

NCAA Division I Committee on Academics Policies and Procedures 2023-24

Organization of the NCAA Division I Committee on Academics Policies and Procedures

The Committee on Academics Policies and Procedures document outlines the operations and authority of the committee and its three reporting subcommittees.

CHAPTER 1: NCAA Division I Committee on Academics

- Policies and procedures applicable to full committee administration.
- Applicable NCAA Division I Academic Performance Program legislation, standards and policies related to the academic-values-based revenue distribution.

CHAPTER 2: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

- Policies and procedures applicable to Subcommittee on Student-Athlete Academics' administration.

CHAPTER 3: NCAA Division I Committee on Academics Subcommittee on Data

- Policies and procedures applicable to Subcommittee on Data's administration.
- Appendices (e.g., factual examples, FAQs, waiver directives).

CHAPTER 4: NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

- Policies and procedures applicable to Subcommittee on Penalties and Appeals' administration.
- Appendices (e.g., factual examples, FAQs, waiver directives).

Color Codes:

Portions of the Manual highlighted in the following colors indicate:

Grey = Changes or revisions via NCAA Division I Proposal No. 2014-2 or policy recommendations by the Committee on Academics.

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NCAA Division I Committee on Academics

Purpose

The central purpose of the NCAA Division I Committee on Academics is to serve as the division's primary authority on academic matters, subject to review of the NCAA Division I Board of Directors. In this capacity, the committee manages all policy pertaining to academic matters and recommends and reviews legislation that impacts academics. Additionally, the committee is responsible for the administration of the NCAA Division I Academic Performance Program. To provide the desired operational relief to the Board of Directors, the committee is vested with the authority to take final action on routine and noncontroversial matters of general academic policy and APP policy.

Committee on Academics Duties and Responsibilities (Bylaw 21.3.2)

The Committee on Academics' responsibilities include:

1. Serve as the division's primary academic authority, subject to review by the Board of Directors.
2. Manage all policy pertaining to academic matters, including academic eligibility standards and related policies.
3. Recommend and review legislation pertaining to academic matters, including academic eligibility standards.
4. Take final action on routine and noncontroversial matters of general academic policy and APP policy.
5. Establish, oversee and support the work of the academic substructure as stipulated in NCAA Division I Bylaw 21.
6. Perform all duties directly related to the administration of the APP, including interpretations of APP legislation and policies, hearing appeals (or waiver requests) of institutions or teams subject to penalties and any other matters of appeal pursuant to the legislation and policies and procedures of the APP.
7. Determine the appropriate standards on which APP penalties or rewards apply.
8. Recommend changes to the APP based on research data analysis and practical experience.

9. Oversee administration of academic waivers as specified by legislation and/or policy.
10. Study issues and make policy or legislative recommendations concerning relationships between the Association and the nation's two-year colleges as represented by established regional and national organizations.
11. Work with the NCAA Division II governance structure to ensure that consistent policies exist, when possible, while maintaining each division's philosophy and legislative intent.
12. Oversee activation of the NCAA Division I Academic Values-Based Revenue Distribution and monitor the academic metrics upon which distribution is based. *(Adopted 02/18)*
13. Oversee the men's and women's basketball degree completion program. *(Adopted 02/19)*

Composition (Bylaw 21.3.1)

The Committee on Academics must consist of 20 members, including a minimum of two chancellors or presidents, one provost, four faculty athletics representatives, one director of athletics, one senior woman administrator, one conference administrator and one student-athlete. The committee must include at least two members from each of the three Division I membership subdivisions. All committee members must be on the staff of an active Division I institution or conference. A chancellor or president must 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.

One member of the NCAA Division I Student-Athlete Advisory Committee must serve as a voting member of the Committee on Academics up to one year after completion of their intercollegiate athletics eligibility.

Appointments

The Board of Directors must appoint the members of the Committee on Academics.

Terms of Office

The Committee on Academics members may initially be appointed to a one-year, two-year, three-year or four-year term. A member appointed to a one- or two-year term may be reappointed to an additional four-year term. A member's term of service expires on the first day of September following the duration of the member's 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 members generally must be appointed for a four-year term. A member's term of service commences 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.

Selection of Committee Chair

The Committee on Academics must nominate one or two of its members to the Board of Directors for possible selection as the committee chair. Committee members are eligible for nomination for the position of chair only if they are the chancellor or president of an active Division I institution. The committee chair generally serves as chair for the remainder of their term.

Generally, the Board of Directors will identify the incoming chair during its October meeting preceding the September 1 term expiration of the current chair's term. The committee must forward its nominee(s) to the Board of Directors before 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 works 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's responsibilities include:

1. Track academic-related issues and work with NCAA staff to strategically prioritize academic issues.
2. Oversee development of committee agendas.

3. Lead full committee meetings and NCAA Division I Committee on Academics Administrative Committee meetings and teleconferences.
4. Provide reports regarding the work of the committee to Division I governance and membership entities as needed (e.g., NCAA Division I Council, Board of Directors, member conferences).
5. Provide an annual in-person academics report to the Board of Directors.
6. Attend the NCAA Convention and present or speak on behalf of the committee as needed.
7. Serve as speaking agent for media or public inquiries as needed (per NCAA policy).
8. Film educational or informational resources for the membership and public audiences as needed.
9. Reply on behalf of the committee to written or verbal requests from NCAA-affiliated constituents (e.g., member conferences, member institutions, coaches' associations).
10. Appoint a committee member to serve as a liaison to the Council.
11. Appoint two committee members to serve on the NCAA Division I Legislative Committee.
12. Appoint committee members to serve as liaisons to outside groups in the governance structure as necessary.
13. Appoint eligible committee members to subcommittees.
14. Appoint nonvoting ad hoc members to the committee as necessary.
15. Appoint nonvoting ad hoc members to the subcommittees as necessary.
16. Appoint the subcommittee chairs.
17. Recommend to the Board of Directors that a member of the committee be replaced if the member is not fulfilling their duties.
18. Submit nominations for the position of committee chair to the Board of Directors.

19. Review requests for appeals of subcommittee decisions on loss of access to postseason competition to determine if the full committee should review the request. (*Revised: 01/12; effective: 01/12*)
20. Communicate with institutions subject to APP penalties or loss of access to postseason competition as needed.
21. Consider appeals of instances in which an institution's data review and/or APP waiver processes are incomplete as of June 1, and the institution must notify student-athletes of pending loss of access to postseason competition.

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

Selection of Committee Vice Chair

The Board of Directors may, at its discretion, select an individual to serve as vice chair of the Committee on Academics. Committee members are eligible for position of vice chair only if they are the chancellor or president of an active Division I institution.

Responsibilities of Committee Vice Chair

The committee vice chair's responsibilities include:

1. Lead full committee and Administrative Committee meetings and teleconferences in the absence of the committee chair.
2. Support the committee chair in executing the duties and responsibilities of the Committee on Academics.
3. Perform any other responsibilities of the committee chair as necessary or requested by the committee chair.

Reporting Lines

The Committee on Academics reports to the Board of Directors. The Board of Directors serves as the division's overall governing body with responsibility to oversee strategy, policy and legislation. As the division's primary academic authority, the committee shall determine when an academic policy warrants the board's direction and presidential leadership. The Board of Directors retains the ability to review any policy item acted upon or considered by the Committee on Academics.

Liaison to Council

The Committee on Academics must appoint a member to serve as a liaison to the Council as needed. The Committee on Academics Council liaison will not vote on Council proceedings but will act as a communication link between the two governance bodies. *(Revised: 06/15; effective: 06/15)*

Responsibilities of Liaison to Division I Council

The Committee on Academics liaison's responsibilities include:

1. Attend in-person Council meetings as needed when items impacting academics are to be reviewed.
2. Seek feedback from the Council regarding matters of importance that the committee is considering (e.g., future legislation under discussion).
3. Present committee-recommended legislation to the Council, explain the rationale and answer questions when such legislation is voted on by the Council.
4. Present Council reports to the committee.
5. When requested by the Council, provide committee input to the Council. *(Revised: 06/15; effective 06/15)*

NCAA Division I Legislative Committee Members

The Committee on Academics chair must select two committee members to serve on the Legislative Committee for the duration of the committee members' terms. The Legislative Committee reports directly to the Council. The Legislative Committee reviews and makes recommendations to the Council regarding the merits of proposals developed through the shared governance process (conferences and Council committees). The Legislative Committee also provides feedback to autonomy conferences regarding the impact of autonomy proposals on the entire Division I membership. *(Adopted 04/15.)*

Liaisons to Outside Groups

As the division's primary academic authority, the Committee on Academics may provide expertise to support the work of outside groups in the governance structure. These groups may include NCAA-sponsored committees, councils, cabinets or groups outside the NCAA

governance structure. The Committee on Academics chair shall assign committee members to serve as liaisons to outside groups as determined in conjunction with the outside group. Such appointments may require additional travel and participation in regular meetings of these groups. The selected liaison shall serve for the duration of the committee member's term, unless otherwise removed by the committee chair. *(Adopted 04/15.)*

Responsibilities of Liaisons to Outside Groups

The committee liaison to an outside group shall:

1. Attend in-person meetings or teleconferences of the outside group as necessary.
2. Provide the outside group with the committee position on issues that impact academics.
3. Present outside group reports to the full committee. *(Adopted 04/15)*

Selection of Ad Hoc Members

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

Organization of Committee on Academics

Organization

In order to administer the duties of the Committee on Academics, the committee will organize and assign responsibilities to the appropriate subcommittees of the committee.

Each committee member, excluding chancellors or presidents, will be appointed to one subcommittee on which the member will normally serve for the duration of their term on the committee.

Subcommittees

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

- NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics.
- NCAA Division I Committee on Academics Subcommittee on Data.
- NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals.

NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

The Subcommittee on Student-Athlete Academics consists of six members of the Committee on Academics and five nonvoting ad hoc members comprised of the chairs of the following reporting committees:

1. The Division I Initial-Eligibility Waivers Committee, The Division I Progress-Toward-Degree Waivers Committee Subcommittee on Progress-Toward-Degree Waivers.
2. The Division I Progress-Toward-Degree Waivers Committee Subcommittee on Two-Year College Transfer Waivers.
3. The High School Review Committee.
4. The Student Records Review Committee.
5. The International Student Records Committee.

The Subcommittee on Student-Athlete Academics will:

1. Study issues and make policy or legislative recommendations concerning academic matters that impact student-athletes.
2. Be responsible for review and consideration of the portions of the Division I legislation that relate to principles of sound academic requirements.
3. Recommend, manage and monitor academic eligibility standards and related policies (e.g., initial eligibility, two-year college transfers, progress-toward-degree and academic integrity).

4. Oversee administration of waivers as specified by legislation and/or policy.
5. Review and provide feedback on academically related legislative interpretations as requested.
6. Take final action on routine and noncontroversial matters of operational policy and procedures (e.g., reporting committee waiver directives).
7. Work with the Division II governance structure to ensure that consistent policies exist, when possible, while maintaining each division's philosophy and legislative intent.
8. Maintain relationships between the Association and the nation's two-year colleges as represented by established regional and national organizations.
9. Administer and oversee any other academic matters not otherwise specified, as directed by the Committee on Academics.

NCAA Division I Committee on Academics Subcommittee on Data

The Subcommittee on Data consists of six members of the Committee on Academics and will:

1. Study issues and develop policies related to APP data and the collection of APP data.
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policy items initially presented to the subcommittee to determine if any should be forwarded to the full committee for review and possible action as recommended by the subcommittee.
3. Interpret APP data legislation and policies.
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the NCAA Division I Academic Progress Rate Adjustment Directive).
5. Administer and oversee the collection and review of NCAA Division I Academic Progress Rate, Academic Performance Census, Graduation Success Rate and any other data/information necessary to administer the APP.
6. Oversee the annual publication of the APR and other data collection information for the Division I membership.

7. Review all requests for extensions of the APR, APC and GSR data collection filing deadlines and render appeal decisions in accordance with the directive and this manual.
8. Review all requests seeking use of an alternative definition of "recruited" and/or identification of student-athletes to be used for calculating a team's APR and/or GSR and render appeal decisions in accordance with the directive and this manual.
9. Determine penalties and notify those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline.
10. Administer and oversee all aspects of APR adjustments requests and appeals.
11. With the Subcommittee on Penalties and Appeals, 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.
12. Administer and oversee the review of APP data for selected institutions, including issuance of a final report that summarizes the findings of the review.
13. Review all requests for relief from APP penalties based on changes to prior year(s) APP data.
14. Administer and oversee all aspects of waiver requests of instances in which institution's data review and/or APP waiver processes are incomplete by June 1 and the institution must notify student-athletes of pending postseason ineligibility.
(Adopted: 10/13; effective: 10/13)
15. Resolve operational questions and establish operational procedures for the implementation of the NCAA Division I Academic- Based Revenue Distribution.
(Adopted 02/18)
16. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

The Subcommittee on Penalties and Appeals consists of five members of the Committee on Academics and will:

1. Study issues and develop policies related to APP penalties and appeals and the application of APP penalties and access to postseason competition.
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policies and determine if any should be forwarded to the full committee for review and/or possible action.
3. Interpret APP penalties and appeals legislation and policies including access to postseason competition and waiver requests.
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee all aspects of APP waiver requests and appeals processes, including requests to waive loss of access to postseason competition and requests to waive Level-One and Level-Two APP penalties.
6. With the Subcommittee on Data, 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.
7. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Subcommittee Appointments

The Committee on Academics chair will make appointments as needed to fill subcommittee vacancies.

Selection of Subcommittee Chairs

Each of the Committee on Academics' three subcommittees must have a chair.

Subcommittee chairs normally serve as chair for the remainder of their respective committee terms. Subcommittee chairs are to 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 confirms the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the Committee on Academics chair.
4. The Committee on Academics chair selects the subcommittee chair.

Responsibilities of Subcommittee Chair – General

The subcommittee chair will:

1. Oversee development of subcommittee agendas.
2. Lead subcommittee teleconferences and meetings.
3. Welcome and assist in transition and training of new subcommittee members.
4. When requested, review appeal cases forwarded from staff to determine if the subcommittee should consider the appeal.
5. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of the subcommittee be replaced if such member is not fulfilling their duties.
6. Present subcommittee reports during full Committee on Academics meetings.
7. Participate as members of the Committee on Academics Administrative Committee.
8. Recommend selection of new subcommittee chair.
9. Hear and decide any requests for extensions of the timeline for loss of access to postseason competition and Level-One and -Two penalty waiver appeal requests.
10. Perform and oversee any other matters as necessary to execute specific subcommittee duties and responsibilities.

NCAA Division I Committee on Academics Administrative Committee

The Committee on Academics Administrative Committee (Ad Com) consists of each subcommittee chair, the Committee on Academics chair (who also serves as chair of the Administrative Committee), the Committee on Academics 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; effective 10/08*)

The Administrative Committee is authorized to:

1. Act for the Committee on Academics on routine and noncontroversial matters between in-person committee meetings.
2. Act for the Committee on Academics on matters of an emergency nature.
3. Organize meeting agendas after submission of agenda items by committee members.
4. Interpret APP legislation and academic policies.
5. Revise, as needed, the established operating manual of the Committee on Academics.
6. Approve participation of nonvoting ad hoc members, as needed.

The full Committee on Academics will receive all Administrative Committee minutes.

Operations

Agenda Development

1. The Committee on Academics chair has final authority to determine the committee agenda. The chair will 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 must 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 will work directly with the chair where appropriate to facilitate review of conference, institutional or external organizational matters.
3. The committee will receive and review all subcommittee reports. All subcommittee actions, except where otherwise indicated by policy (e.g., appeals), are subject to review by the full committee.

Absences

The Committee on Academics 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.

Meeting Frequency

The Committee on Academics will conduct four meetings annually. The meetings will typically be scheduled in advance of the Board of Directors' meetings (e.g., February, May, June/July and October). There will usually be two in-person meetings and two videoconference meetings each year.

Meeting Administration

The Committee on Academics chair leads all full committee meetings and/or videoconferences. In the event the committee chair is absent or otherwise unable to lead a committee meeting or videoconference, the vice chair has the authority to lead the meeting or videoconference. In the event both the committee chair and vice chair are absent or unable to lead a meeting or videoconference, another member of the committee may be selected to lead the meeting by a majority vote of all members of the committee present.

Meeting Participation by Non-committee on Academics Members

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

Processing Subcommittee Recommendations

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

1. Each subcommittee shall provide a written report from each meeting to the full committee. These reports must include any requests for full committee action recommended by the subcommittee.
2. Any legislative change recommended by a subcommittee must 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 a subcommittee for additional discussion.

Noncontroversial Policies and Procedures – Subcommittee Authority

Each subcommittee has the authority to act on routine and noncontroversial matters of policy and procedure. As the division's primary academic authority, the Committee on Academics retains the authority to review action taken by a subcommittee on routine and noncontroversial matters of policy and procedure.

Voting Procedures

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

Adopting/Revising and Publishing Policies and Procedures – General

The Committee on Academics has the authority to adopt or revise policies and procedures as contained in this document annually, or as needed. The Board of Directors, at its discretion, may review, amend and/or act on any policy adopted by the Committee on Academics.

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 NCAA Board of Governors 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 Board of Governors 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.

Ex Parte Communication

In order to maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee for review, each committee member must not discuss the issue with non-committee members (e.g., the public or the membership) before discussion by the committee.

Conflicts of Interest

A member of the Committee on Academics must 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 will 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 they are personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A Committee on Academics 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 themselves 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 Academics member to remove themselves if a conflict exists. Institutional objections to a Committee on Academics 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 before the committee's review. Participation by a committee member in previous APP matters involving the institution or regarding 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.

If the committee chair or a subcommittee chair must recuse themselves, 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, if 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 before the hearing. If the acting chair finds that no conflict exists, then the chair may resume their role. (*Revised: 12/08; effective: 12/08*)

Academic-Based Revenue Distribution

In October 2016, the Board of Directors and the NCAA Board of Governors approved an initiative to distribute a portion of Division I revenue to member institutions based on student-athlete academic achievement. The distribution, which is funded through the NCAA's multimedia rights contract with CBS/Turner, began with the 2019-20 academic year.

To earn an academic unit, an institution must meet one of the academic unit criteria:

1. An aggregate single-year APR from the previous year equal to or greater than 985.
2. An aggregate GSR from the most recently available year equal to or greater than 90 percent.

3. A student-athlete Federal Graduation Rate that is at least 13 percentage points greater than the student body rate based on the most recently published data.

The most recently reported and publicly released academic data will be used to determine if an institution meets the criteria for the academic unit. If no data was included in the most recent release, then that criterion cannot be considered in determining eligibility for the academic unit. The first distributions will be made in spring 2020, and funds will be sent to the conference offices by June 30 each year. Mock reports will be available annually beginning spring 2018 through the Academic Portal to give member institutions a better understanding of the academic criteria and provide adequate time to plan to meet the standards.

Educational materials regarding the Academic-Based Revenue Distribution or academic unit can be found at <https://www.ncaa.org/academic-based-revenue-distribution>. See Appendix A of this chapter for frequently asked questions about the Academic-Based Revenue Distribution.

Former Student-Athlete Degree Completion Assistance



Student-Athlete Degree Completion Assistance

In August 2018, the Board adopted legislation which specified that as a condition and obligation of membership, an institution that provides athletically related financial aid to basketball student-athletes must provide at a minimum tuition, fees, and course-related books to former men's and women's basketball players who request financial aid to complete their first baccalaureate degree. Schools were required to provide funding for these former men's and women's basketball student-athletes beginning in Fall 2019.

Criteria:

- Participated in the sports of men's or women's basketball.
- Received athletics aid.
- Previously enrolled for at least two years.
- Met NCAA progress toward degree requirements when student departed campus.
- Has not attended another institution full-time since departure.
- Meet institution's re-admission and financial aid requirements.

- Departed institution within 10 years.
- Exhausted other degree completion funding options (e.g., NBA Tuition Reimbursement).

Former Student-Athlete Degree Achievement Program

The Board established a fund for limited resource institutions to provide degree completion expenses. Schools defined as Limited Resource Institutions (LRI) within the past five years are eligible for funding. Schools are notified annually if they are classified as an LRI. For former student-athletes from schools eligible for the Former Student-Athlete Degree Achievement Program, there are two application periods each year.

Application Process

- Applications can be accessed through the Program Hub.
- Schools are required to nominate eligible former student-athletes.
- Former student-athlete required to submit completed application by published deadline.
- Application periods for funding.
 - For Fall Applicants: April 1 – June 15.
 - For Spring/Summer Applicants: August 1 – October 15.

Data Collection

During the annual submission of APP data, institutions are required to provide academic data for the former men's and women's basketball student-athletes who were provided athletically related financial aid pursuant to the requirements of Bylaw 15.01.5.2.1 (Degree Completion Program – basketball).

APPENDIX 1A**NCAA Division I Academic-Based Revenue Distribution
Question and Answer Document****Background**

Question No. 1: Who created the academic unit distribution?

Answer: The academic unit distribution was approved by the NCAA Division I Board of Directors and helps ensure that the NCAA Division I revenue distribution plan reflects and enhances the division's overarching values and commitment, including those related to sound academic standards and student-athlete academic achievement.

The Board also approved several simplifications to the distribution that provides transparency in the methodology. A working group comprised of 13 members, including presidents, faculty, directors of athletics, a conference member and a student-athlete made the recommendation to the Board. Additionally, the working group reflected the diversity of mission and resource level within the Division I membership.

Question No. 2: Why did the Values-Based Revenue Distribution Working Group propose the new academic unit distribution?

Answer: The current revenue distribution plan provides revenue for academic uses but allocates no money based on academic measures. The working group responded to the Board's charge by recommending the proposed academic unit, which better aligns the division's distribution plan with core values.

Question No. 3: Does academic unit distribution take money away from existing allocations?

Answer: No. The academic units are based only on a portion of the annual increases in future years of the NCAA's media rights agreement. Only the increases in the contract apply here, not the base allocations.

Question No. 4: What is the impact of the academic unit on the overall Division I distributions?

Answer: The academic unit will increase the percentage of the overall revenue distribution that is based on academic achievement from 8.3 percent of

the overall distribution in the 2015-16 academic year to approximately 21.5 percent of the overall distribution in the 2031-32 academic year.

The Metrics

Question No. 1: How do institutions qualify for the academic unit distribution?

Answer: Institutions qualify by meeting one of the following criteria from the preceding academic year:

- a. Institution's NCAA Division I Academic Progress Rate for the previous year is equal to or greater than 985 (using the average of the single-year rates for all teams);
- b. Institution's Graduation Success Rate for the most recently available year is equal to or greater than 90 percent (using the average of the single-year rates for all teams) or
- c. Difference between the institution's student-athlete and student-body rates for the most recently published Federal Graduation Rate is greater than or equal to 13 percentage points.

Question No. 2: Does the academic unit distribution use single-year metrics or multiyear rates for the APR and graduation rates?

Answer: Single-year metrics are used, which give institutions a clean slate every year in their effort to qualify for the funds and provide opportunities for more institutions to qualify for the distribution. Using a multiyear rate has the potential to anchor schools to one bad year throughout a four-year period, which minimizes opportunities and incentives to increase academic success.

Question No. 3: Are all sports weighted equally in the metrics?

Answer: For the APR criteria, all teams are weighted equally. For the GSR/Federal Graduate Rate criteria, the calculation is an institutional rate.

Question No. 4: Is there a waiver process for an institution that does not earn an academic unit in a given year?

Answer: No. There is no waiver process for an institution that does not meet one of the academic metrics. A school has a new opportunity the next year to earn the funds based on the criteria.

Question No. 5: The academic unit distribution appears to "reallocate wealth" to schools and conferences with fewer resources. In other words, this academic fund in aggregate likely benefits nonautonomy schools at the expense of the autonomy schools. Is this correct?

Answer: Yes, though that was not the intent of this change. In any given year, based on academic variables, the number of schools in a conference that earn an academic unit will vary. However, in aggregate it is anticipated that the five autonomy conferences will receive less money than they would if these media rights increases were funneled into existing NCAA revenue distribution funds. The current large buckets of revenue distribution (i.e., men's basketball, grants-in-aid, sports sponsorship) result in significant funds going to the five autonomy conferences. It is anticipated that this academic distribution would result in a more balanced distribution among conferences. Thus, the overall impact is a positive in aggregate for the 27 nonautonomy conferences. It should be noted, however, that this assessment is based on current academic data and behaviors. If that behavior changes, the characteristics of the rewarded schools may change.

Question No. 6: Won't the same schools earn academic units year after year?

Answer: The working group tested the distribution and its qualification standards by reviewing the last five years of academic outcomes and found that 90 percent of all Division I members qualified for the distribution in at least one of those years. As such, while the distribution as modeled resulted in about two-thirds of institutions qualifying annually, an even broader group will benefit over time as academic behavior changes.

Question No. 7: Will the metrics change each year?

Answer: No. The metrics were established by the Board and on the recommendation of the working group. The working group sought to capture the top quartile of institutions through each of its established metrics for qualification; however, additional institutions may qualify each year. The Board charged the NCAA Division I Committee on Academics with monitoring the metrics and benchmarks going forward and reporting to the Board.

Question No. 8: Which data will be used to determine if institutions meet the academic unit?

Answer: The most recently reported and released academic rates will be used to determine if an institution meets the academic unit.

Example: 2023 Distribution

- APR Information: 2021-22 APR data reported in fall 2022 and released publicly in spring 2023.
- GSR/Federal Graduation Rate Information: 2015-16 data reported in June 2022 and released publicly in fall 2022.

Question No. 9: Will the rates be rounded up/down?

Answer: The academic rates will be rounded to the nearest hundredth.

Example: 984.49 will be rounded to 985 and the institution would meet the unit.

Question No. 10: Will indoor and outdoor track and field be counted as one sport or two sports in the eligibility calculation for the academic unit?

Answer: They will be counted as one sport, which is consistent with how they are currently treated for general APR and GSR calculations.

Question No. 11: Will a sport that is not sponsored by the institution's primary conference be included in the institution's eligibility calculation for the academic unit?

Answer: All sports, regardless of conference affiliation, sponsored by the institution will be included in the eligibility calculation.

Question No. 12: Will a team's single year APR that has been adjusted due to the squad-size adjustment be used in the institution's eligibility calculation for the academic unit?

Answer: The team's raw APR score for the single year will be used. The squad-size adjustment is currently used during APP penalty determinations and is not used to identify teams for the top ten public recognition.

Question No. 13: Will a team that does not meet sports-sponsorship requirements in NCAA Bylaw 20 be used in the institution's eligibility calculation for the academic unit?

Answer: Only teams that meet the sports-sponsorship requirements will be used.

Question No. 14: How is a team treated that meets sports-sponsorship requirements but has no student-athletes in the cohort (e.g., no student-athletes on athletics aid)?

Answer: Such teams will not be included in an institution's eligibility calculation for the academic unit.

Timing and Reports

Question No. 1: When will distributions begin?

Answer: The first distributions will be made in spring 2020 and funds will be sent to conference offices by June 30 each year.

Question No. 2: Will there be a published report of all institutions that earn an academic unit?

Answer: No. There will not be any NCAA aggregate publishing of which institutions earned an academic unit.

Question No. 3: When will institutions know if they have met one of the three benchmarks to qualify for the distribution?

Answer: Data regarding an institution's Federal Graduation Rates and GSR will be made available in October of each year. Data regarding an institution's APR will be made available in May of each year. Therefore, if an institution qualifies for the distribution based on one of the metrics specific to the Federal Graduate Rates or GSR, they will know if they have met the benchmark in October of each year. If an institution qualifies for the distribution based on the metric specific to the APR, the institution will know if they have met the benchmark in May of each year. However, institutions will not know the specific amount of each distribution until after May, given the distribution amount per institution depends on the total number of institutions that qualify for the distribution.

Distribution and Reporting Requirements

Question No. 1: How much money will recipients of the academic unit receive?

Answer: As previously indicated, the money to fund the new academic unit comes from a portion of the NCAA's annual increases to its media rights agreement. The total amount of money for the distribution is finite;

however, the amount received by each institution that qualifies for the distribution will change depending on the total number of institutions that qualify. If more institutions qualify for the academic unit distribution, the amount per distribution unit will decrease. Likewise, if fewer institutions qualify for the academic unit distribution, the amount per distribution unit will increase.

Question No. 2: Are recipients of an academic unit required to use the funds specifically for academic initiatives?

Answer: No. The academic units are "unrestricted funds," like the men's basketball units. Institutions/conferences may use funds from their academic distribution in the manner they deem most appropriate.

Question No. 3: Do institutions that qualify for an academic unit receive funds directly from the NCAA?

Answer: No. The academic units are distributed to conferences. Conferences are free to distribute the funds in accordance with their distribution policies. Some conferences may elect to flow these funds directly to the schools that earned the academic unit, while other conferences might revenue-share the revenue from all the academic units earned in a given year. Each conference can determine how to disburse these funds to its members.

Question No. 4: If an institution moves conferences, which conference will receive the funds from the academic unit if the institution was eligible for funds?

Answer: The funds will be distributed to the conference the institution is a member of at the time of the distribution.

Question No. 5: At what point does an institution no longer qualify for the academic unit if it is transitioning from Division I?

Answer: Only active Division I members are eligible for the academic unit. An institution is no longer eligible for the distribution once it officially begins year one of the process of reclassifying to Division II or Division III.

Question No. 6: Is an institution in restricted membership status eligible to receive academic unit funding?

Answer: No, an institution in restricted membership status is no longer eligible to receive any revenue distributions. However, it is eligible to receive

revenue distributions during the one-year probationary membership year.

Question No. 7: Where can I find more information and assistance?

Answer: Please visit <https://www.ncaa.org/academic-based-revenue-distribution> for updated information and resources or contact any of the following team members:

Katie Ethridge (kethridge@ncaa.org)

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NCAA Division I
Committee on Academics
Policies and Procedures
2023-24

Chapter 2

Organization of the NCAA Division I Committee on Academics Operating Manual

The Committee on Academics Policies and Procedures document outlines the operations and authority of the Committee and the three reporting subcommittees.

