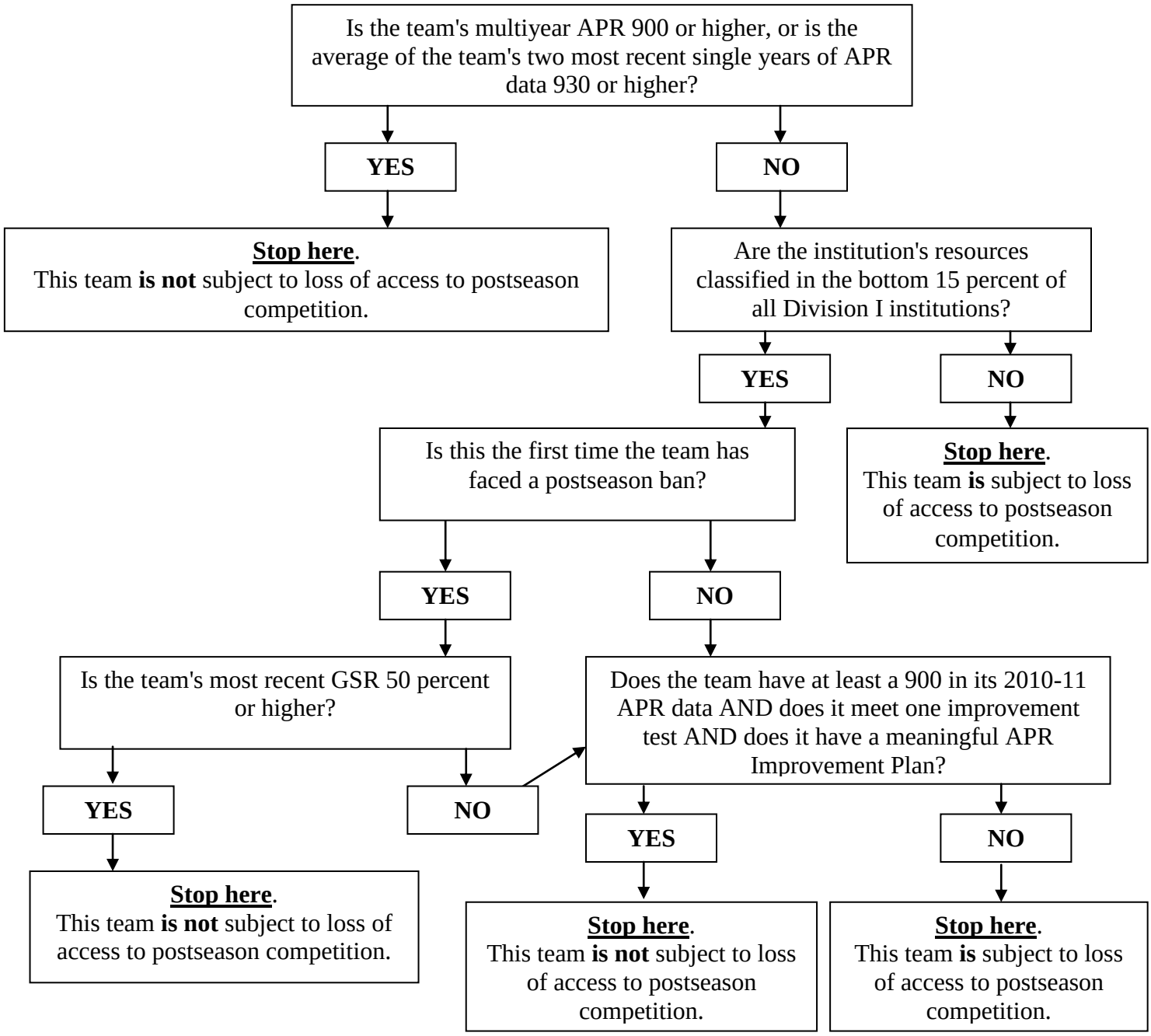
Transition for All Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid Ineligibility for Postseason	Two Most Recent Years Average APR to Avoid Ineligibility for Postseason
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2014-15	Four-year APR of 930 or higher OR	Two most recent years average at or above 940.
2015-16 and Beyond	Four-year APR of 930 or higher *Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

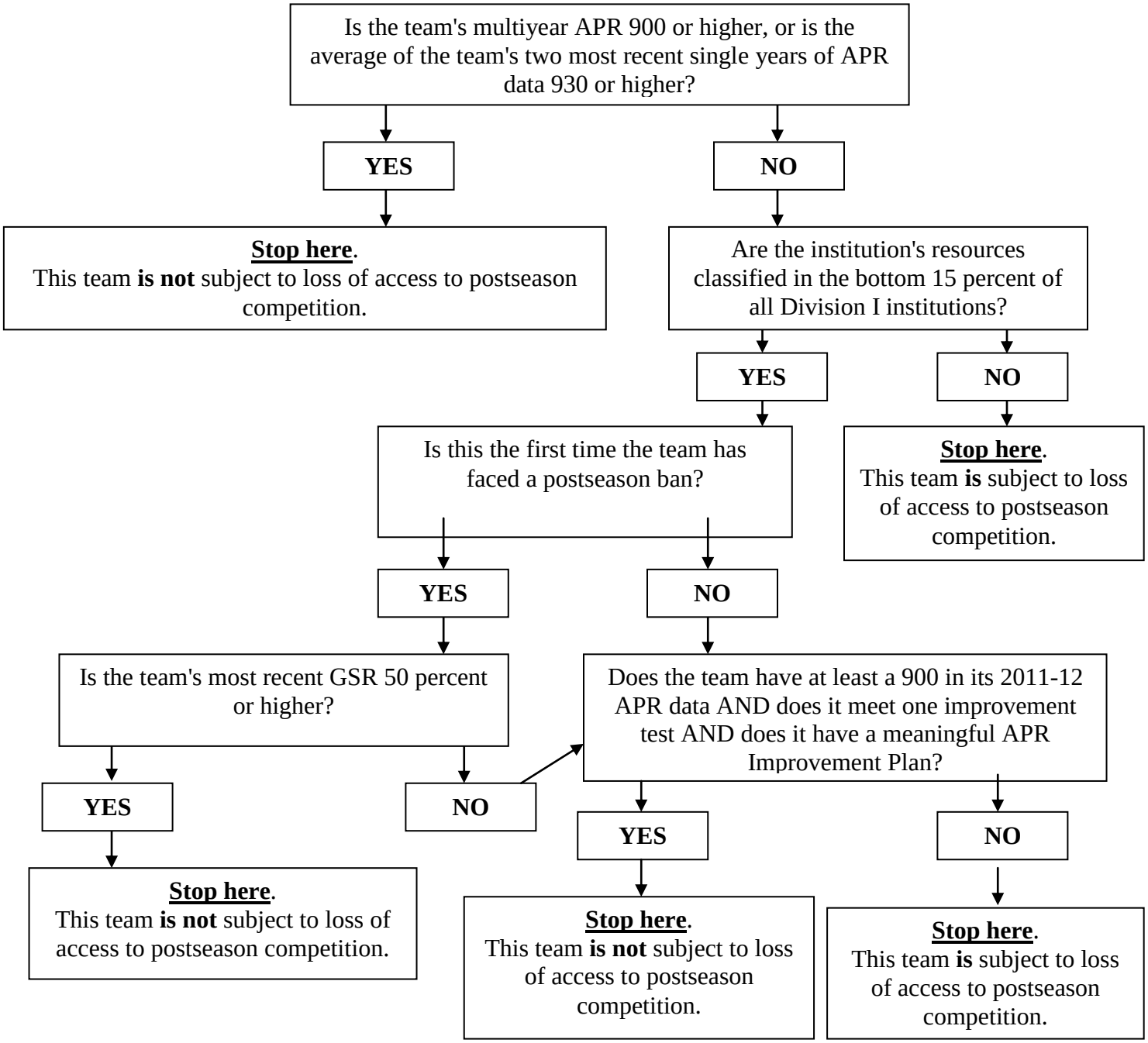
Transition for Limited-Resource Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid Ineligibility for Postseason	Two Most Recent Years Average APR to Avoid Ineligibility for Postseason	Improvement/APR Improvement Filter
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2010-11) plus meets one improvement test plus a meaningful APR Improvement Plan.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2011-12) plus meets one improvement test plus a meaningful APR Improvement Plan.
2014-15	Four-year APR of 910 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2012-13) plus meets one improvement test plus a meaningful APR Improvement Plan.
2015-16	Four-year APR of 920 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2013-14) plus meets one improvement test plus a meaningful APR Improvement Plan.
2016-17 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

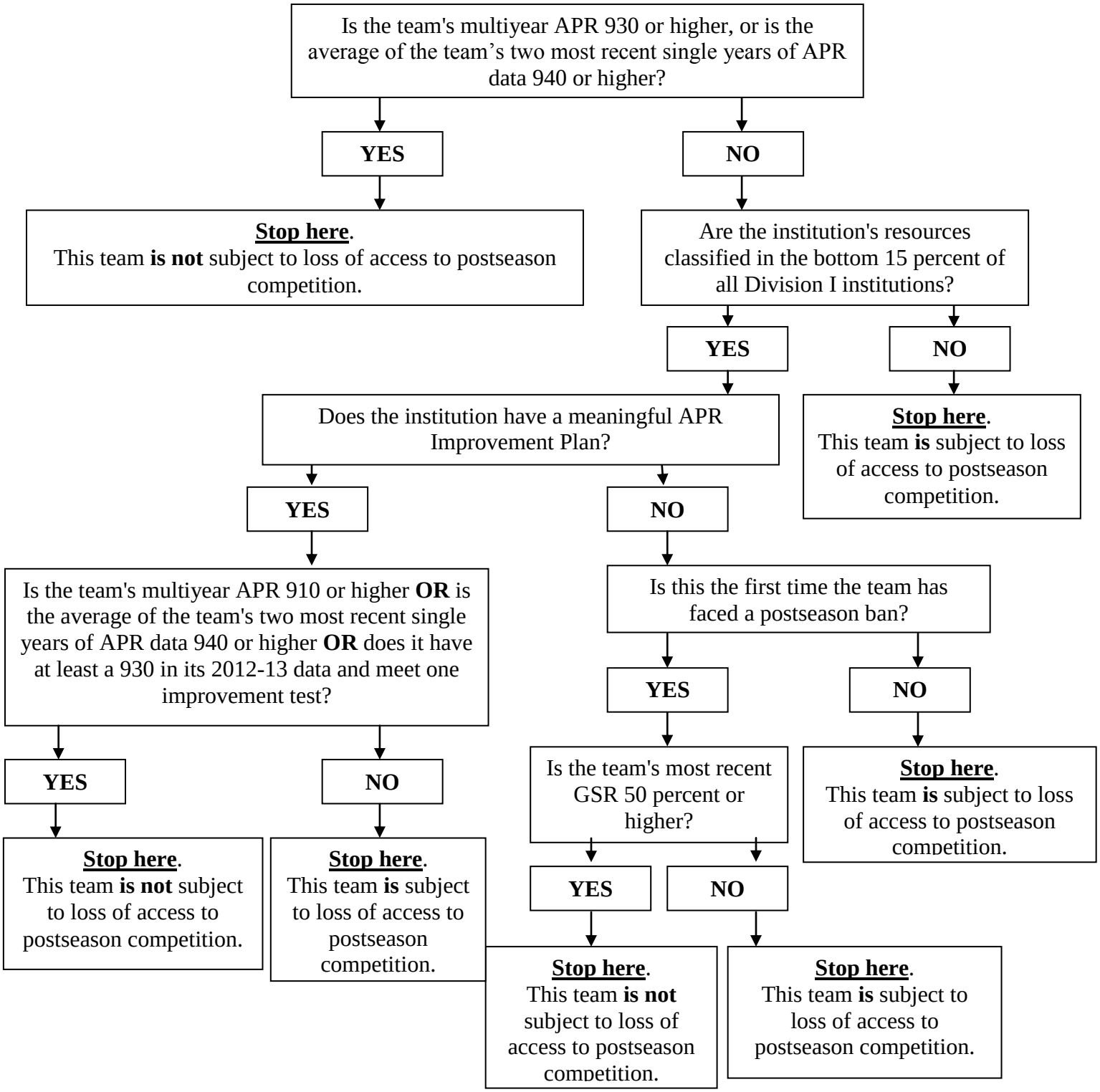
This chart demonstrates the process for determining access to postseason competition conducted in 2012-13:



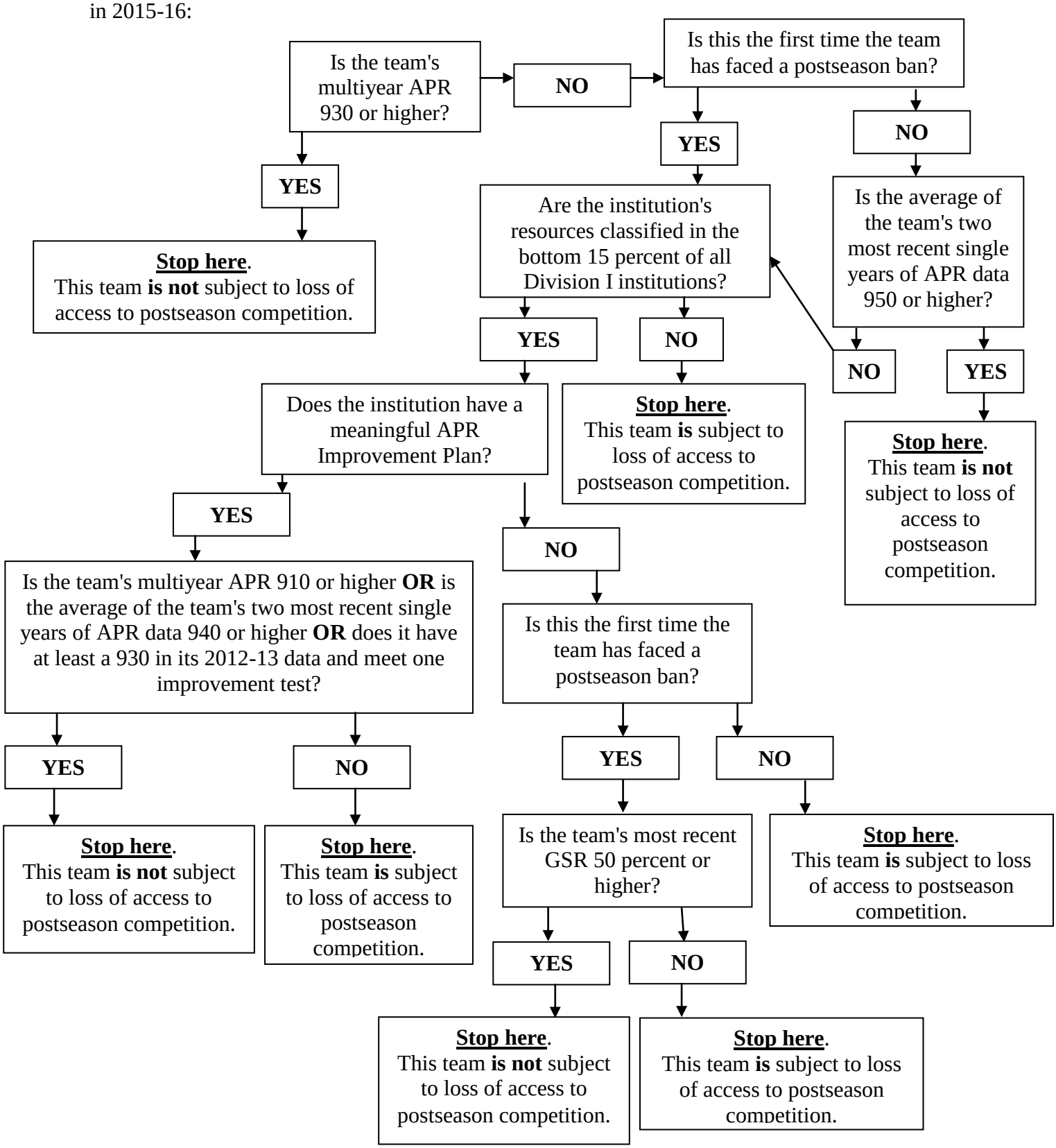
This chart demonstrates the process for determining access to postseason competition conducted in 2013-14:



This chart demonstrates the process for determining access to postseason competition conducted in 2014-15:



This chart demonstrates the process for determining access to postseason competition conducted in 2015-16:



Notification of Loss of Access to Postseason Competition.

Once an institution confirms its data is accurate in the correction period of the data collection process, and if any of the institution's teams are subject to a loss of postseason access, a report will be posted on the institution's password-protected APP website accessed through the APP Data Collection System. The report will indicate the sport(s) that have lost access to postseason competition. The availability of the report is considered official notification of the loss of postseason access. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timing of Loss of Access to Postseason Competition.

Teams subject to loss of access to postseason competition will lose that access in the academic year following official notice of the loss of access. For example, a team that received notice of loss of access to postseason competition during the 2011-12 academic year will be ineligible for postseason competition in the 2012-13 academic year. Public release of all teams losing access to postseason competition in 2012-13 will be announced in June or July 2012.

Timeline for New Division I Teams.

Teams transitioning to Division I will be subject to loss of access to postseason competition after three years of APR/APC data have been submitted.

Permission to Contact (Bylaw 13.1.1.3.4).

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. To this end, only remaining seasons of eligibility will be considered and not the amount of time remaining on the student-athlete's "five-year clock." Therefore, this permission is available only to student-athletes with one season of competition remaining.

Transfer Exceptions for Student-Athletes on Teams Subject to Loss of Access to Postseason Competition.

Requests for a waiver of the transfer year in residence for a student-athlete who transfers when his or her team is subject to ineligibility for postseason competition due to a low APR for the remainder of the student-athlete's seasons of eligibility, may only be initiated by a member institution through existing procedures for the submission of a waiver to the Subcommittee for Legislative Relief.

In order to be eligible for a waiver of the transfer year in residence, pursuant to Bylaw 14.8.2, the loss of access to postseason competition must preclude the student-athlete and/or the student-athlete's team from participating in postseason competition during all remaining seasons of the student-athlete's eligibility. Only remaining seasons of eligibility will be considered, not the amount of time remaining on the student-athlete's "five-year clock." Therefore, the waiver is generally only available to student-athletes with one season of eligibility remaining.

The Committee on Academic Performance or the staff, at the discretion of the Committee on Academic Performance, will have the authority to review waivers of the transfer residency requirement under Bylaw 14.8.2 in order to provide a recommendation to the Subcommittee for Legislative Relief.

All waiver requests should include information regarding the academic impact of the student-athlete's transfer and should be signed by the student-athlete. The following information should be included to describe the academic impact:

1. The student-athlete's career APR eligibility- and retention-point history;

2. The student-athlete's grade-point average and credit hours earned; and

3. The impact of the transfer on the student-athlete's anticipated date of graduation.

The staff will provide an annual report of all requests and decisions to the Committee on Academic Performance.

Notice of the availability of the waiver and waiver decisions will be provided as follows:

1. Teams denied access to postseason competition will be notified of the process via correspondence from the Committee on Academic Performance.

2. Teams that have lost access to postseason competition will be notified of all decisions for student-athletes transferring from its institutions.

3. Student-athletes will be notified of this option by the institutions they attend. *(Adopted: 07/09)*

WAIVERS OF INELIGIBILITY FOR POSTSEASON COMPETITION

Introduction.

In accord with Bylaw 18.4.2.3.1, institutions may request a waiver of the loss of access to postseason competition and the Committee on Academic Performance has the authority to waive the application of the loss of postseason competition. The committee's decision shall be final, conclusive and not subject to further review by any other authority.

For teams within Level-One and Level-Two of the APP penalty structure, the staff will initially hear all waivers of Bylaw 18.4.2.3.1 with appeals heard by the Subcommittee on Appeals. Decisions of the Subcommittee on Appeals may be appealed to the full committee chair based on the criteria outlined in these policies

For teams within Level-Three of the APP penalty structure, the staff will initially review waivers of Bylaw 18.4.2.3.1. If staff does not render a decision, the waiver will be heard by the full committee at an in-person hearing. This hearing will coincide with a hearing regarding the assignment of APP penalties for that team.

Application Procedures.

A member institution that seeks to delay imposing or to waive the application of Bylaw 18.4.2.3.1 shall submit an online waiver application through the LSDB*i* portal 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 loss of access to postseason imposed per Bylaw 18.4.2.3.1. Such a request will also include any request to waive a Level-One, -Two or -Three penalty.

Waiver requests must be filed within 14 calendar days of the institution's completion of the correction/adjustment period, or after receiving a final decision of all adjustment requests.

The online waiver application submitted by the institution will produce a signature page that must be signed by the chancellor or president. The completed waiver application shall set forth the reasons the institution believes that application of Bylaw 18.4.2.3.1 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, subcommittee, and/or committee may request additional pertinent information before a final determination is made.

Staff Review Procedures.

On receipt of an institution's request, the staff will review the application to ensure it is complete, email 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.

Staff Deliberations and Decisions.

The staff has the authority to consider, deliberate and render a decision on all requests to waive ineligibility for postseason competition that accompany a Level-One or -Two penalty. The staff may approve or conditionally approve requests to waive ineligibility for postseason competition that accompany a Level-Three penalty. Staff decisions will be based on some or all of the following criteria:

1. The waiver directive approved by the Committee on Academic Performance; (See Appendix M);

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

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

After reviewing all information, the staff will render one of the following decisions on requests to waive ineligibility for postseason competition that accompany a Level-One or -Two penalty:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the

decision converting to a denial and the loss of access to postseason competition applies to the academic year following notification of the failure to satisfy the conditions.

3. **Denial:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

After reviewing all information, the staff will render one of the following decisions on requests to waive ineligibility for postseason competition that accompany a Level-Three penalty:

1. **Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The staff determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the staff in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition applies to the next academic year (the same year in which the team would have been ineligible for postseason competition originally).

Staff Conflict of Interest.

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, alma mater). A staff 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 loss of access to postseason waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists. Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Use of Third Parties in Waiver Requests.

Institutions are permitted to engage the assistance of a third party (outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP waiver request or in preparing to appeal a staff decision. However, the staff is not to discuss a waiver request with a third party unless directed to by the institution (president or director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation,

decisions and any other issues related to the waiver request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Appeals of Staff Decisions.

The Committee on Academic Performance has authorized the Subcommittee on Appeals to consider appeals of staff decisions involving Bylaw 18.4.2.3 when a team is subject to its first or second postseason competition ban. When a team is facing loss of access to postseason competition in conjunction with Level-Three penalties, staff decisions are appealed to the Committee on Academic Performance. The Committee on Academic Performance hears the appeal via in-person hearing and the institution is required to appear. The Committee on Academic Performance's decision may be appealed to a subcommittee of the Division I Board of Directors.

Appeal Procedures.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office 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 completed waiver appeal application 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 a written explanation why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Appeals shall determine whether or not any appeal filed after seven calendar days will be considered.

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Appeal's review of an appealed case must be provided in writing within the seven calendar-day period between the notice of the staff decision and the date the appeal was originally due. The chair of the Subcommittee on Appeals shall determine whether or not any extension or delay will be granted.

Subcommittee Review Procedures.

The Subcommittee on Appeals may conduct its deliberations by facsimile, teleconference, email, Internet or in-person meetings. A quorum for the Subcommittee on Appeals review of appeals shall be a majority of Subcommittee of Appeals members present and voting. The first time a team is subject to loss of postseason competition, the appeal deliberations shall involve only Subcommittee on Appeals members and staff members. The following times a team is subject to

loss of postseason competition, the appeal deliberations shall involve Subcommittee on Appeals members, staff members and the specified representatives from the institution.

The second time and beyond a team is subject to loss of postseason competition each of the following individuals from the institution must participate in the appeal: (a) chancellor or president (or his or her designee); (b) director of athletics 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 on Appeals 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 teleconference.

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

The staff member who processed the case will present the case to the Subcommittee on Appeals on the teleconference. If the institution is also participating, they will be allotted a specified amount of time to present their appeal rationale and any other pertinent information. The Subcommittee on Appeals members will then engage in a question and answer period, asking questions of both the staff member and/or the institution. At the conclusion of the question and answer period, the staff member and any institutional representatives will exit the teleconference and a separate staff member will support the Subcommittee on Appeals through deliberations. That staff member is only allowed to provide clarification of policies related to the appellate process.

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

<u>Subcommittee Deliberations and Decisions</u>.

Subcommittee on Appeals decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance; (See Appendix M);

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

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

The Subcommittee on Appeals will receive the staff decision, the institution's request and supporting documentation and the team(s) APP data.

A simple majority of the Subcommittee on Appeals 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 Subcommittee on Appeals will render one of the following decisions:

1. **Approval:** The Subcommittee on Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The Subcommittee on Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the 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 loss of access to postseason competition applies to the next academic year (the same year in which the team would have been ineligible for postseason competition originally).

