

## University of Alabama, Tuscaloosa

### 1.2 Rules Compliance

1 NCAA Operating Principle 1.2 requires an institution to have a clear and unambiguous commitment to rules compliance as a central element in all personnel matters for individuals outside the intercollegiate athletics program who are involved or associated with athletics. In order to demonstrate conformity with this operating principle, an institution must include a statement regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions. After reviewing Page Nos. 32 and 33 of your institution's self-study report, the NCAA Division I Committee on Athletics Certification (hereafter referred to as "committee") noted a statement regarding the importance of rules compliance is included in job descriptions for individuals outside the intercollegiate athletics program who are involved with athletics. Further, the committee noted that contracts or letters of appointment are not used for these individuals. Additionally, after reviewing Page No. 32 of your institution's self-study report, the committee noted that "performance evaluations do not make specific reference to NCAA regulations but they do assess job knowledge and quality of work specific to the position." Finally, the committee reviewed supplemental information submitted by your institution June 6, 2007, which states that the supervisor performing the annual evaluation will receive informal feedback from athletics compliance personnel. However, the committee is unclear if a written statement exists regarding the importance of rules compliance in performance evaluations for all administrative staff outside the athletics department who are associated with athletics (e.g., individuals in the offices of the registrar, financial aid and undergraduate admissions). Therefore, your institution must provide evidence that a written statement regarding the importance of rules compliance is included in performance evaluations for those individuals outside the athletics department who are associated with athletics (e.g., individuals in the offices of the registrar, financial aid and undergraduate admissions).

### Institution Response to CAC Analysis

The University Compliance Committee's charge spells out the responsibilities of committee members (individuals outside of the athletics department) collectively and respectively by means of the following directive: "Ensure that commitment to rules compliance is a central element in all personnel matters (wherever university personnel are involved in compliance-related activities). The University of Alabama and its Department of Intercollegiate Athletics are committed to operating within the framework and intent of all NCAA and SEC legislation. It is the responsibility of each University Compliance Committee member and appropriate designees outside of the athletics department to have complete knowledge of NCAA, SEC, and University regulations that relate to their duties. Each and every staff member with compliance-related responsibilities must accept ultimate responsibility for ensuring their conduct is in compliance with all such regulations. It is the purpose of the University Compliance Committee to facilitate and monitor achievement of this goal. All staff members outside of the athletics department with compliance-related responsibilities are responsible for comprehending and abiding by the University of Alabama compliance policies and procedures."

University Compliance Committee members and their appropriate designees must show a clear and unambiguous commitment to rules compliance as evidenced in job descriptions and the annual performance evaluation.

# Athletics Certification Committee Analysis Report with Institution Responses

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As indicated in the original report submission, all University personnel receive annual human resource performance evaluations. The human resource performance evaluation does not make specific reference to NCAA regulations, but does assess job knowledge and quality of work specific to the position.

Since the original submission, appropriate criteria have been included in a NCAA, SEC and institutional compliance-related performance review, in conjunction with the University's human resources annual review, for University Compliance Committee members and their appropriate designees (individuals outside of the athletics department with compliance-related responsibilities). The performance reviews of staff members with compliance-related responsibilities outside of the athletics department addresses familiarity with NCAA rules impacting one's job, understanding of University rules and regulations, maintaining accurate records, meeting appropriate deadlines, participation in continuing education and other compliance-related tasks.

A copy of the University of Alabama Compliance Responsibilities Performance Evaluation will be available to the Peer Review Team.

### **2.1 Academic Standards**

**1** Operating Principle 2.1 requires an institution's academic standards and policies applicable to student-athletes to be consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher. In order to demonstrate conformity with this operating principle, institutions must compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through the special admission process and the percentage of freshman students generally who were so admitted. After reviewing Page No. 45 of your institution's self-study report, as well as supplemental information provided by your institution June 6, 2007, the committee noted more student-athletes than nonathletes were admitted under the special admission process. Your institution provided a response indicating that the percentage of freshman student-athletes on athletics aid who were admitted under the special admissions process has decreased over the three-year reporting period. However, your institution did not provide an explanation related to the difference between student-athletes and nonathletes admitted under the special admission process. Therefore, your institution must compare and further explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through the special admission process and the percentage of freshman students generally who were so admitted. If any deviation exists, your institution must develop a plan for improvement to address the issue.