CHAPTER 1: NCAA Division I Committee on Academics

- Policies and procedures applicable to full committee administration.
- Applicable NCAA Division I Academic Performance Program legislation, standards and policies related to the academic-values-based revenue distribution.

CHAPTER 2: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

- Policies and procedures applicable to subcommittee's administration.
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CHAPTER 3: NCAA Division I Committee on Academics Subcommittee on Data

- Policies and procedures applicable to subcommittee's administration.
- Appendices (e.g., waiver directives, FAQs, factual examples).

CHAPTER 4: NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

- Policies and procedures applicable to subcommittee's administration.
- Appendices (e.g., FAQs, factual examples, waiver directives).

Color Codes:

Portions of the Manual highlighted in the following colors indicate:

Grey = Changes or revisions via NCAA Division I Proposal 2015-2 or policy recommendations by the Committee on Academics.

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NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

Purpose

The NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics is one of three standing subcommittees that reports directly to and helps facilitate the work of the Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Data and the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals.

The purpose of the Subcommittee on Student-Athlete Academics is to study issues and make policy or legislative recommendations concerning academic matters, unrelated to the APP. Specifically, the subcommittee is responsible for review and operational oversight of the portions of the NCAA Division I legislation that relates to academic eligibility standards. In this capacity, the subcommittee oversees the administration of waivers as specified by legislation and/or policy (e.g., progress toward degree, initial eligibility, two-year college transfers) and provides feedback on academically related legislative interpretations as requested.

Duties and Responsibilities

The Subcommittee on Student-Athlete Academics will:

1. Study issues and make policy or legislative recommendations concerning academic matters that impact student-athletes;
2. Be responsible for review and consideration of the portions of the Division I legislation that relate to principles of sound academic requirements;
3. Recommend, manage and monitor academic eligibility standards and related policies (e.g., initial eligibility, two-year college transfers, progress toward degree, academic integrity);

(See Appendix 2A for best practices related to monitoring and preventing academic integrity issues).

4. Oversee administration of waivers as specified by legislation and/or policy;

5. Review and provide feedback on academically related legislative interpretations as requested;
6. Take final action on routine and noncontroversial matters of operational policy and procedures (e.g., reporting committee waiver directives);
7. Work with the NCAA Division II governance structure to ensure that consistent policies exist, when possible, while maintaining each division's philosophy and legislative intent;
8. Maintain relationships between the NCAA and the nation's two-year colleges as represented by established regional and national organizations; and
9. Administer and oversee any other academic matters not otherwise specified, as directed by the Committee on Academics.

Composition

The Subcommittee on Student-Athlete Academics consists of at least five members of the Committee on Academics. The chairs of the reporting committees (Division I Initial-Eligibility Waivers Committee, Division I Progress-Toward-Degree Waivers Committee Subcommittee on Progress-Toward-Degree Waivers, Division I Progress-Toward-Degree Waivers Committee Subcommittee on Two-Year College Transfer Waivers, High School Review Committee, Student Records Review Committee and International Student Records Committee) do not serve as members of the Subcommittee on Student-Athlete Academics. However, the chair of the Subcommittee on Student-Athlete Academics may invite the chairs of the reporting committees to join specific meetings or teleconferences when their expertise as the committee/subcommittee chair is needed.

Selection of Subcommittee Chair

Each of the committee's subcommittees must have a chair. Subcommittee chairs normally 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 of the subcommittee for the position.

2. The current subcommittee chair or the NCAA staff confirms the interest and willingness of each nominee to serve as chair.
3. Names of the nominees and a recommendation of the outgoing chair are provided to the Committee on Academics chair.
4. The Committee on Academics chair selects the subcommittee chair.

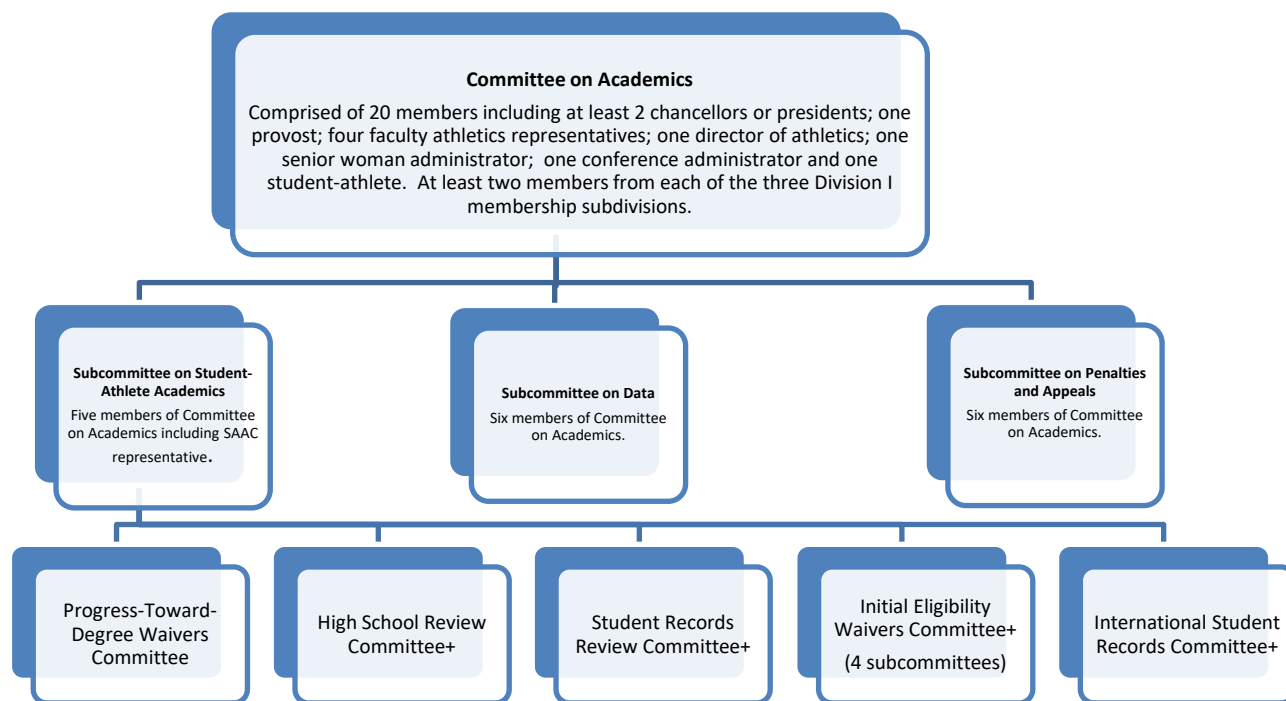
Responsibilities of Subcommittee Chair

1. Oversee development of subcommittee agendas;
2. Lead subcommittee videoconferences and meetings;
3. Welcome and assist in transition and training of new subcommittee members;
4. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a member of the subcommittee be replaced if such member is not fulfilling their duties;
5. Present subcommittee reports during meetings of the Committee on Academics;
6. Participate as a member of the NCAA Division I Committee on Academics Administrative Committee; and
7. Recommend selection of new subcommittee chair;
8. Perform and oversee any other matters as necessary to execute specific subcommittee duties and responsibilities.

Reporting Lines

The Subcommittee on Student-Athlete Academics reports to the Committee on Academics. As the division's primary academic authority, the Committee on Academics retains the authority to review action taken by the Subcommittee on Student-Athlete Academics on routine and noncontroversial matters of policy and procedure.

NCAA Academic Governance Structure



+ Operations managed by the NCAA Eligibility Center

Absences

The Subcommittee on Student-Athlete Academics generally conducts in-person meetings and videoconferences. Alternates may not be appointed to attend a meeting or videoconference in the absence of a subcommittee member. Nonvoting ad hoc members need only attend in-person meetings or teleconferences when an agenda issue pertains to the ad hoc member's respective reporting committee. Subcommittee members who are not in attendance at two consecutive meetings or teleconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedure

The method of voting on issues considered by the subcommittee shall be verbal if the vote is conducted via videoconference or by show of hands if the vote is conducted in person. The vote is taken of the subcommittee members present, except for actions taken by unanimous or obvious consent. Subcommittee members must be present to vote, and a simple majority of members present, and voting will prevail.

Processing Reporting Committee Recommendations

The Subcommittee on Student-Athlete Academics follows these policies in processing recommendations from the five committees that report to it.

1. The five committees shall provide a written report from their respective meetings to the full subcommittee before a subcommittee meeting or videoconference. These reports shall include any recommendations for which a reporting committee requests full subcommittee action.
2. Any change to a Division I bylaw that is recommended by a reporting committee shall be presented to the full subcommittee for discussion and action. If endorsed by the subcommittee, the recommendations will be forwarded to the Committee on Academics for review and action.
3. The subcommittee may elect to alter a recommendation from a reporting committee, requiring a vote of the full subcommittee.

4. If further deliberations are required, the subcommittee may table the recommendation or refer it back to the particular reporting committee for additional discussion.
5. All subcommittee actions, except where otherwise indicated by policy, are subject to review of the Committee on Academics.

Forwarding Subcommittee Recommendations

Subcommittees that report to the Committee on Academics follow these policies in forwarding recommendations to the full committee:

1. Each subcommittee shall determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (*see Noncontroversial Policies and Procedures – Guidelines*).
2. Each subcommittee shall provide a written report from each of its meetings and teleconference to the full committee. These reports shall include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee shall be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
5. If further deliberations are required, the committee may table the recommendation or refer it back to a subcommittee for additional discussion.

Noncontroversial Policies and Procedures – Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy and procedure is routine or noncontroversial:

1. A subcommittee policy or procedure may be considered noncontroversial if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way.
 - b. Significant disagreement or alternative points of view will not be generated.
 - c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.
2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

Speaking Agent

The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the NCAA Board of Governors 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 when the individual has been designated by the Board of Governors 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 Board of Governors or the president of the Association. For purposes of this policy, committees include all NCAA committees, cabinets, 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."

Subcommittee members are expected to adhere to this policy.

Conflict of Interest Policy

A subcommittee member shall not participate in the subcommittee'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 subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which they are personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused themselves 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 subcommittee member to remove themselves if a conflict exists. Institutional objections to a subcommittee member participating in a waiver appeal 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 before the subcommittee's review. Participation by a subcommittee member in previous APP matters involving the institution or regarding 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 subcommittee member's participation in subcommittee-related activities.

If the subcommittee chair must recuse themselves or is unable to participate in subcommittee business, the remaining members must vote, by simple majority, to determine who will serve as "acting chair." In addition, if 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 before the hearing. If the acting chair finds that no conflict exists, then the chair may resume the role. (*Revised: 12/08; effective: 12/08.*)

Committee Substructure

Policies for Committees that Report to the Subcommittee on Student-Athlete Academics

Committee	Composition	Duties
NCAA Division I Initial-Eligibility Waivers Committee	The committee shall consist of 20 members appointed by the NCAA Division I Council.	Oversee the process for reviewing requests for waivers of the initial-eligibility requirements and consider appeals of staff decisions related to initial-eligibility waiver requests.
NCAA Division I Progress-Toward-Degree Waivers Committee	The committee shall consist of 14 members, which includes two subcommittees of seven appointed by the NCAA Division I Council. One subcommittee will review progress-toward-degree waivers and the other two-year college waivers.	Oversee the process for reviewing requests for waivers of progress-toward-degree and two-year college transfer requirements and consider appeals of staff decisions related to waiver requests for which the committee has jurisdiction.
NCAA International Student Records Committee	The committee shall consist of six members including two Division I representatives, two Division II representatives and two representatives who may be from either Division I or Division II.	Assist in reviewing initial-eligibility standards for international students.

Committee	Composition	Duties
NCAA Student Records Review Committee	<p>The committee shall consist of nine members and shall be constituted as follows:</p> <ol style="list-style-type: none"> 1. One admissions officer of a Division I or Division II institution; 2. One staff member of a Division I or Division II institution or conference office; 3. One representative from Division I; 4. One representative from the NCAA Division II Academic Requirements Committee; 5. Four representatives from the secondary-school community; and 6. One member selected at large from either the secondary-school community or a Division I or II institution or conference office. 	<p>Establish policies and procedures related to the review of a prospective student-athlete's academic credentials and to determine the validity of a prospective student-athlete's credentials for meeting initial-eligibility requirements.</p>
NCAA High School Review Committee	<p>The committee shall consist of nine members and shall be constituted as follows:</p> <ol style="list-style-type: none"> 1. One admissions officer of a Division I or Division II institution; 2. One staff member of a Division I or Division II institution or conference office; 3. One representative from Division I; 4. One representative from the Academic Requirements Committee; 5. Four representatives from the secondary-school community; and 6. One member selected at large from either the secondary-school community or a Division I or II institution or conference office. 	<p>Establish policies and procedures related to the academic review of high schools and to determine the validity of a high school (e.g., core courses, curriculum, grades) for meeting initial-eligibility requirements.</p>

APPENDIX 2A**NCAA Division I Committee on Academics
Suggested Review Standards for
Monitoring and Preventing Academic
Integrity Issues****Introduction.**

This document provides a suggested operational framework, including involvement by stakeholders, use of data and key areas of review in efforts to monitor and prevent serious academic integrity issues. The NCAA Division I Committee on Academics recommends "Best Practices for Promoting and Maintaining a Culture of Student-Athlete Success, Accountability and Academic Integrity" as a companion piece. That document was created by the National Association of Academic and Student-Athlete Development Professionals, a professional association with subject matter expertise in academic support and advising of student-athletes. [Attachment]

Suggested Institutional Stakeholders.

All or a combination of the following institutional stakeholders, as determined by the needs of the institution, should be involved in the data collection and analysis of the suggested review standards:

1. Faculty and the NCAA faculty athletics representative.
2. Academic support unit for student-athletes.
3. Athletics compliance.
4. Enrollment management (e.g., registrar, admissions).
5. Institutional research.
6. Academic administrators (e.g., provost, academic deans).
7. Office of student conduct.
8. Information technology.

Suggested Review Standards.

An institutional standing committee, comprising identified stakeholders, should consider the following areas of analysis and data for an annual review, monitoring and potential report to the institution's administration:

Comparison Between Student Data and Student-Athlete Data.

1. Major/degree selection data. Course grade and enrollment distribution data.
2. Policies and/or data regarding grade changes, including recertification due to grade change procedures.
3. Policies and/or data for nontraditional courses (e.g., independent study, online courses) and use of internships.
4. Policies and/or data for course schedule accommodations, including adds/drops outside published deadlines and waivers of prerequisites and extra credit accommodations.
5. Policies and/or data for credit accepted from other institutions (nontraditional, part time).

Compliance/Academic Support Policies and Procedures (Student-Athlete Specific).

1. Existing academic support policies and procedures, including control of passwords, tutoring and mentoring policies and education, and training of staff working with student-athletes in an academic capacity.
2. Policies and/or approach to athletics department staff members' and boosters' communication with academic authorities on campus (e.g., admissions, faculty) and with other institutions regarding a prospective student-athlete or student-athlete's academic matters.
3. Proctoring and testing procedures and/or approach for online assignments and exams taken in athletics facilities or while traveling for athletics purposes (e.g., away competition).
4. Policies and/or approach to the evaluation and validity of a prospective student-athlete's academic record (e.g., who is authorized to work with a prospective student-athlete's academic record; who has the authority to communicate with another institution regarding prospective student-athletes' academic matters; procedures for addressing a discrepancy in a prospective student-athlete's academic record).



Best Practices for Promoting and Maintaining a Culture of Student-Athlete Success, Accountability, and Academic Integrity

It is the expectation of the N4A that student-athletes will make academic progress in a manner consistent with other students in accordance with institutional academic codes of conduct. Ideally, student-athletes should engage in academic pursuits based upon their personal passions and career interests and compete with character in the classroom. This document has been developed to provide a template so that individual institutions may create policies and practices that fit their unique needs, yet adhere to the core values of student engagement, personal development, academic rigor, and integrity. The policies and practices herein are not a prescriptive list of specific instructions; rather, they are meant to serve as structural support for this philosophical foundation, and take into account wide arrays of resource allocation and institutional differences. When building policies from the base provided, institutions should take great care to include representatives from their campus communities and align with existing policies that may already exist. While various constituent groups (coaches, faculty, athletics personnel, etc.) are mentioned throughout the document, more than any other group, student-athletes themselves must be educated and trained to understand, accept, and value a culture of independent learning that places a premium on their well-being and holistic development.

NON-TRADITIONAL COURSES

The recent proliferation of nontraditional courses has created an additional complexity for academic support units for student-athletes in monitoring these courses. The N4A recommends each campus create a broad-based campus committee (including athletics and non-athletics department personnel) to define non-traditional courses on their campus, identify existing, campus-wide policies and procedures regarding non-traditional courses and wherever possible, align with these campus policies and procedures. Issues of concern for committees to address include, but are not limited to:

- enrollment guidelines and restrictions for student-athletes
- academic support strategies for non-traditional courses (i.e., tutorial)
- proctoring of online exams and assignments
- access/completion of online assignments and exams in athletic facilities
- restrictions on non-academic athletics department personnel (i.e., coaches, operations staff, etc.)
- evaluation of academic outcomes for student-athletes in non-traditional courses as compared to overall student body
- education and training for students and staff
- syllabus collection
- annual reporting structures
- off-campus testing procedures
- general security standards
- educate staff in recognizing questionable activities and how to report/document violations

ACADEMIC SUPPORT CENTERS / COMPUTER LABS

As academic support programs have developed, so have the growth of academic support centers. While not all centers are stand-alone facilities, the N4A defines any location where student-athletes are assigned to complete study hall/tutorial assignments as an area the following practices should be considered. Though not an exhausted list, the N4A recommends each campus consider the following practices for oversight of academic support centers:

- clearly defined schedule for supervision of the facility/center
- clearly defined restrictions regarding non-academic athletics department personnel
- clearly defined parameters regarding individuals and activities in each space
- education and training for students and staff to include reporting of questionable activities
- regular evaluation for all personnel engaged in providing academic support (e.g., advising, tutoring, mentoring)
- policy regarding services available to former student-athletes
- documented policies and procedures to report any violation of institutional or NCAA policy
- safety issue should be addressed when academic centers are open late at night (i.e., locked doors, student-athletes unable to leave the academic center alone after a specific time, etc.)
- a clear plan of action of any emergencies or harmful situations should be established

ACADEMIC SUPPORT PERSONNEL

Regardless of title or employment status, personnel hired specifically to provide academic support services to student-athletes (i.e., tutors, mentors, learning specialists) must take great care to foster a student-driven environment with clearly defined expectations and limitations. These employees must be committed to the highest levels of academic integrity, and have a strong conviction to uphold the mission of the institution. Though not an exhaustive list, the N4A recommends each campus consider the following practices related to personnel hired specifically to provide academic assistance to student-athletes:

- required participation in comprehensive training program
- policy to encourage and clearly outline reporting of suspicious or questionable activity
- personnel records with documentation of any previous issues, warnings, and/or violations of institutional policy
- monitoring and supervision of adherence to all policies
- well-established hiring policies and practices
- policy related to non-work related communication with student-athletes, staff, and coaches (i.e., social media communication)
- ongoing training and evaluation of personnel
- policies regarding access to online student records and accounts
- required exit interviews of all personnel
- policies outlining tutorial relationships based on relevant factors (e.g., prior relationships with student-athletes, sport)
- communication with University staff about changes/trends in University code of conduct policy

CAMPUS COMMUNICATION

The campus community including faculty, staff, and students are critically important in fostering and promoting an environment of academic integrity. Given the complexities surrounding a student-athlete's collegiate experience, the N4A recommends each campus consider the following practices regarding communication with campus constituents:

- clearly defined role and responsibility of the Faculty Athletics Representative (FAR) communicated broadly to campus
- communicate expectation that student-athletes not be granted special treatment from faculty because of their participation in intercollegiate athletics
- policy developed regarding appropriate communication between faculty and athletics personnel (e.g., faculty and coaches, staff and coaches, admissions personnel)
- documentation practices to define on-campus recruiting rules and restrictions
- Support campus policy for proper identification and communication of academic misconduct and educate coaches and athletics department personnel
- communicate with faculty of nontraditional courses to determine what they consider appropriate academic support (i.e. tutorial) for their assignments

ACADEMIC ADVISING / COUNSELING

Student-athletes must be encouraged to explore and actively seek their own individual academic interests. Policies and practices should reflect this philosophy so that with regard to course enrollment and major selection, their experience as a group is indistinguishable from that of the general student body on any given campus. The N4A recommends each campus develop policies and practices that encourage student-athletes to actively engage in the process of course and major selection, and to consider the following practices related to specific course enrollment and matriculation of majors:

- ongoing collaboration with campus units to educate student-athletes on major and course options, and other academic opportunities
- review by semester the student-athlete course enrollment compared to overall campus student enrollment
- annual review of distribution of student-athletes across majors on campus
- documented procedures for academic advising of student-athletes
- ongoing education for academic support staff in academic programs on campus
- efforts to facilitate communication between academic support personnel and campus advisors
- efforts to connect student-athletes with major and college advisors regularly
- outreach efforts with campus career services and student-athlete development office to connect major selection with career objectives and job placement
- active involvement of student-athletes in all academic advising conversations

SUMMARY

The National Association of Academic and Student-Athlete Development Professionals (N4A) is a group of professionals committed to the holistic development of the collegiate student-athlete with an emphasis on academic opportunity, development, and success. Understanding the complexities of the student-athlete experience and the pressures associated with the drive for athletic achievement, the core of our work is the empowerment of the student-athlete throughout the matriculation process and making an effective transition to life beyond intercollegiate athletics. Central to this mission is an unyielding commitment to academic integrity. As academic and student-athlete development professionals we are committed to helping create and uphold a culture of integrity that emphasizes student-athlete engagement and academic rigor. At every turn, student-athletes should be given opportunities to make choices that challenge themselves and increase their odds of being successful after graduation and away from their field of competition.

ADDITIONAL N4A SERVICES

For further information on N4A institutional services please visit the N4A website at: www.nfoura.org

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NCAA Division I Committee on Academics Policies and Procedures 2023-24

Chapter 3

Organization of the NCAA Division I Committee on Academics Policies and Procedures

The Committee on Academics Policies and Procedures document outlines the operations and authority of the committee and its three reporting subcommittees.

CHAPTER 1: NCAA Division I Committee on Academics

- Policies and procedures applicable to full Committee on Academics administration.
- Applicable NCAA Division I Academic Performance Program legislation, standards and policies related to the academic-values-based revenue distribution.

CHAPTER 2: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

- Policies and procedures applicable to Subcommittee on Student-Athlete Academics' administration.

CHAPTER 3: NCAA Division I Committee on Academics Subcommittee on Data

- Policies and procedures applicable to Subcommittee on Data's administration.
- Appendices (e.g., factual examples, FAQs, waiver directives).

CHAPTER 4: NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

- Policies and procedures applicable to Subcommittee on Penalties and Appeals' administration.
- Appendices (e.g., FAQs, factual examples, waiver directives).

Color Codes:

Portions of the Manual highlighted in the following colors indicate:

Grey = Changes or revisions via NCAA Division I Proposal 2014-2 or policy recommendations by the Committee on Academics.

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NCAA Division I Committee on Academics Subcommittee on Data

Purpose

The NCAA Division I Committee on Academics Subcommittee on Data is one of three standing subcommittees that report directly to and help facilitate the work of the NCAA Division I Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals and the NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics.

The Subcommittee on Data's purpose is to administer specific aspects of the NCAA Division I Academic Performance Program on behalf of the NCAA Division I membership and the Committee on Academics. The central purpose of the APP is to ensure that the 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. (*Revised: 10/11. Effective: 10/11*)

Duties and Responsibilities

The Subcommittee on Data will:

1. Study issues and develop policies related to APP data and the collection of APP data;
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policy items initially presented to the subcommittee to determine if any should be forwarded to the full committee for review and possible action as recommended by the subcommittee;
3. Interpret APP data legislation and policies;
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., NCAA Division I Academic Progress Rate Adjustment Directive).
5. Administer and oversee the collection and review of the APR, Academic Performance Census, Graduation Success Rate and any other data/information necessary to administer the APP;

6. Oversee the annual publication of the APR and other data collection information for the Division I membership;
7. Review all requests for extensions of the APR, APC and GSR data collection filing deadlines and render appeal decisions in accordance with the directive and this manual;
8. 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; and render appeal decisions in accordance with the directive and this manual;
9. Determine penalties and notify those institutions subject to penalties for failing to file APR, APC and GSR data by the required deadline;
10. Administer and oversee all aspects of APR adjustments requests and appeals;
11. With the Subcommittee on Penalties and Appeals, 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;
12. Administer and oversee the review of APP data for selected institutions, including issuance of a final report that summarizes the findings of the review;
13. Review all requests for relief from APP penalties based on changes to prior year(s) APP data;
14. Administer and oversee all aspects of waiver requests in instances in which an institution's data review and/or APP waiver processes are incomplete by June 1 and the institution must notify student-athletes of pending postseason ineligibility;
(Adopted: 10/13. Effective: 10/13)
15. Resolve operational issues and establish operational procedures for the implementation of the NCAA Division I Academic-Based Revenue Distribution
(Adopted: 02/18. Effective: 02/18); and
16. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Composition

The subcommittee shall consist of six members of the Committee on Academics. All subcommittee members shall be on the staff of an active Division I institution or conference. One member will serve as chair at the discretion of the chair of the Committee on Academics.

Selection of Subcommittee Chair

Each of the committee's 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 confirms the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the Committee on Academics chair.
4. The Committee on Academics chair selects the subcommittee chair.

Responsibilities of Subcommittee Chair

1. Oversee the development of subcommittee agendas;
2. Lead the subcommittee's videoconferences and meetings;
3. Welcome and assist in transition and training of new subcommittee members;
4. Review and decide appeals of staff decisions in adjustment and extension cases;
5. Review appealed cases forwarded from staff that do not align with the standard appellate process to determine if the subcommittee should consider the appeal;
6. Contact subcommittee members who are not fulfilling their responsibilities and

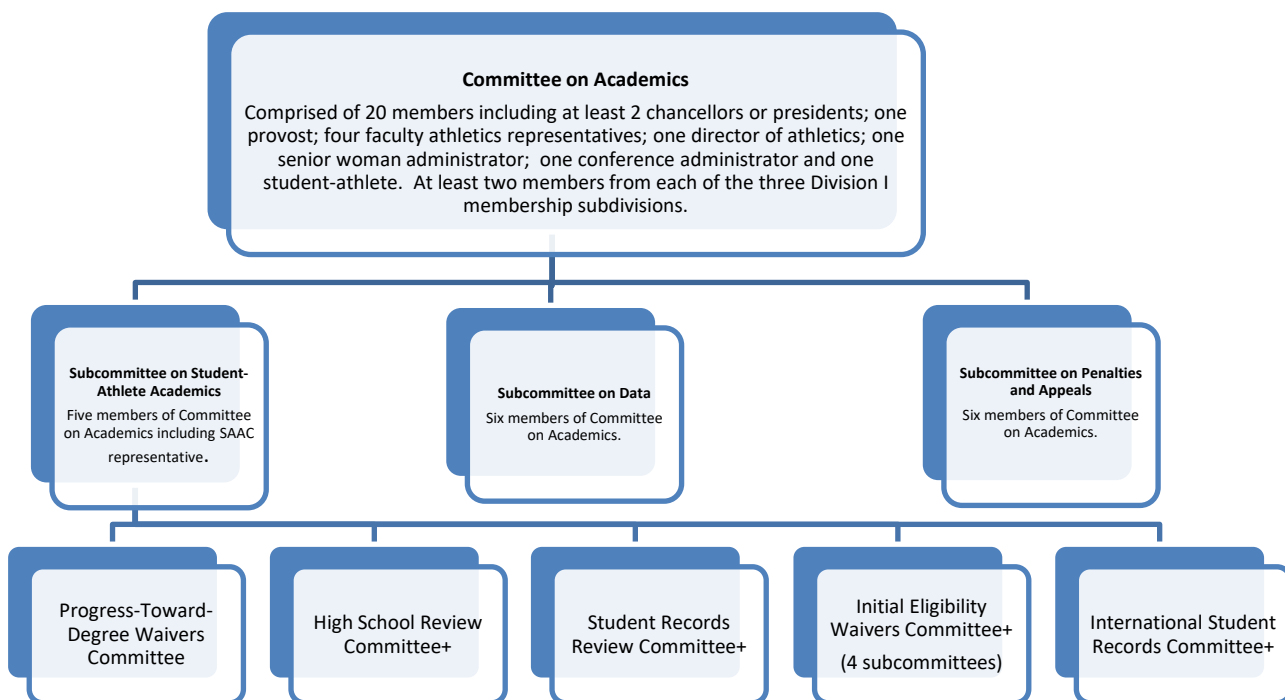
recommend to the committee chair that a subcommittee member be replaced if such member is not fulfilling their duties.

7. Present subcommittee reports during full Committee on Academics meetings.
8. Participate as members of the NCAA Division I Committee on Academics Administrative Committee.
9. Recommend selection of new subcommittee chair.
10. Perform and oversee any other matters as necessary to execute specific subcommittee duties and responsibilities.

Reporting Lines

The Subcommittee on Data reports to the Committee on Academics. As the division's primary academic authority, the committee retains the authority to review actions taken by the subcommittee on routine and noncontroversial matters of policy and procedure.

NCAA Academic Governance Structure



+ Operations managed by the NCAA Eligibility Center

Absences

The Subcommittee on Data generally conducts in-person meetings and videoconferences. Alternates may not be appointed to attend a meeting or videoconference in the absence of a subcommittee member. Subcommittee members who are not in attendance at two consecutive meetings or videoconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedure

When considering issues for a vote, the subcommittee will vote verbally if the vote is conducted via teleconference or by the show of hands if the vote is conducted in person or via videoconference. The vote is taken consisting of the subcommittee members present, except for actions taken by unanimous or obvious consent. The chair, or acting chair, will 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 members must be present to vote, and a simple majority of members present and voting will prevail.