3. **Denial:** The Subcommittee on Appeals determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the next academic year.

Appeals of Subcommittee Decisions.

The Subcommittee on Appeals' decision may be appealed in writing to the Committee on Academic Performance chair, or in the event of recusal by the chair, to the Committee on Academic Performance vice chair. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Appeals' decision. The chair (or vice chair) may deny the appeal request or may forward it to the full committee for further review and consideration. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided.

Any appeal submitted 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.

The chair (or vice chair's) consideration of the appeal must be based on the following criteria: the institution must demonstrate that the Subcommittee on Appeals abused its discretion in denying the request. Abuse of discretion occurs when the Subcommittee on Appeals 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 the Subcommittee on Appeals. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the Subcommittee on Appeals.

If, based on these criteria, the chair (or vice chair) forwards the waiver request to the full committee, the committee hearing may be conducted by teleconference or in-person meeting and shall include some opportunity for the institution to present its request orally as well as in writing. The full committee's decision shall be final and not subject to any further review. Additionally, members of the Subcommittee on Appeals who participated in the initial appeal denial, shall not participate in the full committee appeal, except for the acting chair who may present information but may not deliberate or vote.

Committee Deliberations and Decisions.

If the waiver appeal is to be heard by the committee, decisions will include consideration of the following:

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

2. Extraordinary mitigating circumstances and whether the mitigating circumstances were within the control of the institution and student-athlete(s) and impacted multiple years of APR data;

3. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);

4. Academic factors;

5. Alternative penalties offered by the institution, if any; and

6. All applicable information, including whether or not the team has been ineligible for postseason competition in prior years.

The committee will receive the staff and subcommittee decisions, the institution's request and supporting documentation and the team(s) APP data.

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. **Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team is no longer ineligible for postseason competition the following academic year.

2. **Conditional Approval:** The committee determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted if specific conditions are met by the institution/team. Such conditions will be outlined by the committee in the decision notification. Institutions/teams that fail to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition.

3. **Denial:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team is banned from postseason competition in the next academic year.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the next academic year. The committee's decisions are final and binding. There is no further appeal.

Subcommittee/Committee Conflict of Interest.

The conflict of interest section of this document applies to all committee members' involvement in waiver and appeal requests.

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 relevant information. Requests with new relevant information may not be considered by the subcommittee until the staff has reviewed the new information. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

Review of Conditionally Approved Waivers of Ineligibility for Postseason Competition.

The 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 met the stated conditions. The staff can accept the institution's argument and waive the unmet condition, or it can allow the denied waiver to stand due to the unmet condition. The staff's decision may be appealed to the Subcommittee on Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

Staff Review Procedures.

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 condition was met and ineligibility for postseason competition 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 must serve a ban from postseason competition in the current academic year. 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 national office via the LSDB*i* 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 met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions.

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

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, department of athletics, and student-athlete(s).

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

3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year.

4. Review of implementation of the APR Improvement Plan submitted with the original waiver as well as previously submitted plans.

5. Any additional information provided by the institution.

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 loss of access to postseason competition.

2. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the institution is subject to the loss of access to postseason competition in the next academic year.

Appeals/Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Ineligibility for Postseason Competition.

Subcommittee Review Procedures.

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

The request must be submitted electronically to the national office via the LSDB*i* 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 met the stated condition(s) and as a result why the loss of access to postseason competition is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberation and Decisions.

Subcommittee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, department of athletics, and student-athlete(s).

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

3. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year.

4. Review of implementation of the APR Improvement Plan submitted with the original waiver as well as previously submitted plans.

5. Any additional information provided by the institution.

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

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.

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

1. **Approved:** The subcommittee 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 loss of access to postseason competition.

2. **Denied:** The subcommittee determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the institution is subject to the loss of access to postseason competition effective immediately.

If relief is not provided, the institution will be notified that the team is not eligible for postseason competition in the current academic year.

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

Reconsideration.

After the staff and/or subcommittee issued a decision on the review of a conditionally approved waiver of the loss of access to postseason competition, the institution may ask the staff or subcommittee to reconsider its decision if the institution submits new relevant information. Requests with new 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.

APP PENALTIES

Introduction.

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. Penalties are designed to restrict or deny the benefits of the NCAA for those teams that have a demonstrated history of academic underachievement.

A team incurs an APP penalty when it presents a multiyear APR below 930 (900 in 2011-12 and 2012-13). APP penalties are progressive and cumulative, with each year below the penalty benchmark bringing more severe penalty elements. The penalty elements must be taken in the academic year following official notification of penalties. Official notification occurs when an institution's APP penalty and access report is available following verification of APP data. Additional information can be found in Bylaw 23 and the APP Penalty Guide. *(Revised: 10/11; Effective: 10/11)*

APP Penalty Benchmark and Filters.

A team with a multiyear APR below the APP penalty benchmark of 930 is subject to APP penalties. The APP penalty structure includes three levels. All teams penalized at Level-Two or -Three are reviewed to determine if the team is filtered out of the penalty structure. This model places strong emphasis on teams demonstrating meaningful academic improvement, particularly in the two most recent data years. (*Adopted: 10/11; Effective with penalties applicable in 2012-13 and beyond.*)

- Improvement Filter: Any team with a multiyear APR below the established benchmark of 930 will be subject to APP penalties. Teams potentially subject to Level-Two or -Three in the penalty structure will have access to an improvement filter. This filter considers meaningful improvement as defined by the Committee on Academic Performance.

  Meaningful improvement is defined as an average APR of 950 over the two most recent years making up the current multiyear rate. The two-year APR average is calculated by summing the APR points earned in the two most recent years (including

delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years. This filter is calculated electronically and can be applied multiple times, but not when the team faces Level-One penalties.

Improvement Filter Example:

A men's cross country team has the following APR data:

Single-Year APR – Year 1	Single-Year APR – Year 2	Single-Year APR – Year 3	Single-Year APR – Year 4	Multiyear APR
937	844	906	1000	922

The team is subject to a Level-Two penalty and thus allowed to use the improvement filter. Calculation of the two most recent data years' APR:

Year 3		**Year 4**		**2-Year Average**		
29 points earned	+	32 points earned	=	61 points earned	=	953
32 point possible		32 points possible		64 points possible		

The two most recent years' average APR is 950 or greater, so the team meets the improvement filter and is not subject to Level-Two penalties.

Transition Period.

The Committee on Academic Performance has established a transition period for the 930 multiyear APR penalty benchmark:

1. 2012-13 Postseason Competition – The multiyear APR penalty benchmark is 900. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 or higher in the most recent years.

2. 2013-14 Postseason Competition – The multiyear APR penalty benchmark is 900. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 or higher in the most recent years.

3. 2014-15 Postseason Competition – The multiyear APR penalty benchmark is 930. The improvement filter is available to teams at Level-Two or -Three penalties. Improvement is defined as a two-year average of 950 in the most recent years.

The two-year APR average is calculated by summing the APR points earned in the two most recent years (including delayed-graduation points earned during those two years) and dividing by the sum of the points possible for the two most recent years.

Transition Period - Limited-Resource Institutions.

In April 2012 the Committee on Academic Performance recommended that the Board of Directors adopt several recommendations designed to assist limited-resource institutions in transitioning to the new APP penalty structure and academic access to postseason competition. These recommendations are focused on significant academic improvement. For the purposes of this recommendation, limited-resource institutions will be defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the committee uses for other purposes), excluding all FBS institutions. FBS institutions/teams shall not be eligible for this longer transition timeline or additional improvement filters regardless of resource level.

These recommendations impact both access to postseason competition and Level-One, -Two and -Three penalties. They include:

1. Establishing a longer transition to the 930 APR penalty benchmark for limited-resource institutions as follows:

    a. 2012-13 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available.

    b. 2013-14 Postseason Competition – Access is a multiyear APR of at least 900 or a two-year average of 930 or higher in the most recent years. The mission filter is available if not previously used.

    c. 2014-15 Postseason Competition – Access is a multiyear APR of at least 910 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

    d. 2015-16 Postseason Competition – Access is a multiyear APR of at least 920 or a two-year average of 940 or higher in the most recent years. The mission filter is available if not previously used.

2. Exempting any team(s) at limited-resource institutions that falls below the APR benchmark from penalties and ineligibility for postseason competition if the team meets the following criteria:

    - Demonstrates meaningful APR improvement as defined by the Committee on Academic Performance. The committee will use the improvement filters that were part of the previous APP penalty structure for the four-year transition period outlined above. The improvement filter requires a minimum APR in the most recent academic year making up the team's multiyear APR:

(1) 900 in the 2010-11 and 2011-12.

(2) 930 in the 2012-13 and 2013-14.

If the team has achieved the minimum APR in the most recent year, and meets one of the five APR improvement tests, the team will have demonstrated meaningful improvement as defined by the committee;

In order to use either of the recommendations in items one and two above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing its prior plans. To satisfy this requirement the following criteria must be satisfied:

1. A history of implementation of APR improvement plans – significant and critical elements -- if a plan was previously required.

2. Identification of critical issues supported by data.

3. Development of meaningful initiatives that address critical issues.

4. Broad-based participation in the development, assessment and oversight of the plan.

5. Approval by president or chancellor.

6. Projected single-year APR targets that elevate the team out of the penalty structure by the end of the four-year transition period. *(Adopted: 04/12; Effective: 04/12)*

The following charts may clarify the transition to the new APP access to postseason competition:

Transition for All Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930.
2014-15	Four-year APR of 930 or higher OR	Two most recent years average at or above 940.
2015-16 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.

Transition for Limited-Resource Institutions

Championship/ Postseason Competition Year	Multiyear APR to Avoid APP Penalties	Two Most Recent Years Average APR to Avoid APP Penalties	Improvement/APR Improvement Filter
2011-12	Status Quo – current penalty structure and benchmarks apply.	N/A	N/A
2012-13	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2010-11) plus meets one improvement test plus a meaningful APR Improvement Plan.
2013-14	Four-year APR of 900 or higher OR	Two most recent years average at or above 930 OR	900 in most recent APR data year (2011-12) plus meets one improvement test plus a meaningful APR Improvement Plan.
2014-15	Four-year APR of 910 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2012-13) plus meets one improvement test plus a meaningful APR Improvement Plan.
2015-16	Four-year APR of 920 or higher OR	Two most recent years average at or above 940 OR	930 in most recent APR data year (2013-14) plus meets one improvement test plus a meaningful APR Improvement Plan.
2016-17 and Beyond	Four-year APR of 930 or higher.	Improvement Filter applies the second time and beyond a team is subject postseason ineligibility. This filter requires two most recent years average at or above 950.	N/A

APP Penalty Structure.

Teams with a multiyear APR below 930 will be subject to APP penalties. Those at Level-Two or -Three in the penalty structure will have access to the improvement filter, outlined above. The first time a team is subject to an APP penalty, it classified as Level-One. The APP penalty structure is progressive and cumulative. Each time the team presents a multiyear APR below the penalty benchmark, it will move to the next penalty level, while also being subject to the previous penalty level. If the team avoids penalties and ineligibility for postseason competition. for three consecutive years by presenting a multiyear APR at or above 930, by meeting the improvement filter or by receiving a waiver of all APP penalties and ineligibility for postseason, the team will go back to a Level-One penalty if its multiyear APR falls below the benchmark again. Otherwise, each failure to meet the benchmark will result in a repeat of previous penalties, as well as a progression to the next penalty level. If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties.

The APP penalty structure is as follows:

Level-One Penalties: The team is subject to practice restrictions consisting of four hours per week during the declared playing and practice season as well as an additional required day off. The practice time must be replaced with academic activities. Level-One penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Two Penalties: The team is subject to playing and practice season restrictions in addition to Level-One penalties. Penalized team will face a reduction from eight hours to four hours per week for athletics activities outside of the playing season. These four hours must be replaced with academically focused activities. Of the remaining four hours of athletics activities, not more than two hours per week may be spent on skill-related workouts.

In a sport with a nonchampionship segment of the playing and practice season, penalized teams will not be permitted to participate in that segment. In sports where there is no nonchampionship segment distinction, teams will face a 10 percent reduction in the playing and practice season and competition. In the sport of football the team will face the elimination of spring practice and the spring game/scrimmage. Level-Two penalties must be imposed in the academic year following notification of APRs and penalties and the penalty package may not be separated.

Level-Three Penalties: In addition to the Level-One and -Two penalties, the team is subject to penalties from a menu of options. The institution will have the opportunity to self-impose penalties which can be accepted, rejected or amended by the staff. Should the staff not accept the institution's self-imposed penalties or if the institution asserts that the team should not be penalized, the case will be forwarded to the Committee on Academic Performance for an

in-person hearing. Once determined, Level-Three penalties must be taken in the academic year following notification of APRs and penalties. The menu of penalty options at Level-Three includes but is not limited to the following:

1. Financial aid penalties of any type and in any amount.

2. Additional practice penalties.

3. Additional contest reductions up to the entire season.

4. Restricted or corresponding membership.

5. Coach-specific penalties including game and recruiting restrictions.

6. Restricted access to practice for incoming student-athletes that fall below pre-determined academic standards.

7. Multiyear postseason competition ban.

If a team continues to perform below the benchmark after reaching Level-Three, the team will remain at Level-Three and continue to be subject to Level-Three penalties. Teams in Level- Three penalties over multiple years should expect more stringent penalty elements.

See Appendix K for a review of possible penalty scenarios.

Notification of APP Penalties.

The APR data for the previous academic year is due from each institution six weeks after the start of the fall classes in the subsequent academic year. Once an institution confirms data are accurate and if any of the institution's teams are subject to APP penalties, a penalty report will be posted on the institution's password-protected APP website accessed through the APP data collection system. The report will indicate the penalized team(s) and provide the level of penalty that is applicable to the team(s). The availability of the penalty report is considered official notification of APP penalties. Public announcements of team APR, access to postseason competition and penalties will occur in the early summer of each academic year.

Timeline to Take APP Penalties.

Institutions with a team subject to APP penalties must take the penalties in the academic year following receipt of official notice of the penalty. If a team received notice of its penalty following APP data submission in the fall of 2012-13, those penalties must be taken in the

2013-14 academic year. Components of the cumulative penalty package (i.e., practice restrictions, reduction in number of contests) may not be separated.

Failure to Take a Penalty within the Prescribed Timeline.

Institutions that fail to take APP penalties within the prescribed time period will be required to report a violation of Bylaw 23.2.1.2.2 to the NCAA enforcement staff. (*Adopted: 07/07; Effective: 07/07)*

Timeline for New Division I Teams.

Teams transitioning to Division I will not be subject to penalties until they have submitted three years of APR/APC data.

Membership Issues (Effect of Penalties on Minimum Financial Aid Requirements).

Level-Three penalties may include financial aid penalties 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 Leadership Council (Bylaw 20.9.1.2.10).

Restricted-Membership Penalty.

As part of Level-Three penalties, an institution may be 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 or academic requirements) (Bylaw 20.02.4). An institution placed in restricted membership loses eligibility for a number of Division I 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) does not improve enough to meet the benchmarks, the institution shall be reclassified to corresponding membership status (Bylaw 23.2.1.2.3).

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 Division II or III portion of the athletics program.

Report of APP Penalties Taken.

Institutions are required to provide to the national office documentation that an APP penalty was imposed as prescribed by the Committee on Academic Performance. The institution will be contacted in the summer after the year in which the penalty was to be taken and asked to provide documentation that the penalty was taken. The staff will review the documentation and determine if the team took the penalty appropriately. Failure to take the penalty as prescribed will result in the institution being required to report a secondary violation to the NCAA enforcement staff. That staff will determine the penalty for failure to take the APP penalty.

See Appendix L for frequently asked questions on ensuring practice penalties are imposed correctly and the reporting requirements for APP penalties.

WAIVERS OF APP PENALTIES

Introduction.

As described in Bylaw 23, the Committee on Academic Performance has the authority to waive the application of Bylaw 23.2.1.2.1, Bylaw 23.2.1.2.2 and Bylaw 23.2.1.2.3. The committee has established guidelines for reviewing APP penalty waivers in the APP Penalty Waiver Directive (See Appendix M) and has authorized the Subcommittee on Appeals and the staff to review waivers of Level-One and -Two penalties. The committee has authorized the staff limited review of Level-Three penalties. The subcommittee's decisions relative to Level-One or -Two penalties shall be final, conclusive and not subject to further review by any other authority. Decisions of the Committee on Academic Performance relative to Level-Three penalties may be appealed to a designated Subcommittee of the Division I Board of Directors (Bylaw 23.3). Decision of the Board's subcommittee are final, conclusive and not subject to further review by any other authority. *(Revised: 10/11; Effective: 10/11)*

APP Penalty waivers are considered separately from waivers of ineligibility for postseason competition, although they may be submitted simultaneously. Please refer to that section of this document for more information on loss of access to postseason competition.

Staff Conflict of Interest.

A staff member must recuse himself or herself from participation in a waiver request in which he or she is connected personally with an institution or conference (e.g., previous employer, conference member, alma mater). A staff 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 loss of access to postseason waiver request. It is the responsibility of the staff member to remove him- or herself if a conflict exists.

Institutional objections to a staff member participating in the review of an appeal must be raised with the subcommittee chair or acting chair as soon as recognized, but will not be considered unless the concern is raised prior to the review.

Subcommittee/Committee Conflict of Interest.

The conflict of interest section of this document applies to the committee members' involvement in waiver and appeal requests.

Delay Requests.

APP penalties must be imposed in the academic year following notification of APRs and penalties and the applicable penalty package may not be separated. However, the Committee on Academic Performance's policies and procedures and its APP Penalty Waiver Directive, permit an institution to request a delay in applying a penalty, for one or more of its teams. Such requests will be approved only in rare instances when an institution can demonstrate that it is unable to apply such penalties within the prescribed period due to unanticipated and extraordinary circumstances outside the control of the institution, involved team and student-athlete (e.g., natural disaster). Further, institutions that fail to apply APP penalties within the prescribed time period will be required to report a violation of Bylaw 23.2.1 to the NCAA enforcement staff. *(Adopted: 04/07; Effective: 4/07)*

APP PENALTIES WAIVER PROCEDURES SUMMARY

Level-One and -Two Penalty Waivers.

All Level-One and -Two penalty waiver requests must be submitted electronically to the national office via the LSDB*i* portal. Waivers must be submitted within 14 calendar days of the institution entering the penalty waiver period. An institution may request full or partial relief from any or all of the penalty elements. 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 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 relevant to its request.

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

Any waiver request 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 request filed after 14 calendar days will be considered. *(Revised: 10/06; Revised: 04/07; Revised: 04/11; Effective: 10/11)*

Requests to extend the institution's time to appeal a staff decision or to delay the hearing of an appeal should be provided in writing to the chair of the subcommittee on appeals via the staff member assigned to the case. Such a request should be made within the original seven days to appeal the staff decision. The subcommittee chair has the authority to decide if the extension or delay should be granted.

Staff Review Procedures.

On receipt of an institution's request, the staff will review the application to ensure it is complete, email the institution's designated contact regarding the status of the request and identify the 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.

The staff has the authority to render a decision for all Level-One and -Two penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

The staff has the authority to consider, deliberate and decide Level-One and -Two penalty waiver requests. After reviewing all information, the staff will render one of the following decisions:

1. **Approved:** The staff determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-One or -Two penalty elements.

2. **Partially Approved:** The staff determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One or -Two penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The staff determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One or -Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.1 or Bylaw 23.2.1.2.2. The institution will be responsible for applying the designated penalty or penalties at the originally prescribed times.

Written confirmation of the decision must be provided by the staff to the institution within seven calendar days of its decision.

Reporting Staff Decision.

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. *(Adopted: 10/07)*

Appeals of Level-One Penalties.

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

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 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 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 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: 07/07)*

Subcommittee Deliberations and Decisions.

The subcommittee has the authority to render a decision for all Level-One penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

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, email, Internet or in-person meeting. Such deliberations shall include only subcommittee members and 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.

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

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to the Level-One penalty elements.

2. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.1 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.1 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-One penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.1. The institution will be responsible for applying the designated penalty at the originally prescribed times.

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

Appeals of Level-Two Penalties.

The committee has authorized the Subcommittee on Appeals to consider all appeals of staff decisions involving Bylaw 23.2.1.2.2, Level-Two penalties.

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 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 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 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: 07/07)*

Appeal Participants.

Each of the following individuals from the institution must participate in the Level-Two penalty waiver appeal: (a) chancellor or president (or his or her designee); (b) director of athletics 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 teleconference.

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

The subcommittee chair, at his or her discretion, has the authority to remove a participant from participating or being present on the teleconference. 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, 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.

Introduction.

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 staff will introduce themselves. After the introductions, the subcommittee chair may make announcements.

Review of the Appeal.

The 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 teleconference 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 staff member(s) handling or presenting the case may be present for the deliberations. The 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: 01/08; Effective: 01/08)*

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.

Subcommittee Deliberations and Decisions.

The subcommittee has the authority to render a decision for all Level-Two penalty waiver requests. Decisions will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution and student-athlete(s) and had a direct impact on the team's APR;

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

5. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s); and

6. Other factors deemed relevant to the waiver.

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, email, Internet or in-person meeting. Such deliberations shall include subcommittee members, staff members supporting the work of the committee, the staff member who processed the staff decision, and specified individuals from the institution (see above).

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

1. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to the Level-Two penalty elements.

2. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.2 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Two penalty elements, but rather some elements will be waived.

3. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.2 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Two penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.2. The institution will be responsible for applying the designated penalty at the originally prescribed times.

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

<u>Reconsideration of Level-One or -Two Penalty Waiver Requests</u>.

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

APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

REVIEW OF CONDITIONALLY APPROVED LEVEL-ONE AND -TWO PENALTY WAIVERS

Introduction.

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 Subcommittee on Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

Review of Conditional Approvals Process.

The staff shall review the APP data and other imposed conditions for 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 phase is complete.

If the stated condition(s) has been satisfied, the waiver case staff will notify the institution, in writing, that the 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 penalties at the next available opportunity. In addition, if based on the most recent year's data, the team has become subject to the next penalty level, it must apply that level's penalty elements as well.

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 appeal request must be submitted electronically to the national office via the LSDB*i* 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 or Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional

information that it believes is relevant to the case. The staff 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Staff Deliberations and Decisions.

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

1. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously created APR Improvement Plan(s).

6. Any additional information provided by the institution.

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 Level-One or -Two penalty.

2. **Denied:** The staff 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 Level-One or -Two penalty.

APPEALS/RECONSIDERATIONS OF STAFF DECISIONS ON CONDITIONALLY APPROVED LEVEL-ONE OR -TWO PENALTY WAIVERS
Determining whether the condition(s) was satisfied.

Subcommittee Review.

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

The request must be submitted electronically to the national office via the LSDB*i* 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 or Bylaw 23.2.1.2.2 is not warranted. The institution may submit additional information that it believes is relevant to the case. The subcommittee 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 subcommittee must determine whether any request filed after seven calendar days will be considered.

Subcommittee Deliberations and Decisions.

Subcommittee decisions will include consideration of the following:

1. Mitigating circumstances that impacted the team meeting the condition, and whether the mitigating circumstances were within the control of the institution and student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously created APR Improvement Plan(s).

6. Any other relevant factors and additional information provided by the institution.

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

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.

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

1. **Approved:** The subcommittee 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 Level-One or -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 Level-One or -Two penalties.

If relief is not provided, the institution will be notified that the penalty will be imposed. Additionally, if the team has become subject to penalties in the current academic year, it will then also be subject to the next level of penalty within the penalty structure. The subcommittee'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 subcommittee to the institution within 21 calendar days of the decision.

Reconsideration.

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

LEVEL-THREE PENALTY WAIVERS (BYLAW 23.2.1.2.3).

Introduction.

The third time a team's APR falls below the penalty benchmark without three consecutive years with no penalties ("clean years") it faces Level-Three penalties. Due to the progressive and cumulative nature of APP penalties, the team at this level is subject to the prescribed Level-One and -Two penalties as well as the menu of penalties at Level-Three. The menu options include but are not limited to the following:

1. Financial aid penalties (any amount, any type);

2. Additional practice reductions beyond those in Level-One and -Two;

3. Additional season and contest reductions beyond those in Level-One and -Two;

4. Restricted and corresponding membership;

5. Coach-specific penalties including game and/or recruiting restrictions;

6. Restricted access to practice for incoming student-athletes who present an academic profile that falls below a pre-determined academic standard; and

7. Multiyear postseason competition ban.

The institution is required to log into the penalty assignment portal in order to self-impose penalties from the menu or to indicate that no penalty is appropriate. The staff will review the institution's selection and may accept or add to the penalties chosen by the institution. The staff can also forward the case on to the Committee on Academic Performance without making a decision.

LEVEL-THREE PENALTY ASSIGNMENT AND WAIVERS (BYLAW 23.2.1.2.3.1)

Penalty Assignment Procedures.