### **Institution Response to CAC Analysis**

The University of Alabama would like to provide additional information to clarify that the admission policies for student-athletes are consistent with the admission policies for the general student body.

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The reduced number of student-athlete special admits is the result both of a change in the appeals process and from conclusions reached by examining the progress toward degree of previous special admits. The appeals process was altered by the office of undergraduate admissions to allow regular admission of student-athletes who were declared eligible to compete on the basis of the NCAA sliding scale of initial eligibility and who had a 16 or better on the ACT and a 2.6 or better grade point average. That number was reached after the office of enrollment management charted the progress toward degree of previous intercollegiate athletics special admits. The office of enrollment management found that student-athletes with a 16 or better historically were more likely to meet progress toward degree standards than those student-athletes whose score fell below 16 on the ACT. Student-athletes whose ACT falls below 16 and grade point average falls below 2.6 must make an appeal for special admissions.

The goal of undergraduate admissions is to treat all prospective students equitably through the admissions process based on merit; however, Undergraduate Admissions acknowledges that a supplemental process must be in place for non student-athletes and student-athletes to appeal their admission decision and convince a committee that they will bring contributions to the intellectual, cultural and other aspects of our university community. To ensure that our supplemental process is one of equity in the review and admitting students below standards, it is evaluated annually by Undergraduate Admissions senior staff, the Undergraduate Admissions Review Committee, the Undergraduate Admissions Appeals Committee, and the Executive Vice President and Provost.

The result of these new procedures is that, to date, the University has achieved much greater parity in the number of student-athletes and non-athlete students who are considered under the appeal process.

2 Operating Principle 2.1 states that if the graduation rate of student-athletes as a whole or for any student-athlete subgroup is significantly lower than that of other student-athletes or comparable student-body groups, the disparity shall be analyzed, explained and, if necessary, addressed through specific plans for improvement by appropriate institutional authorities. After reviewing your institution's graduation rates for student-athletes on Page Nos. 48 and 49 of your institution's self-study report, the committee noted that the graduation rates for the following student-athlete groups were below the average graduation rate for the general student body, comparable student body groups and/or other student-athletes: baseball, women's basketball and men's cross country. While the committee noted your institution identified the deficiencies that exist, there was no analysis submitted to address the deficiencies. Therefore, your institution must analyze, explain and if necessary, address (through specific plans for improvement) the lower graduation rates for student-athletes in the sports of baseball, women's basketball and men's cross country. Please note, plans for improvement must contain the following required elements:

- a. Identification of issues or problems;
- b. Measurable goals your institution intends to achieve;
- c. Steps to achieve the goals;
- d. Specific timetables;
- e. Individuals/offices responsible for carrying out the specific actions; and
- f. Institutional approval.

### **Institution Response to CAC Analysis**

- a. Identification of issues or problems

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The graduation rates for baseball, women's basketball, and men's cross country were below the average for the general student body, comparable student body groups and/or those of other student-athletes. If transferring to another institution or leaving the sport for professional ranks or other reasons are taken into account, the graduation rate is respectable for this three-year period. In addition, women's basketball and men's cross country have small cohorts which magnify the smallest changes.

### b. Measurable goals your institution intends to achieve

The department of intercollegiate athletics goal is to continue improving the graduation rates in every sport.

### c. Steps to achieve the goals

The University has opened Bryant Hall as the academic support center for student-athletes. The Center for Athletic Student Services offers many services previously unavailable to the student-athlete body. Not only does the Center for Athletic Student Services offer a full complement of highly qualified tutors, the Center has introduced programs to assist the tutors in their efforts to assist student-athletes. Bryant Hall has a state-of-the-art computer room, math lab, reading lab, and writing center. The Center for Athletic Student Services provides individual tutoring as well as group tutoring and test reviews.

In order to identify at-risk students earlier, the Center for Athletic Student Services has expanded the testing program to diagnose learning issues. The Center for Athletic Student Services also administers the Stanford Diagnostic Reading Test and a writing diagnostic essay. From the results of these tests or a recommendation from a coach or sports medicine personnel, the Center for Athletic Student Services will administer a full psychological evaluation including the Wechsler Adult Intelligence Scale III and the Wechsler Adult Intelligence Scale II. If the results of the test indicate a learning disability, the recommendations for accommodations are sent to the Office of Disability Services.