Forwarding Subcommittee Recommendations

Subcommittees that report to the Committee on Academics follow these policies in forwarding recommendations to the full committee:

1. Each subcommittee will determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (see Noncontroversial Policies and Procedures – Guidelines);
2. Each subcommittee must provide a written report of its meetings and videoconferences to the full committee. These reports must include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee must be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.

5. If further deliberations are required, the committee may table the recommendation or refer it back to the subcommittee for additional discussion.

Noncontroversial Policies and Procedures Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy and procedure is routine and noncontroversial in nature:

1. A subcommittee policy or procedure may be considered noncontroversial only if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way;
 - b. Significant disagreement or alternative points of view will not be generated; and
 - c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.
2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

Speaking Agent Policy

The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the Board of Governors 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 Board of Governors 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 Board of Governors or the president of the Association. For the purpose of this policy, committees include all NCAA committees, cabinets, 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."

Subcommittee members are expected to adhere to this policy.

Conflict of Interest Policy

A subcommittee member shall not participate in the subcommittee'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 subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which they are personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused themselves 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 subcommittee member to remove themselves if a conflict exists. Institutional objections to a subcommittee member participating in a waiver appeal 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 before the subcommittee's review. Participation by a subcommittee member in previous APP matters involving the institution or regarding 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 subcommittee member's participation in subcommittee-related activities.

If the subcommittee chair must recuse themselves or is unable to participate in subcommittee 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 before the hearing. If the acting chair finds that no conflict exists, then the chair may resume that role. *(Revised: 12/08. Effective: 12/08.)*

Purpose of the Academic Performance Program

The central purpose of the APP is to ensure that the 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 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 APR. *(Revised: 10/11. Effective: 10/11)*

NOTE: The Board of Directors approved the suspension of loss of access to postseason competition for the 2021-22 (2019-20 academic data), 2022-23 (2020-21 academic data) and 2023-24 (2021-22 academic data) academic years for those teams not meeting the APR benchmark. The program returns to normal operations with the submission of the 2022-23 academic data.

Academic Performance Program Key Terms and Concepts

Academic Progress Rate

The APR is a term-by-term measure of eligibility, retention, and graduation of student-athletes who have received institutional financial aid based in any degree on athletics ability during the regular 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 undergraduate student-athlete in the APR cohort can 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 next 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 awarded 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 full-time quarters) without graduating will not earn any points for their last term of enrollment in that fifth year. A postgraduate student-athlete in the cohort can earn one eligibility point for each regular academic term of full-time enrollment. The retention point is not calculated for them. 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 (points earned/points possible x 1000). *(Revised: 6/20. Effective for the 2020-21 APR cohort and beyond; not retroactive to any prior year cohorts.)*

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.

See Appendix 3A for examples of APR calculations for individual student-athletes.

Multiyear APR

The multiyear APR is comprised of four single 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 multiyear 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 multiyear APR also serves as a point of academic access to postseason competition. (*Revised: 10/11. Effective: 10/11.*)

- Calculation of Multiyear APR. – 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 consider the differences in numbers of student-athletes in the calculation from year to year and accounts for teams with smaller cohort sizes.

$$\frac{\text{Points earned over four years}}{\text{Points possible over four years}} \times 1000 = \text{multiyear APR}$$

Postseason Competition

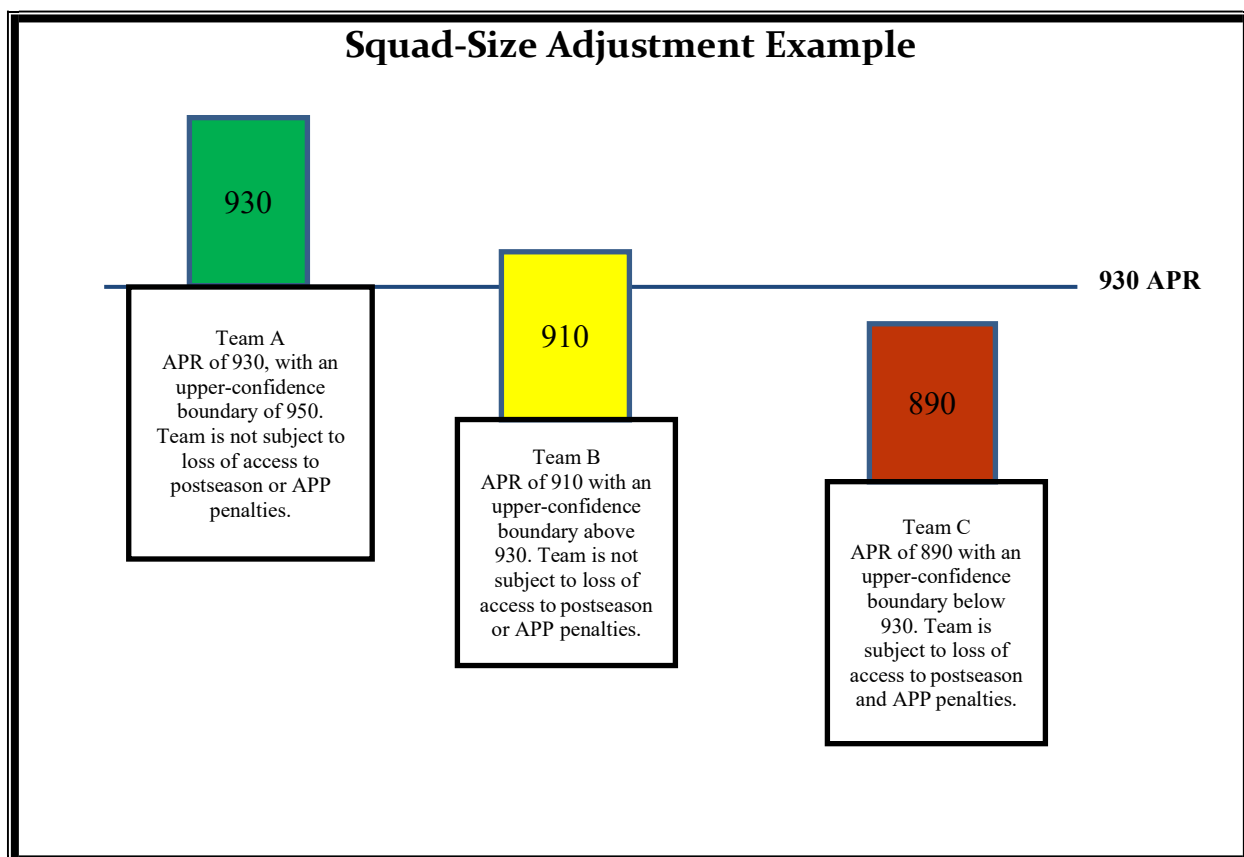
Postseason competition is defined as any competition not considered regular season competition per NCAA Bylaw 17 [e.g., NCAA championships, National Collegiate Championships, football bowl games, National Invitation Tournament, Collegeinsider.com Postseason Tournament and College Basketball Invitational].

Squad-Size Adjustments

The issue of small sample sizes for 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 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 created by the squad-size adjustment:



In the above 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 and the loss of access to postseason competition 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

APR Calculation 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.

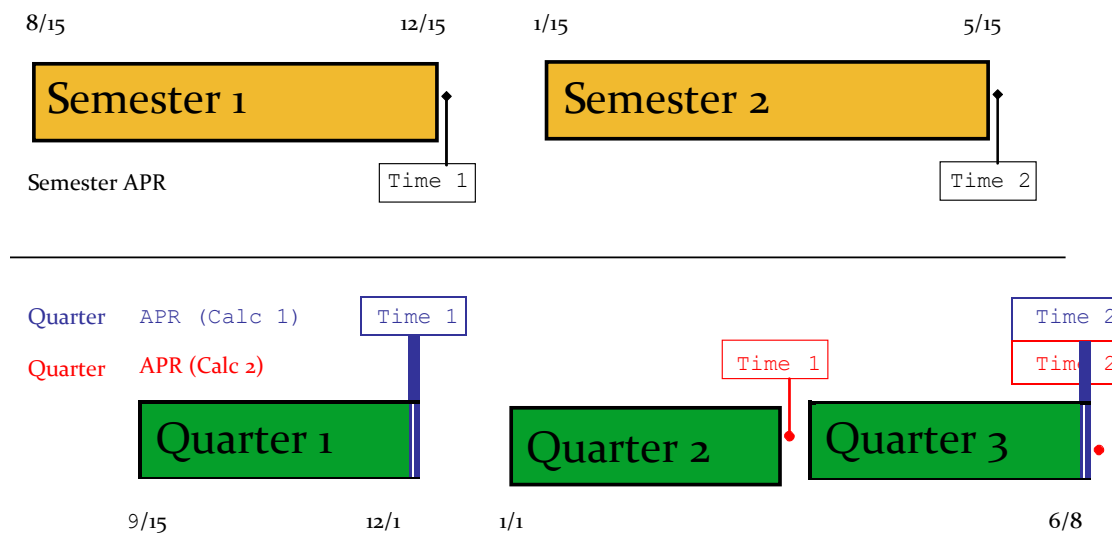
The decision to make APR a term-by-term rate created a computational complexity in that student-athletes at semester schools can earn up to four points each year (eligibility and retention at the end of each of two semesters) while students at quarter schools can each earn up to six points (eligibility 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 NCAA Division I 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 NCAA Division I Board of Directors in August 2005. The details of the formula are presented in a companion document on the Committee on Academics 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).

Mapping 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 3H for a table that provides a rough guide of possible individual student-athlete outcomes. The table displays, for a number of student-athlete academic trajectories possible on a quarter-school 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 either of the other assessments.

Retention

A student-athlete will be considered "retained" if they return 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 before the date that is five weeks after the first day of classes or the official census date of the institution, whichever is earlier, that student-athlete 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. The retention point is not calculated for a postgraduate student-athlete in the cohort. They can earn one eligibility point for each regular academic term of full-time enrollment. *(Revised: 6/20. Effective for the 2020-21 APR cohort and beyond; not retroactive to any prior year cohorts.)*

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 returning or continuing enrollment at the certifying institution.

Academic Eligibility

A student-athlete will be considered eligible if they meet all applicable academic eligibility requirements after completing the term (e.g., NCAA progress-toward-degree requirements, conference academic requirements, institutional good academic standing). 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 and beyond; 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 next regular academic term in order to capture the earned eligibility point.

Exhausted Eligibility

A student-athlete has exhausted eligibility for competition in the sport in which athletics aid was awarded or received institutional athletics aid per Bylaw 15.5.1. This includes:

1. A student-athlete who does not use all seasons of competition but exhausts the 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 that student-athlete's designated degree program before the start of the fifth year of enrollment.
3. A fall sport student-athlete who concludes competitive eligibility at the end of the fall term and does not return to the institution after the fall term.
4. A spring sport student-athlete who concludes competitive eligibility at the end of four years. (*Adopted: 04/07. Effective: 04/07 for the 2007-08 APR cohort and beyond, not retroactive to any prior year cohorts.*)

See Appendix 3B for frequently asked questions on cohort composition.

Graduation

A student-athlete is considered "graduated" for purposes of the APR once all graduation requirements (e.g., academic and administrative) are completed and the student-athlete 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.

See Appendix 3C for examples of graduation scenarios that can impact a team's APR.

Census Date

The census date is 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.

Academic Performance Census

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 transfer student-athletes. APC data is often 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 is 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, they will still be assigned the APR for that team for the year, as will the coach who is hired to fill the position subsequently.

See Appendix 3I for more information about the head coaches' APR.

Graduation Success Rate

The GSR is based primarily on the Integrated Postsecondary-Education Data System 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 GSR 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., National Collegiate Championships, bowl games, National Invitation Tournament, College Insider Tournament, College Basketball Invitational) 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).

See Appendix 3J for more information on the GSR.

Rules Violations

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The NCAA staff/Committee on Academics will advise the institution of any information discovered throughout any APP penalties process (e.g., penalty waivers, improvement plans, data reviews) concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/committee may engage the NCAA enforcement staff at any time and share information obtained through the various APP processes. (*Adopted: 06/14. Effective: 06/14*)

Academic Performance Program APR Cohort

Composition of the APR Cohort

Established in 2006-07, the APR cohort definition depends on whether the institution awards a team athletics aid:

1. For teams awarding institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of student-athletes who:
 - a. Received institutional financial aid based in any degree on athletics ability as of or after the institution's fifth week of classes or official census date (whichever is earlier); **AND**
 - b. Were enrolled full time as of the institution's fifth week of classes or official census date, 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.)

A student whose aid is cancelled before the institution's census date/fifth week of classes is not included in the cohort. A student who receives aid after the census date/fifth week of classes is included if they were enrolled full time as of the specified date. (*Adopted: 10/16. Effective: 10/16*)
2. For teams that do not offer institutional financial aid based in any degree on athletics ability, the APR cohort is comprised of student-athletes who:
 - a. Were recruited per Bylaw 13.02.14.1, are enrolled full time and are listed on the varsity team's roster on or after the first date of competition in the championship segment; **OR**
 - b. Have exhausted eligibility and return to the institution full-time within five years of initial enrollment to complete their baccalaureate degrees. (Legislated exceptions to full-time enrollment apply to those teams using the recruited definition as they do to teams using the aided definition.) (*Adopted: 01/07. Effective: 01/07 for the 2006-07 APR cohort and beyond; not retroactive to any prior year cohorts.*)

Exceptions.

Student-athletes who meet the following criteria are not included in the APR cohort, even if such students meet the above criteria:

- a. Student-athletes who have graduated and exhausted athletics eligibility;
- b. Student-athletes who are enrolled beyond 10 semesters/15 quarters of actual full-time enrollment and have exhausted athletics eligibility;
- c. Student-athletes who are five years beyond initial full-time collegiate enrollment and have exhausted athletics eligibility (*Adopted: 07/12. Effective immediately beginning with the 2011-12 APR cohort to be reported fall 2012*); or
- d. Former student-athletes who receive institutional financial aid per Bylaw 15.01.5.2 (exception - former student-athletes). (*Adopted: 6/15. Effective 6/15, beginning with the 2014-15 cohort to be reported fall 2015, retroactive to all years in the current multiyear rate.*)

Exceptions to Full-time Enrollment

Student-athletes who meet the following legislated and waiver exceptions to the full-time enrollment requirement are included in the APR cohort, provided the student-athletes meets the remaining applicable requirements of cohort composition above:

1. **Final semester/quarter (Bylaw 14.2.2.1.3)**- Student-athletes applying this exception in their final term of enrollment must satisfy the requirements of the legislation (i.e., graduate) to be considered academically eligible in the next academic term (regardless of whether there is athletics eligibility remaining), and therefore earn the eligibility point for the term. The retention point may only be earned if the student-athlete graduates (graduation must occur prior to the start of the next academic year to be applied to the final term).
2. **Final term before experiential learning requirement (Bylaw 14.2.2.1.4)** - The use of this exception allows student-athletes to enroll less than full-time in their penultimate term (term immediately preceding their final term of enrollment) provided the student-athlete is certified as enrolled in all coursework necessary to complete degree requirements, other than the experiential learning requirement. Student-athletes applying this exception must meet all applicable progress-toward-degree requirements in the term in order to be considered academically eligible in the next regular term, therefore earning the eligibility point. The retention point is contingent on the student-athlete returning to the institution in the next regular academic term as a full-time student.

3. Progress-toward-degree waiver for less than full-time enrollment. Student-athletes granted progress-toward-degree waivers of the full-time enrollment requirement must meet all applicable progress-toward-degree requirements for the term in order to be considered academically eligible in the next regular term, therefore earning the eligibility point. The retention point is contingent on the student-athlete returning to the institution in the next regular academic term as a full-time student (or meeting an exception to full-time enrollment, including additional progress-toward-degree waivers for less than full-time enrollment).

Inclusion of Noncounters on Athletics Aid in the APR Cohort

Noncounters who meet the cohort definition are included in the APR cohort. This includes student-athletes classified as permanently medically unable to compete in Bylaw 15.5.1.3 (counter who becomes injured or ill) and those meeting the provisions of Bylaw 15.5.1.8 (aid after departure of head coach). 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 3B to review frequently asked questions regarding the APR cohort.

Definition of "Recruited" and the APR Cohort

For teams that do not offer athletics aid, "recruited" is defined per Bylaw 13.02.14.1 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:
 - a. Providing a prospective student-athlete with an official visit;
 - b. 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); or
 - c. 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 before full-time enrollment does not cause the prospective student-athlete to become recruited. (*Revised 08/18. Effective with the data collected fall 2019.*)

Multisport Student-Athletes in the APR Cohort

A multisport student-athlete receiving athletics aid will be included in the cohort of the sport in which the aid counts toward the team limit per Bylaw 15. For example, if a student-athlete competes in football and outdoor track, the aid would count toward the football team limit and he would, therefore, only be included in the football APR cohort. Refer to Figure 15-3 in the NCAA Division I Manual for more information.

For multisport student-athletes, the "recruited" label is sport specific. In other words, the student-athlete is only in the cohort(s) for the sport(s) in which they were recruited.

Cross Country and Track and Field APR Cohorts

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 track and field teams each have a separate APR. The APR for each sport is comprised of full-time student-athletes who receive athletics aid in either cross country or indoor or outdoor track and field. [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.] Cross country and track are 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.

Beginning with the data submitted in the fall 2015, the cross country and indoor and outdoor track cohorts will be defined as follows:

1. The cross-country APR cohort shall consist of student-athletes on athletics aid (or recruited student-athletes for institutions that do not offer athletics aid), enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier; and
2. Indoor and outdoor track and field are combined into one sport for APR data purposes and consists of student-athletes on athletics aid (or recruited student-athletes for institutions that do not offer athletics aid), enrolled full time as of the institution's fifth week of classes or official census date for that institution, whichever is earlier. *(Revised 10/14. Effective with the data collected fall 2015.)*

To ensure that a student-athlete participating in cross country and track is included in both cohorts, indicate that they are aided in both sports in the "academic details", "general" tab of the Academic Portal:

Student participated in:

Sport	Received Aid?	Recruited	Athletics Status	Exhausted Eligibility	Delete
Women's Cross Country	Yes		Competed	No	
Women's Track, Indoor	Yes		Did Not Compete	No	
Women's Track, Outdoor	Yes		Did Not Compete	No	

See Appendix 3D 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 and student-athletes who are five years beyond initial full-time collegiate enrollment and have exhausted 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, they would be a part of the cohort if they meet 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 10 semesters/15 quarters of actual full-time enrollment the student-athlete has not earned an undergraduate degree, no eligibility point will be earned for the last term of the fifth year. Earning a degree in year six would help a team with its GSR and IPEDS-Graduation Rate Survey, but the APR's goal is graduation in five years, consistent with the current Division I progress-toward-degree standards.

Academic Performance Program

Requests for Alternative Definition of APR/GSR Cohort or Definition of Recruited Student-Athlete

Pursuant to Bylaw 14, the Committee on Academics 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 and/or GSR. 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.

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 and/or GSR is warranted. The appeal also must include a proposed alternative definition of recruited or identification of student-athletes for the APR and/or GSR 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.

Staff Review, Deliberations and Decisions

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 Committee on Academics has provided the staff and Subcommittee on Data the authority to hear, deliberate and decide requests for an alternative definition. 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 Institutional Performance Program, 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.

After reviewing all information, the staff and/or Subcommittee on Data will render for the current academic year one of the following decisions:

1. **Approval:** The staff and/or Subcommittee on Data 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 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 13.02.14.1.
3. **Modified Approval:** The staff and/or Subcommittee on Data determines that the institution's request demonstrated evidence warranting the use of an alternative definition of recruited student-athlete or alternative definition of a cohort of student-athletes to be used to calculate the APR and/or GSR; 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 permits the institution to use the modified alternative definition of recruited student-athlete.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Data to consider appeals of staff decisions on alternative definition of a recruited student-athlete or identification of a cohort of student-athletes. The Subcommittee on Data's determination shall be final and shall not be subject to further review.

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 shall determine whether or not any appeal filed after 14 calendar days will be considered.

Subcommittee Conflict of Interest

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

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) before discussion by the committee.

Appeal Procedures

The Subcommittee on Data may conduct its meetings and deliberations by videoconference, email or in-person meeting. Deliberations shall involve only Subcommittee on Data members and national office staff.

Reconsideration

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

Academic Performance Program Data Collection and Reporting

APP Data Collecting and Reporting

The Academic Portal – The Academic Portal is an Internet-based software program for the electronic management, submission and reporting of academic performance data that is required by Bylaw 14. The APP is designed to capture data to satisfy membership requirements related to three NCAA initiatives: the APR, APC and the GSR.

Many Division I institutions employ a software program, such as the NCAA Compliance Assistant, 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.

Official submission of APR and APC data is due eight weeks after the start of the institution's fall term. Academic Portal data entry can begin after the new calendar year and notification that the portal is open is communicated to the membership annually. Submission cannot occur until the answer to the question of retention for the fall term can be answered.

Data is also collected 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. 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 and GSR 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 Graduation 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. 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., National Collegiate Championships, bowl games, NIT, CIT, CBI) 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 GSR Data

If an institution discovers an error to its data after the reporting deadline (i.e., June 1), the institution must submit a correction request in the Academic Portal. Institutions will be given the opportunity to review its report for accuracy and have until July 1 to request 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.

See Appendix 3J for frequently asked questions and answers to assist the membership with the collection of graduation rate data.

Membership and Sports-Sponsorship Issues

Any NCAA member institution that sponsors a Division I sport must report APP data for that team(s) [i.e., team(s) identified by the institution in its sport sponsorship and demographic form]. This includes teams that do not meet the minimum contest and participation requirements for sport sponsorship per Bylaw 20.9.6.3. This requirement applies to all active Division I members and multidivisional institutions sponsoring Division I sports.

The data submitted for a team(s) that does not meet the sport sponsorship minimums will not be included in the multiyear APR used for public recognition and penalties or access to postseason competition. Nor will it be included in the single-year data used to determine academic unit eligibility. *(Revised 6/19. Effective with the data collected fall 2019.)*

- 1. Reclassifying Institutions** – Institutions or teams that are in the process of reclassifying to Division I are subject to the APP. 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). 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. Therefore, if an institution becomes subject to the Division I legislation beginning in the 2018-19 academic year, it must submit the required APP data for the first time in the summer (GSR) and fall (APR/APC) 2019. Such institutions shall be subject to APP rewards (e.g., Top Ten Public Recognition Program) after the collection of two years of required data (e.g., APR, APC, GSR) and are subject to APP penalties and the APR benchmark to access postseason competition after the collection of three years of data.

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 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: 10/10.)*

- 2. Multidivisional Institutions** – Institutions that sponsor teams at multiple NCAA divisions are subject to the APP for the Division I teams. Bylaw 20.4 requires full compliance with Division I legislation for its Division I sports during the second year of a two-year process.

- 3 **New Sports Teams** – Division I institutions that add a team are eligible for APP rewards (e.g., Top Ten Public Recognition Program) after the collection of two years of required data (e.g., APR, APC, GSR) and are subject to APP penalties and the APR benchmark to access postseason competition after the collection of three years of data. A new team's data must be submitted after the team's first season of competition.
- 4 **Non-NCAA Championship Sports** – Only NCAA championship sports sponsored by an institution will have an APR calculated and, therefore, only those sports' data will be accepted by the APP. This includes only those sports for which a Division I national championship or a National Collegiate Championship is conducted.

An exhaustive list of these sports can be found in the Import Module of the Academic Portal. The APR and GSR 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), are not included in the APR, APC and GSR data collections and are not subject to rewards and penalties.

- 5 **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:
 - a. 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.
 - b. Will not be subject to new APP penalties and postseason ineligibility but must impose previously earned penalties that apply to the academic years the team/institution continues to compete as a Division I institution/ team.
 - c. Will not be part of any public release of APR and associated penalties, GSR and head coaches' information.
 - d. Will not be included in the calculation and/or determination of any penalty filters.
 - e. Will not be eligible for any NCAA Accelerating Academic Success Program

monies.

- f. Will not be eligible for public recognition for high academic performance.
- g. Will no longer submit APR adjustment requests or APP penalty waivers.
- h. 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.
- i. Will no longer be required to complete a data review that is in progress.

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 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:

- a. Length of transition from Division I;
- b. Timing of notification to the staff;
- c. History of academic performance;
- d. Whether or not the institution has teams subject to penalties and the types of penalties;
- e. Whether or not the institution's teams will continue to compete at the Division I level during the transition; and
- f. 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.

6. **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 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.)*
7. **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:
 - a. If a sport has been inactive at the Division I level for three or more years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. The team would be considered to have submitted APP data for the first time, APP data submitted from previous years would no longer be used to calculate the team's APR and the team would have the benefit of the squad-size adjustment until four years of APR data is collected, provided the team has a multiyear cohort of 30 or more student-athletes. Additionally, if an institution was subject to an APP penalty at the time the team was discontinued or transitioned to another division, the institution would not be required to impose the penalty.
 - b. If a sport has been inactive at the Division I level for a period of less than three academic years, the institution would be required to submit APP data for the academic year in which the sport team was reinstated and competition was resumed at the Division I level. Any years of APR data that are within the four-year APR cohort will be used to calculate the new multiyear APR, and any penalties the team incurred at the time the team was discontinued will need to be taken at the earliest opportunity. The staff and/or Subcommittee on Data also will determine any additional requirements on a case-by-case basis.

Data Collection on Two-Year Transfers

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 3G for questions and answers to assist the membership in its understanding of the data collection for two-year college transfer student-athletes.

Academic Performance Program Data Collection Waivers

Waivers/Extensions of Filing Deadlines

Pursuant to Bylaw 14, the Committee on Academics has the authority to grant exceptions/extensions to the filing deadlines prescribed in Bylaw 18.4.2.2 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 the Subcommittee on Data.

Application Procedures

A member institution seeking to waive/extend the prescribed filing deadlines shall submit its request to the national office via the Academic Portal. 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 before 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.

Staff Conflict of Interest

A staff member must recuse themselves from participation in a waiver request in which they are 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 an APP data waiver request. It is the responsibility of the staff member to remove themselves if a conflict exists.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP data 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 (e.g., chancellor or president, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the request with the institutional employee designated as the waiver contact unless otherwise directed in writing by the institution.

Staff Review, Deliberations and Decisions

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 consider, deliberate and 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 those 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.

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 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 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 determines the institution's request demonstrated evidence warranting a waiver/extension of the prescribed filing deadline; however, the staff determines the length of the extension requested by the institution is excessive or unrealistic. By issuing a modified approval, the staff permits the institution to supply the required academic data by a deadline the staff 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 using the online appeal module of the Academic Portal. The Subcommittee on Data's determination shall be final and shall not be subject to further review by any other authority.

The Committee on Academics has authorized the Subcommittee on Data to review, deliberate and decide all data collection waiver/extension appeals.

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

Subcommittee Conflict of Interest

The conflict of interest section of this chapter applies to all subcommittee members involvement in adjustment and appeal requests.

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) before discussion by the committee.

Appeal Procedures

The Subcommittee on Data may conduct its deliberations and render a decision by videoconference, email, or in-person meeting. Such deliberations shall involve only Subcommittee on Data members and the NCAA staff. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting.

The appeal proceedings will continue as follows:

1. Documents to be Reviewed by the Subcommittee.

The subcommittee will review all documents submitted by the institution in the original waiver request as well as any documents included as part of the appeal of the staff decision.

2. Subcommittee Deliberations and Decisions.

Subcommittee decisions will be based on the following criteria:

- a. Mitigating circumstances and whether or not the mitigating circumstances were within the control of the member institution;
- b. Length of requested extension; and
- c. Number of prior institutional requests for a waiver/extension of the filing deadlines.

After reviewing all information, the subcommittee will render one of the following decisions.

- a. **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.
- b. **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.

- c. **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's decision is final and not subject to further review by any other authority.

Reconsideration

After the staff and/or Subcommittee on Data have acted on a waiver/extension request, the institution may request a reconsideration of the 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 until the staff has reviewed and considered the new information.

Academic Performance Program Data Submission

Submission

Official submission of the data used to calculate the APR and to satisfy the requirements for the APC is due **eight weeks** (56 calendar days) following the first day of classes on campus each fall term. If an institution is selected for an APP data review, the staff may extend an institution's APR data submission deadline to January 1 or 14 calendar days after completion of the data review, whichever is earlier. (*Adopted: 06/12. Revised 6/15. Effective for institutions selected for a data review during the 2014-15 academic year and beyond.*)

The data used to calculate the GSR and Federal Graduation Rates is due by June 1.

Legislated Penalties for Failure to Submit Data (Bylaw 18.4.2.2)

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 the institution submits the requisite data.

Notice of Penalties for Failure to Submit Data

The Committee on Academics will notify in writing the chancellor or president of each institution that fails to submit the required APR, APC or GSR data by their 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 18.4.2.2.

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 (e.g., NCAA championships, National Collegiate Championships, bowl games, NIT, CIT, CBI) 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 before being reinstated for championships. (*Revised: 10/10. Effective: 10/10.*)

An institution that submits unusable APR, APC or GSR data as defined in this document (APP data reviews) 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. All teams at the institution will be immediately rendered ineligible for postseason competition (e.g., NCAA championships, National Collegiate Championships, bowl games, NIT, CIT, CBI). After the completion of the data review process, or when the subcommittee concludes that all needed information has been provided by the institution, all teams at the institution will regain eligibility for postseason competition. [Note: A school or team(s) could be otherwise ineligible for postseason competition (e.g., due to enforcement issues or not meeting APP benchmark).]
2. The staff will conduct an on-campus visit unless a visit has occurred as part of the current APP data review process. The purpose of the visit is 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 subcommittee and/or staff. The staff/ subcommittee may conduct additional on-campus visit(s) as part of this process.
3. 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;
 - d. Submission of midyear academic data;
 - e. Ineligibility for public recognition of any high-performing teams and AASP monies until useable data is submitted; and
 - f. Any additional corrective measures as determined by the Subcommittee on Data.