As outlined above, institutions with a team subject to Level-Three penalties shall self-impose Level-Three penalties from the menu of options. This step of the Level-Three penalty application phase occurs via the LSDB*i* portal. All institutions with teams subject to Level-Three penalties are required to log into the LSDB*i* portal in order to select from the menu of penalty options listed in the portal or to indicate that no penalty should be imposed. The penalties must be selected and submitted within 14 calendar days of the institution entering the

penalty waiver period. The penalty assignment process includes a signature page that must be signed by the institution's chancellor or president confirming the self-imposed penalties.

Any penalty assignment submitted after 14 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 14 calendar days will be considered.

Definitions.

For purposes of Level-Three penalties, the following definitions apply.

1. **Lead:** The lead is charged with coordinating the staff review of Level-Three penalties based on authority granted by the committee. He or she facilitates the submission of penalty assignment by penalized institutions as well as penalty waivers. He or she is responsible for ensuring review of all submitted cases for completeness and assigns waivers to waiver case staff. The lead or his/her waiver case staff designee will be present at all waiver hearings to present the case and any staff decisions. 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. **Case Staff:** The case staff is charged with reviewing the case to ensure it is complete and working with the institution to collect any additional information necessary. The staff has the authority to accept the institution's self-imposed penalties and it can also add additional penalties. The institution is then given the opportunity to accept or reject the penalties added by the case staff. If the institution rejects the staff's additional penalties or if the staff decides to defer to the committee the decision regarding what additional penalties should be imposed, the case staff must forward the case to the committee for a hearing. The lead may designate a case staff member to participate in the case hearing (e.g., provide APP data to the committee, responding to questions from the committee and if staff added penalties, 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 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 NCAA Division I Board of Directors APP Appeals Subcommittee. The staff may not be present in the APP Appeals Subcommittee deliberations and will only be present in subcommittee 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 APP Appeals Subcommittee teleconferences. The staff is responsible for supporting the subcommittee before, during and after the appeal and in its deliberations.

5. **Penalty Assignment and Waiver Period:** This is the period of time in the APP process when an institution is able to self-impose Level-Three penalties and appeal any assignment of additional penalties. This occurs after the institution has competed the corrections/adjustments phase of the APP data submission process. Once the data has become finalized an institution will be notified of any APP penalties and the process of self-imposing Level-Three penalties and filing any subsequent waivers becomes available.

Staff Review Procedures.

On receipt of an institution's self-imposed Level-Three penalties, the staff will review the penalties. The institution will receive notification identifying the staff member handling the case. The staff has the authority to accept the institution's self-imposed Level-Three penalties or to add to those penalties. The institution can then accept the staff's decision or appeal to the Committee on Academic Performance.

Staff decisions on assigned penalties will include consideration of the following:

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, athletic department, and student-athlete(s);

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

5. Review of current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s);

6. Any self-imposed penalties; and

7. Other factors deemed relevant to the case.

Staff Deliberations and Decisions.

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

The case staff may accept the self-imposed penalties or determine that additional penalties should be added. If the waiver case staff chooses not to determine if additional penalties should be added, it must forward the waiver to the committee for a hearing. The waiver case staff has 14 calendar days, from the time the case file is complete, to render a decision or forward the case to the committee.

Written confirmation of the assigned penalties and/or the acceptance of the self-imposed penalties must be provided by the staff, on behalf of the committee, to the institution within 14 calendar days of its decision.

Acceptance of Assigned Penalties.

The institution has seven calendar days to accept, in writing, the case staff's additional penalties. 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 staff's penalties, the case staff shall forward the case to the Committee on Academic Performance. The committee will review the case anew at an in-person hearing according to the procedures outlined in the committee review section below. The committee may accept the institution's self-imposed penalties or it may assign additional penalties. The institution will then accept the decision of the committee or request a waiver of the assigned penalties. Waivers are heard by the APP Appeals Subcommittee.

Reporting Staff Decisions.

The staff shall annually submit summaries of all decisions made by the case staff for committee review. The summaries shall not provide institutional names. The committee may not reverse these staff decisions, but may provide feedback and direction for future cases. *(Adopted: 10/09; Effective immediately.)*

Recording.

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

Committee Review Factors.

The committee will generally review each team separately, usually in the order contained in the notice of penalty. However, the committee may review cases involving multiple teams together. When an institution has multiple teams scheduled for in-person hearings with the committee, the institution may submit a written request that the committee conduct a combined hearing for two or more teams. If the committee conducts separate hearings, the committee chair will have the discretion to direct the institution to refrain from repeating information at both hearings. If the hearings are combined, the committee will deliberate separately on each team's penalty assignment. Regardless of whether hearings are held separately or combined, the committee will render separate decisions for each team.

Committee decisions will include consideration of the following: *(Revised: 10/08)*

1. The waiver directive approved by the Committee on Academic Performance (See Appendix M);

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

3. Mitigating circumstances and whether the mitigating circumstances were within the control of the member institution, athletic department, and student-athlete(s);

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

5. Review of current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s);

6. Any self-imposed penalties; and

7. Other factors deemed relevant to the case.

Hearing Costs.

The Committee on Academic Performance is responsible for actual and necessary expenses for 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 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 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 Level-Three penalty case will be heard in person, before all committee members in attendance at the hearing. Committee members must be physically present at the hearing in order to participate. The lead 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 case staff. The length of time for the hearing shall be left to the discretion of the committee chair, or acting chair. (*Revised: 12/08)*

Documents Reviewed by the Committee.

The Committee on Academic Performance will receive and review the notice of penalty, penalty assignment application (including any supporting documents), team(s)' APP data (e.g., APR, GSR, 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 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.

Hearing Participants.

The following individuals must participate in the in-person hearing: (a) The institution's chancellor or president; (b) The director of athletics; (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 are 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 hearing may proceed without the unavailable individual. When extenuating circumstances exist, the chair has the discretion of allowing an otherwise unavailable individual to participate in the hearing via videoconference or teleconference, which will be coordinated by the staff members supporting the work of the committee. (*Revised: 12/08)*

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 hearing involving a conference member.

The staff members supporting the work of the committee must participate in all portions of the hearing, including deliberations. In addition, the case staff must participate in the hearing and present to the committee. Case staff and the staff supporting the APP Appeals Subcommittee shall not be present for committee deliberations. Other 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 hearing. Such decisions may be made by the chair or acting chair.

Introduction.

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

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

The case staff will then introduce themselves.

After introductions, the committee chair may make announcements.

Opening Statements.

The 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 20 minutes. The case staff will first provide opening statements, followed by the institution.

The case staff will provide a review of the team's APP history, data and information (e.g., APR, GSR, penalty information, APR Improvement Plan review), 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 request and may include comments in rebuttal to the staff's opening statement. . The institution must also provide a brief summary of the relief it is requesting in its waiver and set forth the rationale for the requested relief. Both summaries may be made by any of the institution's representatives. All speakers in the opening statement are included in the institution's 20 minute time limit.

Committee members may ask questions regarding the requested relief and discuss other possible areas of relief from the penalty elements.

Following the opening statement and committee's questions, the institution may amend its waiver regarding the relief originally requested in the waiver application. The institution shall make this

amendment orally before the committee. If an institution does not amend the waiver, the hearing shall proceed to the question and answer period. *(Revised: 07/09)*

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 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 hearing, the committee members will deliberate. The committee may request additional information from any appropriate source, including the institution or the case staff. In this event, the institution and the 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 staff supporting the committee (but not the staff member who presented the case) may be present for the deliberation. Other staff may be present for the deliberations at the discretion of the committee chair or acting chair. However, the case staff who presented the case and the staff supporting the APP Appeals 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 will render one of the following decisions:

1. **Full Approval:** The committee determines the institution's request demonstrated evidence that waiver of Bylaw 23.2.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to the Level-Three penalty elements or additional penalties from the menu of penalties.

2. **Partially Approved:** The committee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 23.2.1.2.3 is warranted with no conditions. In such instances, the team will not be subject to all the Level-Three penalty elements, but rather some elements will be waived. Partial approvals may include situations where the committee deems the self-imposed penalties from the institution to be sufficient, and does not impose additional penalties on the institution from the menu of penalties.

3. **Conditionally Approved (Full or Partial):** The committee determines that the institution's request demonstrated evidence that a waiver of Bylaw 23.2.1.2.3 is warranted if specific conditions are met by the institution/team(s). Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the Level-Three penalty elements (some or all depending on the scope of the approval), but rather they will be conditionally waived. Failure to meet the stated conditions will result in the decision converting to a denial and the waived penalty being applied to the next academic year.

4. **Denied:** The committee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 23.2.1.2.3. The institution will be responsible for applying the designated penalty at the originally prescribed times.

5. **Additional Penalties:** The committee has the ability to levy additional penalties in Level-Three hearings in addition to the default penalties from Level-One and -Two. These penalties will be outlined by the committee within its decision report, and the institution will be responsible for applying the designated 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.

Reporting Committee Decisions.

The committee shall annually submit summaries of all in-person hearing decisions made by the committee to the APP Appeals Subcommittee. The summaries shall not provide institutional names. The APP Appeals Subcommittee's review of these summaries may not result in a different outcome for a particular case or a rehearing of the case. However, given the Board of Directors broad policy oversight for all APP matters, annual case review may result in the APP Appeals Subcommittee recommending the Board of Directors consider a policy matter. *(Adopted: 10/08)*

Committee Reconsideration.

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 relevant information that was not available to institution at the time the original appeal was filed. Requests with new relevant information may not be considered by the APP Appeals 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 APP Appeals Subcommittee. Note that APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. *(Adopted: 04/10; Effective: 04/10)*

Committee Review of Remanded Waiver.

The committee will review such cases through a submission of documentation from the involved institution, the staff and the APP Appeals Subcommittee. The member institution may provide additional written materials that it believes relevant to the subcommittee's decision to remand the case. However, any additional materials submitted by the institution must be relevant to the issues outlined by the subcommittee in its remand decision. All such materials must be provided by the institution to the staff supporting the committee within 14 calendar days of receipt of the remand decision of the APP Appeals Subcommittee. In addition, the staff supporting the committee may provide relevant written materials to the committee in order to assist the committee in its remand consideration. The committee chair may request specific

documentation from the institution or staff, if deemed necessary for the committee's deliberations.

The committee will deliberate via teleconference, videoconference or in-person meetings. Institutional representatives shall not be present for or participate in this review by the committee, other than by providing documents as noted. *(Adopted: 10/09; Effective immediately.)*

APP APPEALS 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 Level-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. Appeals must be submitted within seven calendar days of the institution's receipt of the Committee on Academic Performance decision. The chair of the Board of Directors' subcommittee may provide an extension of this timeline. Such requests will be considered on a case-by-case basis and will take into consideration the mitigation presented for the extension. *(Adopted: 06/10; Effective: 06/10)*

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.

Scope of Review.

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 the Committee on Academic Performance.

Recording.

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

Conflict of Interest.

A Board of Directors subcommittee member must recuse himself or herself from participation in an appeal (i.e., representing his or her institution or deliberating as a subcommittee member) in which he or she is personally connected with an institution or conference (e.g., previous employer, alma mater). A Board of Directors 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. However, a subcommittee member that recused himself or herself may participate in the preparation of the appeal for their own institution, including but not limited to drafting the appeal application, preparing appeal arguments and gathering appeal materials.

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 with and resolved by the chair or acting chair of the subcommittee as soon as recognized, but will not be considered unless the concern is raised prior to the scheduled appeal. Participation by a subcommittee member in previous APP matters involving the institution or with regard to general policy (e.g., an Level-Three waiver appeal) does not constitute a conflict of interest requiring recusal.

In the event that the Board of Directors subcommittee chair must recuse himself 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." In addition, in the event that an institution objects to the chair participating in a review based on a conflict of interest concern, the remaining members must vote, by simple majority, to determine who will serve as "acting chair" and the acting chair will resolve the conflict of interest issue regarding the chair prior to the appeal. If the acting chair finds that no conflict exists, the chair may resume his or her role. *(Revised: 12/08)*

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 APP Appeals Subcommittee may contact the subcommittee chair to arrange a teleconference or to discuss procedural matters relevant to processing an applicant's request. Further, the APP Appeals Subcommittee members may

contact the staff supporting the 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 national office using the LSDB*i* portal. The online appeal application program will produce a signature page that must be signed by the president or chancellor. All appeals must be submitted within seven calendar days of written notification of the Committee on Academic Performance's decision. *(Adopted: 06/10; Effective: 06/10)*

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). The Committee on Academic Performance chair, or acting chair, has the authority to review the submitted appellate brief to determine whether it raises any arguments, data or information not previously presented to the committee. If the committee chair finds that new arguments, data or information has been raised, he or she may raise the issue before the subcommittee. See Committee Issues below for more detail. *(Revised: 10/08)*

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.

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 APP Appeals Subcommittee will determine whether any appeal filed after the seven calendar days may be considered. *(Adopted: 06/10; Effective: 06/10)*

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 APP Appeals Subcommittee.

Timeframe for Hearing.

An appeal of the committee's decision regarding an Level-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 APP Appeals 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 director of athletics; (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 APP Appeals 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 APP Appeals 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.

The 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 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 Board of Directors chair has the discretion to appoint a substitute subcommittee member from the Board of Directors in the event that a member(s) is unavailable to hear an appeal. *(Revised: 07/09)*

Introduction.

The subcommittee chair or acting chair will call the meeting to order and introduce the members of the subcommittee and the staff supporting the APP Appeals 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 staff will then introduce themselves.

After introductions, the subcommittee chair may make announcements.

Committee Issues.

Prior to the review of the appeal, the committee chair may raise any issues he or she has regarding the documentation filed by the institution. Specifically, whether he or she believes that any of the arguments, data or information in the appellate brief is new and was not provided to

the committee during the waiver hearing and the new argument, information or data would have reasonably led to a different decision at the committee level.

Following the committee chair's presentation, the institution will have an opportunity to respond.

After the committee chair's presentation and the institution's response, the subcommittee will deliberate. The subcommittee chair or acting chair will ask everyone, other than subcommittee members and staff supporting the subcommittee to disconnect from the teleconference while they deliberate. After the subcommittee has deliberated appeal participants will be notified that the teleconference will resume.

The subcommittee may render one of the following decisions:

1. The arguments, data or information is not new and the appeal may continue as scheduled; or

2. The arguments, data or information is new and must be remanded back to the committee for reconsideration. *(Adopted: 10/08)*

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 staff supporting the committee may participate in the opening statement as long as their comments are included in the 15 minute time limit. *(Revised: 10/08)*

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 director of athletics may participate in

the opening statement as long as they are employed full time 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 APP Appeals Subcommittee members may ask questions of all participants, including staff member supporting the committee. 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, committee member or staff supporting the committee 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. *(Revised: October 2008)*

If the institution or Committee on Academic Performance desires 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 APP Appeals 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. Otherwise, only subcommittee member and that staff supporting the subcommittee may be present for the deliberation.

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 APP Appeals Subcommittee may: (a) Uphold the committee's decision; or (b) Reverse or remand 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. *(Revised: 07/09)*

If the subcommittee finds that the decision of 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, the subcommittee may render one or more of the following decisions: *(Revised: 07/09)*

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 Level-Three penalties.

2. **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. The subcommittee may require a team to satisfy specified conditions in order to receive relief from the portion of the penalty that is waived. The subcommittee may also provide a partial waiver and remand the case back to the Committee on Academic Performance to consider whether additional conditions should be imposed in light of the reasoning of the subcommittee and in accordance with the committee's policies and procedures. *(Revised: 07/09)*

3. **Remand:** The subcommittee determines that 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 the matter should be remanded to the Committee on Academic Performance to be reconsidered in light of the subcommittee's decision and in accordance with the committee's policies and procedures. *(Adopted: 07/09)*

Only subcommittee members and staff supporting the APP Appeals Subcommittee may be present for the deliberation. A simple majority of the subcommittee members present and voting is necessary for a decision. *(Revised: 07/09)*

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

REVIEW OF CONDITIONALLY APPROVED LEVEL-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 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.

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 national office via the LSDB*i* 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 Factors.

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 student-athlete(s).

2. If multiple conditions were assigned, the number of conditions met and historical-academic performance of the respective penalized 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 current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s).

6. Any additional information provided by the institution or relevant to the appeal.

Staff 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 Level-Three penalties.

2. **Denied:** The staff 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 Level-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 national office via the LSDB*i* 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.

Committee Review Factors.

Committee decisions will include consideration of the following:

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

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

2. 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 current APR Improvement Plan and implementation of previously submitted APR Improvement Plan(s).

6. Any additional information provided by the institution or relevant to the appeal.

Committee 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, email, Internet or in-person meeting. Generally, the committee will consider such appeals via teleconference,

while reserving the opportunity to forward cases to in-person meetings of the committee as needed. Such deliberations shall include only committee members and staff members supporting the committee. *(Revised: 07/09)*

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 Level-Three 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 Level-Three penalties and must impose those penalties in the following academic year.

If relief is not provided, the institution will be notified to impose the penalty the academic year subsequent to notification. If the team remains in the penalty structure, these penalties will be in addition to any new penalties.

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.

APR IMPROVEMENT PLANS

Introduction.

APR Improvement Plans are meant to encourage teams and institutions to make immediate improvements in student-athlete academic performance. An APR Improvement Plan should be developed through broad-based campus participation and should identify the critical issues impacting a team's student-athlete academic performance, retention and graduation.

Plan Development and Submission Requirements.

Each institution with a team(s) with a multiyear APR below 930 must develop and submit an APR Improvement Plan to the national office. [Note: All institutions with multiyear rates including at least two years of APR data are subject to the plan development and submission requirements.] Teams that have a squad-size adjusted APR above 930 are not subject to this

requirement. The institution's president or chancellor must approve the institution's APR Improvement Plan. *(Revised: 10/11; Effective: 10/11)*

Institutions selected for an APP data review or going through athletics certification may be required to submit plans to the national office. Further, institutions must submit copies of all previous APR Improvement Plans, progress reports of those plans and any intended plan amendments. *(Adopted: 04/07; Effective: 04/07)*

Institutions that received a conditionally approved waiver of an APP penalty that must demonstrate acceptable implementation of its APR Improvement Plan as a condition of its waiver must submit information regarding implementation of its plan to the national office by the prescribed deadline.

Institutions Requesting and/or Receiving SSF.

Each institution requesting or receiving SSF must develop and submit an APR Improvement Plan for the institution regardless of whether it has any team(s) with a multiyear APR below 930. The plan must outline which initiatives are or will be funded in whole or in part with SSF monies. Additionally, institutions that received SSF monies must submit information regarding implementation of its plan to the national office by the prescribed deadline. (*Adopted: 04/10)*

APR Improvement Plan Submission Dates.

Institutions required to submit plans and information regarding implementation to the national office must do so via the online submission system by the established deadline communicated to the institutions each year. The committee established the following dates for the submission of APR Improvement Plans and/or evidence of implementation of the previous year's plan for the 2011-12 academic year:

2011-12 Team/Institution Reporting Requirements	**Submission Deadline**
Teams that received a conditional waiver of penalties in 2011-12 (implementation only)	October 1
SSF recipient institutions (implementation only)	October 1
Limited-resource teams that met the "improvement plus" filter in 2011-12 (implementation only)	October 1
Limited-resource teams that hope to meet the "improvement plus" filter in 2012-13	October 1
Teams with a multiyear APR below 900	November 1
Institutions requesting SSF	November 1
Teams requesting a waiver of an APP penalty or with waiver request (whichever is earlier).	November 1
Teams with a multiyear APR below 930	January 14, 2013

(Adopted: 04/10; Revised: 10/11; Effective: 10/11)

Implementation of APR Improvement Plans.

Except in unique circumstances (e.g., natural disaster), the staff should not favorably consider any explanation offered by an institution for not implementing all critical element(s) of an APR Improvement Plan. However, the staff may favorably consider the following when evaluating implementation of an institution's plan:

1. Evidence that a critical element of the plan was addressed effectively by an alternate initiative or method not reflected in the original plan; or

2. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s). *(Adopted: 07/09)*

A plan is considered implemented when:

1. The institution demonstrated that the essential steps outlined for every critical issue have been completed;

   - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.

2. The institution achieved or demonstrated progress toward the measurable goals for every critical issue;

3. The individuals/officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and

4. If institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:

   a. Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

   b. Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).

Plans are considered not implemented when:

1. The institution did not demonstrate that the essential steps outlined for every critical issue have been completed;

2. The institution did not demonstrate progress toward the measurable goals for every critical issue;

3. The institution did not implement the steps outlined in the plan that address a critical issue, the institution did not provide:

   a. Evidence that a critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

   b. Objective data that demonstrates that the previously identified issue is no longer a critical issue impacting the team(s); and

4. The individuals/officers responsible for the goals/steps of every critical issue did not participate in the completion or attempted completion of the goals/steps.

Failure to Develop a Required APR Improvement Plan.

An institution that is required to create and/or submit and APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. Ineligibility to receive SSF grant monies for one year;

2. A presumption that any related penalty waiver(s) will be denied; and

3. Notification to the institution's chancellor or president and conference office that the institution failed to create or submit an acceptable APR Improvement Plan. *(Adopted: 07/09)*

APR Improvement Plan Requirements.

APR Improvement plans must have the following three elements to meet submission requirements and receive a staff evaluation:

Broad-Based Participation.

- The APR Improvement Plan shall be developed with significant input from appropriate constituent groups inside and outside of athletics.

Institutional Approval.

1. The completed APR Improvement Plan must be reviewed and approved by at least three of the individuals listed below, one of which must be the chancellor/president, to ensure

that it carries the commitment and support of the entire institution. Specific dates (e.g., month, day, year) of when the plan was approved must be reported by the institution.

a. Chancellor/president (required) signature page provided in the "Upload/View Documents" section of the APR Improvement Plan website;

b. Provost;

c. Director of athletics;

d. Faculty athletics representative;

e. Head coach;

f. Compliance director; and/or

g. Director of academic support.

2. At the staff's discretion, the institution's chancellor/president may be required to sign an additional statement verifying his or her approval if the plan has been edited after the initial submission.

Data Analysis.

1. Institutions must provide a meaningful analysis of the team(s)'s most current APR data. To document the analysis, the institution must upload any documents, charts, spreadsheets, etc. that were used by the APR Improvement Plan team during its analysis of data.

2. Institutions must include an assessment and evaluation of the academic admissions profiles and academic outcomes for all student-athletes on teams with a multiyear APR below 930. The plan must also include any initiatives (e.g., changes to the entering profile) based on this evaluation.

3. The data analysis submitted by the institution must include the following information:

a. The entering profile of student-athletes (e.g., high school core course grade-point average, two-year transferable credits, ACT/SAT score, risk factor score from Facilitating Learning and Achieving Graduation/, etc.);

b. Current academic profile of student-athlete (e.g., term credit hours attempted and earned, term grade-point average, cumulative grade-point average);

c. Reasons for loss of eligibility point. Specifically, the progress-toward-degree requirement not satisfied by the student-athlete;

d. Circumstances surrounding loss of retention point. (e.g., professional departure, lack of playing time, suspension/dismissal, etc.); and

e. Analysis of patterns and trends in the historical academic data. (e.g., low average credit-hours earned and term grade-point average in the fall, significant amount of 0 for 2's by two-year transfers in final term of eligibility).

Additional required elements of the APR Improvement Plan.

Plan Activity/Assessment.

- The APR Improvement Plan must be active at all times and includes an assessment to determine if the critical issues, measurable goals, and steps are still appropriate.

Timely Development of Plan.

- The APR Improvement Plan must be developed in time for it to be effective for the current academic year.

Identification of Issues.

- Institutions must identify critical issues currently impacting the team(s) APR based on the analysis of the team(s)'s APR data.

Program Areas.

1. The institution must identify one or more of the program areas identified by the Committee on Academic Performance for each of the critical issues addressed by the institution.

2. Please note the committee identified program areas are listed in the "APR Improvement Plan Best Practices" section.

Specific and Measurable Goals.

1. The institution must identify at least one goal per issue. However, the issue may lead to multiple goals.

2. Goals must be stated in terms that are measurable to determine if the goal has been achieved.

Steps to Achieve Goals.

- The APR Improvement Plan must include specific, detailed steps the institution will take to achieve the goals.

Responsible Individuals.

- The institution must identify at least one institutional staff member responsible for carrying out the step(s) to achieve the goals.

Timeline to Complete Goals.

1. The institution must include specific timetable(s) to complete the steps to achieve the goals.

2. The timeline should refer to a point within the academic year, but need not be the next academic year if it is a multiyear goal.

APR Improvement Plan Submission.

The APR Improvement Plan online submission system will be available via single-source sign-on in summer 2012. Currently the online submission system can be found at the following link:

https://web1.ncaa.org/AppPlan/exec/login

Staff Evaluation of APR Improvement Plans and the Implementation of APR Improvement Plans.