Because of the number of cases and the amount of follow-up necessary for each student-athlete with a learning disability, the Center for Athletic Student Services hired a Learning Specialist in August, 2007. The Learning Specialist is responsible for coordinating the services provided by the Office of Disability Services with those provided by the Center for Athletic Student Services. The Learning Specialist also has been charged with providing educational programs for the Center for Athletic Student Services staff, tutors, and student-athletes.

The Center for Athletic Student Services has developed, in conjunction with the College of Human and Environmental Sciences, a freshman orientation course. This course is designed to provide student-athletes with the skills necessary to succeed academically. Time management, learning styles, note taking, text book reading, career workshop, and organizational skills are just a few of the topics introduced in the semester long course. Student-athletes are also briefed on the NCAA academic eligibility rules.

### d. Specific timetables

Currently in place.

### e. Individuals/offices responsible for carrying out the specific actions

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Assistant Athletic Director for Student Services  
Athletic Program Advisors  
Learning Specialist  
Office of Disability Services  
Director of Athletics  
Associate Athletic Director, Support Services

### f. Institutional approval

Services are reviewed on an ongoing basis by several groups, including the Intercollegiate Athletics Committee, Athletics and Academics Committee, and University Athletic Compliance Committee.

These committees are responsible for:

- \* Reviewing policies pertaining to the Center for Athletic Student Services and recommending changes or updates to these policies.
- \* Monitoring the admission and progress of student-athletes.
- \* Monitoring changes in NCAA rules.
- \* Reporting to the faculty via the Faculty Senate.
- \* Recommending changes to the President.

**3** Operating Principle 2.1 states that written policies related to scheduling must be established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics consistent with the provisions of NCAA Constitution 3.2.4.14. In order to demonstrate conformity with this operating principle, these policies must be clearly communicated to student-athletes and staff (e.g., published in the institution's student-athlete handbook, athletics department staff manual, discussed during team meetings). After reviewing Page Nos. 51 and 52 of your institution's self-study report, as well as supplemental information provided by your institution June 6, 2007, the committee is unclear if your institution has established written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and/or final examination periods due to their participation in intercollegiate athletics. Further, the committee is unclear if these policies are clearly communicated to student-athletes and staff members. Therefore, your institution must provide written evidence that established written policies exist regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and/or final examination periods due to their participation in intercollegiate athletics. Further, your institution must provide written evidence that these policies are clearly communicated to student-athletes and staff (e.g., published in the institution's student-athlete handbook, athletics department staff manual, discussed during team meetings).

### **Institution Response to CAC Analysis**

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The department of intercollegiate athletics has a policy regarding sports scheduling for student-athletes that applies to all sports. The policy outlines the NCAA and SEC limitations, practices and competitions, game contracts, scheduling approval, communication with various offices, and facilities scheduling. The sports schedule policy is currently within the department of intercollegiate athletics policy and procedures manual and the manual is posted on a secured website for departmental staff. The sports schedule policy is also currently located on the web version of the student-athlete handbook and will be updated within the written handbook version.

### Sports Scheduling Policy

Schedules are constructed for all sports with the goal of providing the most equitable competition possible while remaining within budgetary constraints and conforming to applicable NCAA, Southeastern Conference and University of Alabama regulations.

### NCAA and Southeastern Conference Limitations

The NCAA and Southeastern Conference place limitations on the timing, duration and number of contests played by varsity teams. The NCAA limitations are described in Bylaw 17 of the NCAA Manual. Southeastern Conference regulations in many instances are more restrictive. These limitations are outlined in Bylaw 17 of the Southeastern Conference Manual.

### Schedule Construction for Practice and Competitive Events

The Head Coach of each team is responsible for initiating the scheduling of non-conference competitive events, usually at least one year in advance. Constructing a schedule requires coordination with coaches of other schools. Schedules of other sports and academic activities, which may be occurring during the school year, should also be considered. Each coach submits a tentative schedule to his or her immediate supervisor (the Associate Athletic Director with sport oversight) for preliminary approval which is, in turn, approved by the Faculty Athletics Representative and the Athletics Director.

In addition to NCAA and Southeastern Conference limitations, the following factors must be taken into consideration when constructing the schedule for competitive events:

1. Scheduling of non-conference home and/or away contests is not permitted during final exam periods except with special permission by the Athletic Director and advance approval of Faculty Athletics Representative.
2. Class absences required for each contest should be at a minimum for both home and away events, especially when approaching midterm and final examination periods.
3. Income and expenses involved for each contest - determine guarantee, if any and estimated costs compared to budgeted amounts. All guarantees must be approved by the sport's Associate Athletic Director.
4. Balance between the number and spacing of home and away contests.
5. Balance between competitive rankings of opponents.
6. Dates for Southeastern Conference and NCAA championships, tournaments and meets.