4. 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, may 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 Council for its consideration. *(Adopted: 06/10. Effective for institutions selected for data review during the 2010-11 academic year and beyond. Revised: 04/13. Effective: 04/13.)*

Delayed-Graduation Points

An institution will be awarded an APR point (i.e., "1/o") for a former student-athlete who departed an institution without graduating and returns to the institution and graduates **with an undergraduate or graduate degree** or continues enrollment at the institution and graduates **with an undergraduate or graduate degree**. *(Adopted: 10/16. Effective: 10/16.)* 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 graduates from the institution in any academic year that comprises the team's most recent four-year APR, not from another institution.
2. The former student-athlete cannot satisfy the definition to be included in the team's APR cohort in the term in which they graduated from the institution.
3. The former student-athlete must have lost either the eligibility or retention point in the last term in the APR cohort, or would have lost a point if the student-athlete departed before the implementation of the APR in 2003-04 or when the institution was first required to submit APR data (e.g., multidivisional or reclassifying institution). (Note: If the lost eligibility or retention point was adjusted, then no APR point was actually lost so no delayed-graduation 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 they 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 student-athlete who graduated during any academic year 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. If an institution discovers that the awarding of additional delayed-graduation points to a prior year's data would have resulted in the team not being subject to a previously earned penalty and/or the loss of access to postseason competition that has not yet been applied, it may request relief from the previously earned penalty and/or loss of access to postseason competition until the first day of class of the next academic year. 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. *(Revised: 02/16. Effective: 02/16.)*

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.)*

Unique Data Scenarios

1. Determining Eligibility of a Student-Athlete Who Leaves the Institution.

If a student-athlete departs the institution, the eligibility point is awarded for the 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 they had returned (i.e., institutional, conference and NCAA), apply those standards to the student-athlete's academic record and determine if they would have been academically eligible to compete if they had returned.

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

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.

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

Once a student-athlete has graduated, they must earn the eligibility point, but the retention data is no longer collected. This is the case if the graduated student-athlete continues at the original school or transfers to another Division I institution to complete their athletic eligibility. The eligibility point is earned if the student-athlete is academically eligible to compete in the next academic term (e.g., passes at least six hours of degree credit, remains in good academic standing). (*Revised 5/20. Effective with data collected fall 2021.*)

4. Reporting Eligibility for Student-Athletes Serving a Year of Residency.

Generally, if a student-athlete required to serve an academic year in residency would have been academically eligible to compete except for the residency requirement, the student will receive the eligibility point for the fall term.

5. 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. Graduation requires the completion of all administrative and academic requirements as defined by the institution. 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 3C to review questions and answers regarding the application of graduation to APR.

6. Reporting Eligibility for Student-Athletes in a Five- or Six-Year Degree Program.

a. Five- and Six-Year Degree Programs Defined.

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. 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.

b. 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 the degree completed and be in good academic standing to be awarded an eligibility point for the last regular academic term of the fifth year of enrollment.

c. Six-Year Degree Programs.

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

7. Fall Term Certification in 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 next 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 and beyond.*)

8. Progress-Toward-Degree Waivers and the 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 before 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.

9. Progress-Toward-Degree Waivers and the 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 that next regular academic term even if enrollment is part time.

See Appendix 3A for a review of examples of miscellaneous APR calculations.

10. Incomplete Grades.

Incomplete grades can impact a student-athlete's ability to earn the eligibility point.

Examples:

No. 1:

A men's basketball student-athlete received athletically related financial aid during the 2017-18 academic year. At the conclusion of the 2018 summer term, the student-athlete received an "incomplete" in one class that must be completed in order 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 2018 summer term. If the grade was posted before 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.

No. 2:

A softball student-athlete receives athletically related financial aid during the 2017-18 academic year. At the conclusion of the 2017 fall term, the student-athlete received an "incomplete" in one class, making them ineligible for the spring term. This student-athlete later completes the class in a summer 2018 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 later term. Therefore, this student-athlete would not have earned the eligibility point for the 2017 fall term, regardless of the term in which the completed course grade was applied.

See Appendix 3A for further questions and answers regarding incomplete grades.

Legislated Exceptions and Allowable Exclusions

A legislated exception is any deviation from NCAA standards allowed by the legislation itself or a waiver of the legislation. Legislated exceptions/allowable exclusions within the APR cohort 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 pregnancy exception in Bylaw 12.8.1.5 at the time of departure;
5. Meet the requirements for an athletics activity's waiver (not an international competition waiver); or
6. Are deceased or permanently disabled.

The following examples illustrate the practical application of legislated exceptions and allowable exclusions impacting student-athletes' APR data entries:

Example No. 1:

The student-athlete completed the first semester of the academic year and earned both the eligibility and retention points. He was called to active military service during the second semester but earned the eligibility point.

<i>Semester One ("2/2")</i>	
Retention	Yes
Eligibility	Yes
<i>Semester Two ("1/1") – Student-athlete begins active military duty</i>	
Retention	Legislated Exception/Allowable Exclusion
Eligibility	Yes
Yearly Point Total	"3/3"

Example No. 2:

The student-athlete completed the first semester of the academic year and earned the eligibility and retention points; but during the second semester, they did not complete the term and did not leave academically eligible. The student-athlete was not retained but met the pregnancy exception.

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

Example No. 3:

The student-athlete completed the first semester of the academic year and was academically eligible. The student-athlete was not retained but met the requirements for an athletics activity waiver.

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

Example No. 4:

The student-athlete did not complete the first semester of the academic year and did not earn the eligibility point. They met the requirements for an athletics activity waiver.

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

Missed-Term Exception [Bylaw 14.4.3.6-(a)]

Once during a student-athlete's career an institution may request 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 14.4.3.6-(a);
2. The student-athlete must return to the institution as a full-time student in a future term; and
3. The student-athlete must have lost the retention point but earned the eligibility point in the last term in the APR cohort before departure. (*Adopted: 04/07. Effective: 04/07 for the 2006-07 APR cohort and beyond; not retroactive to any prior year cohorts.*)

Application of Waivers

The following details the application of each waiver type. Additional information may be found in the adjustment directive.

1. **Progress-toward-degree waivers** - When a student-athlete is granted a progress-toward-degree waiver, it waives the applicable progress-toward-degree requirements for that term and deems the student-athlete academically eligible for competition in the next regular academic term. Thus, student-athletes with an approved waiver that

coincides with the term in which the APR eligibility point was lost, may be marked as earning the eligibility point. If the waiver is granted after the institution has officially submitted its required data, the institution must request an adjustment of the lost eligibility point. Please note that progress-toward-degree waivers are only applicable to the eligibility point.

2. **Medical absence waivers (Bylaw 14.4.3.7-a)** - An approved medical absence waiver prorates the 18/27 credit-hour requirement to nine (9) credit hours per actual term of attendance during the academic year. The application of the medical absence waiver, for APP purposes, requires institutions to do an analysis to determine if the student-athlete can meet the prorated requirement as well as all other applicable progress-toward-degree requirements in the term(s) of attendance. **If the student-athlete received a medical absence waiver and can be certified as meeting all applicable progress-toward-degree requirements, the student-athlete is considered to have earned the eligibility point and should be marked as “yes”. If, they received the waiver and even with the prorated requirement, the student-athlete cannot be certified as meeting all applicable progress-toward-degree requirements, the student-athlete is considered to have lost the eligibility point, and should be marked as “medical absence”, which provides an adjustment to the lost point.** Please note that medical absence waivers are only applicable to the eligibility point, and lost retention point must be addressed via the adjustment process (*Revised June 2020. Effective immediately*).
3. **Legislated relief waivers (four-year college transfer waivers)** - An approved legislated relief waiver for a student-athlete who departs your institution but is deemed immediately eligible for competition at his/her new institution will still result in a lost retention point for your institution. The institution should seek relief for the lost point via the adjustment process. The institution may apply the automatic transfer adjustment provided the student-athlete meets the criteria. IF the student-athlete does not meet the criteria of the automatic transfer adjustment, the institution should submit an adjustment request provided there is mitigation for the departure outside the control of the student-athlete and/or institution. The approval of the legislated relief waiver alone does not grant the institution an adjustment of the lost retention point.

Academic Performance Program Reviewing and Correcting Submitted Data

Data Verification

After the submission of an institution's APR and APC data, the NCAA staff completes a data verification. This requires the staff to review the data for a number of common errors. The staff sends any errors to the institution to allow for confirmation and makes any necessary corrections. The institution is then moved to the seven calendar day correction period to review its data for any other errors or omissions. *(Revised: 06/16. Effective: Immediately)*

Data Corrections

Institutions are able to complete non-rate-related corrections (e.g., grade-point average change) to APR and APC data for any year at any time during the data submission process. Corrections to rate-related items (e.g., retention point outcome) must be supported by documentation and submitted as correction requests through the Academic Portal for staff review. Rate-related corrections are permitted at any time during the data submission process, through the conclusion of the seven calendar day correction 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. *(Revised: 06/16. Effective: Immediately)*

Effect of Corrections on Previously Earned Penalties and/or Loss of Postseason Access

Corrections to APR data for prior years generally will not affect the status of any previously earned penalties, loss of access to postseason competition 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 and/or the loss of access to postseason competition that has not yet been applied, it may request relief from the previously earned penalty and/or loss of access to postseason competition until the first day of class of the academic year in which the penalty and/or loss of postseason competition were to be taken.

If an institution discovers a correction that would place a team at a different level of the penalty progression (e.g., Level-One Penalty, first occasion loss of access to postseason competition), it may request relief from the previously earned progression.

To request relief, an institution must submit a written request to the NCAA staff and provide any necessary supporting documentation. Should staff deny a request, it may be appealed to the Subcommittee on Data. Corrected data will be included in the calculation of the APR for the current academic year and any applicable subsequent years. The subcommittee's decisions are final and binding. *(Adopted: 01/07. Revised: 07/13. Effective immediately. Retroactive to the 2010-11 APR cohort submitted fall 2011. Revised: 08/15. Effective immediately to the 2014-15 APR cohort submitted fall 2015.)*

Rules Violations

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The staff/Subcommittee on Data will advise the institution of any information discovered during the data collection process concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/subcommittee may engage the enforcement staff at any time and share information obtained through the data collection process. *(Adopted: 06/14. Effective: Immediately.)*

Academic Performance Program Adjustments to Submitted Data

Pursuant to Bylaw 14, the Committee on Academics has the authority to provide adjustments to the calculation of the APR. The decision to approve any 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 Academics' decision shall be final, conclusive and not subject to further review by any other authority.

The staff and/or the Subcommittee on Data will review all requests for adjustments to the calculation of the APR.

Adjustment Request Procedures

Requests to adjust the normal calculation of the APR will only be considered for each cohort that comprises the current multiyear APR. All requests must be submitted to the staff via the Academic Portal. This can be done before the institution submits its data for the active reporting year. If an institution discovers additional possible adjustments after submitting, those requests may be submitted during the seven-day adjustment/corrections period after the data submission date. Adjustment requests can also be submitted during data entry for the next academic year (typically beginning in February), but those requests will not be processed until after the annual public release (*Revised 2/19. Effective immediately*).

The adjustment request submitted by the institution must include a signature page or electronic signature request signed by the chancellor or president, or their designee, director of athletics, senior woman administrator, director of compliance or faculty athletics representative. The adjustment request must include 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 may request additional pertinent information before it reaches a final decision. (*Revised: 08/16. Effective with requests submitted fall 2016 and beyond.*)

In some circumstances, there is no need to request an adjustment through the Academic Portal. These "automatic" adjustments (e.g., transfer adjustment, professional athletics

departure adjustment) are entered by the institution during the data collection process. In these instances, the institution must maintain the supporting documentation used to confirm the adjustment criteria was met in the athletics department.

See Appendix 3F for the APR adjustment directive.

Staff Conflict of Interest

A staff member must recuse themselves from participation in an adjustment request in which they are 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 an APP data adjustment request. It is the responsibility of the staff member to remove themselves if a conflict exists.

Use of Third Parties in Adjustment Requests

Institutions are permitted to engage the assistance of a third party (e.g., outside legal counsel, consultant who is not a full-time employee of the institution) in preparing an APP data adjustment request or in preparing to appeal a staff decision. However, the staff is not to discuss an adjustment request with a third party unless directed to by the institution (e.g., chancellor or president, director of athletics) in writing. Further, the staff will generally communicate all requests for additional documentation, decisions and any other issues related to the request with the institutional employee designated as the adjustment contact unless otherwise directed in writing by the institution.

Staff Review, Deliberations and Decisions

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 consider, deliberate and render a decision for all adjustment requests. Staff decisions will be based on the following criteria:

- The adjustment directive approved by the Committee on Academics (See Appendix 3F) including:

- a. Mitigating circumstances and if the mitigating circumstances were within the control of the member institution/team and/or student-athlete(s); and
- b. The academic performance of the individual student-athlete.

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

1. **Approval:** The staff and/or Subcommittee on Data 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 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 is adjusting part of the normal calculation of the APR.
3. **Denial:** The staff and/or Subcommittee on Data determined that the institution's request did not demonstrate circumstances that warrant an exception to the normal calculation of the APR.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Data to consider all appeals of staff decisions involving requests to adjust the normal application of the APR.

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

The Subcommittee on Data shall conduct its deliberations by videoconference, email or in person. Such deliberations shall involve only Subcommittee on Data members and national office staff members.

Subcommittee Conflict of Interest

The conflict of interest section of this chapter applies to all subcommittee members' involvement in adjustment and appeal requests.

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) before discussion by the committee.

Appeal Procedures

A member institution that seeks to appeal a staff decision shall submit the appeal request through the Academic Portal. All appeals shall be submitted using the online procedures provided by the NCAA. The online appeal application will produce a signature page or electronic signature request, 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. Revised: 10/16. Effective: Immediately.*)

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 shall determine whether any appeal filed after five calendar days will be considered. Appeals filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (*Revised 10/22. Effective: Immediately*)

The appeal proceedings will continue as follows:

1. Documents to be Reviewed by the Subcommittee.

The subcommittee will receive and review a summary of the case, the institution's notification of appeal, the staff decision and rationale and any supporting documentation submitted by the institution will be sent to the full Subcommittee on Data for review at a regular time each week. Each subcommittee member will have one week from the posting of appeal materials to submit a decision. The subcommittee's decision is final and is not subject to further review by any other authority.

2. Subcommittee Deliberations and Decisions.

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

- a. Uphold the staff's decision;
- b. Reverse the staff's decision; or
- c. Refer to a videoconference with the full subcommittee.

A two-thirds supermajority of subcommittee members is necessary to render a decision. If this is not reached, then the appeal will be referred to the next videoconference for full subcommittee discussion. If a quorum is not reached, then the appeal will be referred to the next videoconference for full subcommittee discussion.

The subcommittee may conduct its deliberations by videoconference, email, or in-person meeting. Such deliberations shall include only subcommittee members and staff members supporting the work of the Committee on Academics.

If an appeal is forwarded to a videoconference of the full subcommittee, 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. *(Revised: 06/14. Effective: Immediately)*

Reconsideration

After the staff and/or Subcommittee on Data 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 may not consider requests with new or additional relevant information until the staff has reviewed the new information. Reconsideration requests filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. *(Revised 10/22. Effective: Immediately)*

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, loss of access to postseason competition or rewards. 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 or loss of access to postseason competition that has not yet been applied, it may request relief from the previous penalty or loss of access to postseason competition until the first day of class of the academic year in which the penalty and/or loss of postseason competition were to be taken.

If an institution discovers a correction that would place a team at a different level of the penalty progression (e.g., Level-One Penalty, first occasion loss of access to postseason competition), it may request relief from the previously earned progression.

To request relief, an institution must submit a written request to the NCAA staff and provide any necessary supporting documentation. Should staff deny a request, it may be appealed to the Subcommittee on Data. Adjusted data will be included in the calculation of the APR for the current academic year and any applicable subsequent years. The subcommittee's decisions are final and binding. *(Adopted: 07/06. Revised: 01/07, 08/15. Effective immediately to the 2014-15 APR cohort submitted fall 2015.)*

Academic Performance Program Head Coaches APR Portfolio

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 have an APR calculated in the database. A head coach designated as an "interim," will be included in the portal for the "interim" period, but no APR will be calculated for the interim coach.

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 before submitting the APR/APC data. If corrections are needed after the institution has submitted its APR/APC data, institutions may request changes during the seven-day correction phase. *(Revised: 10/16. Effective: Immediately)*

See Appendix 3I for questions and answers to assist the membership in its understanding of the data collection for head coaches.

Academic Performance Program Data Reviews

NCAA Constitution 3.2.4.4 and the Committee on Academics' policies and procedures require that all Division I teams and all institutions reclassifying to Division I submit APP data. All APP data submitted pursuant to Constitution 3.2.4.4 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. The committee has completed its first review of all APP data and has authorized a second cycle of data reviews. The subcommittee and staff will review the APR and GSR data of each selected institution.

Data Reviews Impact on Data Submission

APP processes should operate as one continuous process with APP data reviews serving as the entry point to data submission. Therefore, APP data reviews should be complete before an institution submits APR data each fall. For data reviews not completed by the fall APR submission due date:

1. Staff shall have the authority to extend an institution's APR data submission deadline until January 1 or 14 calendar days after completion of the data review, whichever is earlier; and
2. Any APR data corrections resulting from the data review that are confirmed by December 1 will be considered in determining the current multiyear APR and penalties. After December 1, no corrections discovered in the data review process will impact the team's current multiyear APR or APP penalties, other than those made during the institution's data correction phase.

Data Review Process

1. Selection.

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

- a. Reclassifying institutions;
- b. Institutions with substantial corrections during previous reviews;

- c. Elapsed time since the last review;
- d. Selection of institutions with teams near the APP penalty benchmarks;
- e. Warnings generated by the APP data collection program;
- f. Manual review of submitted data;
- g. Any data irregularities; and
- h. Random selection.

Additionally, the subcommittee can require an institution have a follow-up review based on one or more of the following factors (*Revised: 06/17. Effective: Immediately*):

- a. Failure to respond to staff/subcommittee requests;
- b. Lack of or incomplete policies and procedures;
- c. Lack of or incomplete eligibility certification forms;
- d. Misapplication of progress-toward-degree legislation;
- e. Eligibility recertification resulting in loss of APR eligibility points; and/or
- f. Other factors determined by the subcommittee.

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 or president informing them the institution has been chosen to participate in the APP data review process. This letter will also include:

- a. A link to the committee's APP data review procedures; and
- b. Request for primary and secondary contacts for the purpose of completing the review.

2. Responsibilities of the Chancellor or President.

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

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

3. Responsibilities of the Primary and Secondary Contacts.

The primary and secondary contacts serve as liaisons between the institution and the staff member. The duties of the primary and secondary contacts include:

- a. Facilitate the collection of requested documentation;
- b. Answer questions that arise during the review;
- c. Prepare the institution's response to the preliminary findings; and
- d. Carry out any actions required by the subcommittee because of the review.

4. Conference Office Involvement.

Conference office involvement in the APP data review process is optional. The conference office will receive copies of initial requests for information and the final report for the review.

The institution will inform the staff member of any additional conference office involvement in the process.

5. Third Party Involvement.

Third parties hired by the institution to assist with the data review process are permitted. However, all communication will take place between staff and the institutional contact. Staff will not communicate with third parties unless authorized to do so by the institution. Such authorization must include a signed statement from the director of athletics expressly granting permission for staff to communicate with the third party. If any third party attempts to contact staff about a data review, staff will direct that person back to the institutional contact.

6. 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, including providing all requested documentation and responding according to established timelines. During the review process, the staff has the authority to determine whether a more comprehensive review is required (e.g., increase sample size, expand the review). The subcommittee and staff have the authority to request additional information and establish deadlines for the institution to respond to the request for documentation. In addition, staff has the authority to determine that an on-campus visit is necessary. Staff will notify the institution of the need for such a visit.

7. 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:

- a. The purpose of the APP data review;
- b. Committee expectations regarding participation;
- c. The decision to include the institution in the review process;
- d. The APP data review procedures;
- e. Possible on-campus visits;
- f. General review timeline; and
- g. Possible outcomes of the APP data review.

Before the teleconference, the institution will receive an initial request for documentation. 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. *(Revised: 04/13. Effective: Immediately.)*

8. Preliminary Report.

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

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

9. Corrections to the Data.

Institutions are permitted to make corrections to its data after receiving the staff's preliminary report and reaching agreement with staff on the accuracy of the findings. All unresolved issues will be reviewed by the subcommittee.

10. Subcommittee Review.

The subcommittee will review the institution's preliminary report and responses. Please note the subcommittee may make any or all of the following findings:

- a. **No Action Required:** Based on the results of the review, the subcommittee considers the institution's APP data to be in substantial conformity with the applicable NCAA legislation and the Committee on Academics policies and procedures, and the institution is not required to take any action regarding its APP data in a particular area.
- b. **Recommended Action:** Based on the results of the review, the subcommittee considers the institution's APP data to be in general conformity with the applicable NCAA legislation and the Committee on Academics 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.
- c. **Required Actions:** Based on the staff's findings of the review, the subcommittee does not consider the institution's data to be in conformity with applicable legislation and the Committee on Academics policies and procedures. The institution will be required to take actions that will bring it in conformity.

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

11. Final Report.

The subcommittee will provide the institution with a final report of its findings. The report will provide the subcommittee findings in each area and any action for the institution regarding these findings. The subcommittee's decisions are final and cannot be appealed.

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.

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

If the institution fails to provide information or documentation within the stated period as requested by the staff or subcommittee, the institution's chancellor or president will be required to participate on a teleconference with the chair of the subcommittee and/or other individuals as deemed necessary. If the institution continues to fail to provide requested information or documentation to the staff or subcommittee in a timely manner, the subcommittee has the authority to deem the institution's data unusable. (*Revised: 04/13. Effective: Immediately.*)

13. 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.

Additionally, any APR data corrections resulting from the data review that are confirmed by December 1 will be considered in determining the current multiyear APR and penalties for the following academic year. After December 1, no corrections discovered in the data review process will impact the team's multiyear APR or APP penalties for the following academic year, other than those made through the data correction phase. (*Adopted: 02/12. Revised 06/15; effective for institutions selected for a data review during the 2014-15 academic year and beyond.*)

14. Ethical Considerations.

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

- a. 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, staff files and notes, and conversations with the institution.

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

15. Rules Violations.

NCAA member institutions are obligated to self-report all violations of NCAA legislation. The staff/subcommittee will advise the institution of any information discovered during the data review process concerning possible violation(s) of NCAA legislation and will remind the institution of its obligation to self-report violations. The staff/subcommittee may engage the enforcement staff at any time and share information obtained through the data review process.

If the staff/subcommittee has identified possible violations impacting current student-athletes, the staff/subcommittee may suspend the APP data review until the enforcement investigation is complete. The staff/subcommittee may use information gathered by the enforcement staff in the APP data review process. In addition, if the staff/subcommittee refers a potential violation to enforcement, the subcommittee may delay issuing all or part of its final report until the institution has determined whether a violation has occurred and the effect, if any, the violation has on the institution's APP data. (*Adopted: 06/14. Effective: Immediately.*)

16. Deadline to Notify Student-Athletes of Pending Postseason Ineligibility.

Institutions must notify student-athletes on teams potentially subject to postseason competition restrictions by June 1 in instances in which the institution's data review and/or APP waiver processes are incomplete. This policy permits student-athletes in their last season of competition to transfer, if desired, in accordance with current committee policies, even if the data review or waiver request has not been fully resolved. (*Adopted: 10/13. Effective: Immediately.*)

17. Waiver of the Deadline to Notify Student-Athletes of Pending Postseason Ineligibility.

The June 1 notification date can be appealed to the subcommittee in instances in which there are mitigating circumstances beyond the control of the institution that impact the timely resolution of the data review and/or waiver request. Such a request must be made in writing by the institution's chancellor or president. The subcommittee shall conduct its deliberations by videoconference, email or in person. Such deliberations shall involve only the subcommittee members and staff members.

Should the subcommittee deny such a request, an appeal of the subcommittee's decision would be considered by the chair of the committee and, in instances of a conflict of interest, by the vice chair of the committee. The appeal request must be submitted within seven calendar days of the receipt of the notification of the subcommittee's decision.

The chair's (or vice chair's) consideration of the appeal must be based on the following criteria: The institution must demonstrate that the subcommittee abused its discretion in denying the request. Abuse of discretion occurs when the subcommittee fails to follow NCAA legislation and/or established APP policies and procedures and the failure to adhere to legislation or policies that reasonably could have resulted in a different decision. The chair (or vice chair) has the ability to request clarification of any facts from the chair of the subcommittee.

The chair (or vice chair) will conduct a review on the paper record and the institution will not participate in the review. The chair (or vice chair) may approve or deny the appeal request. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided. (*Adopted: 10/13. Effective: Immediately.*)

18. Data Review On-Campus Visit

a. Notification.

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

b. 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, staff has the authority to modify the schedule as necessary within the established time period.

c. Introductory Meeting.

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 staff will be doing while on campus.

d. Education Sessions.

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 or to discuss the merits of the APP.

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.

e. Exit Meeting.

Staff will conduct an informal meeting at the end of the visit with the institution's chancellor or president and any other individuals at the chancellor or 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 that may be contained in the staff's formal written preliminary report. Finally, staff should provide information regarding the next steps in the process and the anticipated timetable.

f. Costs of the On-Campus Visit.

The costs related to APP data review will be shared by the institution and the NCAA. The institution is responsible for work-related needs (e.g., copiers, meetings rooms, computers, access, printers) for the staff member(s) during the visit, as well as 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

Unusable Data

An institution's data will be considered unusable if an institution fails to submit complete data, is unable to provide documentation to verify the validity of its APP data or fails to comply with staff and/or subcommittee requests on timelines during the data review. *(Adopted: 04/13. Effective: 04/13.)*

Any institution that has its data rendered unusable shall have until the following academic year to regain championship eligibility. Specifically, the institution will have until August 15 (for fall championship sports, winter championship sports and spring championship sport with fall competition used for championship selection) and October 1 (for spring championship sports) in the following academic year to rectify its unusable data and regain access to championships. *(Adopted: 10/14. Effective: 10/14.)*

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

1. All teams at the institution will be immediately rendered ineligible for postseason competition (e.g., NCAA championships, National Collegiate Championships, football bowl games, NIT, CIT, CBI). After the completion of the data review process, or when the subcommittee concludes that all required information has been provided by the institution and the accuracy of the data has been verified, all teams at the institution will regain access to postseason competition. [Note: A school or teams could be otherwise ineligible for postseason competition (e.g., due to enforcement issues or not meeting APP benchmark).]
2. Staff will conduct an on-campus visit unless a visit has occurred as part of the current APP data review process. The purpose of the visit is to review documentation supporting the institution's APP data and to conduct an educational session regarding APP data submission requirements and other topics as deemed necessary by the subcommittee and/or staff. Staff or subcommittee may conduct additional on-campus visit(s) as part of this process.
3. The institution will be placed in a one-year probationary period, which may include:
 - a. Recurring checks between 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 staff and/or the subcommittee;

- d. Submission of midyear academic data;
 - e. Expanded data review to include additional teams and/or academic years;
 - f. Ineligibility for public recognition of any high-performing teams and AASP monies until the APP data review is complete; and
 - g. Any additional corrective measures as determined by the subcommittee.
4. After the one-year probationary period, staff will conduct a follow-up visit to determine the reliability of the institution's APP data.

Subcommittee Review.

1. The subcommittee may review the institution's data review documentation, at any point during the probationary period, to determine whether the institution may regain postseason eligibility. The subcommittee may determine:
- a. The institution has provided the requested documentation, and/or the accuracy of the data has been verified. In this case, the institution's teams would regain access to postseason competition, but the institution would remain in the probationary period; or
 - b. The institution has not provided the requested documentation, the institution has provided incomplete information, and/or the inaccuracies remain in the data. In this case, the institution's teams would remain ineligible for postseason competition and the institution would remain in the probationary period.

The subcommittee's decision is final and cannot be appealed.

2. At the conclusion of the probationary period, staff will conduct an on-campus visit to determine the validity of the APP data. After the visit, the subcommittee will review the institution's data review documentation. The subcommittee may determine:
- a. The institution's APP data is usable. The institution and staff will confirm the institution's APP data and complete the data review process. The subcommittee will provide the institution with a final report and notify the chancellor or president in writing that the data review is complete.

- b. The institution's data remains unusable.

If the institution's teams previously regained access to postseason competition during the probationary period, the institution will be placed into another one-year probationary period and will be subject to conditions 2 through 4 listed above.

If the institution's teams did not regain access to postseason competition during the probationary period, the institution will be placed into another one-year probationary period and will be subject to conditions 1 through 4 listed above. In addition, institutional representatives, including the institution's president, may 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 will be provided to the Division I Council for its consideration. *(Adopted: 06/10. Effective for institutions selected for data review during the 2010-11 academic year and beyond. Revised: 04/13. Effective: Immediately. Revised 05/15. Effective Immediately.)*

- 3. At the end of a second probationary period, staff will conduct an on-campus visit to determine the validity of the APP data. After the visit, the subcommittee will review the institution's data review documentation. The subcommittee may determine:
 - a. The institution's APP data is usable. The institution and staff will confirm the accuracy of the institution's APP data. The subcommittee will provide the institution with a final report and notify the chancellor or president in writing that the data review is complete.
 - b. The institution's APP data is unusable. Institutional representatives, including the institution's chancellor or 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 will be provided to Division I Council for its consideration.

Final Report.

When the subcommittee determines the institution's data to be usable and that all requirements have been met, the subcommittee will provide the institution with a final report of its findings. The subcommittee findings are final and cannot be appealed. Please note, an institution's data review is not complete until the subcommittee notifies an institution's chancellor or president in writing that the review is complete.

Permission to Contact/Waiver of Transfer Residency.