1. Staff evaluation of Implementation of APR Improvement Plans:

    a. The staff does not determine if the implementation of an APR Improvement Plan is acceptable or unacceptable.

    b. Institutions with a conditional waiver of APP penalties will meet the implemented APR Improvement Plan requirement when:

        (1) The institution demonstrated that the essential steps outlined for every critical issue have been completed;

            - Critical issues are defined as those issues, identified by the institution, that impact the team's academic performance and, if implemented, have the greatest likelihood of assisting the team's APR improvement.

(2) The institution achieved or demonstrated progress toward the measurable goals for every critical issue;

(3) The individuals or officers responsible for the goals/steps of every critical issue contributed to its completion and/or attempted completion; and

(4) If the institution has not implemented the steps outlined in the plan that address a critical issue, the institution provided:

(a) Evidence that the critical element of the plan was effectively addressed by an alternative initiative or method not reflected in the original plan, or

(b) Objective data that demonstrates that the issue is no longer a critical issue impacting the team(s).

2. Staff evaluation of APR Improvement Plans:

a. The staff does not determine if an APR Improvement Plan is acceptable or unacceptable.

b. The staff will confirm that each APR Improvement Plan has the following elements: developed through broad-based participation, meaningful data analysis and presidential approval.

c. If any of the above elements are missing, the plan has not met submission requirements and the staff will return the plan to the institution for revision.

d. The staff's written evaluation of the APR Improvement Plan will provide:

(1) Assessment of broad-based participation in plan's development, institution's data analysis and approval of plan.

(2) Identification of potentially critical issues not addressed by the institution.

(3) Assessment of the effectiveness of the plan's initiatives focusing on:

(a) Individuals responsible for implementation and oversight.

(b) Specificity and adequacy of steps to achieve goal.

(c) Effectiveness to address issue.

3. Updating plans after receipt of staff evaluation:

   a. Institutions are no longer required to amend or update its plan after receiving the staff's evaluation.

   b. If an institution has submitted its plan as part of an APP penalty waiver or SSF request, it will have two weeks after receiving the staff evaluation, to update its APR Improvement Plan.

   c. The staff will not consider plans submitted after this period as new information for purposes of APP penalty waivers.

APR Improvement Plan Online Materials.

Following is a link to educational materials you may find helpful in developing and submitting your institution's APR Improvement Plan and record of implementation. We encourage you to bookmark this link, as we will continue to post APP related updates and materials on this website as they are developed.

The following is a link to APR Improvement Plan Resources:

http://www.ncaa.org/wps/portal/ncaahome?WCM_GLOBAL_CONTEXT=/ncaa/ncaa/legislation+and+governance/committees/division+i/academic+performance/apr+improvement+plan+resources

APR Improvement Plan Online Searchable Database.

As of August 1, 2010, an online searchable database became available for institutions to review APR improvement strategies. Users are able to search, based on a number of criteria, strategies being used to address common issues impacting academic performance. To access the online searchable database, access the link at https://web1.ncaa.org/AppPlan/exec/login and click on "APR Improvement Plans – Search.

See Appendix N for frequently asked questions on APR Improvement Plans.

PUBLIC RECOGNITION PROGRAM

Introduction.

During the 2005-06 academic year, the Committee on Academic Performance instituted a team-centered public recognition program that highlights the academic performance of the top 10 percent of teams in each sport based on APR. In order to be eligible for the Public Recognition Awards list, a team must have reported at least two years of APR data. The list of recognized institutions is posted on the NCAA website and institutions are encouraged to celebrate APR

success throughout the year. The committee will continue attempts to identify and implement additional, meaningful incentives in future years. *(Adopted: 04/07; Effective: 04/07)*

SSF

Introduction.

The SSF was established to support campus-based initiatives designed to foster student-athlete academic success at limited-resource institutions. Grants will be awarded for innovative solutions to barriers preventing student-athlete retention and progress-toward-degree completion that are part of the institution's APR Improvement Plan and success as measured by team (APR and GSR) and student-athlete academic improvement. Specifically, requests for SSF should be tied directly to APR Improvement Plan elements *(Adopted: 04/10; Effective: 04/10).* In addition, the program encourages sharing and adaptation of successful programs on all Division I institutions – including institutions that do not receive SSF support. *(Adopted: 04/10)*

Annually, the staff must provide the committee with a report outlining the impact of all initiatives funded through the SSF. *(Adopted: 04/10)*

Institutional characteristics will be reviewed to identify "limited-resource" institutions. Specifically, the following three measurements will be reviewed: (1) Per capita Pell Grant dollars received (to assess neediness of student-body); (2) Per capita institutional spending (to assess neediness of institution); and (3) Per capita athletics spending (to assess neediness of the athletics department). Institutions with most limited-resources, ranking in the bottom 10 percent, as measured by this metric will be eligible to apply for SSF support. Institutions with resources ranking in the bottom 15 percent will have access to a filter to avoid ineligibility for postseason competition but will not have access to SSF. If an institution was previously eligible for the SSF and has received a multiyear award, but is no longer considered a "limited-resource" institution, the institution will continue to be eligible to receive funds pursuant to the multiyear award. *(Adopted: 07/09; Revised: 10/11; Effective: 10/11)*

Written notification will be provided by the staff to institutions ranking in the bottom 10 and 15 percent based on institutional resources and to institutions no longer within the tenth percentile. (*Adopted: 07/09; Revised: 10/11; Effective: 10/11)*

Multidivisional institutions (i.e., Division II or III institutions that typically sponsor one or two sports at the Division I level) are not eligible for SSF since they are not included in the determination of the bottom tenth percentile of institutions based on resources. *(Adopted: 07/09)*

Purpose, Goals and Priorities.

The program's purpose is to support academic reform by funding campus initiatives designed to increase team APR's and GSR's at limited-resource institutions. Success will be indicated through the increased team APR's and GSR's of recipient institutions. For the 2011-12 academic year, priority will be given to funding professional development activities for staff who provide academic support services to student-athletes. Priority will then be given to initiatives submitted that are directly tied to the institution's APR Improvement Plan(s). Each institution shall demonstrate a history of successful implementation of its plan(s) and demonstrate its commitment of institutional resources to critical elements of its plan(s) that would be supplemented by an SSF award. Due to the amount of available funding, not all eligible institutions may receive funding support for initiative awards submitted during 2011-12.

In accordance with direction from the Committee on Academic Performance, initiative requests will also be reviewed to determine whether they fall within the following three categories:

1. Eligibility: Successful requests will present integrated approaches engaging appropriate campus academic personnel and resources in efforts designed to ensure student-athletes maintain steady progression toward fulfillment of degree requirements, as measured by eligibility status. Effective measures will result in increased "E" points earned by each participating team.

2. Retention: Preferred initiatives will include innovative strategies for enhancing student-athlete persistence, including application of demonstrated retention practices and integration of student-athletes into the broader campus community. Effective measures will result in increased "R" points earned by each participating team.

3. Graduation: Support may be given to degree-completion programs developed to assist student-athletes who need a minimal number of hours to fulfill graduation requirements. Effective measures will result in increased GSR's.

Program Guidelines.

1. Only active members of NCAA Division I that are determined to be "limited-resource" institutions are eligible to receive funds. Multidivisional, limited-resource institutions with Division I teams are not eligible to receive funds, even if such institutions sponsor teams subject to the APP.

2. Grant applications must link specific initiatives to critical elements and measurable outcomes included in an APR Improvement Plan. Applications must also describe the commitment of institutional resources to critical elements of the plan(s) that would be supplemented by the SSF award. Each institution shall also be required to demonstrate a history of successful implementation of its plan(s).

3. Initiatives must be designed after a thorough assessment has been conducted to reveal the nature of each team's particular challenges to academic success.

4. Recipient institutions must demonstrate effective collaboration with non-athletics campus units to ensure all institutional resources are maximized and to underscore integration of athletics into the broader university community.

5. Recipient institutions must be willing to share successful programs and model practices with other institutions, including institutions that have not received APP supplemental support program funding.

6. Institutions receiving grant money must submit annual reports outlining the progress of implementation of the new initiatives.

7. Institutional personnel from recipient institutions may be required to complete APP-related educational programming.

8. Grant sizes will vary based on the scale of proposed initiatives and available funding. Partial awards may be granted and smaller awards may be granted for equipment and professional development requests.

9. Funded projects should demonstrate a capacity for long-term sustainability.

10. The institution's chancellor or president must review and sign the grant application.

Professional Development Grant Requests.

Professional development grants provide funds to attend seminars, conferences and workshops to further professional development for staff who administer academic-support services to student-athletes. This must occur between November 2011 and July 2012. Institutions may submit multiple requests and they will continue to be reviewed until April 1, 2012. Each institution is allowed to request funding to send not more than three staff members to no more than two events per year.

Initiative Requests - Application Process.

Applications will be accepted on an ongoing basis; however, applications must be received by April 1, 2012. The staff will review all applications and will respond to the contact person identified on the application. The staff will determine whether proposed activity fits within the funding priorities of the SSF. Institutions must submit all required APR Improvement Plan information to the national office in order to be eligible for a SSF Initiative Award.

Timeline.

December	Applications available.
April 1	Deadline for submission of professional development and initiative applications for funding during the 2011-12 academic year.
July	Projected timing of initiative awards.

Examples of Projects/Initiatives Meeting Program's Purpose and Guidelines.

1. Professional development of academic support personnel.

2. Programs based on careful, complete assessment of barriers to student-athlete academic success and directly tied to the institution's APR Improvement Plan(s).

3. Projects proposed after a review of demonstrated best practices.

4. Academic support personnel (generally requires institutional contribution).

5. Equipment used to further academic success of student-athletes (i.e., desktop computers, laptop computers, and educational software).

Examples of Projects/Initiatives that Do Not Meet Program's Purpose and Guidelines.

1. Initiatives not tied to an institution's APR Improvement Plan.

2. Initiatives where there is no showing of a commitment of institutional resources to critical elements of its APR Improvement Plan that would be supplemented by a SSF award.

3. Initiatives where there is no showing of successful implementation of an APR Improvement Plan.

4. Athletics operations.

5. Recruiting budget increases.

6. Team-travel budget increases.

7. Research projects.

8. Requests for fundraising efforts/events.

9. Team/student-athlete celebratory or recognition events.

10. Operating deficits.

11. Endowments.

12. Merit increases.

13. Any request that will not be used during the SSF award year.

14. Funding request for current students or student-athletes, including financial aid.

APPENDIX A

Frequently Asked Questions Regarding APR Cohort Composition

Inclusion of Noncounters on Athletics Aid in the APR Cohort.

Question No. 1: Do medical noncounters have to re-enroll full time to earn the retention point?

Answer: Yes. Retention for a student-athlete requires full-time enrollment unless he or she meets a legislated exception to full-time enrollment. Progress-toward-degree waivers of full-time enrollment are considered legislated exceptions.

Question No. 2: If a student-athlete in the cohort initially attends the institution for eight weeks, then receives a medical withdrawal for a serious medical condition, is this student included in the cohort? What if a medical-absence waiver was never submitted because the student did not return to the institution?

Answer: This student-athlete is in the cohort since he or she received athletics aid and was enrolled full time as of the fifth week of classes or official census date, whichever is earlier. The student-athlete's lost APR point(s) may be addressed through the adjustment process.

Revocation of Scholarship during the Term.

Question No. 1: If a student-athlete begins the academic year on athletics aid, but the aid is revoked during the term, is the student-athlete included in the APR calculation for that term? For example, an incoming student-athlete is certified as a qualifier, receives athletics aid and attends classes. However, the student-athlete is declared ineligible midyear due to invalidation of his or her test score and he or she does not receive aid from that point forward. As a condition of reinstatement, the student-athlete will repay the aid received during the fall term. Is the student-athlete included in the team's APR cohort for the fall term, even though the aid will be repaid?

Answer: Such a student-athlete would not be included within the APR cohort, in that the cohort is intended to be comprised of student-athletes who receive only permissible institutional athletically related financial aid. For teams that offer athletics financial aid, the APR cohort was developed to include only student-athletes who received athletically related financial aid and to exclude recruited student-athletes not awarded athletically related financial aid. This included student-athletes who were ineligible to receive athletically related financial aid. To remain consistent with the original design of the APR cohort, student-athletes impermissibly awarded athletically related financial aid are not included in the cohort. If this student-athlete receives athletics aid in subsequent years, he or she will

enter the APR cohort for those terms during which he or she receives athletics aid.

Question No. 2: If a student-athlete begins the spring term full time and on athletics aid, but the student-athlete drops to a part-time status in the middle of the semester and athletics aid is revoked due to part-time status, is the student-athlete included in the APR calculation for that term?

Answer: Because the student-athlete received permissible athletics aid and was enrolled full time as of the institution's fifth week of classes or official census date for that institution, the student-athlete will be included in the team's APR for that term.

Question No. 3: A student-athlete begins the academic year on athletics aid written for the full academic year. The institution includes an academic component in the aid award, requiring the student-athlete to attend study hall in order to keep the aid. If the student-athlete fails to meet the academic component, the aid may be canceled under NCAA legislation. If the aid is canceled midway through the academic term, is this student-athlete included in the APR cohort for that academic term?

Answer: Because the student-athlete received permissible athletics aid as of the fifth week of classes or the official census date, whichever is earlier, the student-athlete would be a part of the team's APR cohort for that academic term. If the aid was canceled prior to the fifth week of classes or the official census date, the student-athlete should be removed from the team's APR cohort for that academic term. If the aid was canceled after the fifth week of classes or the official census date, the student-athlete's lost APR point(s) maybe addressed through the APR adjustment process.

Student-Athletes Who Quit Nonscholarship Teams.

Question No. 1: Is a student-athlete who quits a nonscholarship team at the end of the fall term included in the spring cohort?

Answer: For teams not awarding any athletics aid, a student-athlete is considered in the cohort if he or she is on the team at any point on or after the first date of competition during that term only. He or she will not be included in the APR cohort during the spring term since the student-athlete was not on the team.

Recruited Student-Athletes Whose Standardized Test Scores are Invalidated—Nonscholarship Teams.

Question No. 1: Is a recruited student-athlete whose standardized test score was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier included in the APR cohort?

Answer: No. A recruited student-athlete whose standardized test was invalidated following the team's first date of competition in the championship segment and who was subsequently determined to be a nonqualifier should not be included in the APR cohort for nonscholarship teams. *(Adopted: 10/2008 effective 10/2008 for the 2008-09 APR cohort, not retroactive to any prior year cohorts)*

Student-Athletes Receiving Athletically Related Financial Aid for Only One Term.

Question No. 1: If a student-athlete received athletics aid in the fall term but not for the spring term (e.g., quits team, aid canceled) and remains enrolled at the institution for the spring term, is he or she in the APR cohort in the spring term?

Answer: Because the student-athlete received athletically related financial aid for the fall semester, he or she will be included in the team's APR for that term only. He or she will not be included in the APR cohort during the spring term since no athletically related financial aid was received.

Student-Athletes Receiving Preseason Expenses or Summer Athletics Aid.

Question No. 1: Does the receipt of preseason expenses or athletics aid during a summer term trigger a student-athlete's inclusion in the cohort?

Answer: The receipt of preseason expenses and athletics aid during the summer term would not result in a student-athlete being included in the cohort. The trigger for including a student-athlete in the cohort is the receipt of athletically related financial aid during a regular academic term.

Student-Athletes Receiving Athletics Aid Contingent on Meeting Nonathletics Criteria.

Question No. 1: If a student-athlete is offered and accepts athletically financial aid contingent on satisfying some nonathletics criteria prior to receiving any athletics aid, is he or she in the APR cohort?

Answer: Provided the student-athlete meets all other criteria to be included in the APR cohort, that student-athlete shall be included in the APR cohort for that term or terms, whether the stated nonathletics criteria are met or not. *(Adopted: 7/2008 effective 7/2008 for the 2007-08 APR cohort, retroactive to any prior year cohorts)*

Student-Athletes Receiving Outside Aid.

Question No. 1: Should student-athletes who receive no athletics aid but receive outside aid that is countable against the team limit (e.g., athletics participation considered a major criterion) be included in the APR cohort?

Answer: Student-athletes whose only countable aid is outside aid would not be included in the cohort. The cohort is comprised of student-athletes who receive institutional financial aid based in any degree on athletics ability. Because the outside scholarship is not considered institutional aid, the student-athlete is not included in the APR cohort for that team.

Question No. 2: Should a student-athlete who has exhausted eligibility and receives athletics aid from the Student-Athlete Opportunity Fund or NCAA degree-completion program be included in the APR cohort?

Answer: A student-athlete who is receiving aid from the Student-Athlete Opportunity Fund to offset expenses normally covered by an athletics scholarship (i.e., tuition, fees, room, board and/or books) WOULD be included in the cohort, provided he or she is receiving the monies from the fund within six years after his or her initial full-time collegiate enrollment, the monies are awarded during the academic year, and the student-athlete has not yet enrolled beyond five years/10 semesters of actual full-time enrollment.

Since the requirement is to be considered part of the cohort and is based on the student-athlete receiving institutional athletics financial aid, receipt of funds from the NCAA degree-completion program would NOT result in the student-athlete being included as part of the cohort.

APPENDIX B

Examples of Cross-Country and Indoor and Outdoor Track and Field APR Cohort Composition

Example No. 1: A student-athlete receives athletics aid and is on the cross country team roster on the first date of competition for the championship segment. The student-athlete is also on the indoor and outdoor track and field rosters on the first date of competition in the championship segment for these sports. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, indoor track and field and outdoor track and field.

Example No. 2: A student-athlete receives athletics aid and is on the outdoor track and field roster on the first date of competition for the championship segment. The student-athlete is also on the indoor track and field roster on the first date of competition of the championship segment, but does not participate in cross country and, thus, is not on the cross country roster. In which APR cohort(s) should the student-athlete be included?

Answer: Indoor track and field and outdoor track and field.

Example No. 3: A student-athlete receives athletics aid and is on the cross country, and indoor track and field roster on the first date of competition for the championship segment (assuming the institution's indoor track and field season begins in the fall). The student-athlete withdraws from the institution after the fall term. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country and indoor track and field for the fall term.

Example No. 4: A student-athlete receives athletics aid and is on the cross country roster on the first date of competition of the championship segment. The student-athlete is not on the team's roster on the first dates of competition of the championship segments for either indoor or outdoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 5: A student-athlete is on the cross country, and indoor and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete's institution offers athletics aid in these sports; however, the student-athlete does not receive athletics aid. In which APR cohort(s) should the student-athlete be included?

Answer: None, because the student-athlete is not receiving athletics aid.

Example No. 6: A student-athlete's institution does not offer athletics aid in any sports. The student-athlete was recruited and was on the cross country, and outdoor track and field rosters on the first dates of competition of the championship segments. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and outdoor track and field.

Example No. 7: A student-athlete was included only in the cross country APR cohort for the 2005-06 academic year. The student-athlete exhausted his or her eligibility for cross country in 2005-06. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2006-07 academic year. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country.

Example No. 8: A scholarship student-athlete is on the cross country, and outdoor track and field rosters on the first dates of competition of the championship segments. The student-athlete exhausted his or her eligibility for indoor track and field. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and indoor and outdoor track and field.

Example No. 9: A scholarship student-athlete was included in the cross country, and indoor and outdoor track and field APR cohorts for the 2005-06 academic year. The student-athlete exhausted his or her eligibility for cross country, and indoor and outdoor track and field in 2005-06. The student-athlete returned for his or her fifth year and is receiving athletics aid for the 2006-07 academic year. In which APR cohort(s) should the student-athlete be included?

Answer: Cross country, and indoor and outdoor track and field.

APPENDIX C

Miscellaneous Questions on Impact of Graduation on APR

Question No. 1: May a student-athlete use the summer after his or her tenth semester/fifteenth quarter in order to graduate and earn the eligibility point?

Answer: A student-athlete may use summer hours completed after his or her tenth semester/fifteenth quarter to complete graduation requirements, as long as they are completed prior to the beginning of the next regular academic term. Student-athletes who graduate at any time during the summer are included in the last full-time term the student-athlete was enrolled during the regular academic year for APP purposes.

Question No. 2: May a student-athlete return to the institution in the fall term to graduate and earn the retention point?

Answer: If a student-athlete returns in the fall term to graduate, the student-athlete will be a "1/2" for the prior spring term. If the student-athlete graduates that fall term, he or she may earn a delayed-graduation point for his or her team, provided the criteria are met.

Question No. 3: How does use of a missed-term exception affect the requirement to graduate within five years of enrollment?

Answer: For APR purposes, a student-athlete has five years **of actual full-time enrollment** (i.e., 10 semesters/15 quarters) in which to graduate. The term to which a missed-term exception is applied does not count against the five-year period for graduation.

Question No. 4: How does the use of a term in which a student-athlete is allowed to be enrolled part time due to a progress-toward-degree waiver affect the requirement to graduate within five years of full-time enrollment?

Answer: A term in which a student-athlete is permitted to be enrolled less than full time due to a progress-toward-degree waiver is still considered a full-time term of attendance for purposes of the APR. For example, a student-athlete with an education-impacting disability is granted a progress-toward-degree waiver to be enrolled part time and the student-athlete uses the part-time enrollment option during two regular terms during his or her academic career. At the conclusion of his or her fifth year of full-time enrollment, the student-athlete must graduate in order to earn both points because the two part-time terms were legislated exceptions.

Incomplete Grades – Graduation.

Example No. 1: A basketball student-athlete received athletically related financial aid during the 2006-07 academic year. At the conclusion of the 2007 summer term, he or she received an "incomplete" in one class needed to earn his or her degree. At the institution, an "incomplete" credit is posted in the term in which the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2007 summer term. The student-athlete's five-year period to obtain his or her degree ended in summer 2007. What is the impact of the incomplete on the institution's APR?

Answer: If the student-athlete finished the incomplete prior to the APR submission date and, per institutional policy, the grade for the course was posted on the 2007 summer term – which would have added the credit hour(s) necessary for graduation – he or she earned the eligibility point for spring 2007 once that grade was posted and the institution considers the student-athlete a graduate in the previous term. If the grade was posted after the APR submission date, the institution may award a delayed-graduation point for the student-athlete during the next academic year's APR data submission.

Example No. 2: An institution's particular degree program requires that students complete an internship prior to graduation. Many of the institution's student-athletes who have completed their eligibility and are enrolled in this degree program register for the internship during the summer, but do not complete it and take an "incomplete" so that they can complete the internship during the fall semester. However, because they are actually registered for the internship during the summer and the internship is the final piece needed to complete the degree, student-athletes are not actually registered for any classes during the fall. What is the impact of the incomplete on the institution's APR?

Answer: If student-athletes do not complete the internship by the end of the summer term and are not enrolled in the fall term, they do not earn the retention point. However, institutions have the opportunity to change data prior to the APP data submission deadline if "incompletes" are replaced with grades/credits posted back to the term. Accordingly, if the student-athletes in question eventually finish their internships and institutional policy allows for the "incomplete" to be replaced with grades/credits posted to the summer term, the team may be able to earn the "lost" point by requesting a delayed-graduation point.

Other Graduation Calculation Issues.

Example No. 1: A student-athlete is enrolled in the 2006 fall semester, is not retained for the 2007 spring semester and then graduates summer 2007. Will he or she earn the graduation points (two points) for the 2007 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated summer 2007. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 2: A student-athlete completed all coursework for graduation in the 2006 fall semester but graduation was not conferred until the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete had completed all graduation requirements (administrative and academic) prior to the start of the next academic term (in this case, spring 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she "graduated" in spring 2007.

Example No. 3: A student-athlete completed all coursework for graduation except for four units in the 2006 fall semester. He or she then completed a course at a junior college in the winter intersession, transferred those credits back to the original institution and graduated in the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete graduated prior to the start of the next academic year (in this case, fall 2007), then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated in spring 2007.

Example No. 4: A student-athlete receives all incomplete grades for the 2006 fall semester, which is his or her tenth full-time term of collegiate enrollment. He or she then completes all the necessary coursework to remove the incomplete grades and graduated in the 2007 spring semester. Will he or she earn the graduation points (two points) for the 2006 fall semester?

Answer: Provided the student-athlete is considered a graduate prior to the start of the next academic year (in this case, fall 2007), which this student-athlete did, then the student would be a "2/2," reflected as a graduate for the 2006 fall term, though technically he or she graduated summer 2007. This is consistent with how summer graduates are treated when their last regular full-time term is spring. If they graduate in summer after that spring, they are a "2/2" in the spring term.

Example No. 5: A student-athlete graduated from Institution A with eligibility remaining, transferred to Institution B per NCAA Division I Bylaw 14.1.9 and received athletics aid to participate in athletics at the second institution. How is this student-athlete reflected in Institution B's APR?