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Coaches are encouraged to schedule practice and travel times so as to minimize class time missed.

### Game Contracts

- \* A formal game contract for all home events must be prepared and, after obtaining all appropriate UA signatures, must be sent to the opposing institutions for signatures.
- \* Contracts for contests in which The University of Alabama is the visiting institution should be initialed by the home institution and sent to UA for signatures.
- \* The head coach and Associate Athletic Director with sport oversight must sign all game contracts.
- \* Any game contract that includes a financial provision (i.e., guarantee, hotel rooms, financial penalty for cancellation, etc.) must be signed by the University Vice President for Financial Affairs.
- \* Copies of completed game contracts for an entire season must be filed with the following offices:
  - \* Sport secretary
  - \* Associate Athletic Director with sport oversight
  - \* Athletics Business Office
  - \* Athletic Ticket Office (if ticket issues involved)

### Schedule approval

The Associate Athletic Directors with sport oversight are responsible for approving and maintaining a master practice and competition schedule of the teams under their jurisdiction. Final approval must be obtained from the sport's Associate Athletic Director before a schedule may be considered official and can be released to the public.

If it becomes necessary at any time to make a change in an approved schedule, the Head Coach must first notify the sport's Associate Athletic Director who, in turn, shall communicate with the FAR if the change involves additional missed class time, and the Athletic Director.

### Communication with Relevant Offices

The Head Coach is responsible for providing a master copy of the approved schedule to the following offices:

- \* Center for Academic Student Services
- \* Media Relations
- \* Event Management
- \* Marketing and Promotions

All changes, postponements and cancellations, must be communicated immediately to these same offices.

### Facilities Scheduling

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Sports sharing facilities must communicate with one another during schedule construction. If common game dates exist, start times will be determined through discussion with coaches and administrators, if necessary. Unresolved conflicts will be resolved by the Athletics Director.

The Events Management Office maintains the master facility schedule for athletic contests and practices.

- 4 Operating Principle 2.1 requires an institution to demonstrate that written policies are established in all sports to minimize student-athlete's conflict with class time and/or final examination periods due to participation in intercollegiate athletics. In order to demonstrate conformity with this operating principle, institutions must analyze, explain and address missed class time that has been determined to be significant or excessive for any sport(s). After reviewing Page Nos. 51 and 52 of your institution's self-study report, as well as supplemental information provided by your institution June 6, 2007, the committee noted your institution did not analyze, explain or address missed class time that has been determined to be significant or excessive for any sport(s). Therefore, your institution must analyze, explain and address missed class time that has been determined to be significant or excessive for any sport(s).

### **Institution Response to CAC Analysis**

In addition to missed class time reports, the department of intercollegiate athletics has developed a second method of controlling missed class time by developing an "Academic Accountability" policy. This policy has went into effect October 1, 2007. The policy was sent via electronic mail to all student-athletes on October 1, 2007. In the month of October, the Assistant Athletic Director for Student Services reviewed this policy with all coaches and student-athletes. The policy was reviewed by Head Coaches on August 20, 2007, at a head coaches meeting with the Director of Athletics. Also, this policy was mailed to parents and legal guardians of all student-athletes.

The policy is currently within the department of intercollegiate athletics policy and procedures manual and the manual is posted on a secured website for departmental staff. The policy is also currently located on the web version of the student-athlete handbook and will be updated within the written handbook version. On an annual basis, the Center for Academic Student Services will review the policy with student-athletes at beginning-of-year team meetings. Furthermore, it is the responsibility of the head coaches and the Center for Athletic Student Services to ensure that student-athletes understand and adhere to the policy.

The policy sets a ceiling on class days missed due to competition and institutes a set of consequences once a student-athlete misses nine or more "academic obligations." These obligations include missed class time, missed tutorials, missed meetings with advisors, and missed tutorials. The student-athlete's sport-specific academic advisor is responsible for monitoring and recording missed obligations.