If an institution's data are deemed unusable, the subcommittee has the authority to recommend a waiver of the transfer residency requirements for a student-athlete who has one season of eligibility remaining (if the transfer requirements are met), at its discretion, based on the facts of each institution's case. *(Adopted: 07/13. Effective: 08/13 for institutions with data deemed unusable on or after 08/01/13 and beyond. Revised: 8/18. Effective: Immediately)*

Committee on Academics Subcommittee on Data Interpretations

Interpretations

The Committee on Academics shall oversee all aspects of the APP. These responsibilities include interpreting all APP data legislation and policies and procedures, including, but not limited to those referenced in Bylaws 14, 15.01.8 and 18.4.2.3. The Committee on Academics has the exclusive authority to interpret and provide written interpretations for all aspects of the APP. Neither the NCAA Division I Interpretations Committee nor the NCAA Division I Committee 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 Academics shall render decisions related to legitimate interpretative inquiries 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 Academics 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.

Interpretive Request Process

1. Types of interpretations that can be issued:

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:

- a. 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.

- b. 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.
- 2. Receipt of the Interpretive Request.

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

- a. Referrals from the NCAA academic and membership affairs staff regarding the application of legislation, other interpretations and/or policies and procedures.
- b. Referrals from Division I governance entities (e.g., cabinets/committees) of issues related to the application of legislation and/or policies and procedures.
- c. 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 before filing an appeal of an APP penalty. Further, the interpretations process must be complete, including final review of any interpretive appeals, before 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.

3. 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, athletics director, faculty athletics representative, 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.

4. Staff and Committee/Subcommittee Interpretations/Legislation Review.
 - a. **Staff Review:** All interpretative requests must be forwarded in writing to the staff liaisons to the Committee on Academics. 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 Academics or one of its subcommittees will review all staff interpretations.
 - b. **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 Academics and/or a subcommittee of Committee on Academics based on the topical nature of the request. The committee and/or subcommittees shall review the following issues:
 - (1) **Subcommittee on Data:** 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 Academics chair for review.
 - (2) **Subcommittee on Penalties and Appeals:** All issues related to the imposition and/or appeal of Level-One and -Two penalties, any other matters related to appeals and all other matters referred to the subcommittee by the Committee on Academics chair for review.
 - (3) **Full Committee:** All issues related to the penalties and rewards structure. In addition, the Committee on Academics 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.)*
5. Meeting Protocol.

Committee meetings may occur in person, by videoconference, 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 before 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 videoconference by the chair of the committee or subcommittee.

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.

6. 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 LSDBi.

7. Review/Appeals.

The Committee on Academics shall review all interpretations issued by the subcommittees and may approve, reverse, or modify such interpretations. A member institution or conference may appeal a subcommittee(s)'s interpretation to the Committee on Academics within 30 calendar days following the subcommittee's decision. Such appeals must be submitted in writing by the institution's chancellor or president, athletics director, or faculty athletics representative and must set forth an interpretative argument as to why the decision of the subcommittee is erroneous.

The Committee on Academics interpretive decisions are final, and no additional appeal opportunity exists for a member institution or conference.

8. Ex Parte Communication.

To maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) before discussion by the committee.

APPENDIX 3A**NCAA Division I Academic Progress Rate
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 the student-athlete 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. The student-athlete 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 before Institution B's census date and before 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 their degree program. The student-athlete was considered enrolled full time by the institution but received no credit hours for the co-op program and will need a progress-toward-degree waiver 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 the student-athlete was on athletics aid. However, since the student-athlete earned no credit hours, they are 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 and 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.

Example No. 8: If a student-athlete uses an exception to the full-time enrollment requirement and then 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), how should an institution calculate the student-athlete's APR?

Answer: The student-athlete would not earn the eligibility point for the term in which the student-athlete enrolled in less than a full-time program of studies and failed to graduate. 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.

Example No. 9: A student-athlete transfers from Institution A to Institution B between their fourth and fifth semesters (or sixth and seventh quarters) without designating 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?

Answer: Yes. If a student-athlete leaves an institution or quits the team and remains at the institution without designating a degree at the time degree designation 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.

Example No. 10: 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). Does the student-athlete earn the fall eligibility point even though serving an academic year in residence?

Answer: Yes. 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.

Example No. 11: A student-athlete is a 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?

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

Example No. 12: A student-athlete is in the APR cohort in the 2015 fall semester; but in preparation for the 2016 summer Olympics, receives an international competition waiver and is not enrolled in the spring for the 2016 spring semester. Does the student-athlete lose the retention point?

Answer: No. The retention point would not be calculated and no adjustment would be needed. This is consistent with the calculation for student-athletes who are allowable exclusions to the graduation rate calculation or meet legislative 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 Academic Portal 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.

Example No. 13: A student-athlete is found to have violated the institution's academic policy by engaging in academic misconduct. However, the student-athlete remains in good academic standing at the institution in accordance with institutional policy. Does the student earn the APR eligibility point for the term?

Answer: No since the violation was an academic violation.

Legislative Exceptions and Allowable Exclusions.

Example No. 1: A student-athlete enrolls full time in 2016 spring term and would be eligible for the following academic term but is not retained due to participation in an official religious mission. How is the spring 2016 retention point considered?

Answer: As participation on an official religious mission is considered a legislated exception, the student-athlete's retention status for 2016 spring should be entered as "Legislated Exception/Allowable Exclusion." The student-athlete would be considered a "1/1."

Example No. 2: A student-athlete enrolls full time in 2015 fall term, but before completing the term the student-athlete dies. Is the student-athlete included in the APR cohort?

Answer: Yes. A student-athlete who passes away during the term is included in APR for that term. The retention at the end of the term should be entered as "Legislated Exception/Allowable Exclusion" with the reason for non-retention listed as "Death or Permanent Disability." The student will earn the eligibility point and will be considered "1/1."

Example No. 3: A student-athlete enrolls full time in the 2015 fall term and becomes pregnant during the term. The student-athlete earns the eligibility point but does not return for the 2016 spring term. How is the student-athlete's 2015 fall retention point considered?

Answer: As pregnancy is considered a legislated exception, the student-athlete's retention status for 2015 fall should be entered as "Legislated Exception/Allowable Exclusion." The student-athlete would be considered a "1/1."

Incomplete Grades – Examples of Posting for APR Calculation

Example No. 1: A basketball student-athlete receives athletically related financial aid during the 2018-19 academic year. At the end of the 2019 summer term, the student-athlete received an "incomplete" in one class that must be completed for them 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 2013 summer term. How would this be reflected in the APR?

Answer: If the grade was posted before 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 2018-19 academic year. At the conclusion of the 2018 fall term, the student-athlete received an "incomplete" in one class and is ineligible for the spring term. This student-athlete completes the class in a summer 2019 term. How is this reflected in the APR?

Answer: 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 later term.

Therefore, this student-athlete would not have earned the eligibility point for the 2018 fall term, regardless of the term in which the completed course grade was applied.

Five- and Six-Year Degree Programs – Examples of APR Calculation

Example No. 1: How are APR points awarded for student-athletes enrolled in five- and six-year degree programs?

Answer: 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.

Example No. 2: A student-athlete enrolls in a five- or six-year degree program

during the last term of their fifth year. How is the APR eligibility point determined for this student-athlete in that 10th term?

Answer: 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 their fifth year will be awarded a point for eligibility in the last term, provided the student-athlete meets the academic requirements outlined below.

Example No 3: 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, the student-athlete has completed all the academic requirements of their degree except for the two required rotations. How is the APR eligibility point determined for this student-athlete?

Answer: The institution may award the eligibility point for this student-athlete because the student-athlete has completed all the requirements for the designated degree program for years one through five and has only the requirements for the sixth year remaining.

Delayed-Graduation Points

Example No. 1: A former student-athlete departs the institution without completing an undergraduate degree. The student-athlete earns an undergraduate degree at a second institution. The student-athlete returns to the original institution and graduates with a second undergraduate degree. Does the student-athlete qualify for a delayed- graduation point?

Answer: Yes, if the student-athlete is considered graduated at the original institution and the student-athlete meets all other delayed-graduation point criteria.

Example No. 2: A former student-athlete completed an undergraduate degree and exhausted eligibility while pursuing a graduate degree. The student-athlete departed the institution without completing the graduate degree. The student-athlete later returned, completed the graduate degree and graduated from the institution. Does the student-athlete qualify for a delayed-graduation point?

Answer: Yes, if the student-athlete is considered graduated by the institution and meets all other delayed-graduation point criteria.

APPENDIX 3B**Frequently Asked Questions on NCAA
Division I Academic Progress Rate
Cohort Composition****Noncounters on Athletics Aid in the NCAA Division I Academic
Progress Rate Cohort**

Question No. 1: Do medical noncounters, and noncounters, aided after the departure of a head coach have to re-enroll full time to earn the retention point?

Answer: Yes. Retention for a student-athlete requires full-time enrollment unless they meet 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-athlete included in the cohort? What if a medical-absence waiver was never submitted because the student-athlete did not return to the institution?

Answer: This student-athlete is in the cohort since they 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 NCAA Division I Academic Progress Rate 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 later found to have been provided impermissibly 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 the student-athlete's test score and the student-athlete 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 in the APR cohort, since 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, the student-athlete will enter the APR cohort for those terms during which the student-athlete receive athletics aid.

Question No. 2: If a student-athlete begins the spring term full time and on athletics aid, but then drops to 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 before 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) may be addressed through the APR adjustment process.

Student-Athletes Who Quit Nonscholarship Teams

Question: Is a student-athlete who quits a nonscholarship team at the end of the fall term included in the spring cohort?

Answer: No. The student-athlete will not be included in the APR cohort during the spring term since the student-athlete was not on the team. For teams not awarding any athletics aid, a student-athlete is considered in the cohort if they are on the team at any point on or after the first date of competition during that term only.

Recruited Student-Athlete Whose Standardized Test Scores Are Invalidated – Nonscholarship Teams.

Question: 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: 10/08. Effective: 10/08 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: 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, are they in the APR cohort in the spring term?

Answer: No, the student-athlete will not be included in the APR cohort

during the spring term since no athletically related financial aid was received. Because the student-athlete received athletically related financial aid for the fall semester, they will be included in the team's APR for that term only

Student-Athletes Receiving Preseason Expenses or Summer Athletics Aid

Question: Does the receipt of preseason expenses or athletics aid during a summer term trigger a student-athlete's inclusion in the cohort?

Answer: No, 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: If a student-athlete is offered and accepts athletically related financial aid contingent on satisfying some nonathletics criteria before receiving any athletics aid, are they in the APR cohort?

Answer: Yes, if 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(s), whether the stated nonathletics criteria are met or not. *(Adopted: 07/08. Effective: 07/08 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: No, 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 receives athletics aid from the NCAA degree-completion program be included in the APR cohort?

Answer: No, receipt of funds from the NCAA degree-completion program would NOT result in the student-athlete being included as part of the cohort.

Question No. 3: Should a student-athlete who receives dollars from the NCAA Student Assistance Fund to cover "other expenses related to attendance" (i.e., regular term expenses other than tuition and fees, room and board and required course-related books) be included in the APR cohort?

Answer: No.

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

Question No. 1: If a student-athlete is granted a medical-absence waiver per NCAA 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 the student-athlete's return in the spring term, is this student-athlete included in the cohort?

Answer: 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.

Question No. 2: A student-athlete in the APR cohort withdraws from the fall term for a serious medical condition and would qualify for a medical-absence waiver. In order to adjust the lost point(s) from the fall term, is an institution required to submit a medical-absence waiver to their conference office?

Answer: No. The institution could address the lost points through the APR adjustment process without obtaining a medical-absence waiver

from its conference.

Question No. 3: A student-athlete withdraws from the 2021 fall term. The student-athlete is awarded a medical-absence waiver for the fall term. Using the prorated nine-hour standard from the medical-absence waiver, the student-athlete meets all academic eligibility requirements. Does the student-athlete earn the eligibility point?

Answer: Yes. The student-athlete's eligibility status should be entered as "Yes." If the student-athlete does not meet all academic eligibility requirements using the prorated nine-hour standard from the medical-absence waiver, the student-athlete's eligibility status should be entered as "Medical Absence." This triggers an automatic adjustment in the Academic Portal.

Student-Athletes Receiving Retroactive Athletics Aid

Question: Should student-athletes who receive athletics aid during the spring term of a given year, but the aid is made retroactive to the beginning of the academic year, be included in the APR cohort for the fall term in addition to the spring term?

Answer: Yes, a student-athlete would be included in the APR cohort for any term in which the student-athlete receives retroactive athletics aid.

APPENDIX 3C**Frequently Asked Questions on
Impact of Graduation on
NCAA Division I Academic Progress Rate**

Question No. 1: May a student-athlete use the summer after their 10th semester/15th quarter to graduate and earn the eligibility point for the 10th semester/15th quarter?

Answer: Yes, a student-athlete may use summer hours finished after their 10th semester/15th quarter to complete graduation requirements and be considered a spring graduate if the requirements are completed before the beginning of the next regular academic term.

Question No. 2: May a student-athlete return to the institution in the fall term (11th full-time term) to graduate and earn the retention point?

Answer: Yes, if the student-athlete returns full time in the fall term, they will earn the retention point. The student-athlete's APR points would be recorded as "1/2" for the prior spring term because they did not graduate in their 10th semester/15th quarter. If the student-athlete graduates that fall term, they may earn a delayed-graduation point for the team provided the criteria are met.

Question No. 3: Is a student-athlete who uses the missed-term exception required to graduate within five years of enrollment in order to earn the eligibility point?

Answer: No, for NCAA Division I Academic Progress Rate 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: Does a term in which a student-athlete is enrolled part time due to a progress-toward-degree waiver count in the requirement to graduate within five years of full-time enrollment?

Answer: Yes, 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 semesters of their academic career. These two terms would count toward their 10 semesters of full-time enrollment.

Incomplete Grades – Graduation

Question No. 1: A student-athlete receives an incomplete grade summer 2021 (spring 2021 was their 10th full-time semester of collegiate enrollment). They then completed all the necessary coursework to remove the incomplete grades and graduation was posted to summer 2021. Will the student-athlete earn the eligibility and retention point for 2017 spring semester?

Answer: Yes, if the student-athlete finished the incomplete before the APR submission date and, per institutional policy, the grade for the course was posted on the 2021 summer term—adding the credit hour(s) necessary for graduation—they earned the eligibility point for spring 2021 once that grade was posted, and the institution considers the student-athlete a graduate in the previous term. However, if the grade was posted after the APR submission date, the student-athlete would not earn the 2021 spring eligibility or retention point. The institution may award a delayed-graduation point for the student-athlete during the next academic year's APR data submission.

Question No. 2: A student-athlete is required to complete an internship before graduation. The 2021 spring semester is their 10th full-time semester of enrollment. They register for the internship during the summer, take an incomplete and plan to complete the internship in the fall semester. The student-athlete will not be enrolled during the fall term. Will they earn the spring eligibility and retention points?

Answer: If the internship is not completed before the APR submission date, the student-athlete will not earn the 2021 spring eligibility or retention points.

Delayed-Graduation Points

Question: May an institution earn a delayed-graduation point for a student-athlete who departed the institution before the current multiyear cohort?

Answer: Yes. A student-athlete must graduate during the current multiyear cohort to be awarded a delayed-graduation point, but the last term of enrollment may be from any previous academic year. For example, an institution may earn a delayed-graduation point for a student-athlete who departed the institution 10 years ago if the student graduates during a year in the current multiyear cohort. Please note, the student-athlete must meet all other delayed-graduation point criteria.

Other Graduation Calculation Issues

Question No. 1: A student-athlete was enrolled in the 2020 fall semester, was not retained for the 2021 spring semester and then graduated summer 2021. Will they earn the eligibility and retention points for the 2020 fall semester?

Answer: Yes, because the student-athlete is considered a graduate before the start of the next academic year (in this case, fall 2021), they would be a "2/2," reflected as a graduate for the 2020 fall term, though technically they graduated summer 2021. 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.

Question No. 2: A student-athlete completed all coursework for graduation in the 2020 fall semester, but graduation was not conferred until the 2021 spring semester. Will they earn the eligibility and retention points for the 2020 fall semester?

Answer: Yes, because the student-athlete completed all graduation requirements (administrative and academic) before the start of the next academic term (in this case, spring 2021), they would be a "2/2," reflected as a graduate for the 2020 fall term, though technically they "graduated" in spring 2021.

Question No. 3: A student-athlete had four units remaining for graduation after fall 2021. They completed the four units at a two-year college in the winter intersession, transferred those credits back to the original

institution and graduated in the 2022 spring semester. Will they earn the eligibility and retention points for the 2021 fall semester?

Answer: Yes, because the student-athlete graduated before the start of the next academic year (in this case, fall 2022), they would be a "2/2," reflected as graduated for the 2021 fall term, though technically they graduated in spring 2022.

Question No. 4: A student-athlete received all incomplete grades for the 2020 fall semester, which was their 10th full-time semester of collegiate enrollment. They then completed all the necessary coursework to remove the incomplete grades and graduated in the 2021 spring semester. Will they earn eligibility and retention points for the 2020 fall semester?

Answer: Yes, if the student-athlete is considered a graduate before the start of the next academic year (in this case fall 2021), then they would be a "2/2," reflected as a graduate for the 2017 fall term, though technically they graduated summer 2021.

Question No. 5: After four years of enrollment, a student-athlete completed all coursework for graduation during summer 2020. However, the institution does not confer degrees during the summer. The student-athlete does not return to the institution for the next fall. Will they earn the retention points for the 2020 spring semester?

Answer: No, the student-athlete is not considered graduated and would not earn the retention point. A student-athlete is considered "graduated" for purposes of the APR if they completed all graduation requirements (e.g., academic and administrative) and are considered by the institution to have graduated. The student-athlete's lost APR point may be addressed through the adjustment process.

Question No. 6: A student-athlete graduated from Institution A with eligibility remaining, transferred to Institution B per NCAA Bylaw 14.6 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 they received athletics aid.

2. Through the 2019-20 data year, the student-athlete will automatically receive the retention point for each semester that student-athlete continues after graduation (will be reflected as Post/Bac in the NCAA Academic Portal). Beginning with the 2020-21 data year (fall 2021 submission date), retention is no longer collected for student-athletes who continue enrollment after graduation.
3. The student-athlete will receive the eligibility point if they meet NCAA, conference and institutional requirements for graduate student-athletes (e.g., Bylaw 14.4.3.6-c).

The eligibility point will be earned based on meeting whatever academic eligibility rules are applicable (i.e., six hours).

Question No. 7: A student-athlete attends an institution for five years, exhausts their eligibility but does not graduate. Does the student-athlete earn the eligibility point in their 10th full-time semester of enrollment?

Answer: No, the student-athlete will not earn the eligibility point in their 10th full-time semester because they did not graduate.

Question No. 8: A student-athlete only needed a few credits to graduate in spring 2021 and, thus, enrolls less than full time. Will they earn the retention point for the 2020 fall term?

Answer: Taking only those courses required to graduate is a legislated exception to the full-time enrollment legislation (Bylaw 14.2.2.1.3). If the student-athlete meets this bylaw, they meet an exception to the full-time enrollment legislation and, therefore, are considered retained. Additionally, the student-athlete also must be included in the cohort during the spring term.

Question No. 9: Following the completion of the fall term, a student-athlete graduates and exhausts their 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: No, the student-athlete would not be in the APR cohort for the spring. Student-athletes who have graduated and 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.

Question No. 11: A student-athlete graduates from Institution A during the fall term and returns to the institution to complete their 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?

Answer: The eligibility point is earned if the student-athlete is academically eligible to compete in the next academic term (e.g., passes at least six hours of degree credit, remains in good academic standing).

APPENDIX 3D

Frequently Asked Questions on NCAA Division I Academic Progress Rate Cross Country/Track and Field Cohort Composition

Question No. 1: When did the new cohort definition for cross country and track and field go into effect?

Answer: Data submitted in the fall of 2015 for the 2014-15 academic year was submitted using the new cohort definitions for cross country and track and field.

Question No. 2: If a student-athlete is on both the indoor and outdoor track and field squad lists for a reporting year, will the student-athlete be counted twice in the track cohort?

Answer: No, the student-athlete will be counted only once for the track cohort. The student-athlete may also be included in the cross country cohort if the definition is met.

Question No. 3: How do I make sure a student-athlete is included in the correct track or cross country cohort in the NCAA Academic Portal?

Answer: Student-athletes must be noted as indoor and/or outdoor track and field in the Academic Portal. For example, institutions must select women's track, indoor and women's track, outdoor as the sports in which the student-athlete participated on the student-athlete details screen. However, the NCAA Division I Academic Progress Report will only list a men's track and field APR and women's track and field APR. If a student-athlete also competes in cross country, that sport should also be selected for the student-athlete. To ensure that the student-athlete is counted as part of any or all of these cohorts, set the athletics aid field to **YES** for each sport.

Question No. 4: How is the Head Coaches APR recorded for cross country and track?

Answer: Coaches must be reported as indoor and/or outdoor track and field coach. However, starting with the 2014-15 data, the APR associated with the coach represents the new APR cohort definition, even if the coach only was the head coach of one of the teams.

Question No. 5: If a track team falls below the penalty benchmark and later loses access to postseason competition, will the team be ineligible for postseason in both indoor and outdoor track and field?

Answer: Yes. Further, student-athletes who are members of the track team may not qualify as individuals for any postseason competition. Lastly, any NCAA Division I Academic Performance Program penalties (e.g., reduction in out-of-season countable athletically related activities) shall be applied to both indoor and outdoor track and field teams.

Question No. 6: Does this change impact Graduation Success Rate data collection and reporting?

Answer: No.

Question No. 7: Which multiyear APR will be used to determine whether a team is required to develop an APR improvement plan or not?

Answer: The APR that is used to determine a team's penalty status.

APPENDIX 3E

NCAA Division I Academic Progress Rate Adjustment Requests for Student-Athletes Who Transfer

Transfers within the APR

The NCAA Division I Committee on Academic Performance approved an automatic adjustment to the calculation of the NCAA Division I Academic Progress Rate to discount the lost retention point when a student-athlete transfers. Requests for transfer student-athletes who meet all criteria for the automatic adjustment of the retention point should be submitted at the same time as an institution's APR data through the NCAA Division I Academic Portal. If the criteria are met, the adjustment is applied immediately. If the automatic adjustment criteria are not met, the institution may submit an adjustment request for staff review using the adjustment tab of the academic portal.

Student-Athletes Transferring to a Four-Year School.

The criteria for the automatic transfer adjustment of the retention point for a student-athlete that transfers to a four-year institution are (*Adopted: 10/16. Revised 6/20. Effective: Immediately for 2020-21 data and beyond; not retroactive.*):

1. The student-athlete earned the eligibility point in the last term of enrollment before transfer (If the eligibility point was lost and adjusted, the student-athlete did not earn the point.); and
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; and

Student-Athletes Transferring to a Two-Year School.

The criteria for the automatic transfer adjustment of the retention point for a student-athlete that transfers to two-year institution are:

1. The student-athlete earned the eligibility point in the last term of enrollment before transfer (If the eligibility point was lost and adjusted, the student-athlete did not earn the point.);

2. The student-athlete immediately transferred to a two-year institution. This requires full-time enrollment at the new institution at the next available regular academic term; and
3. At the time of departure, the student-athlete presents a cumulative grade-point average at the original institution of at least 3.300. (*Adopted: 02/17. Effective: Immediately, retroactive to any year in the current multiyear cohort.*)

Transfer Adjustments for Staff Review.

When the lost retention point does not qualify for an automatic transfer adjustment, the institution can request the NCAA staff review the adjustment. The adjustment directive in Appendix 3F includes details on the staff review of transfer adjustments.

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The following information contains questions and answers to assist the membership in its understanding of the APR adjustment directive for student-athletes who transfer.

Question No. 1: When are these adjustment requests submitted?

Answer: APR adjustment requests that meet all the criteria for the automatic adjustment of the retention point for a student-athlete who transfers are submitted as part of APR data collection. Once an institution submits its data, the lost points will automatically be calculated and reflected in a team's APR. Institutions do not have to submit any documentation or requests for these types of adjustments to the NCAA national office but must maintain documentation on campus that indicates that the student-athlete met the criteria for the adjustment.

Question No. 2: What do I do if I have a transfer student-athlete who meets all the criteria for the automatic adjustment to the retention point, but I already submitted my APR data?

Answer: Your institution should update this during the correction period.

Question No. 3: If a student-athlete transfers immediately to a college or university located in a foreign country, is that considered a four-year institution?

Answer: Yes, it would be considered a four-year institution. Documentation would need to be obtained to verify that the student-athlete immediately enrolled full time at the foreign institution since leaving your institution.

Question No. 4: For a student-athlete who initially transferred into our institution, is the grade-point average criteria for the adjustment when the student-athlete transfers to a two-year school based only on the work the student-athlete completed at our institution or a combination with the previous institution?

Answer: The grade-point average for the adjustment criteria is the grade-point average used for certification at your institution for graduation purposes.

Question No. 5: When a student-athlete transfers from our institution, does the student-athlete need to be enrolled immediately in the next regular academic term as a full-time student?

Answer: Yes, documentation would need to be obtained to verify that the student-athlete immediately enrolled full time in the next regular academic term for that institution.

Question No. 6: If the student-athlete does not meet all criteria for an automatic transfer adjustment, are institutions permitted to submit adjustment requests?

Answer: Yes. However, if the one criterion not being met is part “a” (the requirement that the student-athlete earned the eligibility point in the last term of enrollment), they do not qualify for the transfer adjustment. If the one criterion not being met is part “b” or part “c” for a transfer to a two-year school, then documentation supported mitigation should be provided with the request for staff review. Note that all transfer adjustment requests must include a student-athlete grade-point average that is within .100 of the automatic adjustment grade-point average requirement to be reviewed. The institution may always consider requesting a different type of adjustment if the grade-point average deficiency is greater.

Question No. 7: If a student-athlete departs our institution at the end of the spring term with a 3.2580 grade-point average, attends summer school at the new institution and transfers the class back to our institution to raise his grade-point average to above 3.300, may we receive the automatic adjustment for the lost retention point, provided all other criteria are met?

Answer: Yes, provided those credits are accepted by the original institution and are calculated into the grade-point average per institutional policy.

Question No. 8: If a student-athlete attends summer school or mini-term that is completed at a different institution other than where the student-athlete is transferring to, and our institution accepts the credit and the grade raises the student-athlete's grade-point average to 3.300 before he or she formally withdraws from our institution, may we receive the automatic adjustment for the lost retention point, provided all other criteria are met?

Answer: Yes since the student-athlete presented a cumulative grade-point average of 3.300 or higher at the time of transfer from your institution.

Question No. 9: What type of documentation is needed to document the transfer and enrollment at the second institution?

Answer: It is recommended that the institution secure documentation such as a transcript, letter from a school official on institutional letterhead, class schedule or any other type of official document to demonstrate that the student-athlete did immediately transfer to another four-year institution and was enrolled full time. Signed documentation from an institution's director of athletics, senior women administrator, compliance coordinator or faculty athletics representative is also acceptable. Other acceptable forms of documentation would include a signed matriculation statement from the second institution's certifying officer, registrar's office and any other institutional academic official outside the athletics department. Documentation from a state or government agency would also be acceptable. A copy of the team's roster, which includes the student-athlete's name, would not be considered acceptable documentation.

Question No. 10: How long should an institution retain documentation for transfer student-athletes awarded the automatic transfer adjustment?

Answer: It is recommended that the institution retain such documentation for as long as the transfer student-athlete is included in the team's multiyear APR cohort. Please note, the documentation is not submitted to the national office and should be kept on file on campus. However, the documentation will be requested if an institution is selected for an APP data review.

Question No. 11: What does it mean to transfer "immediately to another institution"?

Answer: A student-athlete must enroll full time at another institution in the next available regular academic term. For example, a student-athlete who departs an institution following the completion of the 2021 spring term

must be enrolled full time at another institution by the start of the 2021 fall term to qualify for the adjustment.

Question No. 12: What do I do if I was unable to obtain documentation for a student-athlete who transfers; however, later I was able to secure it, but we have already completed the data collection process and our APR report is final?

Answer: Submit a correction request during the following year's data collection process.

Question No. 13: What is included in the rigorous review of academic factors for transfer student-athletes who move on to a two-year school and don't meet the grade-point average requirement?

Answer: The staff will review academic factors (e.g., number of transferable credit hours accepted by the next institution and applicable to the student-athlete's designated degree program, positive trends in the student-athlete's academic performance) and any other information provided by the institution that indicates that the transfer student-athlete will be academically successful at the next institution.

APPENDIX 3F**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. Current data indicate that retention remains an important predictor of a team's Graduation Success Rate (GSR).
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 a student-athlete to receive "credit" for every term they return, even if they eventually transfer or are not retained for any reason. This "partial credit" model has been a significant improvement over the Federal Graduation Rate and is a very important consideration when assessing eligibility plus retention for the APR calculation.

The NCAA Division I Committee on Academics has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academics Subcommittee on Data in creating automatic adjustment criteria and reviewing APR adjustment requests. The committee recognizes there may be some legitimate reasons why student-athletes are not retained and/or do not maintain academic eligibility; and in these instances, a student-athlete's lost points may 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 documented mitigating circumstances surrounding the lost point(s) are beyond the control of the student-athlete and/or the team/institution. If the circumstances are found to be within the control of the student-athlete or the team/institution, the request is likely to be denied.

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 "1/1," or the "0/2" becomes a "0/1" or "0/0." Please note some adjustment criteria **require the earning of the eligibility point for the request to adjust the lost retention point to be considered.** If the eligibility point was lost and adjusted the student-athlete did not earn the point.

Automatic Adjustment.

Automatic adjustments are adjustments for any lost point(s) that institutions can self-apply when completing data entry without submitting an APR adjustment request to staff. While no documentation is submitted to NCAA staff, the institution should maintain the supporting documentation on campus. These automatic adjustments are indicated within the student-athlete's academic details page of the Academic Portal.