Answer:

1. The student-athlete is included in the cohort for Institution B since he or she received athletics aid.

2. The student-athlete will automatically receive the retention point for each semester that he or she continues after graduation.

3. The student-athlete will receive the eligibility point if he or she meets NCAA, conference and institutional requirements for graduate student-athletes (e.g., Bylaw 14.1.8.2.1.4).

A graduate student who has earned an undergraduate degree will always earn the retention point. The eligibility point will be earned based on meeting whatever academic-eligibility rules are applicable (i.e., six hours).

Example No. 6: A student-athlete who attends an institution for five years and exhausts his or her eligibility but does not graduate receives how many points for the last term of the fifth year?

Answer: If the student-athlete returns for his or her sixth year, he or she will lose the eligibility point since he or she did not graduate in five years. However, since the student-athlete was retained, he or she will receive the retention point.

If the student-athlete withdraws from the institution, he or she will lose both the eligibility and retention points since the student-athlete did not graduate in five years and was not retained.

Example No. 7: A student-athlete only needed a few credits to graduate in spring 2007 and thus, enrolls less than full time. Will he or she earn the retention point for the 2006 fall term?

Answer: Taking only those courses required to graduate is a legislated exception to the full-time enrollment legislation (Bylaw 14.1.8.2.1.3). If the student-athlete meets this bylaw, he or she meets an exception to the full-time enrollment legislation and, therefore, is considered retained. Additionally, the student-athlete also must be included in the cohort during the spring term.

Example No. 8: During the fall semester, a student-athlete enrolled in 12 hours, later dropped to nine hours and passed eight hours. The student-athlete did not enroll for the spring semester. During the summer, the student-athlete attended and graduated. How is this student-athlete reflected in the institution's APR?

Answer: For the fall semester, the student-athlete will earn the eligibility and retention points because he or she graduated before the next fall semester. The institution will receive credit for the student-athlete's graduation. For the spring semester, the student-athlete is not in the cohort.

Example No. 9: Following the completion of the fall term, a student-athlete graduates and exhausts his or her eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the APR cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated <u>and</u> have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Miscellaneous APR Calculation Examples

Example No. 1: A student-athlete enrolled full time in the fall semester, earned eligibility and returned for the spring semester. The student-athlete enrolled full time in the spring, withdrew in the sixth week of the semester after the census date and did not earn any hours. The student-athlete does not return to the institution the next fall term.

Answer: This student-athlete would earn "2/2" in fall and "0/2" in spring, assuming the student-athlete did not earn the eligibility point.

Example No. 2: In the fall term, a student-athlete enrolled full time and earned the eligibility point; however, the student-athlete did not enroll in the spring. The student-athlete then returned to school full time the next fall.

Answer: The student-athlete earned "1/2" points for the fall term and would not receive the retention point. The student-athlete is not in the cohort for the spring term.

Example No. 3: A student-athlete enrolled full time in the fall term and was not academically eligible for the spring term. The student-athlete did not enroll in the spring term. The student-athlete attended summer classes and became eligible for the fall term. Then, the student-athlete returned full time in the next fall term.

Answer: This student-athlete earned "0/2" points for the fall term and remained "0/2" despite regaining eligibility during the summer. The eligibility point is based on eligibility going into the next regular academic term, which was spring. The student-athlete was not included in the spring cohort, so he or she was "0/2" for the entire academic year.

Example No. 4: A student-athlete enrolled full time in the fall term and participated in a study-abroad program sponsored or affiliated with the institution in the spring term. He or she earned eligibility for the next academic year and was retained in the next fall term.

Answer: The student-athlete earned "2/2" points for the fall term and earned "2/2" points for the spring term.

[Note: The student-athlete must be participating in a study-abroad program that is affiliated with the student-athlete's institution. If a student-athlete participated in a study-abroad program that is independent of the student-athlete's institution, the student-athlete would lose the retention point and earn "1/2" points.]

Example No. 5: A student-athlete on athletics aid was enrolled full time in the fall term and attended classes for 15 days, which is after the official census date, at Institution A. The student-athlete subsequently transferred prior to Institution B's census date and prior to the fifth week of classes and completed the fall term at Institution B.

Answer: The student-athlete is included in the fall cohort at Institution A and Institution B. The student-athlete was enrolled full time as of the fifth week of classes or the official census date, whichever is earlier at both institutions.

Example No. 6: A student-athlete was enrolled in the winter term and was academically eligible to compete at the end of the term. The student-athlete spent the spring term in a co-op program as part of his or her degree program. He or she was considered to be enrolled full time by the institution, but received no credit hours for the co-op program and will need a progress-toward-degree waiver in order to be eligible the following fall.

Answer: The student-athlete earned a "2/2" for the winter term and is part of the spring cohort if he or she was on athletics aid. However, since the student-athlete earned no credit hours, he or she is a "1/2" for the spring term unless a progress-toward-degree waiver is granted. If a progress-toward-degree waiver is granted, the student-athlete will earn "2/2" points.

Example No. 7: Following the completion of the fall term, a football student-athlete graduates and exhausts his eligibility. The student-athlete enrolls full time in the spring and is on athletics aid. Is the student-athlete in the APR cohort for the spring term?

Answer: The student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated <u>and</u> have exhausted athletics eligibility shall not be included in the APR cohort even if such students appear to meet criteria to be included in the APR cohort.

Application of the Missed-Term Exception Adjustment

Question No. 1: Is the institution required to apply the missed-term exception to determine the academic eligibility of a student-athlete when he or she re-enrolls at the institution?

Answer: An institution is not required to apply the missed-term exception in order to request an adjustment for the lost retention point. As long as the student-athlete qualifies for the missed-term exception pursuant to Bylaw 14.4.3.5-(a) and the criteria listed above are met, an institution may request an adjustment for the retention point for the term prior to missing the term(s).

Question No. 2: May an institution request an adjustment for the retention point on more than one occasion for the same student-athlete based on the missed-term exception criteria?

Answer: No. An institution may request an adjustment to a lost retention point based on the missed-term exception criteria one time during a student-athlete's academic career.

Question No. 3: May an institution request an adjustment of the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled for consecutive terms in more than one academic year? For example:

Fall 2006 – student-athlete enrolled; eligible but not retained.
Spring 2007 – student-athlete not enrolled.
Fall 2007 – student-athlete not enrolled.
Spring 2008 – student-athlete returns to institution.

Answer: An institution is permitted to request an adjustment for the retention point based on the missed-term exception criteria for a student-athlete who is not enrolled full time in multiple, regular academic terms.

Question No. 4: Is an institution permitted to request adjustments for the retention point based on the missed-term exception criteria for any academic year cohort included in the institution's multiyear APR cohort?

Answer: This policy was effective starting with the 2006-07 APR cohort that was submitted fall 2007 and is not retroactive to any prior year cohorts. Thus, beginning fall 2007, an institution may request an adjustment for a retention point based on the missed-term criteria for a term missed by a student-athlete during the 2006-07 academic year and subsequent missed terms thereafter.

Incomplete Grades – Examples of Posting for APR Calculation.

Example No. 1: A basketball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2008 summer term, he or she received an "incomplete" in one class that must be completed in order for him or her to be eligible to compete in the fall and be awarded the eligibility point for the spring term. At the institution, an "incomplete" credit is posted in the term that the student-athlete initially enrolled in the course. Thus, in this instance, the grade would post for the 2008 summer term. As long as the grade was posted prior to the APR data submission date, the student-athlete should be credited with earning the eligibility point for the spring. If the grade is posted after the APR data submission date, the institution may request an adjustment for the lost eligibility point and must provide mitigation explaining why the "incomplete" was not restored before the APR submission date.

Example No. 2: A softball student-athlete receives athletically related financial aid during the 2007-08 academic year. At the conclusion of the 2007 fall term, she received an "incomplete" in one class and renders herself ineligible for the spring term. This student-athlete completes the class in a subsequent summer term. Academic eligibility is based on satisfying institutional, conference and NCAA requirements. This student-athlete was not eligible for the entire spring term and completed the class in a subsequent term. Therefore, this student-athlete would not have earned the eligibility point for the 2007 fall term, regardless of the term in which the completed course grade was applied.

APPENDIX F

Guide of Possible Student-Athlete Outcomes

The following table is provided as a rough guide of possible individual student-athlete outcomes.

E1	R1	E2	R2	E3	R3	F,S calc	W,S calc	8 Point scale	4 Point scale
N	A					0/1	0/1	0/2	0/1
N	C					1/2	1/2	2/4	1/2
N	N					0/2	0/2	0/4	0/2
N	Y					1/2	1/2	2/4	1/2
Y	A					1/1	1/1	2/2	1/1
Y	C					2/2	2/2	4/4	2/2
Y	G					2/2	2/2	4/4	2/2
Y	N					1/2	1/2	2/4	1/2
Y	T					1/1	1/1	2/2	1/1
Y	Y					2/2	2/2	4/4	2/2
		N	A			0/1	0/1	0/2	0/1
		N	C			1/2	1/2	2/4	1/2
		N	N			0/2	0/2	0/4	0/2
		N	Y			1/2	1/2	2/4	1/2
		Y	A			1/1	1/1	2/2	1/1
		Y	C			2/2	2/2	4/4	2/2
		Y	G			2/2	2/2	4/4	2/2
		Y	N			1/2	1/2	2/4	1/2
		Y	T			1/1	1/1	2/2	1/1
		Y	Y			2/2	2/2	4/4	2/2
				N	A	0/1	0/1	0/2	0/1
				N	C	1/2	1/2	2/4	1/2
				N	N	0/2	0/2	0/4	0/2
				N	Y	1/2	1/2	2/4	1/2
				Y	A	1/1	1/1	2/2	1/1
				Y	C	2/2	2/2	4/4	2/2
				Y	G	2/2	2/2	4/4	2/2
				Y	N	1/2	1/2	2/4	1/2
				Y	T	1/1	1/1	2/2	1/1
				Y	Y	2/2	2/2	4/4	2/2
N	Y	N	N			1/4	0/2	1/6	0.5/3
N	Y	N	Y			2/4	1/2	3/6	1.5/3
N	Y	Y	G			3/4	2/2	5/6	2.5/3
N	Y	Y	N			2/4	1/2	3/6	1.5/3
N	Y	Y	Y			3/4	2/2	5/6	2.5/3
Y	C	N	C			3/4	1/2	4/6	2/3

E1	R1	E2	R2	E3	R3	F,S calc	W,S calc	8 Point scale	4 Point scale
Y	C	Y	C			4/4	2/2	6/6	3/3
Y	G	Y	C			4/4	2/2	6/6	3/3
Y	Y	N	A			2/3	0/1	2/4	1/2
Y	Y	N	N			2/4	0/2	2/6	1/3
Y	Y	N	Y			3/4	1/2	4/6	2/3
Y	Y	Y	A			3/3	1/1	4/4	2/2
Y	Y	Y	G			4/4	2/2	6/6	3/3
Y	Y	Y	N			3/4	1/2	4/6	2/3
Y	Y	Y	T			3/3	1/1	4/4	2/2
Y	Y	Y	Y			4/4	2/2	6/6	3/3
		N	Y	N	N	0/2	1/4	1/6	0.5/3
		N	Y	N	Y	1/2	2/4	3/6	1.5/3
		N	Y	Y	N	1/2	2/4	3/6	1.5/3
		N	Y	Y	Y	2/2	3/4	5/6	2.5/3
		Y	C	N	C	1/2	3/4	4/6	2/3
		Y	C	Y	C	2/2	4/4	6/6	3/3
		Y	Y	N	A	0/1	2/3	2/4	1/2
		Y	Y	N	N	0/2	2/4	2/6	1/3
		Y	Y	N	Y	1/2	3/4	4/6	2/3
		Y	Y	Y	G	2/2	4/4	6/6	3/3
		Y	Y	Y	N	1/2	3/4	4/6	2/3
		Y	Y	Y	Y	2/2	4/4	6/6	3/3
N	Y	N	Y	N	N	1/4	1/4	2/8	1/4
N	Y	N	Y	N	Y	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	G	3/4	3/4	6/8	3/4
N	Y	N	Y	Y	N	2/4	2/4	4/8	2/4
N	Y	N	Y	Y	Y	3/4	3/4	6/8	3/4
N	Y	Y	Y	N	N	1/4	2/4	3/8	1.5/4
N	Y	Y	Y	N	Y	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	G	3/4	4/4	7/8	3.5/4
N	Y	Y	Y	Y	N	2/4	3/4	5/8	2.5/4
N	Y	Y	Y	Y	Y	3/4	4/4	7/8	3.5/4
Y	C	Y	C	N	C	3/4	3/4	6/8	3/4
Y	C	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	G	N	C	Y	C	4/4	3/4	7/8	3.5/4
Y	G	Y	C	N	C	3/4	3/4	6/8	3/4
Y	G	Y	C	Y	C	4/4	4/4	8/8	4/4
Y	Y	N	Y	N	N	2/4	1/4	3/8	1.5/4
Y	Y	N	Y	N	Y	3/4	2/4	5/8	2.5/4
Y	Y	N	Y	Y	G	4/4	3/4	7/8	3.5/4

Y	Y	N	Y	Y	N	3/4	2/4	5/8	2.5/4
Y	Y	N	Y	Y	Y	4/4	3/4	7/8	3.5/4
Y	Y	Y	G	N	C	3/4	3/4	6/8	3/4
Y	Y	Y	G	Y	C	4/4	4/4	8/8	4/4
Y	Y	Y	Y	N	A	2/3	2/3	4/6	2/3
Y	Y	Y	Y	N	N	2/4	2/4	4/8	2/4
Y	Y	Y	Y	N	Y	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	A	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	G	4/4	4/4	8/8	4/4
Y	Y	Y	Y	Y	N	3/4	3/4	6/8	3/4
Y	Y	Y	Y	Y	T	3/3	3/3	6/6	3/3
Y	Y	Y	Y	Y	Y	4/4	4/4	8/8	4/4
N	N			N	N	0/4	0/4	0/8	0/4
N	N			N	Y	1/4	1/4	2/8	1/4
N	Y			Y	Y	3/4	3/4	6/8	3/4
Y	A			Y	Y	3/3	3/3	6/6	3/3
Y	N			N	N	1/4	1/4	2/8	1/4
Y	N			N	Y	2/4	2/4	4/8	2/4
Y	N			Y	G	3/4	3/4	6/8	3/4
Y	N			Y	N	2/4	2/4	4/8	2/4
Y	N			Y	Y	3/4	3/4	6/8	3/4
Y	Y			Y	G	4/4	4/4	8/8	4/4
Y	Y			Y	Y	4/4	4/4	8/8	4/4

Table created by Donald Morrison, faculty athletics representative, University of California, Los Angeles. Supplemented in August 2009 by NCAA research staff.

E_n = Eligibility status at the end of term *n* within a given academic year.

R_n = Retention status at the end of term *n* within a given academic year.

Y = Student-athlete was eligible or retained after that term.

N = Student-athlete was not eligible or retained after that term.

G = Student-athlete graduated that term.

A=APR point was adjusted.

T=Retention point automatically adjusted due to transfer.

C=Continuing/Post-baccalaureate student-athlete.

Blank = Student-athlete not in cohort during that term.

F,S calc = Partial APR contribution for student-athlete based on fall and spring E,R checks.

W,S calc = Partial APR contribution for student-athlete based on winter and spring E,R checks.

8-point scale = Sum of points earned/possible under each calculation.

4-point scale = Actual APR contribution for student-athlete.

APPENDIX G

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 and retention. 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 retention 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 eligibility + retention for the APR calculation.

The Committee on Academic Performance has approved this directive to provide guidance to the NCAA staff and the Subcommittee on Data Collection and Reporting in reviewing APR adjustment requests. The committee recognizes 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 APP cohort. Each student-athlete is able to earn two points for each regular academic term he or she is in the cohort. The eligibility 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 retention 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 retention point for having graduated. A student-athlete who earns both points in an academic term is recorded as "2 for 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 eligibility 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 eligibility, 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 eligibility and/or retention points. Rather it removes the lost points from both the numerator and the denominator. Thus the 1/2 becomes a "1 for 1", or the 0/2 becomes a "0 for 1" or "0 for 0". Please note some adjustment criteria require the earning of the eligibility point in order for the request to be considered.

Circumstances Warranting an Adjustment of the Eligibility or Retention 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 eligibility and/or retention point may be considered for an adjustment in the following situations. In all circumstances, contemporaneous documentation must be included. If relief for the lost retention 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 eligibility 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.

      Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the NCAA Division I Progress-Toward-Degree Waivers Committee), which

coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the Legislative Services Database for the Internet (LSDB*i)* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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.

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. *(Adopted: 4/2009 effective 4/2009 for the 2008-09 APR cohort, retroactive to any prior year cohorts).*

f. Other unforeseen events and/or circumstances beyond the student-athlete's and/or institution's control that led to lost eligibility and/or retention points in a term that the student-athlete did not complete.

2. <u>Academic Term Was Completed, Student-Athlete Not Eligible</u>.

A student-athlete who completed a regular academic term as a full-time student may receive an adjustment to a lost eligibility 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 retention 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.

Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the Progress-Toward-Degree Waivers Committee), which coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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. <u>Academic Term Completed, Student-Athlete Not Retained</u>.

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 retention 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 eligibility 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 four-year 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.

Note: If an institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, by the Progress-Toward-Degree Waivers Committee), which coincides with when the student-athlete lost the APR point(s), the adjustment request should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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.

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. *(Adopted: 4/2009 effective 4/2009 for the 2008-09 APR cohort, retroactive to any prior year cohorts).*

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 retention point adjusted one time during his or her academic career based on this mitigation.

Note: If a request meets all criteria for adjustment of the lost retention point, it should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal. *(Adopted: 2/2010 effective with the 2009-10 APR data submitted fall 2010 and will not apply to any prior cohorts).*

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 completed 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 eligibility 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.

Note: If a request meets all criteria for adjustment of the lost retention point, it should be filed in the APP data collection system. All other requests should be filed through the LSDB*i* portal.

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 eligibility 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 eligibility point in order for the retention 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).

c. Student-athletes impacted by the National Basketball Association (NBA) lockout.

The student-athlete completed the 2011 spring term and was not retained due to pursuing professional basketball as a vocation. (Note: A student-athlete is still required to earn the eligibility point). Such pursuit may be demonstrated by the following:

(1) The student-athlete was drafted by any professional basketball league;

(2) For undrafted student-athletes, documentation verifying the student-athlete was invited to and/or participated in 2011 NBA Draft Combine; and

(3) For student-athletes who do not meet either of the above criteria, it would be acceptable documentation if the student-athlete signs a contract with a professional sports team or organization within one year following the end of the lockout in the respective sport.

This adjustment is only available for those student-athletes who were not retained after the 2011 spring semester or quarter who pursued professional basketball as a vocation.

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 eligibility 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. 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 eligibility 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 2.0, but less than 2.6 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, academic performance each term of full-time enrollment, student-athlete's academic success compared to other students with similar admissions profiles, academic support services at the next institution and a reasonable expectation of graduation within five years of initial full-time enrollment).

Note: This adjustment will be subject to a high review standard and will be filed through the LSDB*i* portal.

c. The student-athlete was not retained because he or she transferred to another institution and meets the following criteria:

(1) The institution from which the student-athlete transferred received an approval of a NCAA Division I Legislative Council Subcommittee for Legislative Relief waiver of the residency requirement under Bylaw 14.8.2-(e) and the committee recommended approval of the waiver request.

(2) 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.

(Adopted: 7/2009 effective 7/2009 for the 2008-09 APR cohort, not retroactive to any prior year cohorts).

Circumstances that Do Not Warrant an Adjustment of the Retention 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).

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 eligibility 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 eligibility and/or retention points as appropriate, depending on the unique circumstances of the request.

APPENDIX H

Frequently Asked Questions on Collection of Two-Year Transfer Data

Question No. 1: Why are institutions being asked to submit this additional data?

Answer: Since June 2007, four separate groups within the NCAA governance structure have initiated reviews of issues impacting the academic performance of two-year college transfer student-athletes. Each group noted the need for additional research regarding the academic performance of two-year college transfer student-athletes, specifically their performance at their respective two-year college(s). However, there are limited data available on the two-year college academic performance of student-athletes. Without comprehensive data on two-year college transfer student-athletes, the membership's ability to provide thorough analysis regarding the academic preparation and success of two-year college transfers is limited. The collection of these data is essential in understanding the academic profiles of two-year college transfers and is providing reliable data to various governance groups as they consider policies and legislative changes regarding two-year college transfers.

Question No. 2: Why are the additional academic data only being collected for four sports?

Answer: The four identified sports have the largest number of transfer students from two-year colleges. In addition, it is anticipated that data from these sports will be sufficient for obtaining the research to inform policy decisions.

Question No. 3: Does this data submission require institutions to submit data on all two-year college transfer student-athletes in all years that make up the multiyear APR cohort?

Answer: No. Institutions are required to provide data on all two-year college transfer student-athletes in the 2011-12 cohort in the four sports, if the student-athlete enrolled at the submitting institution during the 2011-12 academic year.

Question No. 4: Does the institution need to submit any documentation (e.g., transcripts, credit evaluation) to the national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus in the event of an APP data review.

Question No. 5: What if an institution does not submit any data or incomplete data on its two-year college transfers?

Answer: If an institution fails to submit any data or submits incomplete data on its two-year college transfers, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships. If an institution is unable to obtain the requisite data or encounters issues with this data collection, the institution should contact the NCAA academic and membership affairs staff.

Question No. 6: What if the institution is unable to obtain requisite information until after the APR/APC data has been submitted?

Answer: This information must be completed and submitted with the institution's APR data. If this timeline cannot be met, the institution should request an extension of the data submission deadline.

Question No. 7: Does the additional academic data have to be submitted for a student-athlete who initially attended a four-year institution, then transferred to a two-year college and then transferred to the submitting institution (i.e., 4-2-4 transfer)?

Answer: Yes; however, the submitting institution needs to only report the additional academic data for the student-athlete's attendance at the two-year college. Credits earned by the student-athlete from the first four-year institution should not be entered into the new data fields regarding two-year college attendance; however, they should be included in the total transfer credits field.

Question No. 8: Does the additional academic data have to be submitted for a student-athlete who initially attended a two-year college, then transferred to a different four-year institution and then transferred to the submitting institution (i.e., 2-4-4 transfer)?

Answer: Institutions are required to supply the additional academic data only for student-athletes who transferred directly from a two-year college to the current institution.

Question No. 9: What is difference between total credit hours, transferrable credit hours and degree credit hours?

Answer: Total credit hours are those credits hours the student-athlete earned at the two-year college(s). Transferrable credit hours are only those credit hours earned at the two-year college(s) that transferred into your institution. Degree credit hours are only those credit hours earned at a two-year

college that transferred into your institution and were applied to the student-athlete's designated degree program at the time of transfer.

Question No. 10: Should hours earned at a two-year college prior to initial full-time collegiate enrollment be included in these data?

Answer: Yes. All two-year college hours should be reported regardless of when the student-athlete earned them (e.g., high school dual enrollment, prior to initial full-time enrollment).

Question No. 11: What if the student-athlete transferred to the submitting institution prior to being required to designate a degree program?

Answer: The submitting institution should report all credits that would transfer into <u>any</u> degree program at the four-year institution.

Question No. 12: What if the student-athlete changed majors after his or her first term at the submitting institution?

Answer: The degree credit hours field should reflect the student-athlete's degree program at the time of transfer.

Question No. 13: What is the difference between overall grade-point average and transferrable grade-point average?

Answer: The overall grade-point average is the total grade-point average based on all coursework at the two-year college(s). The transferrable grade-point average is not a requirement for the additional academic data, but is the grade-point average earned in all courses that transferred into the institution as defined in Bylaw 14.5.4.5.3.2 (calculation of grade-point average for transferable credit).

Question No. 14: How is the overall two-year college grade-point average determined?

Answer: If the student-athlete only attended one two-year college, then the cumulative grade-point average at that two-year college should be reported. If the student-athlete attended more than one two-year college, the submitting institution should calculate the overall two-year college grade-point average by adding total grade points earned at all two-year colleges divided by total credits attempted for a grade at all two-year colleges.

For example:

John attended two-year college A. John attempted 27 credit hours for a grade, however, only earned 24 credit hours and earned 70 grade points. His grade-point average at two-year college A is 70/27 = 2.59.

John then transferred to two-year college B. John attempted 40 credit hours for a grade and earned 40 credit hours and earned 98 grade points. His grade-point average at two-year college B is 98/40 = 2.45.

His overall two-year college grade-point average is (70 + 98)/ (27+40) = 2.51.

Question No. 15: What if the student-athlete received an initial-eligibility waiver and was considered to be a partial qualifier?

Answer: Please indicate the student-athlete was a nonqualifier for purposes of this data collection.

Question No. 16: What if the student-athlete did not have a final academic certification from the NCAA Eligibility Center?