The policy reads as follows:

Academic Accountability



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The University of Alabama and the Center for Athletic Student Services are committed to the academic success of student-athletes. Student-athletes must miss some classes as a result of travel for athletic competition. It is The University of Alabama Department of Intercollegiate Athletics's policy that no more than twelve (12) class days may be missed per term due to regular season competition. Sports that have a team grade point average above a 3.0 may request additional days per approval from the Director of Athletics and the Faculty Athletic Representative. To this end, each coach has a role in ensuring that his or her student-athletes meet their academic obligations. This policy ensures an academic accountability which requires input from the head coach to help refocus student-athletes who are not meeting their academic obligations.

### Point Procedure

At the heart of this accountability program is the point system. Each student-athlete will receive one negative point for each missed academic obligation throughout the semester. Missed obligations include: a missed class, tutorial appointment, mentor appointment, counselor appointment, or study hall obligation (obligations missed for school sanctioned travel do not result in points). If a student-athlete has been wrongly marked as absent from a class, the student-athlete may appeal by having faculty communicate directly to the sport specific academic advisor.

Student-athletes can also receive positive points, which will offset negative points the student-athlete may incur. Student-athletes may receive positive points for: meeting all academic obligations in a given week, which includes: demonstrating special effort in the classroom, putting forth extra effort in study hall, or by meproactivetively with faculty members. Additional positive points may be awarded at the discretion of the Assistant Athletic Director for Student Services in consultation with the sport specific academic advisor. Each student-athlete will begin the semester with a total of zero (0) points and cannot accumulate positive points.

### Sanction Procedures

The sport specific academic advisor will provide point updates to the coaching staff on a regular basis. Disciplinary action taken against student-athletes with 1-9 negative points will be left to the discretion of each head coach based on the levels below. With the accumulation of nine (9) points, the Assistant Athletic Director for Student Services will call a meeting with the Head Coach and the Sport Oversight Administrator to outline and implement an academic plan for behavior modification and a clear response plan should any additional negative points be incurred. A copy of this plan must be signed by all parties and kept in the student-athlete's file at the Center for Athletic Student Services. At ten (10) negative points, the Head Coach and the student-athlete will be required to meet with the Director of Athletics and the Sports Oversight Administrator to be notified of suspension from athletic competition.

### Disciplinary Actions

Level 1 (0-3 points) (any or all of the following may be selected):

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- \* Additional study hall
- \* Loss of complimentary tickets
- \* Letter to parents
- \* Practice limitations

Level 2 (4-6 points) (any of the above and/or one of the following):

- \* Partial suspension from athletic contest or contests
- \* Letter to parents
- \* Suspension from athletic contest or contests

Level 3 (7-9 points) (any of the above and/or one of the following):

- \* Reduction or revocation of summer aid
- \* Letter to parents
- \* Suspension from athletic practice
- \* Suspension from athletic competition

Level 4 (10 points)

- \* Suspension from the next scheduled competition for each point
- \* Letter to parents

Student-athletes who have earned sixty (60) hours or more and have a cumulative grade point average of 3.00 or higher are exempt from the above policy with the stipulation the student-athlete maintains the 3.00 grade point average.

## 2.2 Academic Support

1 Operating Principle 2.2 requires academic support services for student-athletes to be reviewed and approved at least once every three years by appropriate academic authorities outside the department of intercollegiate athletics. In order to demonstrate conformity with this operating principle, an institution must demonstrate that academic support services for student-athletes are subject to a comprehensive review at least once every three years by academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area. After reviewing Page Nos. 56 through 73 of your institution's self-study report, the committee noted academic support services for student-athletes have not been reviewed at least once every three years. However, the committee noted your institution developed a plan for improvement on Page No. 74 to implement a review of academic support services offered to student-athletes by October 2007. Therefore, your institution must provide written evidence to demonstrate that it has completed its plan to conduct a comprehensive, written review of the academic support services performed by appropriate academic authorities outside of athletics who do not have day-to-day responsibilities in the academic support service area. Further, your institution must ensure this review will be conducted at least once every three years in the future.

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### **Institution Response to CAC Analysis**

The Athletics and Academic Committee provided a comprehensive academic support services review report for the Center for Athletic Student Services. The review included the following academic support areas: orientation, academic advising, monitoring, reporting, staffing, facilities, tutorial services, and assistance for special academic needs and "at risk" students.

The Athletics and Academics Committee will provide a comprehensive review and report of the academic support services area every three years and provide a report to the President, Provost, Director of Athletics, Faculty Athletics Representative, Associate Athletic Director for Support Services, and the Assistant Athletic Director for Student Services.

A copy of the Report on Student Athlete Academic Services will be available for the Peer-Review Team.