In the event an automatic adjustment is applicable, but was not applied, the institution must **submit a correction request, not an adjustment request through the Academic Portal.** The correction request will allow staff to apply the automatic adjustment, as the institution would have done on campus. Supporting documentation will be required to complete the correction request.

If the below criteria for an automatic adjustment are met, an APR adjustment request for staff is not required, and the institution may apply the automatic adjustment.

Automatic Adjustments for Lost Eligibility Points.

1. Medical-absence waiver. The institution has received an approved medical-absence waiver from the conference office (or in the case of an independent institution, from the NCAA Division I Progress-Toward-Degree Waivers Committee), which coincides with the term(s) in which student-athlete lost the APR eligibility point(s). An approved medical absence waiver prorates the 18/27 credit-hour requirement to nine (9) credit hours per actual term(s) of attendance during the academic year.

Portal Application: The application of the medical absence waiver, for APP purposes, requires institutions to do an analysis to determine if the student-athlete can meet the prorated credit-hour requirement as well as all other applicable progress-toward-degree requirements in the term(s) of attendance.

- a. If the student-athlete can be certified as meeting all applicable progress-toward-degree requirements using the medical absence waiver, the student-athlete is considered to have earned the eligibility point and should be marked as "Yes" in response to the question "Was

the student academically eligible?”

- b. If, even with the prorated requirement, the student-athlete cannot be certified as meeting all applicable progress-toward-degree requirements, the student-athlete is considered to have lost the eligibility point and should be marked as “Medical Absence” in response to the question “Was the student academically eligible?” which provides an automatic adjustment to the lost point. Please note that medical absence waivers are only applicable to the eligibility point, and lost retention point must be addressed via the adjustment process (*Revised June 2020. Effective immediately*).

Note: If a medical-absence waiver has not been approved by the conference office, the institution may submit an adjustment request for staff consideration. (*Adopted: 02/10. Revised: 10/16. Effective: Immediately.*)

Automatic Adjustments for Lost Retention Points.

1. Missed term. Once during a student-athlete's career, an institution may apply an APR adjustment to a lost retention point based on the following criteria:
 - a. The student-athlete must meet all criteria for the missed-term exception as outlined in NCAA Bylaw 14.4.3.6-(a):
 - i. The student-athlete did not attend class during a regular academic term while enrolled in a full-time program of studies;
 - ii. The student-athlete engaged in no outside competition in the sport during the academic term or terms in which the student-athlete was not in attendance; and
 - iii. At the time of certification, the student-athlete has fulfilled the progress-toward-degree requirements (per Bylaw 14.4.3.1) for the term in which the student-athlete was in attendance.
 - b. The student-athlete must have returned to the institution as a full-time student in a later term; and earned the eligibility point in the last term of enrollment before departure. (Note: A student-athlete is required to earn the eligibility point. If the eligibility point was lost and adjusted the student-athlete did not earn the point.)

Portal Application: The institution should select "Missed Term" as the outcome for the student-athlete's retention point in the Academic Portal and respond to the questions that appear. If the institution cannot answer "yes" to all the questions, the automatic adjustment will not be applied, and the institution may submit an adjustment request for staff consideration. *(Adopted: 04/07. Effective: 04/07 for the 2006-07 APR cohort and beyond; not retroactive to any prior year cohorts)*

Note: Adjustments to the application of the missed term legislation made during 2020-21 due to COVID apply to the retention adjustment criteria for 2020-21 data as well.

2. Professional athletics 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. If the eligibility point was lost and adjusted the student-athlete did not earn the point.). Such participation must occur before the fifth week of classes or census date, whichever is earlier, of the next academic year and must be demonstrated by documentation as listed below. If the professionalization process was impacted by COVID-19, and the institution cannot document that the student-athlete met the criteria by the specified date, the institution cannot apply the automatic adjustment and must file a staff-processed adjustment request. Acceptable documentation includes:
 - a. Signed contract with a professional sports team or organization;
 - b. Established pattern of acceptance of prize money for competition;
 - c. Documented declaration of intent to compete as a professional in an individual sport (e.g., tennis, golf); or
 - d. 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:

- a. Signing a contract with an agent;
- b. Signing a commercial endorsement agreement;
- c. Declaring for a professional sports draft; or

- d. Participating in professional sports tryouts.

Portal Application: If the student-athlete meets the above criteria, the institution should select "Professional Athletics" as the outcome for the student-athlete's retention point in the Academic Portal and respond to the questions that appear. If the student-athlete does not meet all the criteria, the institution may submit an adjustment request for staff consideration. (*Revised: 10/16. Effective: Immediately.*)

- 3. Transfer. The student-athlete was not retained because they transferred to another institution and meets the following criteria: (*Revised July 2021. Effective immediately for the 2020-21 data and beyond. Not retroactive to any data year before 2020-21.*)
 - a. The student-athlete earned the eligibility point in the last term of enrollment before transfer (If the eligibility point was lost and adjusted the student-athlete did not earn the point.);
 - b. If transferring to a two-year institution the student-athlete presents a cumulative grade-point average at the original institution of at least 3.300. The required cumulative GPA must be presented by the start of the next regular academic term at the new school; and (*Revised June 2020. Effective immediately, retroactive to any year in the current multiyear cohort*)
 - c. The student-athlete immediately transferred to another two-year or four-year institution. This requires full-time enrollment at the new institution at the next available regular academic term.

Portal Application: The institution should select "Transfer" as the outcome for the student-athlete's retention point in the Academic Portal and respond to the questions that appear. If the institution cannot answer "yes" to all the questions, the automatic adjustment will not be applied, and the institution may submit an adjustment request for staff consideration. (*Adopted: 10/16. Effective: Immediately. Revised: 10/17. Effective: Immediately, retroactive to any year in the current multiyear cohort.*)

Staff Processing.

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 approve eligibility and/or retention

adjustment requests as appropriate, depending on the unique circumstances of the request.

All APR adjustment requests are submitted through the Academic Portal. When submitted, the APR adjustment request is assigned to a NCAA adjustment team staff member. The staff member serves as a contact for the institution and reviews the request and all supporting documentation. Should additional documentation be required, the staff member will initiate contact with the institution to make a request of the documentation. The institution is given a deadline for providing the requested additional documentation. The APR adjustment request is processed with the documentation available to staff. Once decided, the institution will receive a decision email.

Appeals and Reconsiderations.

If the APR adjustment request is denied by staff, the institution is permitted to appeal the staff's decision. The appeal request is initiated by the institution through the Academic Portal. The request must be initiated within **five (5) calendar days** of the staff's decision and a signature page must be provided. The appeal is heard by the Subcommittee on Data. Once decided, the institution will receive a decision email. Appeals filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (*Revised 10/22. Effective: Immediately*)

Additionally, an institution is permitted to request the staff reconsider APR adjustment requests that were previously denied **if** either of the following occur:

1. The institution can provide new information, not previously considered, to staff that may impact the outcome of the original APR adjustment request; or
2. The APR adjustment directive is updated, and the update may impact the outcome of the original APR adjustment request.

An institution may not request retroactive relief from penalties or loss of access to postseason competition or retroactive incentives based on an adjustment to data made in later academic year(s). Requests for reconsideration will not be heard by the subcommittee until the staff has reviewed and considered the request. Reconsideration requests filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (*Revised 10/22. Effective: Immediately*)

Circumstances that Do Not Warrant an Adjustment of the Retention and/or Eligibility Points.

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 departed the institution due to lack of playing time or desire to play for a different coach.
2. Student-athlete departed the institution due to a coaching change.
3. Student-athlete departed the institution because they were placed on academic suspension.
4. Student-athlete departed an institution or did not meet academic requirements because of disciplinary actions taken at the institution, because of the student-athlete's behavior (e.g., crime, academic fraud, dismissed from team, positive drug test).
5. Student-athlete departed an institution because their team is subject to disciplinary measures (e.g., infractions sanctions).
6. Student-athlete departed an institution because their athletically related aid was not renewed or was reduced.
7. Student-athlete did not meet academic requirements because of their participation in a professional sport(s) as a vocation.
8. Student-athlete was not eligible or retained because of their involvement with name, image and likeness activities. (*Adopted July 2021; effective immediately.*)

Circumstances Warranting an Adjustment Request.

These APR adjustment requests are submitted to staff through the Academic Portal. Adjustment requests will be approved only if stated conditions described below are met.

Eligibility.

A student-athlete who was not academically eligible to compete in the next regular academic term due to circumstances outside of their control and failed to earn the eligibility point may be considered for an adjustment in the following situations. In all circumstances, contemporaneous documentation must be included. When 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:

1. An incapacitating injury or illness to the student-athlete or an immediate family member that is clearly supported by contemporaneous medical documentation. *(Revised June 2020. Effective immediately, retroactive to any year in the current multiyear cohort)*
 - a. Physical health. The documentation must clearly indicate that a student-athlete was unable to be academically successful as a result of the physical injury or illness impacting the student-athlete or an immediate family member.
 - b. Mental health. The documentation must clearly indicate that a student-athlete was unable to be academically successful as a result of the mental health issues impacting the student-athlete or an immediate family member.
2. A natural disaster (e.g., earthquakes, floods).
3. 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.
4. Harassment. This circumstance must be clearly supported by contemporaneous objective documentation (e.g., police report).
5. Participation in the following Olympic or international competition supported by contemporaneous documentation:
 - a. Official Pan American, World Championships, World Cup, World University Games and Olympic training, tryouts and competition (or the junior level equivalent competition); *(Revised: 02/17. Effective: Immediately, retroactive to any year in the current multi-year cohort.)*
 - b. Officially recognized training and competition, qualifying for final Olympic tryouts; or
 - c. 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 (or the junior level equivalent competition). *(Revised: 02/17. Effective: Immediately, retroactive to any year in the current multi-year cohort.)*

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. *(Adopted: 04/09. Effective 04/09 for the 2008-09 APR cohort, retroactive to any prior year cohorts.)*

6. Other unforeseen events and/or circumstances, supported by contemporaneous documentation, beyond the student-athlete's and/or institution's control that led to lost eligibility point in a term.
7. 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). The analysis is dependent on contemporaneous documentation of mitigating circumstances.

Retention.

A student-athlete who is not retained by the institution in the next regular academic term due to circumstances outside of their control and failed to earn the retention point may be considered for an adjustment in the following situations. In all circumstances, contemporaneous documentation must be included. When 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.

The following mitigation will be considered:

1. An incapacitating injury or illness to the student-athlete or an immediate family member that is clearly supported by contemporaneous medical documentation. *(Revised June 2020. Effective immediately, retroactive to any year in the current multiyear cohort)*
 - a. Physical health. The documentation must clearly indicate that a student-athlete was unable to be retained by the institution as a result of the physical injury or illness impacting the student-athlete or an immediate family member.
 - b. Mental health. The documentation must clearly indicate that a student-athlete was unable to be retained by the institution as a result of the mental health issues impacting the student-athlete or an immediate family member.
2. A natural disaster (e.g., earthquakes, floods).

3. 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.
4. Harassment. This circumstance must be clearly supported by objective documentation (e.g., police report).
5. Participation in the following Olympic or international competition supported by contemporaneous documentation:
 - a. Official Pan American, World Championships, World Cup, World University Games and Olympic training, tryouts and competition (or the junior level equivalent competition); (*Revised: 02/17. Effective: Immediately, retroactive to any year in the current multi-year cohort.*)
 - b. Officially recognized training and competition, qualifying for final Olympic tryouts; or
 - c. 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 (or the junior level equivalent competition). (*Revised: 02/17. Effective: Immediately, retroactive to any year in the current multi-year cohort.*)

The Olympic or international training, tryouts and competition must occur within one year of the student-athlete's departure from the institution. (*Adopted: 04/09. Effective 04/09 for the 2008-09 APR cohort, retroactive to any prior year cohorts.*)
6. A professional athletics opportunity. The student-athlete was not retained due to participation in professional sports as a vocation, however, does not meet the criteria for the automatic professional athletics adjustment. (Note: A student-athlete is required to earn the eligibility point. If the eligibility point was lost and adjusted the student-athlete did not earn the point.) Documented mitigating circumstances required.
7. Transfer.
 - a. The student-athlete was not retained because they transferred to another

institution and meets the following criteria:

- (1) The student-athlete earned the eligibility point in the last term of enrollment before transfer. (If the eligibility point was lost and adjusted the student-athlete did not earn the point.)
- (2) The student-athlete immediately transferred to a two-year institution. This requires full-time enrollment at the new institution at the next available regular academic term.
- (3) The student-athlete presents a cumulative grade-point average at the original institution of at least a 3.200, but less than a 3.300 for a two-year college transfer 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, access to academic support services at the next institution and a reasonable expectation of graduation within five years of initial full-time enrollment). The required cumulative GPA must be presented by the start of the next regular academic term at the new school. *(Adopted: 10/17. Effective: Immediately, retroactive to any year in the current multiyear cohort. Revised June 2020. Effective immediately, retroactive to any year in the current multiyear cohort)*

Note: This adjustment request will be subject to a high review standard. Please refer to 3F-12 & 13.

- b. The student-athlete was not retained because they transferred to another institution and meets the following criteria:
 - (1) The student-athlete earned the eligibility point in the last term of enrollment before transfer. (If the eligibility point was lost and adjusted the student-athlete did not earn the point.)
 - (2) The student-athlete presents no more than a year gap in enrollment, supported by documented mitigation, before transfer to another four-year or two-year institution.
 - (3) The student-athlete presents a cumulative grade-point average at the original institution of at least 3.300 if transferring to a two-year institution.
- c. The student-athlete was not retained because they transferred to another

institution when the student-athlete's team at the original institution is ineligible for postseason competition due to the APP and the student-athlete does not need a 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) and meets the following criteria: *(Adopted: 04/12. Effective 04/12 for the 2011-12 APR cohort, not retroactive to any prior year cohorts.)*

- (1) The institution to which the student-athlete transferred received an approval of an NCAA Division I Committee for Legislative Relief waiver of the residency requirement under Bylaw 14.7.2 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;
 - (3) The student-athlete did not lose any APR points at that institution, including the eligibility point in the last semester of enrollment before transfer; and
 - (4) The penalty would preclude the institution's team in that sport from participating in postseason competition during all the remaining seasons of the student-athlete's eligibility.
8. The student-athlete was not retained due to other unforeseen events and/or circumstances, supported by contemporaneous documentation, beyond the student-athlete and/or institution's control (e.g., degree program offerings).

Questions regarding the APR Adjustment Directive should be directed to staff.



NCAA DIVISION I ACADEMIC PROGRESS RATE TRANSFER ADJUSTMENT ANALYSIS

Institution:		Case No.:		Student-Athlete:	
Requirements by Grade-Point Average					
Identify grade-point average of the student-athlete who transferred. Note: Deficiencies >.100 will be denied. (A different type of adjustment may be requested based on other mitigation).		As the deficiency increases, a higher ratio of positive indicators is required for approval. 4-2 transfers: 3.275-3.299 (requires at least two positive factors) 3.250-3.274 (requires at least three positive factors) 3.225-3.249 (requires at least four positive factors) 3.200-3.224 (requires at least five positive factors)			
	Objective	Question	Documentation	+/-/n	Comments
1.	4-2 Transfer – Likelihood of graduation with an associate degree.	How quickly will the student-athlete complete an associate degree? Is there documentation of the number of courses that transferred to the new school and that apply to the degree?			
2.	Ratio of regular academic terms \geq grade-point average requirements.	Has the student-athlete met the grade-point average requirement in most regular terms? If only one term, did student-athlete meet grade-point average requirement during regular academic term?			
3.	Trending of academic performance during regular academic terms. Note: Applicable for students with more than one full-time term.	How is the student-athlete's academic performance trending during regular academic terms?			
4.	Credits transferable to next school.	How many credits transferred to the new school?			
5.	Course progression/repeated courses.	Has the student-athlete progressed in his/her coursework appropriately (e.g., 300 level for third-year students)? Are the courses degree applicable? Has the student-athlete repeated multiple courses?			
6.	Academic support plan.	If the student-athlete will have an academic support plan at the new school, is there documentation that the plan has been created and includes measurable outcomes?			
7.	Other mitigating conditions. Note: Only considered if request cannot be approved based on other factors.	Were there any mitigating circumstances related to the student-athlete's sub-3.3 performance?			

The staff will review all transfer adjustment requests using this form as an evaluation tool. Under the guidance of the NCAA Division I Committee on Academics Subcommittee on Data and using documentation provided by the institution that lost a retention point, the staff will use its discretion to determine how to value each applicable review factor (+/-/n).

Legend: (+) Awarded for positive tendency. (-) Awarded for negative tendency. (n) Awarded if unable to define or if equal.

APPENDIX 3G

Frequently Asked Questions on Collection of Two-Year Transfer Data

Question No. 1: Why are institutions being asked to submit this 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 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 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 NCAA Division I Academic Performance Program Data Review.

Question No. 4: 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. 5: What if the institution is unable to obtain requisite information until after the NCAA Division I Academic Progress Rate/Academic Performance Census 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. 6: Does the 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 on the student-athlete's main data screen.

Question No. 7: Does the 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: No; 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. 8: What is difference between total credit hours, transferrable credit hours and degree credit hours?

Answer: Total credit hours are those credit 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. 9: Should credit hours earned at a two-year college before 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, before initial full-time enrollment). As a reminder, this data is only being collected for student-athletes who transferred to the submitting institution from a two-year college. This data is not being collected for a freshman who initially enrolls at the submitting institution and earned dual enrollment credits at a two-year college.

Question No. 10: What if the student-athlete transferred to the submitting institution before being required to designate a degree program?

Answer: The submitting institution should report all credits that would transfer into any degree program at the four-year institution.

Question No. 11: What if the student-athlete changed majors after their 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. 12: 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 NCAA Bylaw 14.5.4.6.3.2 (calculation of grade-point average for transferable credit).

Question No. 13: 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. 14: 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. 15: May I import the data from Compliance Assistant?

Answer: Yes. These data fields are currently available in CA.

Question No. 16: 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 their 21st birthday before 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. 17: What is considered to be a physical education activity credit?

Answer: Physical education activity courses are courses that involve body movement produced by skeletal muscles resulting in energy expenditures through organized group or class activities (e.g., swimming, team sports, weightlifting). Physical education theory or pedagogy courses should not be reported as physical education activity courses.

Question No. 18: 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. 19: 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. 20: 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. 21: 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-hour fields. The institution will not be able to submit its APP data if these fields are blank.

Question No. 22: 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 before initial full-time enrollment.

Question No. 23: 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 before transferring to the submitting institution, the student-athlete should be reported as a two-year college graduate.

Question No. 24: 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. 25: 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 3H**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					0/1	0/1	0/2	0/1
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					1/1	1/1	2/2	1/1
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			0/1	0/1	0/2	0/1
		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			1/1	1/1	2/2	1/1
		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	0/1	0/1	0/2	0/1
				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	1/1	1/1	2/2	1/1
				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			1/2	0/1	1/3	.5/1.5

E1	R1	E2	R2	E3	R3	F, S calc	W, S calc	8-Point	4-Point
Y	C	Y	C			2/2	1/1	3/3	1.5/1.5
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	0/1	1/2	1/3	.5/1.5
		Y	C	Y	C	1/1	2/2	3/3	1.5/1.5
		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	2/2	1/2	3/4	1.5/2
Y	C	Y	C	Y	C	2/2	2/2	4/4	2/2
Y	G	N	C	Y	C	2/3	1/2	3/5	1.5/2.5
Y	G	Y	C	N	C	3/3	1/2	4/5	2/2.5
Y	G	Y	C	Y	C	3/3	2/2	5/5	2.5/2.5
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	2/3	2/3	4/6	2/3
Y	Y	Y	G	Y	C	3/3	3/3	6/6	3/3
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 = NCAA Division I Academic Progress Rate 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 eligibility, retention checks.
W, S calc =	Partial APR contribution for student-athlete based on winter and spring eligibility, retention checks.
8-point scale =	Sum of points earned/possible under each calculation.
4-point scale =	Actual APR contribution for student-athlete.

APPENDIX 3I**Frequently Asked Questions on the Head Coaches
NCAA Division I Academic Progress Rate Portfolio**

Question No. 1: Can the head coaches' rate data be imported from Compliance Assistant?

Answer: No. However, most head coaches' data are already prepopulated in the Academic Portal, so this is not part of a Compliance Assistant import.

Question No. 2: How were the head coaches' data that are prepopulated in the portal obtained?

Answer: The information is obtained from the NCAA membership database and sports-sponsorship forms submitted by the institution.

Question No. 3: Should an "interim" head coach be reported?

Answer: Yes. Only coaches officially employed by a Division I institution as a head coach will have an APR calculated in the Academic Portal. A head coach designated as an "interim," will be included in the portal for the "interim" period, but no APR will be calculated for the interim coach.

Question No. 4: If a sport had co-head coaches, should both coaches' names be reported?

Answer: Yes. All head coaches should be reported. The portal will allow overlapping employment periods and the ability to enter multiple head coaches for an academic year for a sport.

Question No. 5: Is there an appeal process available to the head coach if they wish to appeal the team's APRs?

Answer: No. Opportunities for appeals would have been available during the annual NCAA Division I Academic Performance Program Data Collection Process (e.g., data corrections and adjustments).

Question No. 6: What does an institution need to do if the head coach listed in the portal appears correct, but the name is misspelled?

Answer: The institution should report a correction request. An NCAA staff member will contact the individual making the request to notify them of the change.

Question No. 7: 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 the coach started duties as a head coach.

Question No. 8: 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 the coach was no longer the head coach of that sport.

Question No. 9: What if an institution does not submit any data or incomplete data for the head coaches?

Answer: It will render all of its teams ineligible for championships. The institution must submit the data and then request reinstatement for championships.

Question No. 10: 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. 11: 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. 12: 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. 13: 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.

Question No. 14: If an institution sponsors one or two sports at the NCAA 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 NCAA Division II or NCAA Division III institution.

Question No. 15: 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 before 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.

APPENDIX 3J

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 must also complete the student-athlete enrollment.

NCAA Division I members must also provide the Graduation Success Rate for 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 Integrated Postsecondary-Education Data System (IPEDS) section for student-athletes up to and including the last freshman cohort for whom your institution awarded athletics aid. For example, if the last freshman class that was awarded athletics aid was the class entering fall 2016, then, the 2016 fall cohort would be the last cohort for which your institution would be required to submit federal IPEDS data.

Question No. 3: Our institution does not have NCAA Division I Academic Progress Rate (APR) data for the 2016-17 cohort. What data reporting requirements do we need to meet?

Answer: Your institution would be required to report the following data for the 2013-14 cohort:

1. Student-body graduation rate data.
2. Student-athlete graduation rate data.

3. Student-athlete enrollment data (academic year 2022-23).
4. Student-body enrollment data (academic year 2022-23).
5. 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 their graduation rates to comply with federal reporting requirements (freshmen who received athletics aid). However, you do not need to provide information on student-athletes who meet the GSR/ASR definition (nonscholarship, mid-year or transfer students). Since student-athletes aided in non-NCAA sports will not be part of the annual Academic Progress Rate, your institution will need to enter their data, either manually or by importing a text file. Instructions for creating the file may be found under the “Graduation Rates” tab.

Question No. 6: Our institution’s graduate date is schedule after June 1 and we will not be able to update the final outcome for some of our student-athlete. What should we do?

Keep in mind that this collection is based upon a six-year timeframe. Students in this cohort (2016-17 had until August 31, 2022, to graduate, not 2023.

Question No. 7: Our institution recently dropped a sport; do we still need to report data for the dropped sport?

Answer: Yes. You will continue to report data for that sport until the last year you had freshmen who received athletics aid, to satisfy federal reporting requirements. The GSR/ASR page will reflect a federal graduation rate (FGR) for that sport, but not a GSR.

Student Reporting

Question No. 1: 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 they withdrew after the fifth week of classes but before the census (enrollment) date?

Answer: 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. 2: 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—they either left or were removed from the team. Does our institution still need to include this student-athlete when reporting GSR data?

Answer: Yes, such a student-athlete remains in the cohort regardless of the number of years they participated in a sport.

Question No. 3: 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. 4: 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 reporting. Graduation rates and GSR reporting are for undergraduate students and student-athletes only.

Question No. 5: How are the sports of cross country and indoor and outdoor track and field reported for the GSR? In the past, these three sports have been combined when reporting the IPEDS-Graduation Rate Survey/federal graduation data. Will the GSR also combine these three sports when reporting data?

Answer: Yes, these three sports will continue to be combined. However, if cross country or 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. 6: 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 the GSR reporting.

Question No. 7: Our institution has a student-athlete who enrolled part time at our institution for an entire academic year following high school graduation and then later 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.

Question No. 8: Our institution has a student-athlete who enrolled part time at another institution for an entire academic year following high school graduation and then later enrolled full time at our institution. Should we include the student-athlete in the reporting year's cohort?

Answer: No, the student-athlete should not be included in the reporting.

Question No. 9: 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 Division I GSR.

Question No. 10: What is the NCAA ID or unique identification number

Answer: This is a unique identification number that is required for each student-athlete record. Student-athletes at Division I institutions should have an NCAA ID obtained through the NCAA Eligibility Center and there is a look-up function with the system to find the number. If the student-athlete does not have an NCAA ID, your institution needs to create and enter for student-athletes who are **not** in a reporting year's APR cohort but should be included in the reporting year's GSR cohort.

Question No. 11: Our institution offers a PharmD program or other professional program where the student graduates at the end of seven years with their degree but does not receive a baccalaureate degree. How do we record a final outcome for this student?

Answer: The student should be removed from the reporting cohort. Please pull down on the box, "reason not in cohort" and select "seven-year degree program." This will remove the student-athlete from the reporting.

Question No. 12: A student begins initial full-time enrollment at another institution in the spring semester and, later, transfers to our institution and receives athletics aid. Is the student included in our GSR?

Answer: No, while a student can transfer to your institution at any time in an academic year, the student has to have their initial enrollment in the fall term of the academic year to be included in the GSR as a transfer student.

Question No. 13: There is a student-athlete missing from the GSR/ASR, who according to our records, meets the definition to be included. How do we add this student?

Answer: Remember that the student-athlete names on the Student-Athlete Outcomes page are pulled from the data previously entered in APR. First check the "Student List" page under the "Academic Data" tab to find the student (you will have to change the academic year). If you find the student-athlete, confirm the enrollment dates as well as the first year of academic data reported. If there are errors with the reported data or if the student-athlete is not listed in either APR or APC, please

contact Sadie Martinez. Do not add the student manually on the Outcomes page.

Question No. 14: We have a student who has transitioned while attending the institution. How do we report this student?

Answer: Per the Department of Education, transgender students should be counted consistent with their gender identity. For example, a student who identifies as male should be counted in the same way as other male students, even if the participant's records or identification documents indicate a different sex. This may result in having to revise your initial cohort.

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 they 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 and GSR?

Answer: No, allowable exclusions for graduation rates, GSR are limited to military service, death or permanent disability, official religious 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 were 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 fall term and received athletics aid. The student-athlete left that institution following the spring term for active military duty and was reported by that institution as an allowable exclusion for this reporting. The student-athlete later transferred to our institution and received athletics aid. However, the student-athlete did not graduate by 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. Is this student-athlete included or GSR reporting?

Answer: Yes, 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 their transcript. They 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, GSR data submission requires 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 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 they

returned to the institution, they 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 their last status at your institution as of the end of the sixth year since initial full-time enrollment (August 31, 2019, for the 2013 freshman cohort).

However, there is now an exception for students who have left the institution for professional athletics and were academically eligible to compete at the time of their departure. The student-athlete's status at the time of the departure (i.e., left eligible) will be used for GSR reporting purposes, even if they have returned to the institution (either full or part time) within the six-year timeframe.

Question No. 10: We have a student-athlete who quit the team after the freshman year yet remained at our institution for another year before transferring. At which point do we determine the final outcome – when the student quits the team or leaves the institution?

Answer: The determination for the final outcome is made when the student-athlete separates from the institution, not the team. This may result in having to perform an athletics eligibility check for a student who is no longer a student-athlete.

NCAA Division I Committee on Academics Policies and Procedures

2023-24

Chapter 4

Organization of the NCAA Division I Committee on Academics Policies and Procedures

The Committee on Academics Policies and Procedures document outlines the operations and authority of the Committee and the three reporting subcommittees.

CHAPTER 1: NCAA Division I Committee on Academics

- Policies and procedures applicable to full committee administration.
- Applicable NCAA Division I Academic Performance Program legislation, standards and policies related to the academic-values-based revenue distribution.

CHAPTER 2: NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics

- Policies and procedures applicable to Subcommittee on Student-Athlete Academic's administration.

CHAPTER 3: NCAA Division I Committee on Academics Subcommittee on Data

- Policies and procedures applicable to Subcommittee on Data's administration.
- Appendices (e.g., factual examples, FAQs, waiver directives).

CHAPTER 4: NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

- Policies and procedures applicable to Subcommittee on Penalties and Appeals' administration.
- Appendices (e.g., factual examples, FAQs, waiver directives).

Color Codes:

Portions of the Manual highlighted in the following colors indicate:

Grey = Changes or revisions via NCAA Division I Proposal 2014-2 or policy recommendations by the Committee on Academics.

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NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals

Purpose

The NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals is one of three standing subcommittees that reports directly to and helps facilitate the work of the NCAA Division I Committee on Academics. The others are the NCAA Division I Committee on Academics Subcommittee on Data and the NCAA Division I Committee on Academics Subcommittee on Student-Athlete Academics.

The Subcommittee on Penalties and Appeals' purpose is to administer specific aspects of the NCAA Division I Academic Performance Program on behalf of the NCAA Division I membership and the Committee on Academics. The central purpose of the APP is to ensure that the 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. *(Revised: 10/11. Effective: 10/11)*

Duties and Responsibilities

The Subcommittee on Penalties and Appeals will:

1. Study issues and develop policies related to APP penalties and appeals and the application of APP penalties and access to postseason competition.
2. Recommend changes to the APP for consideration by the Committee on Academics based on research, data analysis and practical experience. Evaluate APP policies and determine if any should be forwarded to the full committee for review and/or possible action.
3. Interpret APP penalties and appeals legislation and policies, including access to postseason competition and waiver requests.
4. Take final action on routine or noncontroversial matters of operational policy and procedures (e.g., the waiver directive).
5. Administer and oversee all aspects of APP waiver requests and appeals processes, including requests to waive loss of access to postseason competition and requests to waive Level-One and -Two APP penalties.