Answer: The student-athlete should be reported as not being certified or as not registering with the NCAA Eligibility Center.

Question No. 17: May I import the data from Compliance Assistance (CA)?

Answer: No. The majority of these data fields are currently not available in CA.

Question No. 18: What should be reported if the student-athlete was charged with a season of competition but did not actually compete? For example, the student-athlete competed after his or her 21st birthday prior to initial full-time enrollment and was charged with a season of competition.

Answer: Only the number of seasons in which the student-athlete actually participated at a two-year college should be reported.

Question No. 19: What is considered to be a physical education activity credit?

Answer: Physical education activity courses are courses which involve body movement produced by skeletal muscles resulting in energy expenditures through organized group or class activities (e.g., swimming, team sports, weight lifting). Physical education theory or pedagogy courses should not be reported as physical education activity courses.

Question No. 20: What is considered an English credit?

Answer: Courses that were offered in the two-year college's English department and were earned (both college level and remedial) should be reported as English credit hours earned. Courses that transferred into the submitting institution's English department should be reported as English credit hours transferred. A course that transferred into another department but met a writing requirement would not be considered an English course (e.g., history course with a writing component).

Question No. 21: What is considered a math credit?

Answer: Courses that were offered in the two-year college's mathematics department and were earned (both college level and remedial) should be reported as math credit hours earned. Courses that transferred into the submitting institution's mathematics department should be reported as math credit hours transferred. A course that transferred into another department but met a quantitative requirement would not be considered a math course (e.g., logic course offered in the philosophy department).

Question No. 22: What is considered a science credit?

Answer: Courses that were offered in the two-year college's natural or physical science departments (e.g., biology, chemistry, physics, geology) and were earned (both college level and remedial) should be reported as science credit hours earned. Courses that transferred into the submitting institution's natural or physical science departments should be reported as science credit hours transferred. Social science courses (e.g., psychology, sociology) and health science courses (e.g., nursing, exercise science) would not be considered a science course.

Question No. 23: What is considered a remedial course?

Answer: A course is remedial if it does not count as college-level credit and does not count toward any degree program at the institution. Generally a remedial course is a prerequisite for courses that are countable toward any degree program. Remedial courses may also be referred to as "college-preparatory," "compensatory," "developmental" or "review."

Question No. 24: Should remedial English, math and/or science courses be reported in the total number of credits earned at the two-year college?

Answer: Yes. Remedial hours the student-athlete completed at the two-year college should be included in reporting the total number of hours earned. However, remedial courses are generally not transferrable to a four-year institution; therefore, they should not be reported as transferrable or degree credit hours.

Question No. 25: What should be reported if the submitting institution does not accept any credit hours from two-year colleges?

Answer: The institution must report zero for the degree credit hours and transfer credit hours fields. The institution will not be able to submit its APP data if these fields are blank.

Question No. 26: Is part-time attendance at a two-year college included in determining the total number of two-year colleges attended?

Answer: Yes. Please include all two-year colleges that the student-athlete attended including high school dual enrollment and attendance prior to initial full-time enrollment.

Question No. 27: What if the student-athlete earned an associate of science or an associate of applied science instead of an associate of arts degree?

Answer: If the student-athlete received an associate degree prior to transferring to the submitting institution, the student-athlete should be reported as a two-year college graduate.

Question No. 28: If a student-athlete attended a two-year college using semester terms and the submitting institution is a quarter institution, should the number of terms the student-athlete attended the two-year college be reported in semesters or quarters?

Answer: The submitting institution should convert the terms to its academic calendar (semesters or quarters). For example, if a student-athlete attended a two-year college for four semesters and transferred to a quarter institution, the submitting institution should report six terms at the two-year college (1 semester = 3/2 quarters and 1 quarter = 2/3 semester).

Question No. 29: Are institutions required to submit the data for transfer student-athletes who attended a two-year college in a foreign country?

Answer: No. A two-year college in a foreign country is considered to be a four-year college for NCAA transfer purposes.

APPENDIX I

Frequently Asked Questions
Collection of Graduation Rate Data

Institutional Reporting Requirements.

Question No. 1: What do I need to submit?

Answer: All NCAA member institutions **MUST** complete the student-body graduation rates and the student-body enrollment (first column on that page). Institutions that offer athletics aid also must complete the student-athlete enrollment.

Division I members also must provide the Graduation Success Rate (GSR) for student-athletes; Division II members also must provide the Academic Success Rate (ASR) for student-athletes. If you are a Division III member participating in **voluntary** pilot, you also will be providing ASR data for your student-athletes.

Question No. 2: Our institution recently dropped a sport/reclassified from Division I to Division III and is no longer awarding athletics aid in that particular sport or throughout the athletics program for all sports. What data do we need to submit?

Answer: Your institution is required to complete the federal [Postsecondary-Education Data Systems (IPEDS)] section for student-athletes up to and including the last freshman cohort for which your institution awarded athletics aid. For example, if the last freshman class that was awarded athletics aid was the class entering fall 2005; then, the 2005 fall cohort would be the last cohort for which your institution would be required to submit IPEDS data.

Question No. 3: Our institution began to report APR data for the 2006-07 cohort. Since our institution does not have a 2005-06 APR cohort, which is being reported this year, what data reporting requirements do we need to meet?

Answer: Your institution would be required to report the following data for the 2005-06 cohort:

a. Student-body graduation rate data.

b. Student-athlete graduation rate data.

c. Student-athlete enrollment data.

d. Student-body enrollment data.

e. Student-athlete GSR data.

Question No. 4: Is our institution required to submit data for sports that are not being used to meet sports-sponsorship requirements?

Answer: Yes, institutions must report data for ALL sports even if the sport is not being used to meet NCAA sports-sponsorship requirements.

Question No. 5: Our institution awards athletics aid in a non-NCAA sponsored sport. How does our institution report graduation rates, GSR and ASR data for that sport?

Answer: If your institution awards athletics aid in a non-NCAA sponsored sport, your institution is required to report its graduation rates in order to comply with federal reporting requirements. Your institution will need to import its data using a text file. Instructions for creating the file may be found under the "Data Collection/Import" tab.

Student Reporting.

Question No. 1: When our institution imported data from the NCAA Division I Academic Performance Program (APP) data collection system into the graduation rates data collection system, the import included student-athletes who should not be reported in this data collection year's GSR cohort. Why did this occur?

Answer: Student-athletes are imported from the APP data collection system based on their initial full-time enrollment at any institution/your institution and inclusion in the APR cohort. If the student-athlete's first term at any institution/your institution was entered incorrectly in the APP data collection system, corrections will need to be made to the APR data and the student-athlete should be deleted from the cohort in the GSR system. The institution should review the files it maintains on campus to verify the accurate cohort.

Question No. 2: Our institution's census (enrollment) date is after the fifth week of classes. Should a student-athlete who was included in the APR data be included in the GSR data if he or she withdrew after the fifth week of classes but before the census (enrollment) date?

Answer: No, the APR definition for inclusion in the cohort is different than the federal or GSR definition. Only student-athletes who were enrolled as of the institution's census (enrollment) date should be included in the graduation (federal and GSR) cohorts.

Question No. 3: Our institution does not offer athletics aid in a sport and has a nonscholarship freshman who was on a team's roster for only the freshman year – he or she either left or was removed from the team. Does our institution still need to include this student-athlete when reporting GSR/ASR data?

Answer: Yes, such a student-athlete remains in the cohort, regardless of the number of years he or she participated in a sport.

Question No. 4: What do we do if we have multiple records for the same student-athlete within the same APR cohort?

Answer: Your institution will need to delete all records except for one within the GSR data collection portal after you have imported the records from the APP data collection system and request a correction to your institution's APR data for that cohort.

Question No. 5: How are multisport student-athletes reported?

Answer: Multisport student-athletes should be reported only ONCE and should be placed in the sport for which they received athletics aid as freshmen. If a student-athlete received athletics aid in more than one sport during the freshman year, the federal hierarchy should be followed (i.e., football, basketball, baseball, cross-country/track, all other sports) and the student-athlete should be reported accordingly.

A student-athlete who did not receive athletics aid as a freshman but was recruited or on a roster as of the first date of competition, should be reported in that sport. Institutions should use the federal hierarchy for a freshman student-athlete who participated in more than one sport without receiving athletics aid. If the freshman student-athlete did not receive athletics aid, but participated in more than one of the "other" sports, the institution should select a sport to place the student-athlete.

Question No. 6: A student-athlete graduated from another four-year institution and then transferred to our institution seeking a second baccalaureate or graduate degree. Should this student-athlete be included in our institution's reporting of graduation rates data?

Answer: No, the student-athlete has already graduated from another institution and should be excluded from your institution's GSR. Graduation rates, GSR and ASR reporting are for undergraduate students and student-athletes only.

Question No. 7: How are the sports of cross country, indoor and outdoor track and field reported for the GSR/ASR? In the past, these three sports have been combined when reporting the IPEDS-Graduation Rate Survey/federal graduation data. Will the GSR/ASR also combine these three sports when reporting data?

Answer: Yes, these three sports will continue to be combined. However, if cross country, indoor or outdoor track and field teams fall into the APP penalty structure and the GSR is needed for one of these three sports, that institution may be required to provide the data necessary to separate the graduation rate by sport.

Question No. 8: Our institution has a student-athlete who received athletics aid for indoor and outdoor track but left the team before the first date of competition and remained enrolled at the institution. Therefore, the student-athlete was not included in the APR cohort; however, does our institution need to report the graduation information for this student-athlete?

Answer: Yes, since the student-athlete received athletics aid, your institution is required to report graduation rates data for the individual and will need to add the student-athlete to the specific sport within the graduation rates data collection system.

Question No. 9: How should we report student-athletes who were awarded athletics aid after their freshman year?

Answer: Student-athletes who did not receive athletics aid their first year at your institution should not be included in this reporting. In addition for ASR reporting of nonscholarship student-athletes, the student-athlete must have been on the roster during his or her freshman year.

Question No. 10: Our institution has a student-athlete who enrolled part time at <u>our institution</u> for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include them in the reporting year's cohort?

Answer: No, the student-athlete should not be included within the reporting year's cohort.

Question No. 11: Our institution has a student-athlete who enrolled part time at another institution for an entire academic year following high school graduation and then subsequently enrolled full time at our institution. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, the student-athlete should be included in the reporting year's cohort and should be considered a transfer (i.e., four year, two year).

Question No. 12: Our institution has a student-athlete who enrolled in the fall term, but did not receive athletics aid until the spring term. Should we include the student-athlete in the reporting year's cohort?

Answer: Yes, freshmen who enter an institution in the fall can receive athletics aid at any time during their freshman year to be included in the reporting. However, midyear freshmen and transfers MUST receive athletics aid their first time at your institution to be included in the GSR and ASR.

Question No. 13: What is the GSR/ASR ID number?

Answer: This is a unique identification number that your institution needs to create and enter for student-athletes who are not in a reporting year's APR/Academic Tracking System cohort, but should be included in the reporting year's GSR/ASR cohort. This should be a unique number and we recommend that you use your institutional or school identification number for that student-athlete in order to avoid duplicate numbers.

Allowable Exclusions/Left Eligible Reporting.

Question No. 1: If a student-athlete leaves our institution to serve in the armed forces for another country, can he or she be reported as an allowable exclusion?

Answer: Yes, a student-athlete who leaves your institution to serve in any country's armed forces may be reported as an allowable exclusion.

Question No. 2: Our institution has a female student-athlete who became pregnant and was indicated as an allowable exclusion in APR. Is pregnancy also an allowable exclusion for graduation rates, GSR and ASR?

Answer: No, allowable exclusions for graduation rates, GSR and ASR are limited to military service, death or permanent disability, church mission and foreign aid service. Pregnancy is NOT considered an allowable exclusion for this data report and cannot be reported as such.

Question No. 3: If a student-athlete was diagnosed with cancer, would this be considered an allowable exclusion?

Answer: Yes.

Question No. 4: Our institution has a student-athlete who initially enrolled full time at another four-year institution the 2003 fall term and received athletics aid. The student-athlete left that institution following the 2004 spring term for active military duty and was reported by that institution as an allowable exclusion for this reporting. The student-athlete then transferred to our institution in the 2006 fall term and received athletics aid. However, the student-athlete did not graduate by August 2009, which is the end of the sixth year since initial full-time enrollment. Can our institution report this student-athlete as an allowable exclusion even though the student-athlete did not report for active military duty while enrolled at our institution?

Answer: Yes.

Question No. 5: Our institution had several student-athletes who were medical noncounters who continued to receive athletics aid after their freshman year. Are these student-athletes considered allowable exclusions for GSR reporting?

Answer: No, these student-athletes would not be considered allowable exclusions for the GSR since they are not permanently disabled and were able to return to your institution.

Question No. 6: Our institution has a student-athlete who received a medical-absence waiver for an entire academic year. In prior APR data collections, these student-athletes were not included within the APR cohort. Is this the same for GSR reporting?

Answer: No, student-athletes who receive a medical-absence waiver should be included within the GSR cohort if they meet the definition to be included within the GSR cohort.

Question No. 7: Our institution has a student-athlete who left the institution academically ineligible because of incomplete grades on his transcript. He returned to our institution to make up the coursework and received passing grades. Can our institution report the student-athlete as "Left Eligible?"

Answer: No, both GSR and ASR data submissions require institutions to report on those student-athletes with athletics eligibility remaining who left their institutions prior to receiving their baccalaureate degree and who would

have been academically eligible to compete in the next regular academic term had they returned to their institutions. Since these student-athletes would have been academically ineligible to compete had they returned to their institutions, they would be noted as academically ineligible for GSR or ASR reporting and cannot be reported as "Left Eligible."

Question No. 8: A student-athlete left the institution academically ineligible; however, the student-athlete received an APR adjustment for the lost eligibility point. Can that student-athlete be reported as "Left Eligible?"

Answer: No, adjustments in the APR do not apply to the GSR. Since this student-athlete left the institution academically ineligible to compete had he or she returned to the institution, he or she would be noted as academically ineligible for GSR reporting and cannot be reported as "Left Eligible."

Question No. 9: A student-athlete left our institution academically eligible with athletics eligibility remaining after the third year of enrollment; however, the student-athlete returned to the institution prior to the end of the sixth year since initial full-time enrollment and has not yet graduated. Can this student-athlete be reported as "Left Eligible?"

Answer: No, the student-athlete's status must be determined based upon his or her last status at your institution as of the end of the sixth year since initial full-time enrollment (August 31, 2011).

APPENDIX J

Frequently Asked Questions on the Head Coaches APR Portfolio

Question No. 1: Why are institutions required to submit additional data for the original six sports reported last year?

Answer: Moving forward, institutions will be required to submit yearly updates to their coaching information. The information is drawn from the membership database so institutions who keep their information current within the database will have the appropriate information displayed in the APR/APC system. Institutions will still be required to verify that the data reported is correct.

Question No. 2: Can this data be imported from CA?

Answer: No. However, the majority of head coaches' data are already prepopulated in the institution's APP data collection site, so this is not part of a CA import.

Question No. 3: How were the head coaches' data that are prepopulated in the data collection system obtained?

Answer: The information is obtained from the NCAA membership database and sports-sponsorship forms submitted by the institution.

Question No. 4: Should an "interim" head coach be reported?

Answer: No. Only permanent head coaches should be reported in the data collection system. There may be time periods in which the institution reports no head coach for a sport.

Question No. 5: If a sport had co-head coaches, should both coaches' names be reported?

Answer: Yes. All head coaches should be reported. The data collection system will allow overlapping employment periods and the ability to enter multiple head coaches for an academic year for a sport.

Question No. 6: Will head coaches be able to view their employment dates and the team's single-year APRs?

Answer: Yes. Head coaches will have an opportunity to view their employment dates with the institution(s) and the team's single-year APRs, but not that of other coaches, prior to the public release. However, head coaches will not be able to make corrections to the data. All corrections regarding their employment dates must be submitted by the institution.

Question No. 7: Is there an appeals process available to the head coach if he or she wishes to appeal the team's APRs?

Answer: No. Coaches will have the opportunity to review employment dates; however, there will not be an opportunity to appeal the information reported in the APR portfolio. Such opportunities for appeals would have been available during the annual APP Data Collection Process (e.g., data corrections and adjustments).

Question No. 8: How will head coaches who are no longer employed at a Division I institution be notified of the opportunity to review their employment dates and APRs?

Answer: The NCAA will notify all coaches through their respective coaches' association and a public notice on the NCAA webite of their opportunity to review data. That notification will advise coaches who are not currently employed at an NCAA member institution, to fill out a form with their contact information and will receive log-in information.

Question No. 9: What does an institution need to do if the head coach listed in the data collection site appears correct but the name is misspelled?

Answer: The institution should report the misspelling by clicking on the button "Report Misspelling." The NCAA staff will review the request and make the necessary corrections to the head coach's name. An NCAA staff member will contact the individual making the request to notify them of the change.

Question No. 10: Is the employment start date the date the head coach signed the employment contract, or the date the coach began duties as a head coach?

Answer: The employment start date should be the date on which the coach started duties as a head coach.

Question No. 11: Is the employment end date the date on which the coach was no longer employed by the institution or the date on which the coach was no longer the head coach?

Answer: The employment end date is the date on which the coach was no longer the head coach of that sport.

Question No. 12: What if an institution does not submit any data or incomplete data for the head coaches?

Answer: Since this information is considered part of the APC data collection, if an institution fails to submit any data or submits incomplete data on its head coaches, it will render all of its teams ineligible for championships. The institution must submit the requisite data and then request reinstatement for championships.

Question No. 13: Will institutions be able to submit corrections to the data after submission of all APR/APC data?

Answer: Yes. Any corrections to the head coaches' employment data must be submitted during the institution's regular corrections period with any corrections to an institution's APR data. Institutions are permitted to request corrections to APC and APR data for any academic year, including academic years not included in the current multiyear APR calculation. Only institutions (not individuals) may request the corrections.

Question No. 14: Will the APR for head coaches be reported as an average for all years they were employed at the institution?

Answer: No. The APR reported will be the team's single-year APR for each academic year (August 1 through July 31) the head coach was employed at the institution.

Question No. 15: When will the head coaches' APR be reported publicly?

Answer: The head coaches' APR is currently available on the NCAA website and will be updated annually each spring.

Question No. 16: Does the institution need to submit any documentation (e.g., contracts, employment records) to the NCAA national office?

Answer: No. An institution is not required to submit any documentation to the national office for this specific data collection. However, institutions are encouraged to maintain the documentation on campus for purposes of an APP Data Review.

Question No. 17: If an institution sponsors one or two sports at the Division I level, are they required to submit this data for those sports?

Answer: Yes. This data collection applies to its Division I teams even though the institution is a Division II or Division III institution.

Question No. 18: If an institution used to sponsor a sport and dropped it or transitioned it to another division, are they required to submit this data for those sports?

Answer: Yes. Institutions will be asked to provide the information for each of the years in which the sport was an active Division I team. If the sport was dropped or transitioned prior to the 2003-04 academic year, the institution will not be required to provide the information for that year. However, if the APR from an academic year for the team is not reported as part of the institution's APR report, it will not be included as part of the public release of this data.

Penalty Scenarios

The following scenarios are designed to assist institutions in understanding the progressive and cumulative nature of APP penalties.

Example One:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is above 930. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but team satisfies the improvement filter. The team is eligible for the improvement filter because it would have been subject to a Level-Two Penalty year. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but team receives an APP Penalty Waiver as well as a waiver of ineligibility for postseason. This qualifies as clean year number three. No penalty and team is reset to Level One in the penalty structure if it falls below the benchmark in the future.

Year 5: Team APR is below 930. Team is again subject to Level-One Penalty of a four-hour and one-day practice reduction in the playing and practice season. Because the team is back at Level-One Penalties it is not eligible for the improvement filter.

Example Two - Football Team:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is below 930 but satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two penalty year. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One and -Two Penalties, including a four-hour and one day practice reduction in the playing and practice season and elimination of spring football practice and the spring game.

Year 5: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three Penalties, including a four-hour and one-day practice reduction in the playing and practice season, and elimination of spring football practice and the spring game and additional penalties from the penalty menu.

Example Three – Basketball Team:

Year 1: Team APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one day practice reduction in the playing and practice season. Practice time must be replaced with academic activities.

Year 2: Team APR is below 930 but team satisfies the improvement filter. The team is eligible for the filter because it would have been subject to a Level-Two Penalty. No penalty. This qualifies as clean year number one.

Year 3: Team APR is below 930 but team satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 4: Team APR is below 930 but team does not satisfy the improvement filter and is subject to Level-One and -Two Penalties, including a four-hour and one-day practice reduction in the playing and practice season and a 10-percent reduction in the number of basketball games (three games).

Year 5: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number one.

Year 6: Team APR is below 930 but satisfies the improvement filter. No penalty. This qualifies as clean year number two.

Year 7: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-One, -Two and -Three penalties, including a four-hour and one-day practice reduction in the playing and practice season, a 10-percent reduction in the number of basketball games (three games) and several penalties from the penalty menu.

Year 8: Team APR is below 930 but does not satisfy the improvement filter and is subject to Level-Three Penalties again. Penalties will include a four-hour and one day practice reduction in the playing and practice season, a 10-percent reduction in the number of basketball games (three games) and several penalties from the penalty menu. It is likely that the penalties selected from the menu of options will be more severe.

Frequently Asked Questions on Practice Penalty Application and Reporting Requirements

The following will assist institutions in ensuring the practice penalties are imposed correctly:

Question No. 1: When does the four-hour practice restriction apply?

Answer: The Level-One APP penalty practice restriction only applies during the period when the team is subject to the 20 hour per week limitation. The Level-Two APP penalty practice restriction applies during the period when the team is subject to the eight hour per week limitation.

Question No. 2: Do the hour or additional day off restrictions apply when there are no daily and weekly hour limits per the bylaws (e.g., vacation periods)?

Answer: 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.

Question No. 3: Do the hour and/or additional day off restrictions apply to practice and participation in conference and/or postseason championships?

Answer: 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 penalty.

Question No. 4: In the sport of basketball, does the additional day off restriction apply when a team is participating in three contests a week?

Answer: The exception to the one day off per week does not apply to the team's penalty. Therefore, a basketball team subject to the day off as part of its APP penalties must take that day off during a week in which the team participates in three contests.

Question No. 5: In the sport of basketball, how does Bylaw 17.1.6.4.7 affect a team subject to the additional day off penalty?

Answer: If the institution uses the legislated exception for the day off per week requirement when it has three contests in the same week, the following requirements apply:

1. The team will not impose the additional day off penalty during the week the team satisfies the condition of the legislated exception (i.e., the week it does not engage in any countable athletically related activities for two days) and

2. The team will replace the four hours of missed practice time for one of those two days with approved academic support activities that must be completed on the same day.

Question No. 6: 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 APP penalty?

Answer: 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:

Question No. 1: What are acceptable academic activities?

Answer: The following activities are acceptable academic activities:

1. Study hall.

2. Tutoring.

3. Meeting with academic support personnel.

4. Meeting with departmental academic advisor.

5. Meeting with professor.

6. Meeting with formal study group.

7. Meeting with informal study group.

8. Faculty mentoring.

9. Peer mentoring.

10. Meeting with career counselor.

11. Career development seminar.

12. Life skills development session.

13. Campus seminars.

14. Supplemental instruction session.

15. Study skills seminars.

The following activities would **NOT** be considered acceptable academic activities:

1. Meeting with coaches in their offices to study.

2. Academic activity while traveling (e.g., on a bus, plane, at hotel).

3. Academic meetings with coaches.

4. Community service with athletics team/department.

5. Promotional activities.

6. Hosting recruits for official or unofficial visits.

7. Team meetings (not related to academics).

Question No. 2: Does the institution have to document the academic activities for student-athletes who are not in the APR cohort?

Answer: No.

Question No. 3: Do all student-athletes on the penalized team have to complete the same academic activity?

Answer: No, institutions can determine what academic activities are most appropriate for each student-athlete on the penalized team. But all

student-athletes in the team's cohort must participate in some academic activity to replace the practice time. This must be documented.

Question No. 4: Should the academic activities be related to the elements included in the team's/institution's APR Improvement Plans?

Answer: It is not necessary that the activities be specifically related to the issues identified within the APR Improvement Plan, however, this is encouraged.

Question No. 5: 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)?

Answer: No. Practice penalties are team penalties. 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. The institution does not have the discretion to excuse high performing student-athletes from the required academic activities. As stated above, all team members do not have to participate in the same academic activities. However, every student-athlete on the penalized team is required to participate in monitored academic activities. This participation should be logged to demonstrate that the penalty was taken as prescribed. *(Revised: October 2009; October 2010)*

Question No. 6: Who is responsible for monitoring the academic activity?

Answer: Each institution must designate the staff member(s) responsible for monitoring the activities. All team members' time must be monitored and recorded so that it can be reported back to the staff. *(Revised: October 2010)*

<u>The following outlines the reporting requirements for APP penalties</u>:

Question No. 1: When does an institution have to report how the team applied the penalty?

Answer: All materials must be submitted to the NCAA national office not later than August 1 following the academic year in which the penalty was applied. For example, teams applying the penalty during the 2012-13 academic year must submit an electronic report to the Committee on Academic Performance not later than August 1, 2013.

Question No. 2: May an institution provide a squad list to document that a financial aid penalty was imposed?

Answer: The institution may submit a squad list. Squad lists submitted to document appropriate application of financial aid penalties must include all required signatures. *(Adopted: October 2009)*

Question No. 3: What will an institution have to report regarding the academic activities the team participated in place of practice time?

Answer: The institution will need to include a narrative completed by a person who works with academic support for student-athletes. The narrative must describe the academic activities the student-athletes on the team participated in to replace the reduced practice. The narrative should demonstrate how all student-athletes used the added academic time, even if all student-athletes did not participate in the same activities. The institution should also include logs of student-athletes participating in the academic activities.

Question No. 4: How will an institution report reductions in playing and practice time, seasons of competition and nonchampionship segments of the team's playing and practice season?

Answer: The institution will need to include practice logs, a record of the team's completed schedule to indicate these penalty elements were taken appropriately.

Question No. 5: What if a team does not impose all or part of the penalty?

Answer: The institution shall report a violation to the NCAA enforcement staff.

[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) and 23.2.1.2.2 (financial aid, playing and practice seasons and recruiting limitations)]

APPENDIX M

NCAA Division I Committee on Academic Performance
Academic Performance Program
Access to Postseason and Penalty Waiver Directive

Background.

The central purpose of the 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 multiyear APR, falls below 930, that team becomes ineligible for postseason competition and is subject to penalties. The NCAA Division I Committee on Academic Performance has established a transition period in which the APP penalty benchmark will be 900 for penalties taken in 2012-13 and 2013-14 (i.e., directive is effective immediately for review of waivers submitted in 2011-12). In addition, filters are applied to teams' data to account for improvement and resources in the penalty calculation. NCAA Bylaws 18.4.2.3.1, 23.2.2.3 and 23.3 provide for waivers of APP penalties or access to postseason competition. The committee 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.

Guiding Principles.

1. Requests to waive ineligibility for postseason and APP Level One, Two and Three penalties will be considered independently. The requests are filed simultaneously, but the access to postseason competition and APP penalties have different standards for relief.

2. APP penalty and postseason waiver requests involve a review of the entire athletics team's overall academic performance. The APR is a team rate and not based on the academic performance of a single student-athlete. Therefore, the review of waiver requests shall consider all student-athletes included in the team's multiyear APR. This approach considers the loss of all APR points, not just those of select students. This approach could be referred to as the "top-down approach" (e.g., start at an APR of 1000 and explain the loss of all points).

3. APR Improvement Plans are reviewed with the waiver request. Plans should be designed to assist teams in achieving APRs above the penalty benchmarks in a reasonable time by identifying and addressing issues impacting a team's APR with measurable goals, steps to achieve the stated goals and a timetable for implementation.

4. The identification of academically under-performing teams that are subject to an APP penalty includes consideration of resource level and squad size. Therefore, the staff/subcommittee/committee will generally not consider these elements in its review of APP penalty waiver or loss of access to postseason waiver requests.

Waivers of Ineligibility for Postseason Competition.

1. First Occasion Team is Ineligible for Postseason Competition. Institutions are permitted to submit a waiver request the first occasion a team is subject to postseason competition ineligibility. The committee has established a high threshold for relief in these cases and generally relief will not be provided.

- Factors to be Considered. The staff/subcommittee will consider the following factors in reviewing such a request:

  (1) Extraordinary Mitigating Circumstances. The institution's cited mitigation must be clearly out of the control of the institution, the athletics department and the team's student-athletes. It must pertain to matters not previously addressed in the APP (e.g., small squad size, institutional mission). Finally it must have impacted the team over the multiple years that make up the four-year APR. An example of mitigation that would be considered extraordinary is a natural disaster that impact a team's APR over multiple years. An example of mitigation that would not be considered extraordinary would be head coaching change, significant leadership change at the institution, or institutional reclassification.

  (2) APR Improvement Plan. An institution's commitment to improving the penalized team's academic performance as outlined in the APR Improvement Plan must be considered in reviewing a waiver requesting relief from postseason competition ineligibility. Plans will be reviewed for focus on critical areas impacting academic success as well as other components demonstrating the institution's accountability toward meeting the stated goals of the APP (e.g., graduating student-athletes).

  (3) Academic Factors. A waiver request must include a comprehensive review of the team's historical academic trends to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly event (see the list on Page No. 4). Trending will also be evaluated to determine if the team is making progress with respect to the penalty benchmark.

(4) Alternative Penalty Options. An institution may request that an alternative penalty be imposed in lieu of postseason ineligibility. The institution must include an explanation of how the alternate penalty equates to a loss of postseason access.

2. Second Occasion Team is subject to Loss of Postseason Competition. Institutions are permitted to request a waiver of a team's loss of access to postseason competition.

- Factors to be Considered. The second or subsequent time a team loses access to postseason competition, the staff/subcommittee/committee will review the request using the same factors used in considering an APP penalty waiver (see Page Nos. 4 – 7 for more information). If a team has demonstrated meaningful improvement and some of the factors in item 3-b below are present, the level of mitigation required to receive relief may be less stringent than what is required the first occasion a team was ineligible for postseason competition.

3. Notes on Outcomes. A loss of access to postseason competition waiver request will be approved, conditionally approved or denied.

a. First occasion loss of access to postseason waiver requests should be denied if the institution cannot demonstrate extraordinary mitigating circumstances as described on Page No. 2. Other factors listed in item number one above will be examined, but absent extraordinary mitigation are not likely to result in an approval.

b. Second and subsequent waivers of loss of access to postseason competition should be denied if the institution cannot demonstrate:

(1) Significant academic improvement that is sustainable;

(2) Mitigating circumstances as defined on Page No. 7;

(3) An APR Improvement Plan that demonstrates the institution's commitment to improving the team's academic performance by identifying critical issues that have impacted the team's APR and addressing those issues with clear steps and measurable goals; and

(4) An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time.

APP Penalty Waivers.

Institutions are permitted to request a waiver of a team's APP penalties. The staff/subcommittee/committee will consider the following factors in reviewing such a request:

1. Academic Factors. Evaluating a team's academic performance is an important part of the APP penalty waiver process. The staff/subcommittee/committee's review of a team's academic performance may include consideration of the following elements:

    a. A comprehensive review of the team's historical APP performance, including any penalty history and academic trends to determine if the team's placement in the APP penalty structure is the result of habitual underperformance or the result of some anomaly event. Trending will also be evaluated to determine if the team is making sustainable progress toward the penalty benchmark.

    b. The team's Graduation Success Rate and Federal Graduation Rate, if available.

    c. Eligibility and Retention. The team's eligibility and retention will be compared against the following:

        (1) All other Division I teams in the same sport.

        (2) The institution's teams.

    d. The team's academic profile including hours earned, grade-point average, eligibility and retention points.

    e. The 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.

    f. The number of graduates the team has generated over the four years that make up the multiyear rate.

    g. The number of student-athletes who were not academically eligible and not retained included in the multiyear APR.

    h. Other academic data elements that may be relevant to the case.

2. Other Factors. The staff/subcommittee/committee's review of a team's academic performance may also include consideration of the following elements:

   a. Size of variance between the team's APR and the applicable APP penalty benchmark (930).

   b. The team's single-year APRs that comprise the multiyear rate. Specifically, the number of single-year APRs above or below the penalty benchmarks (930).

   c. The institution's history of implementation of its APR Improvement Plan as well as the current plan's ability to address critical issues.

   d. Mitigating circumstances that have affected the team's APR (see below).

   e. An institution may request that an alternative penalty be imposed in lieu of the assigned APP penalty or a penalty option from the menu offered at Level Three. Should an institution offer an alternative penalty, the staff/committee/subcommittee would consider the various factors as well as the alternate penalty in the decision. The institution must demonstrate how the alternate penalty equates to the penalty it would replace.

   f. Teams asserting that they have advanced in the penalty structure due to corrections to APP data identified in an APP data review must demonstrate that the current penalty is due to a lost opportunity for the institution to identify academic issues impacting the teams academic performance; to develop an appropriate APR Improvement Plan and to have an opportunity to rectify academic issues. If the institution can demonstrate this lost opportunity to identify and correct academic issues affecting the team's academic performance the staff and/or subcommittee/committee may consider this a mitigating circumstance warranting relief from a penalty, however all such requests will be reviewed on a case-by-case basis to allow for other factors to be reviewed as well.

3. Mitigating Circumstances. 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 supported by objective documentation. The institution may reference mitigation that was considered in a previous waiver request if the impact of the mitigation is evidenced in the current APR. 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.

Circumstances not considered compelling mitigation 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;

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; or

e. Circumstances 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.

Institutions are limited to submitting information concerning mitigating circumstances only for the academic years used to calculate that team's current multiyear APR. However, the staff, subcommittee and committee reserve the right to consider any relevant information that would explain the team's historical performance.

4. Level-Three Penalty Options. An institution with a team subject to Level-Three Penalties must self-impose penalties from a list of menu options. These penalties are in addition to the prescribed penalties. The institution may also elect to request an alternative penalty be imposed. The staff/committee will consider the institution's self-imposed penalty elements in the waiver decision. The staff/committee can also prescribe additional penalties for the team.

5. Notes on Outcomes. An APP penalty waiver request will be partially or fully approved or conditionally approved, or denied. Requests will likely be denied if the institution cannot demonstrate:

a. Significant academic improvement that is sustainable; OR

b. The team is performing well academically but for one or more years of APP data impacted by compelling, documented mitigating circumstances;

c. An APR Improvement Plan that demonstrates the institution's commitment to improving the team's academic performance by identifying critical issues that have impacted the team's APR and addressing those issues with clear steps and measurable goals;

d. An expectation that the team will achieve an APR of 930 or higher in a reasonable period of time; and

e. Appropriate self-imposed penalties at Level Three.

Use of Conditional Approvals.

Waivers of APP penalties and ineligibility for postseason competition may receive conditional approval. A waiver that is conditionally approved does not waive the team's penalty unless the team satisfies the stated condition(s). These conditions may include, but are not limited to:

1. Acceptable implementation of the institution's written APR Improvement Plan;

2. Attendance at mandatory educational sessions;

3. Meeting or maintaining single-year eligibility and retention goals and/or, meeting or maintaining a specified single-year APR without the inclusion of delayed-graduation points;

4. Requiring the institution to implement certain elements of its APR Improvement Plan determined to be "critical" to improved academic performance;

5. Requiring the institution to demonstrate it has satisfied its commitment of resources to enhance academic support initiatives that are part of the institution's APR Improvement Plan or cited in its APP penalty waiver/hearing rationale;

6. Requiring the institution to impose limits, restrictions or penalties that are part of its APR Improvement Plan or cited in its waiver/hearing rationale (e.g., withhold a head coach from contests);

7. Requiring an institution to use the NCAA Facilitating Learning and Achieving Graduation/Graduation Risk Overview program; and

8. Requiring an institution comply with identified minimal academic profiles for entering student-athletes that are part of its APR Improvement Plan or its waiver/hearing rationale. *(Revised: 10/2008;10/2010)*

An institution/team that fails to meet the stated condition(s) by the given timeframe shall have the waiver decision converted to a denial and the APP penalty must be applied to the team. The institution must impose the applicable penalty within the prescribed period of time.

Review of Conditionally Approved Penalty Waivers.

At some point established by the committee, such as the start of the academic year following the year in which the waiver was conditionally approved, the staff verifies that all established conditions were met (e.g., single-year APR, acceptable implementation of APR Improvement Plan). If the staff concludes that the team has not satisfied the condition(s) of the penalty waiver, the subcommittee and staff may consider mitigating circumstances presented by the institution. Such reviews shall occur on a case-by-case basis, and shall include consideration of any mitigation for the team's failure to reach the target APR, as well as the totality of the team's circumstances with regard to the imposed conditions. In such cases, the staff will review factors including improvement in the single-year and multiyear APR, how close the team came to meeting the target and mitigating circumstances. This action does not change an institution's opportunity to explain why it failed to meet the condition(s) or to appeal a decision by the staff to the subcommittee. The subcommittee will hear such appeals via teleconference. The subcommittee's decision is final.

Finally, if it is determined that a conditional waiver is not satisfied and the waiver is denied, the institution must impose the resulting penalties in the time period prescribed by the committee, but generally the academic year following denial of the appeal or, if there was no appeal, following determination that the conditions were not met (e.g., determined condition was not met in 2011-12 results in the imposition of the penalties in 2012-13).

If the team is subject to a penalty in the next academic year, the team is potentially subject to the penalty level that was conditionally waived and the next penalty level if it fails to meet the conditions of the waived penalty.

APR Improvement Plans.

APR Improvement Plans are meant to encourage institutions that have a team with an APR below 930 to implement strategies 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 930 in a reasonable period of time. Therefore, APR Improvement Plans submitted with a waiver will be reviewed as follows:

1. Institutions/teams will be accountable for identifying issues impacting the penalized team's ability to move its APR above the established penalty benchmark. The following shall be addressed:

    a. Identify any 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.

    b. Identify specific target APR goals for the team(s) for the current academic year that will assist the team in meeting the 930 benchmark in a reasonable period of time.

    c. Identify all steps the institution has taken toward implementation of any previous APR Improvement Plan and progress toward the measurable goals.

2. If an institution fails to create and submit an acceptable APR Improvement Plan, as defined by the committee, there is a presumption that any penalty waiver request will be denied.

Frequently Asked Questions on APR Improvement Plans

Question No. 1: When do I have to file an Improvement Plan with the NCAA National Office?

Answer: An institution is required to file an improvement plan if a team's APR is below 930, if the institution is requesting a penalty waiver, or if the institution is requesting NCAA Supplemental Support Fund.

Question No. 2: Do I need to submit a plan to the NCAA if a team's APR score is below a 930 but higher than a 900?

Answer: If a team's APR score is between a 930 and a 900, the institution is required to submit an improvement plan to the NCAA national office by the date determined by the committee and NCAA staff. Previously, institutions with teams below 925 and above 900 were required to keep the plan on file on campus. This policy change requires teams with a multiyear APR below 930 to file its APR Improvement Plan with the NCAA staff.

Question No. 3: Do I need to submit an APR Improvement Plan if the team is eligible to use the squad size adjustment?

Answer: It depends. If the team's APR is below 930 WITH the squad size adjustment, that team IS REQUIRED to submit an APR Improvement Plan with the NCAA staff. If the team's score is above 930 WITH the squad size adjustment, the team IS NOT required to submit an APR Improvement Plan.

Question No. 4: If my institution is requesting supplemental support funds, do I need to submit my improvement plan to the NCAA national office?

Answer: Yes, if your institution is requesting supplemental support funds your institution is required to submit an improvement plan.

Question No. 5: Is a data analysis required for improvement plan submission?

Answer: Yes, institutions must provide a meaningful analysis of the team(s)'s most current APR data. The expectation is that an institution will complete a thorough data analysis before the creation of the improvement plan. Plans must include an assessment and evaluation of the academic admissions profiles and academic outcomes for all student-athletes on teams with a multiyear APR below 930. The plan must include any initiatives (e.g., changes to the entering profile) based on this evaluation.

REPORT OF THE NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE SUBCOMMITTEE ON DATA COLLECTION AND REPORTING APRIL 17, 2012, TELECONFERENCE

ACTION ITEMS.

1. Legislative Items.

- None.

2. Nonlegislative Items.

- **NCAA Academic Performance Program Data and Penalty Reports for 2012-13.**

  (1) Recommendation. The NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting recommends the NCAA Division I Committee on Academic Performance approve the institutional and public NCAA Division I Academic Progress Rate (APR) and penalty reports to be used during the 2012-13 academic year. [Attachments]

  (2) Effective Date. Immediate for use during the 2012-13 academic year.

  (3) Rationale. Each year, the NCAA Academic Performance Program (APP) data and penalty reports are updated to reflect changes in data collection and/or the penalty structure. The reports are intended to provide institutions with their teams' APR and a summary of the teams subject to penalties and postseason ineligibility.

  (4) Estimated Budget Impact. None.

  (5) Student-Athlete Impact. None.

INFORMATIONAL ITEMS.

1. Definition of Graduation within the Academic Performance Program. The subcommittee reviewed a situation at a member institution with student-athletes who complete all requirements for graduation after a summer term but do not officially graduate until the following winter because the institution does not have a summer commencement. The subcommittee was asked to determine whether or not such student-athletes should be considered graduates after the spring term for the purposes of the APR.

The current definition of graduation, as found in the APP Data Collection Guide, states: "A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated."

Under this current definition, an institution would not be permitted to mark a student-athlete as graduated for the previous spring-retention point because the institution does not officially consider these student-athletes as graduated until the degree is conferred. The institution would also not be permitted to award the eligibility point for the spring term if the student-athlete in this situation has completed 10 semesters or 15 quarters as a full-time student. The subcommittee agreed not to change the current definition of graduation and noted that institutions who lose APR points for such student-athletes may request relief for any lost points through the APR adjustment process since such circumstances are outside the control of the student-athlete. An institution would need to provide documentation of its policy regarding certifying graduation and verification that the student-athlete has completed all academic and administrative requirements for graduation.

2. Update on APP Data Reviews. The subcommittee received an update on the progress of the 41 institutions that have been selected for APP data reviews for this year.

Subcommittee Chair: David Jamison, Robert Morris University, Northeast Conference
Staff Liaisons: Binh T. Nguyen, Academic and Membership Affairs
Andy Louthain, Academic and Membership Affairs

April 17, 2012	
Attendees	Absentees
Jerry Bovee, Weber State University	Greg Sankey, Southeastern Conference
Michael Cross, Bradley University	
Kenneth Ferguson, University of Missouri, Kansas City	
Barbara Luebke, University of Rhode Island	
Other Participants Greg Dana, Maria DeJulio	

2011-12 NCAA Division I Academic Progress Rate
Institutional Report

Institution: _____ **Date of Report**: _____

This report is based on NCAA Division I Academic Progress Rate (APR) data submitted by the institution for the 2008-09, 2009-10, 2010-11 and 2011-12 academic years. The multiyear and 2011-12 single-year rates will be reported publicly in 2013. Institutions are encouraged to forward this report to appropriate institutional personnel on campus. *[Note: All information contained in this report is for four academic years. Some squads may still have small sample sizes within certain sport groups. In accordance with the Family Educational Rights and Privacy Act's (FERPA's) interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report for cells made up of three or fewer students without student consent.]*

Sport	*APR*			*Eligibility/Graduation*		*Retention*	
	Multiyear Rate (N)	**Multiyear Rate Upper Confidence Boundary**	**2011-12 (N)**	**Multiyear Rate**	**2011-12 (N)**	**Multiyear Rate**	**2011-12 (N)**
M Baseball	000 (N)	000	000 (N)	000	000	000	000
M Basketball	000 (N)	000	000 (N)	000	000	000	000
M Football	000 (N)	000	000 (N)	000	000	000	000
M Golf	000 (N)	000	000 (N)	000	000	000	000
M Swimming	000 (N)	000	000 (N)	000	000	000	000
M Tennis	000 (N)	000	000 (N)	000	000	000	000
M Indoor Track and Field	000 (N)	000	000 (N)	000	000	000	000
M Outdoor Track and Field	000 (N)	000	000 (N)	000	000	000	000
W Basketball	000 (N)	000	000 (N)	000	000	000	000
W Golf	000 (N)	000	000 (N)	000	000	000	000
W Gymnastics	000 (N)	000	000 (N)	000	000	000	000
W Softball	000 (N)	000	000 (N)	000	000	000	000
W Soccer	000 (N)	000	000 (N)	000	000	000	000
W Swimming	000 (N)	000	000 (N)	000	000	000	000
W Tennis	000 (N)	000	000 (N)	000	000	000	000
W Indoor Track	000 (N)	000	000 (N)	000	000	000	000
W Outdoor Track	000 (N)	000	000 (N)	000	000	000	000

* Denotes data representing three or fewer student-athletes. In accordance with FERPA's interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report in cells made up of three or fewer students without student consent.
N/A = No APR or not applicable.
N = Number of student-athletes represented.
1 Denotes APR that does not subject the team to ineligibility for postseason competition based on resource level and the team's Graduation Success Rate.
2 Denotes APR that does not subject the team to ineligibility for postseason competition due to the team's demonstrated academic improvement.
3 Denotes APR that does not subject the team to ineligibility for postseason competition due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to ineligibility for postseason competition. Squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
4 Denotes APR that does not subject the team to penalties due to the team's demonstrated academic improvement.
5 Denotes APR that does not subject the team to penalties due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to penalties. The squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
6 Denotes APR based on a one year cohort, not subject to ineligibility for postseason competition and/or any penalties.
7 Denotes APR based on a two year cohort, not subject to ineligibility for postseason competition and/or any penalties.

DRAFT

2011-12 NCAA Division I Academic Progress Rate
Public Report

Institution: _____ **Date of Report:** _____

This report is based on NCAA Division I Academic Progress Rate (APR) data submitted by the institution for the 2008-09, 2009-10, 2010-11 and 2011-12 academic years. *[Note: All information contained in this report is for four academic years. Some squads may still have small sample sizes within certain sport groups. In accordance with the Family Educational Rights and Privacy Act's (FERPA's) interpretation of federal privacy regulations, data cells containing three or fewer student-athletes have been suppressed and are indicated by an * symbol.]*

The following chart represents by-sport APR averages for noted subgroups.

	Multiyear APR	2011-12 APR	Percentile Rank within Sport	Percentile Rank within All Sports	All Division I	Public Institutions	Private Institutions	Football Bowl Subdivision	Football Championship Subdivision	Division I (Non-Football)
	By Sport – Men's									
Baseball (N)										
Basketball (N)										
Football (N)										
Ice Hockey (N)										
	By Sport – Women's									
Lacrosse (N)										
Softball (N)										
Volleyball (N)										
	By Sport – Co-Ed									
Rifle (N)										

* Denotes data representing three or fewer student-athletes. In accordance with FERPA's interpretation of federal privacy regulations, institutions should not disclose statistical data contained in this report in cells made up of three or fewer students without student consent.
N/A = No APR or not applicable.
N = Number of student-athletes represented.
1 Denotes APR that does not subject the team to ineligibility for postseason competition based on resource level and the team's Graduation Success Rate.
2 Denotes APR that does not subject the team to ineligibility for postseason competition due to the team's demonstrated academic improvement.
3 Denotes APR that does not subject the team to ineligibility for postseason competition due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to ineligibility for postseason competition. Squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
4 Denotes APR that does not subject the team to penalties due to the team's demonstrated academic improvement.
5 Denotes APR that does not subject the team to penalties due to the squad-size adjustment. The "upper confidence boundary" of a team's APR must be below 900 for that team to be subject to penalties. The squad-size adjustment does not apply to teams with four years of APR data and a multiyear cohort of 30 or more student-athletes.
6 Denotes APR based on a one year cohort, not subject to ineligibility for postseason competition and/or any penalties.
7 Denotes APR based on a two year cohort, not subject to ineligibility for postseason competition and/or any penalties.

2011-12 NCAA DIVISION I ACADEMIC PERFORMANCE PROGRAM
SUMMARY OF PENALTIES

Institution: **State University** **Date of Report:** **05/01/2013**

Access to Postseason Competition for the 2013 - 14 Academic Year

The following teams at your institution are ineligible for postseason competition. The information contained in this summary is subject to change based on the outcome of any NCAA Division I Academic Progress Rate (APR) adjustments and/or waivers of penalties.

Men's Basketball	Women's Tennis

Summary of Penalties for the 2013 - 14 Academic Year

This report provides a summary of the teams identified at your institution that are subject to Level-One, Level-Two or Level-Three penalties. The penalty structure has a cumulative effect that continues to apply each year as a team progresses through the structure. Each year a team fails to meet the NCAA Division I Academic Perforamnce Program (APP) requirements, another level of penalties will be added. The information contained in this summary is subject to change based on the outcome of any APR adjustments and/or waivers of penalties.

SPORT	MULTIYEAR APR	PENALTY LEVEL	PENALTY – LEVEL-ONE	PENALTY – LEVEL-TWO	PENALTY – LEVEL-THREE
Baseball, Men's	875	Level-One	In season: Limited to five days and 16 hours of countable activity per week.		
Basketball, Men's	838	Level-Three	In season: Limited to five days and 16 hours of countable activity per week.	Out of season: Limited to four hours of countable activity per week. Ten percent reduction in contests and length of season.	Awaiting institution response.