6. With the Subcommittee on Data, 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.
7. Administer and oversee any other matters, not otherwise specified, as directed by the Committee on Academics.

Composition

The subcommittee shall consist of five members of the Committee on Academics. All subcommittee members shall be on the staff of an active Division I institution or conference. One member will serve as chair, at the discretion of the chair of the Committee on Academics.

Selection of Subcommittee Chair

Each of the committee's subcommittees shall have a chair. Subcommittee chairs normally serve as chair for the remainder of their respective committee term. Subcommittee chairs are to 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 confirms the interest and willingness of each nominee to serve as chair.
3. Names of nominees and a recommendation of the outgoing chair are provided to the Committee on Academics chair.
4. The Committee on Academics chair selects the subcommittee chair.

Responsibilities of Subcommittee Chair

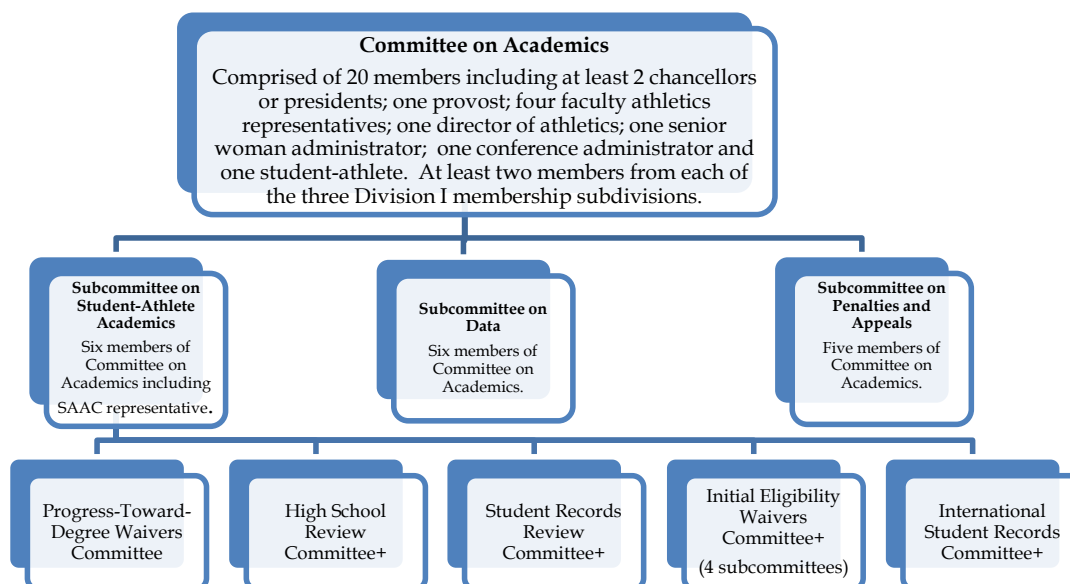
1. Oversee the development of subcommittee agendas.
2. Lead the subcommittee's videoconferences and meetings.
3. Welcome and assist in transition and training of new subcommittee members.

4. Review and decide appeals of staff decisions in waiver cases.
5. Review appealed cases forwarded from staff that do not align with the standard appellate process to determine if the subcommittee should consider the appeal.
6. Contact subcommittee members who are not fulfilling their responsibilities and recommend to the committee chair that a subcommittee member be replaced if such member is not fulfilling their duties.
7. Present subcommittee reports during full Committee on Academics meetings.
8. Participate as members of the Committee on Academics Administrative Committee.
9. Recommend selection of new subcommittee chair.
10. Hear and decide any requests for extensions of the timeline for loss of access to postseason competition and Level-One and -Two penalty waiver appeal requests.
11. Perform and oversee any other matters as necessary to execute specific subcommittee duties and responsibilities.

Reporting Lines

The Subcommittee on Penalties and Appeals reports to the Committee on Academics. As the division's primary academic authority, the Committee on Academics retains the authority to review action taken by the Subcommittee on Penalties and Appeals on routine and noncontroversial matters of policies and procedures.

NCAA Academic Governance Structure



+ Operations managed by the NCAA Eligibility Center

Absences

The Subcommittee on Penalties and Appeals generally conducts in-person meetings and videoconferences. Alternates may not be appointed to attend a meeting or videoconference in the absence of a subcommittee member. Subcommittee members who are not in attendance at two consecutive meetings or videoconferences will be contacted by the chair of the subcommittee to discuss the member's continued service to the subcommittee and committee. Further absences will result in the committee chair or staff contacting the subcommittee member to discuss the member's excessive absences. A subcommittee member may be dismissed from the subcommittee and committee after further absences.

Voting Procedures

The method of voting on issues considered by the subcommittee will be verbal if the vote is conducted via teleconference, or by the show of hands if the vote is conducted in person or on videoconference. The vote is taken of the subcommittee members present, except for actions taken by unanimous or obvious consent. 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 will cast the deciding vote. Subcommittee members must be present to vote, and a simple majority of members present, and voting will prevail.

Forwarding Subcommittee Recommendations

Subcommittees that report to the Committee on Academics follow these policies in forwarding recommendations to the full committee:

1. Each subcommittee will determine whether it may take final action on a policy and procedure item without referral to the Committee on Academics (see Noncontroversial Policies and Procedures – Guidelines);
2. Each subcommittee must provide a written report of its meetings and videoconferences to the full committee. These reports must include any requests for full committee action recommended by the subcommittee.
3. Any legislative change recommended by a subcommittee must be presented to the full committee for discussion and action.
4. The committee may elect to alter any subcommittee recommendation requiring a vote of the full committee.
5. If further deliberations are required, the committee may table the recommendation or refer it back to the subcommittee for additional discussion.

Noncontroversial Policies and Procedures Guidelines

The following guidelines are to assist the subcommittee in determining whether a policy and procedure is routine and noncontroversial in nature:

1. A subcommittee policy or procedure may be considered noncontroversial only if:
 - a. Broader consultation and debate by the Committee on Academics is unlikely to improve the policy or procedure in any substantial way.
 - b. Significant disagreement or alternative points of view will not be generated.
 - c. Such policies and procedures do not have a significant impact (unanticipated consequences, undesirable precedent) on existing legislation or current policies and procedures.
2. A noncontroversial policy or procedure, at a minimum, should have the following factors present:
 - a. The policy or procedure should have minimal impact on competitive or recruiting equity.
 - b. The policy or procedure should have minimal financial impact.
 - c. The policy or procedure must enjoy broad support from the originating subcommittee.
 - d. The policy or procedure should not negatively impact student-athlete welfare.
 - e. The policy or procedure should not significantly impact the Division I academic standards (initial and continuing eligibility).

Speaking Agent Policy

The NCAA speaking agent policy is as follows:

"The president of the Association and the chair of the Board of Governors 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 Board of Governors 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 Board of Governors or the president of the Association. For the purposes of this policy, committees include all NCAA committees, cabinets, boards, councils, subcommittees, and special and ad hoc groups.

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

Subcommittee members are expected to adhere to this policy.

Conflict of Interest Policy

A subcommittee member shall not participate in the subcommittee'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 subcommittee if, following disclosure of the conflict of interest, the subcommittee authorizes, ratifies or approves the action by a vote sufficient for the purpose, without counting the vote of the subcommittee member with the conflict of interest, and the Committee on Academics approves such action.

Additionally, subcommittee members must recuse themselves from participation in a waiver appeal or committee discussion in which they are personally connected with an institution or conference (e.g., previous employer, conference member, alma mater). A subcommittee member with a personal relationship or institutional affiliation that reasonably would result

in any appearance of bias or prejudice should refrain from participating in any manner in the review or discussion. However, a subcommittee member that has recused themselves 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 subcommittee member to remove themselves if a conflict exists. Institutional objections to a subcommittee member participating in a waiver appeal 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 before the subcommittee's review. Participation by a subcommittee member in previous APP matters involving the institution or with regard to general policy (e.g., NCAA Division I Academic Progress Rate adjustments) does not constitute a conflict of interest requiring recusal.

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

In the event that the subcommittee chair must recuse themselves or is unable to participate in subcommittee 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 before the hearing. If the acting chair finds that no conflict exists, then the chair may resume that role. (*Revised: 12/08. Effective: 12/08*)

NCAA Division I Academic Performance Program Access to Postseason Competition

The APP is the result of an April 2002 NCAA Division I 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. These modifications included adoption of academic standards for access to postseason competition. Therefore, academic performance, as measured by the APR, is now an element of qualification for postseason participation. This modification is designed to embed academics as a first expectation.

Access to postseason competition 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. See Appendix 4G for information on when the NCAA postseason begins for each sport. ***NOTE: The Board of Directors approved the suspension of loss of access to postseason competition for the 2021-22 (2019-20 academic data), 2022-23 (2020-21 academic data) and 2023-24 (2021-22 academic data) academic years for those teams not meeting the APR benchmark. The program returns to normal operations with the submission of the 2022-23 academic data.***

Several key principles guide access to postseason competition:

1. Access to postseason competition is contingent on an expected level of academic performance as demonstrated with the APP's rates and metrics. Failing to meet these standards may cause a team and all individual student-athletes to lose access to postseason competition. All Division I athletics programs and sports teams will be

subject to the use of the APR benchmark as an access point for postseason competition. This includes Division I sports offered at NCAA Divisions II and III institutions.

2. The APP's goal is to encourage improved academic performance of all student-athletes on all sports teams so the mission of the NCAA and its commitment to student-athletes can be better realized.
3. The APP structure must appropriately address those programs that have demonstrated academic underachievement (e.g., those with multiyear rates below the postseason access benchmark).

NCAA Division I Bylaws 15.01.8 and 14.8 provide the legislative foundation for academic requirements to access postseason competition.

Limited-Resource Institutions

The Committee on Academics recognizes limited-resource institutions as in need of additional accommodations within the APP. Specific institutional characteristics are reviewed annually to identify LRIs: (1) Average Pell Grant dollars awarded to first-time full-time undergraduate students (to assess neediness of student-body); (2) Per capita institutional spending (to determine the neediness of the institution); and (3) Per capita athletics spending (to assess neediness of the athletics department).

Institutions with the most limited resources, ranking in the bottom 15 percent, excluding Football Bowl Subdivision (FBS) institutions, have access to a mission filter to avoid loss of access to postseason competition. This filter is only available the first time a team from an LRI loses access to postseason competition. These institutions also have access to LRI filters to avoid loss of access to postseason competition and APP penalties. These filters can be used twice over five years beginning in 2016-17. *(Adopted: 07/09. Revised: 10/11. Effective: 10/11. Revised: 4/16. Effective: 4/16. Revised: 4/18. Effective: 4/18)*

Written notification will be provided annually by the staff to institutions ranking in the bottom 15 percent based on institutional resources and to institutions no longer within the 15th percentile. *(Adopted: 07/09. Revised: 10/11. Effective: 10/11.)*

Postseason Access Filters

A team with a multiyear APR below 930 loses access to postseason competition. Limited filters will be applied to confirm whether the team will actually lose access to postseason.

1. Improvement Filter. If a team's APR 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 Academics 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 automatically 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 penalties is addressed later in this chapter.

Improvement Filter Example

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	Multi- year APR
937	844	906	1000	922

The team has lost access to postseason competition **for the second time**, and thus is able to use the improvement filter. Calculation of the two most recent data years' APR:

Year 3	Year 4	2-Year Average
$\frac{29 \text{ points earned}}{32 \text{ point possible}}$	$\frac{32 \text{ points earned}}{32 \text{ points possible}}$	$= \frac{61 \text{ points earned}}{64 \text{ points possible}} = 953$

The two most recent years' average APR is 950 or greater, so the team meets the improvement filter and has access to postseason competition.

2. Non-FBS Limited-Resource Institution Filters. Teams at non-FBS institutions, identified as limited resource, with a multiyear APR below the benchmark required to avoid loss of access to postseason competition have access to additional filters.
 - a. Mission Filter. The first time a team falls below the APP threshold for access to postseason competition, the team can benefit from the application of the mission filter. The filter considers if the institution is identified as limited resourced and is not FBS. In such cases if the team's most recent four-year Graduation Success Rate is 50 percent or higher, the filter provides relief from loss of access to postseason competition. The mission filter is **only available the first time** a team loses access to postseason competition. It is unavailable

to a team after the team initially loses access to postseason competition. This filter is automatically 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 or -Two penalties are not impacted by this filter. (*Revised: 1/15. Effective: 1/15. Revised: 6/15. Effective: 6/15. Revised 4/18. Effective: 4/18*)

- b. Other LRI Filters. Teams at non-FBS LRIs that present a multiyear APR below the benchmark required to avoid loss of access to postseason competition have access to additional filters. These filters are available to each team at a non-FBS LRI twice within a rolling five-year period. They require an APR Improvement Plan that meets a set of enhanced criteria established by the committee. The following chart explains the application of LRI filters (*Revised: 02/16. Effective for data submitted in the fall of 2016. Revised 05/20. Effective for data submitted in the fall 2021*).

LRI Filters (began with the 2015-16 data)
Three filters for teams with an APR <930: <ol style="list-style-type: none"> 1. 920 multiyear APR; 2. 940 two-year APR (most recent years); or 3. 930 single-year APR and meets one of five improvement tests. See Appendix 4F for more information on improvement tests.
Filters can be used twice over a rolling five-year period; LRI <i>must</i> decide if it will avail itself to the filters at the time of data submission.
Filters require an APR Improvement Plan that meets a set of enhanced criteria established by the Committee on Academics to ensure more presidential engagement.

LRI Filter Example

Institutional use of the LRI filter:

2017-18 SPORT	2018-19 SPORT	2019-20 SPORT	2020-21 SPORT	2021-22 SPORT	2022-23 SPORT	2023-24 SPORT	2024-25 SPORT
MTR	MTR				Eligible		
			MBA				
		MFB	MFB				Eligible
	WBB						
	WSO	WSO				Eligible	

Men's Track (MTR) example: The team used the LRI filter in both 2017-18 and 2018-19. The next opportunity the team would be eligible to use the filter would be for the 2022-23 academic year based on 2020-21 APP data.

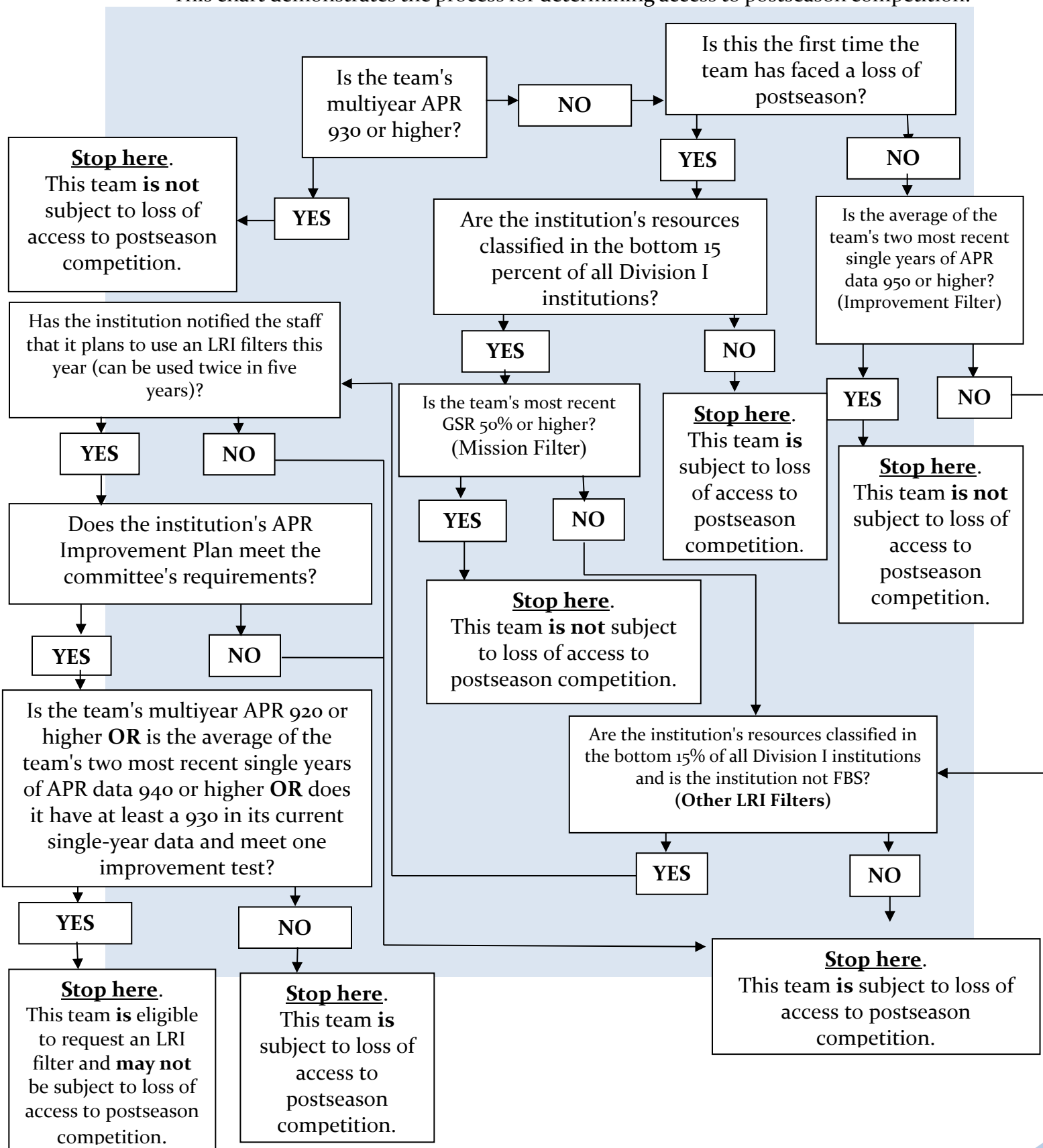
To access the LRI filters above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing any prior plans. To satisfy this requirement the following enhanced criteria must be met:

- A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required. Implementation reports must include a signed statement from the chancellor/president on the effectiveness of the initiatives that were implemented. The implementation report must include demonstration that all goals tied to a team's critical issues were implemented. The implementation report must also include a report on the progress made implementing any long-term goals;
- Broad-based participation in the development, assessment, and oversight of the plan. The APR Improvement Plan development team must include the institution's highest academic authority (e.g., provost). As appropriate, the plan team should include representatives from any function area or department of the institution that is required to complete a step (e.g., admissions, academic support, athletic administration, coaches, faculty groups, technology staff, purchasing, finance);
- A current APR Improvement Plan that identifies critical issues supported by data analysis;
- Goals in the current APR Improvement Plan must be performance based (e.g., decrease the number of lost eligibility points) and outcome specific (e.g., create an academic profile for successful two-year transfer student-athletes). They should include short-term benchmarks to track their progress. Steps designed

to achieve the goals should specify how the goal will be achieved and should include specific individuals and their roles in the process. Goals can be short- or long-term, but long-term goals must include short-term benchmarks to track and demonstrate progress;

- e. The APR Improvement Plan must include a reporting timeline created by the institution. The timeline can be adjusted if needed, but all adjustments must be communicated with and approved by the NCAA staff. *(Adopted: 04/12. Effective: 04/12. Revised 10/15 and 2/16. Effective for APR Improvement Plans written for 2016-17 and beyond.)*;
- f. Projected single-year APR targets that elevate the team out of the penalty structure within four-years; and
- g. Approval by chancellor or president. When developing a new APR Improvement Plan, the institution must make the chancellor or president and the improvement plan team, including the institution's highest academic authority, available for videoconference in which they outline the improvement plan in order to demonstrate involvement in its development and future implementation;

This chart demonstrates the process for determining access to postseason competition:



Notification of Loss of Access to Postseason Competition

Once an institution confirms its data is accurate in the correction/adjustment 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 Academic Portal. The report will indicate any team(s) that has 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 late spring 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 2023-24 academic year cannot participate in postseason competition in the 2024-25 academic year. Public release of all teams losing access to postseason competition in 2024-25 will be announced in May 2024.

Timing of the Loss of Access to Postseason Competition 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/Academic Performance Census data have been submitted if the three-year APR is below the benchmark.

Notifying Student-Athletes of Team's Loss of Access to Postseason Competition

Institutions with a team that has lost access to postseason competition are required to advise the team's student-athletes regarding the team's loss of access to postseason competition and the applicable transfer policies within 48 hours of the final notice of penalties (if no waiver is requested) or within 48 hours of the decision following the institution's final appellate opportunity, whichever is later. ***Additionally, institutions are required to note within the NCAA's Academic Portal the date that student-athletes were notified.*** (Adopted: 07/12. Effective: 07/12.)

Deadline to Notify Student-Athletes of Pending Loss of Access to Postseason Competition for School's in Data Review and/or APP Waiver Process

Institutions must notify student-athletes on teams potentially subject to loss of access to postseason competition by June 1 in instances in which the school's data review and/or APP waiver processes are incomplete. This policy permits student-athletes in their last season of competition to transfer, if desired, in accordance with current committee policies, even if the data review or waiver request has not been fully resolved. (*Adopted: 10/13. Effective: 10/13.*)

Waiver of the Deadline to Notify Student-Athletes of Pending Loss of Access to Postseason Competition

An institution can request a waiver to the June 1 notification date from the Subcommittee on Data in instances in which there are mitigating circumstances beyond the control of the institution that impact the timely resolution of the data review and/or a waiver request. Such a request must be made in writing by the institution's chancellor or president. The Subcommittee on Data shall conduct its deliberations by teleconference, email or in person. Such deliberations shall involve only Subcommittee on Data members and national office staff members.

Should the subcommittee deny such a request, an appeal of the subcommittee's decision would be considered by the chair of the Committee on Academics and, in instances of a conflict of interest, by the vice chair of the Committee on Academics. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Data's decision.

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

The chair (or vice chair) will conduct their review on the paper record and the institution will not participate in the review. The chair (or vice chair) may approve or deny the appeal request. If the chair (or vice chair) denies the request, this decision is final and no further appellate opportunity is provided. (*Adopted: 10/13. Effective: 10/13.*)

Loss of Access to Postseason Competition and Transfers

1. Permission to Contact Transfer from Institution Ineligible for Postseason Competition (Bylaw 13.1.1.3.5).

Per Bylaw 13.1.1.3.5, an institution may contact a student-athlete at another institution whose team is ineligible for postseason competition during the remaining seasons of the student-athlete's eligibility due to sanctions pursuant to the Academic Performance Program, without obtaining authorization through the notification of transfer process. The student-athlete's institution must be notified of the recruitment and may establish reasonable restrictions related to the contact (e.g., no visits during class time), provided such restrictions do not preclude the opportunity for the student-athlete to discuss transfer possibilities with the other institution [see Bylaw 14.7.2-(d)]

2. 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 their team is subject to loss of access to 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 NCAA Division I Committee for Legislative Relief.

To be eligible for a waiver of the transfer year in residence, pursuant to Bylaw 14.7.2, 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 Academics or the staff, at the discretion of the Committee on Academics, will have the authority to review waivers of the transfer-residency requirement under Bylaw 14.7.2 to provide a recommendation to the Committee for Legislative Relief. Should a student-athlete receive a waiver of the transfer-residency requirement, the institution from which the student-athlete departed will be able to request an adjustment to any lost retention point.

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

- a. The student-athlete's career APR eligibility and retention-point history;
- b. The student-athlete's grade-point average and credit hours earned; and

- c. 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 Academics.

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

- a. Teams that have lost access to postseason competition will be notified of the process via correspondence from the Committee on Academics.
- b. Teams that have lost access to postseason competition will be notified of all decisions for student-athletes transferring from its institutions.
- c. Student-athletes will be notified of this option by the institutions they attend.
(Adopted: 07/09)

Academic Performance Program Waivers of Loss of Access to Postseason Competition

In accord with Bylaw 18.4.2.3, institutions may request a waiver of the loss of access to postseason competition, and the Committee on Academics has the authority to waive the application of the loss of postseason competition. The committee's decision is final, conclusive and not subject to further review by any other authority.

For teams that have lost access to postseason competition within the APP penalty structure, the staff will initially decide all requests to waive Bylaw 18.4.2.3 with appeals heard by the Subcommittee on Penalties and Appeals. Decisions of the Subcommittee on Penalties and Appeals may be appealed to the university presidents of the full Committee on Academics, including the full committee chair, based on the criteria outlined in these policies. (Revised: 10/16. Effective: 10/16.)

Application Procedures

A member institution that seeks to delay imposing or to waive the application of the loss of access to postseason competition (Bylaw 18.4.2.3) shall submit an online waiver application through the Academic Portal to the national office only after it has received electronic notification indicating that one or more of the institution's teams have lost access to postseason. Such a request may also include any request to waive an APP Level-One or -Two 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 reviewing body may request additional pertinent information before a decision is rendered.

Any waiver request filed after the allotted 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 Penalties and Appeals must determine whether any request filed after 14 calendar days will be considered. *(Revised: 07/14. Effective: 07/14)*

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 Penalties and Appeals via the staff member assigned to the case. Such a request should be made within the original seven days allotted to appeal the staff decision. The subcommittee chair has the authority to decide if the extension or delay should be granted.

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 the loss of access to postseason competition (Bylaw 18.4.2.3) 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 Conflict of Interest

A staff member must recuse themselves from participation in a waiver request in which there is a personal connection 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 an APP penalty waiver request. It is the responsibility of the staff member to remove themselves if a conflict exists.

Institutional objections to a staff member participating in the review of a waiver must be raised with the subcommittee chair or acting chair as soon as recognized but will not be considered unless the concern is raised before the review.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., 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 (e.g., chancellor or president, 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.

Staff Review, Deliberations and Decisions

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.

The staff has the authority to consider, deliberate and render a decision on all requests to waive the loss of access to postseason competition in conjunction with APP Level-One or -Two penalties. Staff decisions will be based on some or all of the following criteria:

- The waiver directive approved by the Committee on Academics (See Appendix 4C) including:
 - a. Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The staff must consider if the mitigation is extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);
 - b. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
 - c. Academic factors;
 - d. Alternative penalties offered by the institution, if any; and
 - e. All applicable information, including whether or not the team has lost access to postseason competition in prior years.

After reviewing all information, the staff will render one of the following decisions on requests to waive loss of access to postseason in conjunction with APP Level-One or -Two penalties:

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 regains access to postseason competition in 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. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.
3. **Denial:** The staff determines the institution's request does not demonstrate that a waiver of Bylaw 18.4.2.3 is warranted. The team remains unable to access postseason competition in the next academic year.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. The subcommittee may not reverse these staff decisions but may provide feedback and direction for future cases.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Penalties and Appeals to consider appeals of staff decisions involving Bylaw 18.4.2.3 when a team is subject to loss of access to postseason competition. An institution may appeal the Subcommittee on Penalties and Appeals' decision to the Committee on Academics' university presidents, including the full committee chair. In cases where the committee's presidents determine the Subcommittee on Penalties and Appeals abused its discretion in denying the institution's request, the full Committee on Academics will review the institution's appeal. The Committee on Academics' decision may be appealed to a subcommittee of the Board of Directors. *Revised: 06/16. Effective: Immediately.*

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office using the Academic 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 Penalties and Appeals shall determine whether any appeal filed after seven calendar days will be considered. *(Revised: 07/07)*

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Penalties and Appeals' 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 Penalties and Appeals shall determine whether or not any extension or delay will be granted.

Subcommittee/Committee Conflict of Interest

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

Ex Parte Communication

To maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) prior to discussion by the committee.

Appeal Procedures

The Subcommittee on Penalties and Appeals will conduct its deliberations and render a decision by teleconference. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting. Appeals of staff decisions on loss of access to postseason shall involve only Subcommittee on Penalties and Appeals members, staff members and specified representatives from the institution. (*Adopted: 10/12. Effective: 10/12.*)

Each of the following individuals from the institution must participate in the appeal:

1. Chancellor or president (or their designee);
2. Director of athletics or senior woman administrator;
3. Faculty athletics representative;
4. Head coach of the penalized team(s); and
5. 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 have been requested by the Subcommittee on Penalties and Appeals may have legal counsel present; however, an individual must speak on behalf of themselves.

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 Penalties and Appeals. Institutional representatives will be allotted a specified amount of time to present their appeal rationale and any other pertinent information. The Subcommittee on Penalties and Appeals members may then ask questions of the staff member presenting the case and/or the institution. At the conclusion of the question-and-answer period, that staff member and any institutional representatives will exit the teleconference or meeting and a separate staff member will support the Subcommittee on Penalties and Appeals through deliberations. That staff member is only allowed to provide clarification of policies related to the appellate process. They cannot respond to questions about the facts or the merits of the case.

The Subcommittee on Penalties and Appeals chair, at their discretion, has the authority to remove a participant from the teleconference or meeting. The Subcommittee on Penalties and Appeals chair is not required to give advance notice/warning for removing any participants.

The appeal proceedings will continue as follows:

1. Documents Reviewed by the Subcommittee.

The subcommittee will receive and review the notice of loss of access to postseason competition, the waiver application (including supporting documents), staff decision and rationale, the institution's request for an appeal, and the applicant team(s) APP data, the APR Improvement Plans and any other documents submitted by the institution. Before the teleconference or meeting, the staff will distribute to the institution and subcommittee an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

2. Introduction.

The subcommittee chair will call the 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 employed by the institution on a full-time basis. An involved individual must speak on behalf of themselves.

The institution will introduce its representatives followed by individuals whose presence has been requested by the subcommittee or the institution and conference office representatives. The NCAA staff will introduce themselves. After the introductions, the subcommittee chair may make announcements.