1 Specific information on the playing and practice season penalty may be located in the APP General Summary document located on the Reports tab within the APP data collection portal.
2 The team is also subject to a penalty that was previously conditionally waived; however, the team failed to meet the condition and the penalty must now be imposed.
3 Denotes that team is not subject to ineligibility for postseason competition based on resource level and the team`s Graduation Success Rate.
4 Denotes that team is not subject to ineligibility for postseason competition due to the team`s demonstrated academic improvement.
5 The team`s Level-One penalty has been waived.
6 The team`s Level-Two penalty has been waived.
7 The team`s Level-Three penalty has been waived.
8 The team`s Postseason ineligibility has been waived.
9 The institution's penalty waiver request is pending.

California
Community College Counselors/
Advisors Academic Association for Athletics
3C4A.ORG

TO: President Mark Emmert, NCAA and President Walter Harrison, Chair Division I Committee on Academic Performance.

FROM: President Evans Roderick, California Community College Association of Academic Advisors/Counselors for Athletics (3C4A) on behalf of the entire 3C4A Membership

DATE: April 15, 2012

RE: Implementation of New Two-year College Transfer Requirements effective August 1, 2012 (Proposal Nos. 2011-69) Extension Request to August 1, 2013

The members of the California Community College Association of Academic Advisors/Counselors for Athletics (3C4A) are committed to the academic success and support of the student athletes on our campuses. We are in favor of academic reform within the NCAA and applaud their efforts to improve the 2-year college transfer graduation rates. However; we are humbly requesting the NCAA delay the implementation of the new academic transfer requirements by one year until August 1, 2013 for the following reasons:

1.) The original discussions included a year of "Academic Readiness" for the 2-year college student athlete (Proposal 2011-65), but this concept has now been tabled by the NCAA for further discussion; this was intended to be an avenue to prepare our students for the increased standards. We were hoping to have this year included with the new academic transfer requirements as part of a "packaged deal."
2.) Our current "gray-shirt" students who started in our 2-year colleges in 2011 were advised to stay under 12 units and not start their "clock," but now these students will be adversely effected and will be forced to meet these higher standards when they enroll fulltime next academic year.
3.) An extra year before implementation would help us inform incoming high school graduates of the higher standards; therefore allowing us to better prepare them for the next level.
4.) The NCAA has already moved the implementation of the new initial eligibility requirements for high school students from 2015 to 2016, so there is already a precedent for increasing the time for implementation.
5.) The current economic crisis in California and in the nation is making it harder for students to get the classes they need to graduate and transfer on, so an extra year of information prior to implementation would be academically benefit students to achieving their goal.

In summary, the 3C4A, on behalf of its 103 member institutions and 53 dues paying members, requests that the NCAA delay the implementation of Proposal Nos. 2011-69 to August 1, 2013. Please contact President Evans Roderick by phone at (626) 222-8058 or by e-mail at ERoderick@MtSAC.edu with any questions. We look forward to hearing from you.

Respectfully submitted,

President Evans Roderick and all members of the 3C4A

NCAA Staff Recommendations Regarding the White Case Settlement Former Student-Athlete Fund

Introduction.

During its January meeting the NCAA Executive Committee discussed a plan for the use of the residual funds left from the White Case Settlement over a three-year period. The committee approved the use of $3 million ($1 million per year) of the $8.8 million remaining funds to augment the NCAA Division I Supplemental Support Fund (SSF). The committee charged the NCAA staff with providing a recommendation of how much of the remaining $5.8 million should be allocated to limited-resourced institutions over the next three years and how the funds should be allocated. The committee also charged the staff with establishing metrics to measure the success of these funds being allocated to limited-resourced institutions.

The staff is recommending two proposals that would allocate the remaining $5.8 million to limited-resourced institutions over the next three years. These two proposals will provide an opportunity to assist all institutions defined as limited resourced.

Limited-Resource Institutions Pilot Program. (Attachment A)

This proposal allows limited-resourced institutions the opportunity to apply to participate in a program where significant funds would be allocated to assist these institutions in developing systems and enhancements to increase the academic performance of student-athletes attending these institutions. Detailed application and selection criteria have been created and metrics have been established to hold institutions accountable and to measure the success of the program over the three year period. It is estimated that $4.8 million will be used to administer this program over the three year period.

NCAA Division I Supplemental Support Fund Programming Initiative. (Attachment B)

This proposal allocates additional funds to the Division I SSF to be used by institutions to enhance specific programs that directly affect student-athletes. These funds would be in addition to the $3 million that was approved by the NCAA Division I Executive Committee in January. These funds would be administered through the SSF structure but would have additional reporting requirements to hold institutions accountable for the proper use of the funds and to better measure the success of the initiative. The staff is proposing an additional $1 million be allocated for this initiative.

The funding of these two proposals will provide additional funds to all institutions defined as limited resource. Each institution would have the opportunity to apply for the pilot program and those that are not accepted into the program will still have the opportunity to receive assistance to implement some of the initiatives that are included in the pilot program.

Limited-Resource Institutions Pilot Program

Objective.

Implement a three-year pilot program with an estimated five to nine NCAA Division I limited-resource institutions for the purpose of further developing systems and enhancements that assist each institution in meeting the requirements of the NCAA Division I Academic Performance Program (APP), including increasing the graduation rates and academic success of student-athletes. Money will be funded for the program for a three-year period; beyond the three-year period there is no guarantee additional funding will be available.

Outcomes.

The primary measurable outcome for institutions participating in the pilot program is NCAA Division I Academic Progress Rate (APR) improvement and the development of a sustainable plan to ensure all teams meet the 930 APR benchmark.

Other specific benchmarks and outcomes should be set based on the specifics of the institution's plan and situation. Examples include:

1. Progress in APRs for teams below the 930 benchmark.

2. Improved individual student-athlete performances (credits earned per term, grade-point average).

3. Improved APR retention of student-athletes.

4. Improved APR eligibility of student-athletes.

5. Improved single-year APR.

6. Sustained commitment and engagement from university chancellor or president, director of athletics (AD) and other key institutional administrators.

7. Implementation of APR improvement plan.

8. Increased real-time graduates.

9. Accountability for dollars spent – submission of accounting of all dollars and assessment of impact of dollars.

Selection of Institutions.

1. Institutions must submit an application to participate in the program. Applications must include the following:

a. Key contact information for institutional staff responsible for oversight of program.

b. Statement from the chancellor or president indicating involvement and support.

c. Penalty history for all teams, if any.

d. Infractions history, if any.

e. NCAA Division I Academic Performance Program Supplemental Support Fund (SSF) history, if any.

f. Historical overview of APRs and assessment of use of improvement plans.

g. How additional resources could assist the institution specifically in improving APRs and how the dollars would be allocated.

h. Development of comprehensive plan, including use of NCAA dollars that demonstrates plan for improvement. This shall include both short and long term goals.

i. Establishment of projected single-year targets that move teams from below the benchmark to above the benchmark.

j. Matching dollars put forward by institution to show building sustainability of program (e.g., Year One: institution commits 25 percent of NCAA dollars allocated, Year Two: institution commits 50 percent of dollars allocated, Year Three: institution commits 75 percent of dollars allocated).

2. The NCAA staff will add to the application each of the following:

a. Historical overview and assessment of APRs.

b. Historical overview of implementation of improvement plans including significant and critical elements of plan.

3. Applications will be reviewed by the NCAA staff to ensure completion of application and that basic requirements have been met. As part of staff review, staff will conduct a teleconference with the institution. Staff will prepare information for review by a membership group made up of approximately five identified NCAA Division I

Committee on Academic Performance and Limited-Resource Institution Advisory Group members. NCAA staff will provide support to this group which will be responsible for selecting the pilot schools.

4. Applications that are not complete will not be forwarded to the selection group.

Factors Considered in Selection of Institutions.

1. Demonstrated support and involvement of chancellor or president and AD in approving, oversight and implementation of the plan.

2. Involvement of head coaches of teams not meeting APR benchmarks.

3. Specific request for use of NCAA dollars and rationale demonstrating how such expenditures will meet the pilot program's objective.

4. Demonstration of sustainability beyond the pilot.

5. Review use of SSF dollars, if any, to date.

6. Demonstrated success in implementation of APR improvement plans to date.

7. School is not under major enforcement investigation or has a recent finding of lack of institutional control. Circumstances of finding of lack of institutional control and actions taken by institution will be considered.

8. Ability to match grant dollars during and beyond pilot program (inclusion of dollars allocated that were not previously allocated).

Defining Limited Resource for Purposes of the Pilot.

Bottom 10 percent based on current APP criteria. Football Bowl Subdivision institutions in bottom 10 percent will not be eligible for pilot program.

Components of Pilot Program.

1. Dollars will be awarded for a one-year period and will be renewed based on demonstration of meeting established benchmarks after first year. Intent will be to provide institutions with dollars for two years; however, institution must demonstrate

success during first year to continue to receive funds. Institution may receive a third year of funding if institution can demonstrate that a third year is warranted.

2. Grants will be awarded up to $300,000 per institution, annually.

3. Examples of possible uses of dollars:

   a. Summer bridge program.

   b. Summer school.

   c. Fifth year of aid.

   d. Staffing.

   e. Equipment.

   f. Facilities.

4. Requirements of program:

   a. Two campus visits by NCAA staff annually. Institutional staff members involved in visits include chancellor or president, AD, academic support personnel, individual responsible for APR, sampling of coaches, sampling of student-athletes. It is anticipated that one or two NCAA staff members would make campus visits.

   b. Attendance at December SSF workshop.

   c. Attend a meeting held at the NCAA Convention.

   d. Monthly conference calls with NCAA staff.

   e. Produce midyear update on implementation.

   f. Participate in available limited-resource educational opportunities.

   g. Attendance at other conferences based on institutional needs [e.g., Regional Rules Seminars, National Association of Academic Advisors for Athletics (N4A), etc.].

   h. Student-athlete involvement.

i. Educational component for staff and coaches.

5. Mandatory financial reporting:

a. Money is restricted and may only be used for explicit purposes as outlined in pilot program.

b. Institution will be required to submit quarterly financial statement.

c. Institution is subject to audit.

d. Annual financial report must be provided.

e. Plan for sustainability included.

Budget.

1. Staffing: TBD; approximately $125,000 per year for three years = $375,000.

2. Travel: Approximately $20,000 per year for three years = $60,000. Two NCAA staff per visit, two visits per school, estimated four schools in pilot each year, total of 16 trips.

3. Funds for institution: Approximately $900,000 per year for three years (2012-13, 2013-14 and 2014-15). Note: all travel for institutional staff members to attend meetings and other components of program would be funded through school allotment.

Timeline.

April 2012	Forward to Committee on Academic Performance, Limited-Resource Advisory Group and NCAA Division I Board of Directors for review.
August 2012	NCAA Executive Committee review.
September 2012	Open submission of applications.
November 2012	Review of applications by staff.
December 2012	Review of applications by subcommittee.
January 2013	First year of funding provided (funding will be provided in January 2013, 2014 and 2015).

The NCAA Division I Supplemental Support Fund Programming Initiative

Objective.

Enhance the NCAA Division I Supplemental Support Fund (SFF) with additional funding and additional opportunities to provide resources that will directly affect student-athletes. Currently, the SSF can only be used for professional development of staff and for major initiatives but cannot be used directly for student-athletes. This initiative would revise the SFF guidelines and provide more funding to allow institutions to continue professional development and programmatic initiatives as well as directly assisting student-athletes with academic needs.

Outcomes.

The primary outcome of this initiative is the increased academic performance of the student-athletes that were assisted through the initiative. Additional desired outcomes may include increased NCAA Division I Academic Progress Rates, increased graduation rates and increased financial commitments from institutional administrators (e.g., chancellor/president, director of athletics) to help support programs the institution ran with the money from this initiative.

Components of the Initiative.

This initiative would be administered through the current SSF program and institutions would apply for the additional dollars through that process. These funds would be administered under the following requirements:

a. The current administrative policies of the SSF will be revised to include the opportunity for institutions to request dollars to be used in the following programs:

    1. Summer bridge programs;

    2. Summer school funding; and

    3. Exhausted-eligibility scholarships (student-athletes who are currently enrolled as full-time students, have exhausted the permissible four seasons of competition and have not yet graduated).

b. Institutions using SSF dollars to fund these programs will be required to provide the following information as part of the application process:

    1. A description of which of the above-mentioned programs will be funded with the money;

2. The names of the student-athletes that will be given assistance through this program prior to using the funds;

3. A description of the expected outcomes from the programs funded by this money;

4. A description of how those outcomes will be measured by the institution; and

c. Institutions using SSF dollars to fund these programs will be required to provide the following information when reporting on the use of the money:

1. Documented evidence that the money provided for these specific programs was used for that purpose;

2. The academic performance data for the specific student-athletes that were provided assistance through this program;

3. Retention data for the specific student-athletes that were provided assistance through this program; and

4. If an institution is unable to provide evidence the money provided for these specific programs was used for that purpose the institution will not be permitted to apply for those funds for the next year.

Budget.

It is recommended that $1 million be allocated for the administration of this programming initiative. These dollars would be in addition to the $3 million that has already been allocated to the SSF from the White Case Settlement dollars. The amount would allow each institution to apply for and receive approximately $33,000 over a two year period.

REPORT OF THE
NCAA DIVISION I COMMITTEE ON ACADEMIC PERFORMANCE
APRIL 23-25, 2012, MEETING

***KEY ITEM*.**

- **NCAA Division I Proposal No. 2011-94 Eligibility – Freshman Academic Requirements – Eligibility for Financial Aid, Practice and Competition – Core Course Requirements and Initial-Eligibility Index.** The NCAA Division I Committee on Academic Performance recommends the NCAA Division I Board of Directors amend the effective date of NCAA Division I Proposal Nos. 2011-94, 2012-6 and 2012-7 to August 1, 2016, for student-athletes initially enrolling full time in a collegiate institution on or after August 1, 2016.

***ACTION ITEMS*.**

1. Legislative Items.

- **NCAA Division I Proposal No. 2011-94 Eligibility – Freshman Academic Requirements – Eligibility for Financial Aid, Practice and Competition – Core Course Requirements and Initial-Eligibility Index, Proposal No. 2012-6 – Eligibility – Freshman Academic Requirements – Eligibility for Financial Aid, Practice and Competition – Qualifier – Core-Course Requirements – Exception – International Prospective Student-Athletes, and Proposal No. 2012-7 – Eligibility – Progress-Toward-Degree Requirements – Eligibility for Practice during Each Term of the Initial Year in Residence.**

  (1) Recommendation. The Committee on Academic Performance recommends the Board of Directors amend the effective date of Proposal No. 2011-94 to August 1, 2016; for students initially enrolling full time in a collegiate institution on or after August 1, 2016. This one-year delay would also require amendments to the effective date of Proposal Nos. 2012-6 and 2012-7.

  (2) Effective Date. August 1, 2016; for students initially enrolling full time in a collegiate institution on or after August 1, 2016.

  (3) Rationale. Feedback from the NCAA membership indicates general support for delaying the effective date from August 2015 to August 2016. The current effective date was set to ensure that prospective student-athletes have adequate time to learn, understand and meet the new initial-eligibility standards. The timing of the adoption of the legislation resulted in a limited opportunity to educate prospective student-athletes that are freshman in high school during the 2011-12 academic year. With the

current effective date, these prospective student-athletes would be responsible for meeting the new initial-eligibility standards. Delaying the effective date of this legislation will allow for a robust education plan to be realized for the first class of prospective student-athletes that will be responsible for meeting the new standards. The membership, including the NCAA Division I Academic Cabinet, generally support this one-year delay.

(4) Estimated Budget Impact. None.

(5) Student-Athlete Impact. None.

2. Nonlegislative Items.

a. NCAA Division I Academic Performance Program Manual.

(1) Recommendation. The Committee on Academic Performance recommends the Board of Directors approve the NCAA Division I Academic Performance Program Manual for the 2012-13 academic year, which is included in the Committee on Academic Performance meeting materials, Supplement No. 6.

(2) Effective Date. Immediate.

(3) Rationale. The APP Manual was updated based on the changes adopted by the Board in October 2011 and throughout this past year. The Committee on Academic Performance policies and procedures have been combined to include the former penalties guide, data collection guide, NCAA Division I Academic Progress Rate Adjustment Directive, and APP penalty waiver directive. The documents have been combined into one document that will assist institutions with the 2012-13 data collection process and penalty applications and will be posted on the committee's page on the NCAA website at www.ncaa.org. NCAA legislation requires Board approval of the committee's policies and procedures annually.

(4) Estimated Budget Impact. None.

(5) Student-Athlete Impact. None.

b. Proposal No. 2011-69 Eligibility – Transfer Regulations – 2-4 and 4-2-4 College Transfers.

(1) Recommendation. The Committee on Academic Performance recommends the Board of Directors seek membership input on a possible one-year delay in the effective date for Proposal No. 2011-69. Specifically, the two-year college community has requested a delay for Proposal No. 2011-69 in order to provide a longer period of education for the two-year college community. The current effective date is August 1, 2012; for student-athletes initially enrolling full time in a collegiate institution on or after August 1, 2012. In addition, the Committee on Academic Performance seeks further input regarding Proposal No. 2011-65 Eligibility – Two-Year College Transfers – Year of Academic Readiness at Two-Year College and possible amendments.

(2) Effective Date. Immediate.

(3) Rationale. NCAA research indicates that two-year college transfer student-athletes underperform academically upon enrollment at a four-year institution. Increased standards were adopted by the Board in October 2011 to better predict academic success at time of enrollment at a four-year institution. Further, the Board tabled Division I Proposal No. 2011-65 Eligibility – Two-Year College Transfers – Year of Academic Readiness at Two-Year College. The intent of this proposal is to provide academically underprepared student-athletes with an opportunity to gain an educational foundation to be successful at time of enrollment at a four-year institution. The Committee on Academic Performance seeks membership input prior to its July meeting regarding a possible delay in effective date of Proposal No. 2011-69 with a possible recommendation for consideration by the Board in August. The committee did note, however, that unlike the delay recommended for initial eligibility, no currently enrolled two-year college students are impacted by the current 2012 effective date. In addition, the Committee on Academic Performance seeks further input regarding possible amendments to Proposal No. 2011-65.

(4) Estimated Budget Impact. None.

(5) Student-Athlete Impact. None.

INFORMATIONAL ITEMS.

1. **Penalty Hearings**. The committee conducted five hearings for five teams subject to Level-Three Penalties.

2. **Review of the Application of Various APP Penalties.** The committee discussed the application of various APP penalties. For the sport of men's basketball, the committee confirmed that the 10 percent reduction of the playing and practice season results in a reduction of 10 days taken at the beginning of the season. Specifically, a basketball team subject to a reduction of the playing and practice season must start its regular season 10 days later than first permitted day of in-season practice. Additionally, the committee confirmed for the sports of men's and women's basketball, the APP penalty that requires a reduction of 10 percent of the number of contests results in a three game reduction from the maximum number of permissible contests. Further, the committee confirmed that summer access is not included in the prescribed level-One and -Two APP penalties. Finally, the committee confirmed that a team subject to a Level-Two APP penalty that reduces the number of hours of athletically related activities outside the playing season from eight hours to four hours is not required to provide an additional day off as part of the out-of-season penalty due to the limited number of hours of athletically related activity.

3. **APR and Penalty Reporting Forms.** The Committee on Academic Performance approved the institutional and public APR and penalty reports to be used during the 2012-13 academic year. The reports are intended to provide institutions with teams' APR, as well as a summary of the teams' penalties and/or postseason ineligibility.

4. **Definition of Graduation within the Academic Performance Program.** The NCAA Division I Committee on Academic Performance Subcommittee on Data Collection and Reporting considered a scenario in which a student-athlete completes all requirements for graduation after a summer term but does not officially graduate until the following winter because the institution does not have a summer commencementand does not confirm degrees until end of winter term. The subcommittee was asked to determine whether such a student-athlete should be considered a graduate after the summer term for the purposes of the APR.

   The current definition of graduation, as found in the APP Data Collection Guide, states: "A student-athlete is considered "graduated" for purposes of the APR if he or she has completed all graduation requirements (e.g., academic and administrative) and is considered by the institution to have graduated."

   Under this definition, an institution would not be permitted to mark a student-athlete as graduated for the previous spring-retention point because the institution does not officially consider such student-athletes as graduated until the degree is conferred. The

institution would also not be permitted to award the eligibility point for the spring term if the student-athlete in this situation has completed 10 semesters or 15 quarters as a full-time student. The subcommittee agreed not to change the current definition of graduation, but noted that institutions that lose APR points for such student-athletes may request relief for any lost points through the APR adjustment process since such circumstances are outside the control of the student-athlete. The subcommittee noted that changes to the definition of graduation has implications beyond this scenario and thus, this was best handled in the adjustment process.

5. **Limited-Resource Institution Pilot Program Concept.** The committee received an update regarding the development of a pilot program for limited-resource institutions and enhancements to the NCAA Division I Academic Performance Program Supplemental Support Fund. The committee was generally supportive of the two recommendations, noting that they will be reviewed by the NCAA Executive Committee Finance Subcommittee and potentially acted on by the Board in August.

6. **NCAA Division I Academic Performance Program Press Releases.** The committee received an update on the annual Division I Academic Progress Rate, Penalty, Postseason Ineligiblity, and Public Recognition press releases. The public release will occur in mid-June and institutions can expect communication in May with more specifics.

7. **Update on the Governance Survey.** The committee received an update on an upcoming survey from the national office to all governance committee members.

8. **Update on Men's and Women's Basketball Coaches' Meetings.** The committee received an update regarding recent meetings with the Women's Basketball Coaches Association and the National Association of Basketball Coaches.

9. **APR Data and Penalties.** The committee received a summary of the most recent APR data submitted by member institutions and a summary of the penalties imposed under the new APP penalty structure and access to postseason, which will be available for public review in June.

10. **March Teleconference Report of the NCAA Division I Committee on Academic Performance.** The committee reviewed the report.

11. **NCAA Working Group on the Collegiate Model – Bylaw 14.** The committee received an update on the NCAA Working Group on the Collegiate Model – Rules and provided feedback on the principles and preliminary concepts developed for NCAA Division I Bylaw 14. The committee expressed concern that elimination of the requirement for institutions to submit final high school transcripts for early academic qualifiers will have

a detrimental impact on the research efforts crucial to informing initial-eligibility legislation standards and policies. The committee recommended the research staff be consulted before a final decision on the elimination of this requirement is made.

12. NCAA Division I Academic Progress Rate Adjustment Requests for Student-Athletes who Transfers From an Institution Subject to Postseason Ineligibility. The committee approved an amendment to the APR adjustment directive when a student-athlete transfers from an institution in which his/her term is ineligible for postseason competition due to the APP and the student does not need an NCAA Division I Legislative Council Subcommittee for Legislative Relief waiver for the residency requirement (e.g., sports that allow for the one-time transfer exception or situations where a student-athlete transfers to a Division II institution). The retention point will be adjusted provided the following criteria are met:

a. 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.

b. The student-athlete did not lose any APR points at that institution, including the eligibility point in the last semester of enrollment prior to transfer.

c. The penalty would preclude the institution's team in that sport from participating in postseason competition during all of the remaining seasons of the student-athlete's eligibility.

This change will be effective with the 2011-12 APR data, submitted fall 2012 and would not apply retroactively. Such requests will be considered during the normal adjustment process with appropriate documentation (e.g., transcripts) to be provided by the institution requesting the adjustment.

Committee Chair: *Walter Harrison, University of Hartford, America East Conference*
Staff Liaisons: *Diane Dickman, Academic and Membership Affairs*
Kevin Lennon, Academic and Membership Affairs
Todd Petr, Research
Bill Regan, Academic and Membership Affairs
John Shukie, Academic and Membership Affairs
Jennifer Strawley, Academic and Membership Affairs

April 23-25, 2012	
Attendees	Absentees
Jan Blade, Delaware State University	Melvin Johnson, Tennessee State University
Jerry Bovee, Weber State University	
Jennifer Brown, Western Carolina University	
Michael Cross, Bradley University	
Jack Evans, University of North Carolina, Chapel Hill *(participated via teleconference)*	
Kenneth Ferguson, University of Missouri, Kansas City	
Walter Harrison, University of Hartford	
David Jamison, Robert Morris University	
Barbara Luebke, University of Rhode Island	
Roderick McDavis, Ohio University	
Lisa Melz, Western Illinois University	
John Morris, University of Washington	
Vince Nicastro, Villanova University	
Brennan O'Donnell, Manhattan College	
Greg Sankey, Southeastern Conference	
Other NCAA Staff Members in Attendance: Kelly Brooks, Steve Clar, Greg Dana, Diane Dickman, Bernard Franklin, Michelle Hosick, Kevin Lennon, Andy Louthain, Matt Maher, Binh Nguyen, Tom Paskus, Todd Petr, Bill Regan, Tiese Roxbury, John Shukie, Naima Stevenson, Jenn Strawley, Katy Yurk.	