3. Review of the Appeal.

The staff member who processed the case (or a staff member with oversight responsibilities) has five minutes per team to describe the facts of the case 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 case presentation, the subcommittee members may ask questions of all participants. Once all questions have been answered, the meeting will conclude with the staff and institution each providing a five-minute closing statement. The closing statement must be presented by the institution's spokesperson and the staff member who presented the case.

4. Subcommittee Deliberations and Decisions.

At the conclusion of the meeting, the subcommittee members must deliberate. Neither the institution, conference nor staff member(s) 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) who presented the case. *(Adopted: 01/08. Effective: 01/08)*

The Subcommittee on Penalties and Appeals decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See Appendix 4C) including:
 - (i) Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The subcommittee must consider if the mitigation is

extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);

- (2) Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
- (3) Academic factors;
- (4) Alternative penalties offered by the institution, if any; and
- (5) All applicable information, including whether the team has lost access to postseason competition in prior years.

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

- a. **Approval:** The Subcommittee on Penalties and Appeals determines the institution's request demonstrates evidence that a waiver of Bylaw 18.4.2.3 is warranted with no conditions. The team regains access to postseason competition the following academic year.
- b. **Conditional Approval:** The Subcommittee on Penalties and 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. Failure to meet the stated conditions will result in the decision converting to a denial, and the loss of access to postseason competition is applied at the next opportunity.
- c. **Denial:** The Subcommittee on Penalties and Appeals determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 18.4.2.3. The team remains unable to access postseason competition in the next academic year.

Electronic confirmation of the decision must be provided by the staff to the institution within 21 calendar days of the subcommittee's decision.

Appeals of Subcommittee Decisions

The Subcommittee on Penalties and Appeals' decision on a request to waive a team's loss of access to postseason competition may be appealed in writing to the Committee on Academics chair, or in the event of recusal by the chair, to the Committee on Academics vice chair. The appeal request must be submitted within seven calendar days of the receipt of the notification of the Subcommittee on Penalties and Appeals' decision. The chair (or vice chair) will forward the appeal to the committee's university presidents. If the committee's university presidents determine that the subcommittee abused its discretion, the full Committee on Academics will review the institution's request. If the Committee on Academics denies the request, this decision is final and no further appellate opportunity is provided. *(Revised 06/16. Effective: Immediately.)*

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. ***Appeals filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered.*** *(Revised 10/22. Effective: Immediately)*

The committee's university president's consideration of the appeal request must be based on the following criteria: The institution must demonstrate that the Subcommittee on Penalties and Appeals abused its discretion in denying the request. Abuse of discretion occurs when the Subcommittee on Penalties and Appeals fails to follow NCAA legislation and/or established Committee on Academics policies and procedures, and the failure to adhere to legislation or policies reasonably could have resulted in a different decision by the Subcommittee on Penalties and Appeals. The committee's university presidents have the ability to request clarification of any facts from the chair of the Subcommittee on Penalties and Appeals. If, based on these criteria, the committee's university presidents forward 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 Penalties and Appeals who participated in the initial appeal denial shall not participate in the full committee appeal, except for the acting chair that may present information but may not deliberate or vote. *(Revised: 06/16. Effective: Immediately.)*

Committee Deliberations and Decisions

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

- The waiver directive approved by the Committee on Academics (See Appendix 4C) including:
 - a. Mitigating circumstances and specifically extraordinary mitigation in cases in which the team has lost access to postseason competition for the first time. The subcommittee must consider if the mitigation is extraordinary as defined by the Committee on Academics and whether those mitigating circumstances were within the control of the member institution and/or student-athlete(s);
 - b. Review of current APR Improvement Plan and implementation of previously created APR Improvement Plan(s);
 - c. Academic factors;
 - d. Alternative penalties offered by the institution, if any; and
 - e. All applicable information, including whether or not the team has lost access to postseason competition in prior years.

The committee will receive the staff and subcommittee decisions, the institution's original and appellate request, all 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 regains access to 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. Failure to meet the stated conditions will result in the decision converting to a denial and the loss of access to postseason competition is applied at the next opportunity.

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

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

Reconsideration of Waiver Requests

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. APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. ***Reconsideration requests filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (Adopted: 04/10. Effective: 04/10. Revised 10/22. Effective: Immediately)***

Review of Conditionally Approved Waivers of Loss of Access to Postseason Competition.

The staff has authority to review conditionally approved waivers to determine whether the condition(s) was satisfied. If the condition(s) was not satisfied, the institution can explain to the staff why it failed to meet the condition(s) or why it disagrees with the staff's findings. 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 Penalties and Appeals. The subcommittee's decision is final and not subject to further review by any other authority.

1. Review of Conditionally Approved Waivers Procedures.

The NCAA 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 staff will notify the institution in writing that the condition was met and the lost access to postseason competition has been waived.

If the condition(s) was not satisfied, the staff will provide written notification that the previously conditionally approved waiver is denied, and the team loses access to postseason competition at the next available opportunity. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

That request must be submitted electronically to the national office via the Academic Portal. ***Requests must be submitted within seven calendar days after the notification that the condition(s) was not met and the team has lost access to postseason competition.*** 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). 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.

2. Staff Deliberations and Decisions.

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

- a. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution, and/or the student-athletes.
- b. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
- c. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years.
- d. Review of implementation of the APR Improvement Plan submitted with the original waiver.
- e. Any additional information provided by the institution.

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

- a. **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 team regains access to postseason competition.
- b. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team remains without access to postseason competition in the next academic year.

Appeals and Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Loss of Access to Postseason Competition.

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

The appeal request must be submitted electronically to the national office via the Academic Portal. ***Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the team has lost access to postseason competition.*** 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 team 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. ***Appeals and reconsideration requests filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (Revised 10/22. Effective: Immediately)***

Subcommittee Deliberation and Decisions on Appeals of Conditionally Approved Waivers of the Loss of Postseason Competition.

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/or student-athletes.
2. Size of the 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 compared to previous years.
4. Review of implementation of the APR Improvement Plan submitted with the original waiver.
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 will conduct its deliberations by teleconference. 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 team regains 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 team is subject to the loss of access to postseason competition at the next available opportunity.

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

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.

Academic Performance Program Penalties

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. These modifications included a new penalty benchmark as well as a three-level penalty structure for all underperforming teams. These modifications are designed to embed academics as a first expectation.

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 APP's rates and metrics. Failing to meet these standards may cause a team to lose access to postseason competition. All Division I athletics programs and sports teams will be subject to the use of the APR benchmark as an access point for postseason competition. This includes Division I sports offered at Divisions II and III institutions.
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 APP structure must appropriately penalize those programs that have demonstrated academic underachievement (e.g., those with multiyear rates below the penalty benchmark).
4. All Division I athletics programs and sports teams will be subject to the penalty structure. This includes Division I sports offered at Divisions II and III institutions.

Bylaws 15.01.8 and 14.8 provide the legislative foundation for the penalty structure and academic requirements to access postseason competition.

NOTE: The Board of Directors approved the suspension of APP penalties for the 2021-22 (2019-20 academic data), 2022-23 (2020-21 academic data) and 2023-24 (2021-22 academic data) academic years for those teams not meeting the APR benchmark.

APP Penalty Structure

A team incurs an APP penalty when it presents a multiyear APR below 930. The APP penalty structure includes two levels. 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, which occurs when an institution's penalty and postseason access report is available following verification of its APP data.

The progressive and cumulative nature of the penalty structure means that each time a 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 elements. If the team avoids penalties and loss of access to postseason competition for three consecutive years by presenting a multiyear APR at or above 930, by meeting a filter or by receiving a waiver of all APP penalties and loss of access to postseason competition, 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-Two, the team will remain at Level-Two and continue to be subject to Level-Two penalties. (*Revised: 06/16. Effective: Immediately.*)

The APP penalty structure is as follows:

1. Level-One Penalties.

The team is subject to restrictions on countable athletically-related activities consisting of four hours per week during the declared playing and practice season (20 hours reduced to 16) as well as an additional required day off. The athletic time must be replaced with academic activities for all student-athletes in the cohort of the team subject to penalties. Level-One penalties must be imposed in the academic year following notification of APRs, and penalties and the penalty package may not be separated.

2. 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 Countable Athletically Related Activities outside of the playing season. These four hours must be replaced with academic activities for all student-athletes in the cohort of the team subject to penalties. Of the remaining four hours of athletics activities, not more than two hours per week may be spent on skill-related workouts.

Additionally, in a sport with a non-championship segment of the playing and practice season, penalized teams will not be permitted to participate in that segment. In sports where there is no championship 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. See Appendix 4B for more information.

See Appendix 4A for a review of possible penalty scenarios.

Limited-Resource Institutions

The Committee on Academics recognizes limited-resource institutions as in need of additional accommodations within the APP. Specific institutional characteristics are reviewed annually to identify LRIs: (1) Average Pell Grant dollars awarded to first-time full-time undergraduate students (to assess neediness of student-body); (2) Per capita institutional spending (to determine the neediness of the institution); and (3) Per capita athletics spending (to assess neediness of the athletics department). Institutions with the most limited resources, ranking in the bottom 15 percent, excluding Football Bowl Subdivision (FBS) institutions, have access to a mission filter to avoid loss of access to postseason competition. This filter is only available the first time a team from an LRI loses access to postseason competition. These institutions also have access to LRI filters to avoid loss of access to postseason competition and APP penalties. These filters can be used twice over five years beginning in 2016-17. (*Adopted: 07/09. Revised: 10/11. Effective: 10/11. Revised: 4/16. Effective: 4/16. Revised: 4/18. Effective: 4/18*)

Written notification will be provided by the staff to institutions ranking in the bottom 15 percent based on institutional resources and to institutions no longer within the 15th percentile. (*Adopted: 07/09; Revised: 10/11; Effective: 10/11*)

APP Penalty Filters

All teams penalized at Level-Two are reviewed to determine if the team can filter out of the penalty structure by demonstrating improvement. This filter places strong emphasis on teams making meaningful academic improvement, as defined by the committee, specifically in the two most recent data years. (*Adopted: 10/11. Effective with penalties applicable in 2012-13 and beyond.*)

1. Improvement Filter.

Teams potentially subject to Level-Two in the penalty structure will have access to an improvement filter.

The Committee on Academics defines meaningful improvement 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

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 has a Level-Two APP penalty and thus is able to use the improvement filter. Calculation of the two most recent data years' APR:

Year 3

Year 4

2-Year Average

$$\frac{29 \text{ points earned}}{32 \text{ points possible}} + \frac{32 \text{ points earned}}{32 \text{ points possible}} = \frac{61 \text{ points earned}}{64 \text{ points possible}} = 953$$

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. This counts as a clean year in the penalty structure.

2. Non-FBS Limited-Resource Institution Filters. Teams at non-FBS LRIs that present a multiyear APR below the benchmark required to avoid APP penalties have access to additional filters. These filters are available to each team at a non-FBS LRI twice within a rolling five-year period. They require an APR Improvement Plan that meets a set of enhanced criteria established by the committee. The following chart explains the application of LRI filters (*Revised: 02/16. Effective with data submitted fall 2016. Revised 05/20. Effective for data submitted in the fall 2021*):

LRI Filters (began with the 2015-16 data)
Three filters for teams with an APR < 930: <ol style="list-style-type: none"> 920 multiyear APR; 940 two-year APR (most recent years); or 930 single-year APR and meets one of five improvement tests. See Appendix 4F for more information on improvement tests.
Filters can be used twice over a rolling five-year period; The LRI must decide if it will avail itself to the filters at the time it submits its data.
Filters require an APR Improvement Plan that meets a set of enhanced criteria established by the Committee on Academics to ensure more presidential engagement.

LRI Filter Example

Institutional use of the LRI filter:

2017-18 SPORT	2018-19 SPORT	2019-20 SPORT	2020-21 SPORT	2021-22 SPORT	2022-23 SPORT	2023-24 SPORT	2024-25 SPORT
MTR	MTR				Eligible		
			MBA				
		MFB	MFB				Eligible
	WBB						
	WSO	WSO				Eligible	

Men's Track (MTR) example: The team used the LRI filter in both 2017-18 and 2018-19. The next opportunity the team would be eligible to use the filter would be for the 2022-23 academic year based on 2020-21 APP data.

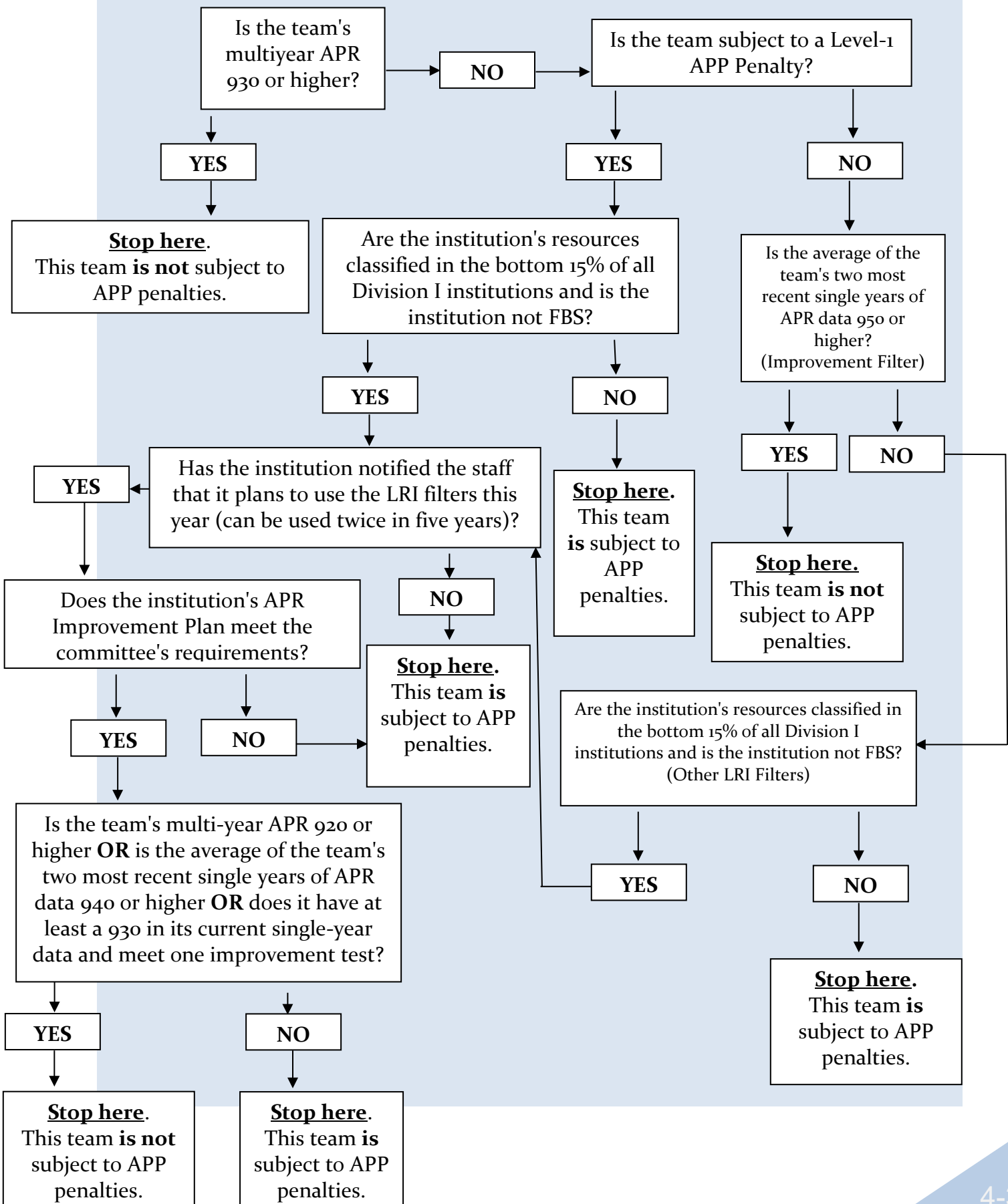
To access the LRI filters above, the institution must have developed a meaningful APR Improvement Plan and have had a history of implementing any prior plans. To satisfy this requirement the following enhanced criteria must be met:

- A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required. Implementation reports must include a signed statement from the chancellor/president on the effectiveness of the initiatives that were implemented. The implementation report must include demonstration that all goals tied to a team's critical issues

were implemented. The implementation report must also include a report on the progress made implementing any long-term goals;

- b. Broad-based participation in the development, assessment and oversight of the plan. The APR Improvement Plan development team must include the institution's highest academic authority (e.g., provost). As appropriate, the plan team should include representatives from any function area or department of the institution that is required to complete a step (e.g., admissions, academic support, athletic administration, coaches, faculty groups, technology staff, purchasing, finance);
- c. A current APR Improvement Plan that identifies critical issues supported by data analysis;
- d. Goals in the current APR Improvement Plan must be performance based (e.g., decrease the number of lost eligibility points) and outcome specific (e.g., create an academic profile for successful two-year transfer student-athletes). They should include short-term benchmarks to track their progress. Steps designed to achieve the goals should specify how the goal will be achieved and should include specific individuals and their roles in the process. Goals can be short or long term, but long-term goals must include short-term benchmarks to track progress;
- e. The APR Improvement Plan must include a reporting timeline created by the institution. The timeline can be adjusted if needed, but all adjustments must be communicated with and approved by the NCAA staff. *(Adopted: 04/12. Effective: 04/12. Revised 10/15 and 02/16. Effective for APR Improvement Plans written for 2016-17 and beyond.)*;
- f. Projected single-year APR targets that elevate the team out of the penalty structure within four-years; and;
- g. Approval by chancellor or president. When developing a new APR Improvement Plan, the institution must make the chancellor or president and the improvement plan team, including the institution's highest academic authority, available for videoconference in which they outline the improvement plan to demonstrate involvement in its development and future implementation.

This chart demonstrates the process for determining if a team is subject to APP penalties:



Notification of a Team's APP Penalties

Once an institution confirms its data is accurate in the correction/adjustment period of the data collection process, 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 Academic Portal. 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 late spring of each academic year.

Timing of 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. For example, if a team received notice of its penalty following APP data submission in the fall of 2023, those penalties must be taken in the 2024-25 academic year. Components of the cumulative penalty package (i.e., Countable Athletically Related Activities 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 the applicable bylaw (Bylaws 14.8.1.1) 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 and only if their three-year APR is below the benchmark.

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 Academics. 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 4B for frequently asked questions on ensuring CARRA penalties are imposed correctly and the reporting requirements for APP penalties.

Academic Performance Program Waivers of Penalties General

As described in Bylaw 14, the Committee on Academics has the authority to waive the application of Bylaw 14.8.1.1 (Penalties). The committee has established guidelines for reviewing APP penalty waivers in the APP waiver directive (See Appendix 4C) and has authorized the Subcommittee on Penalties and Appeals and the staff to review waivers of APP penalties. The subcommittee's decisions shall be final, conclusive and not subject to further review by any other authority. *(Revised: 10/11. Effective: 10/11. Revised: 06/16. Effective: 06/16.)*

APP penalty waivers are considered separately from waivers of loss of access to postseason competition, although they may be submitted simultaneously. Please refer to that section of this chapter for more information on loss of access to postseason competition.

Staff Conflict of Interest

A staff member must recuse themselves from participation in a waiver request in which they are 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 an APP penalty waiver request. It is the responsibility of the staff member to remove themselves 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 before the review.

Use of Third Parties in Waiver Requests

Institutions are permitted to engage the assistance of a third party (e.g., 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 (e.g., chancellor or president, 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.

Subcommittee/Committee Conflict of Interest

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

Ex Parte Communication

In order to maintain the integrity of the waiver process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) prior to discussion by the committee.

Data Issues

At the start of the APP penalty waiver process, institutions are required to confirm the accuracy of its APP data and confirm that no data issues are outstanding or unresolved. The institution is expected to review its data and notify the staff of any possible corrections or adjustments. Once the data issues are addressed, the institution's chancellor or president must sign off on the data before the staff can begin the waiver review process. Failure to confirm accuracy and finality of data within the prescribed timeframe would result in denial of a waiver.

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 Academics' 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. ***Delay requests must be submitted within 14 calendar days of the electronic notification of final penalties.*** Such requests must be submitted to the Chair for the Subcommittee on Penalties and Appeals and 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 14.8.1.1 to the NCAA enforcement staff. (Adopted: 04/07. Effective: 4/07.)

Academic Performance Program Waivers of Penalties

Application Procedures

All penalty waiver requests must be submitted electronically to the national office via the Academic 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 penalty elements. The online waiver application will produce a signature page that must be signed by the institution's chancellor or president.

The waiver request must set forth the reasons the institution believes that application of Bylaw 14.8.1.1. should not apply. The institution must submit a waiver for each team the institution wishes to seek relief. The institution may include information and supporting documentation it considers relevant to its request. (*Revised: 06/16. Effective: 06/16.*)

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 Penalties and 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 Penalties and 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, Deliberations and Decisions

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 penalty waiver requests. Decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See Appendix 4C) including:
 - a. Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - b. 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;
 - c. Size of variance between the team's APR and the penalty benchmark;
 - d. Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s);
 - e. Alternative penalties offered by the institution, if any; and
 - f. Other factors deemed relevant to the waiver request.

The staff has the authority to review and decide all 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 a waiver of Bylaw 14.8.1.1 is warranted with no conditions. In such instances, the team will not be subject to the penalty elements.
2. **Partially Approved:** The staff determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1 is warranted with no conditions. In such instances, the team will not be subject to all the penalty elements, because 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 14.8.1.1 is warranted if the institution/team(s) meets specific conditions. Such conditions will be outlined by the staff in the decision notification. In such instances, the team will not be subject to the 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 at the next available opportunity.
4. **Denied:** The staff determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1. The institution will be responsible for applying the designated penalty or penalties at the originally prescribed times.

Electronic confirmation of the decision must be provided by the staff to the institution within seven calendar days of its decision.

Reporting Staff Decisions

The staff shall submit summaries of all decisions made by the staff to the subcommittee for their review. The subcommittee may not reverse these staff decisions but may provide feedback and direction for future cases.

Appeals of Staff Decisions

The Committee on Academics has authorized the Subcommittee on Penalties and Appeals to consider appeals of staff decisions involving Bylaw 14.8.1.1 Level-One and 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.

A member institution seeking to appeal a staff decision shall submit the online waiver appeal application to the national office using the Academic 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 completed waiver appeal application shall set forth the rationale for the appeal.

All appeals of a staff decision must be filed with the national office within seven calendar days of electronic notification of the staff's decision. Any appeal filed after seven calendar days must include a written explanation of why the appeal was not filed within the prescribed time period. The chair of the Subcommittee on Penalties and Appeals shall determine whether any appeal filed after seven calendar days will be considered. ***Appeals filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (Revised: 07/07. Effective: 07/07 Revised 10/22. Effective: Immediately.)***

Additionally, any request to extend the appeal filing deadline or to change the dates of the Subcommittee on Penalties and Appeals' 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 Penalties and Appeals shall determine whether any extension or delay will be granted.

Appeal Procedures

The Subcommittee on Penalties and Appeals will conduct its deliberations and render a decision by teleconference. A quorum for the review of appeal cases shall be a majority of subcommittee members present and voting. Appeals of staff decisions on loss of access to postseason shall involve only Subcommittee on Penalties and Appeals members, staff members and specified representatives from the institution. (*Adopted: 10/12. Effective: 10/12.*)

Each of the following individuals from the institution must participate in the appeal:

1. Chancellor or president (or their designee);
2. Director of athletics;
3. Faculty athletics representative;
4. Head coach of the penalized team(s); and
5. Any other individuals whose presence was requested by the subcommittee (e.g., senior woman administrator). (*Revised: 06/16. Effective: 06/16.*)

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 Penalties and Appeals may have legal counsel present; however, an individual must speak on behalf of themselves.

Student-athletes, 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 their 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.

The appeal proceedings will continue as follows:

1. Documents Reviewed by the Subcommittee.

The subcommittee will receive and review the penalty report; the waiver application (including supporting documents); staff decision and rationale; the institution's request for an appeal; and the applicant team(s) APP data. Before the teleconference or meeting, the staff will distribute to the institution and subcommittee an agenda of teams to be discussed and a list of specific documents that comprise the record the subcommittee will review.

2. Introduction.

The subcommittee chair will call the 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 themselves.

The institution will introduce its representatives followed by individuals whose presence has been requested by the subcommittee or the institution and conference office representatives. The NCAA staff will introduce themselves. After the introductions, the subcommittee chair may make any announcements.

3. Review of the Appeal.

The staff member who handled the case (or a staff member with oversight responsibilities) has five minutes per team to describe the facts of the case 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 meeting will conclude with the staff and institution each providing a five-minute closing statement. The closing

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

4. Deliberations and Decision.

At the conclusion of the teleconference, the subcommittee members must deliberate. Neither the institution, conference nor staff member(s) presenting the case may be present for the deliberations. The staff member(s) supporting the committee will be present during deliberations but will not be the same staff member(s) presenting the case. (*Adopted: 01/08. Effective: 01/08.*)

The Subcommittee on Penalties and Appeals' decisions will include consideration of the following:

- The waiver directive approved by the Committee on Academics (See Appendix 4c) including:
 - (1) Historical-academic performance of the respective penalized team(s) and/or student-athlete(s);
 - (2) 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;
 - (3) Size of variance between the team's APR and the penalty benchmark;
 - (4) Review of current APR Improvement Plan and implementation of previous APR Improvement Plan(s);
 - (5) Alternative penalties offered by the institution, if any; and
 - (6) Other factors deemed relevant to the waiver request.

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

- a. **Approved:** The subcommittee determines the institution's request demonstrated evidence that waiver of Bylaw 14.8.1.1 is warranted with no conditions. In such instances, the team will not be subject to the Level-Two penalty elements.
- b. **Partially Approved:** The subcommittee determines the institution's request demonstrated evidence that a partial waiver of Bylaw 14.8.1.1 is warranted with no conditions. In such instances, the team will not be subject to all the Level-One and Level-Two penalty elements, but rather some elements will be waived.

- c. **Conditionally Approved (Full or Partial):** The subcommittee determines that the institution's request demonstrated evidence that a waiver of Bylaw 14.8.1.1 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 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 at the next available opportunity.
- d. **Denied:** The subcommittee determines the institution's request does not demonstrate circumstances warranting a waiver of Bylaw 14.8.1.1. The institution will be responsible for applying the designated penalty at the originally prescribed times.

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

Reconsideration of Level-One or -Two APP Penalty Waiver Requests

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 that is not data related. Any data issues not identified before the original waiver decision will be resolved the following academic year in accordance with established policies and procedures. Requests with new information may not be considered by the subcommittee until the staff has reviewed the new information. APR Improvement Plans modified and submitted after the staff/subcommittee decision has been rendered will not be considered new information. ***Reconsideration requests filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (Adopted: 04/10. Effective: 04/10. Revised: 07/12. Effective: 07/12. Revised 10/22. Effective: Immediately)***

Review of Conditionally Approved Level-One and -Two APP Penalty Waivers

The NCAA 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 staff will notify the institution in writing that the condition was met and the appropriate APP penalty has been waived.

If the condition(s) was not satisfied, the staff will provide written electronic notification that the previously conditionally approved waiver is denied, and the team must impose the Level-One or -Two APP penalty at the next available opportunity. Furthermore, the staff will notify the institution that it may provide an explanation regarding why it failed to satisfy the condition(s) or why it believes it did meet the stated conditions(s).

That request must be submitted electronically to the national office via the Academic Portal. ***Requests must be submitted within seven calendar days after the notification that the condition(s) was not met and the team has an APP 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). 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:

- a. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and/or the student-athletes.
- b. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
- c. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years.
- d. Review of implementation of the APR Improvement Plan submitted with the original waiver.
- e. Any additional information provided by the institution.

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

- a. **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 team avoids Level-One or -Two APP penalties.

- b. **Denied:** The staff determines that the institution does not present circumstances that warrant relief from the staff conditional approval and, as a result, the team must impose its Level-One or -Two APP penalties at the next available opportunity.

Appeals and Reconsiderations of Staff Decisions on Conditionally Approved Waivers of Level-One and -Two Penalties.

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

The appeal request must be submitted electronically to the national office via the Academic Portal. Requests must be submitted within seven calendar days after the notification that the condition(s) has not been met and the team has an APP 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 team failed to meet its condition(s) or why it believes it met the stated condition(s) and as a result why the APP penalty 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. Appeals and reconsideration request filed after an institution's data is considered final and the president or chancellor has been notified of such cannot be considered. (*Revised 10/22. Effective: Immediately*)

1. Subcommittee Deliberation and Decisions.

Subcommittee decisions will include consideration of the following:

- a. Mitigating circumstances that impacted the team meeting the condition and whether the mitigating circumstances were within the control of the institution and/or student-athletes.
- b. Size of the variance between the team's most recent single-year APR and the APR required as the condition.
- c. Improvement of the team's APR, eligibility and/or retention APR in the most recent academic year compared to previous years.

- d. Review of implementation of the APR Improvement Plan submitted with the original waiver.
- e. 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:

- a. **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 team's Level-One or -Two APP penalties.
- b. **Denied:** The subcommittee determines that the institution does not present circumstances that warrant relief from the staff conditional approval and as a result, the team must impose the Level-One or -Two APP penalties at the next available opportunity.

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

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

2. Reconsideration.

After the staff and/or subcommittee issued a decision on the review of a conditionally approved waiver of the APP penalties, 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.

Academic Performance Program APR Improvement Plans

APR Improvement Plans are meant to encourage teams and institutions to make immediate improvements to support student-athlete academic performance. An APR Improvement Plan should be developed through broad-based campus participation and should identify and address 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 APP 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 chancellor or president must review and approve the institution's APR Improvement Plan in writing. (*Revised: 10/11. Effective: 10/11.*)

Institutions selected for an APP data review may be required to submit plans to the national office. Further, these 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*)

Any institution 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 approved waiver must submit information regarding implementation of its plan to the national office by the prescribed deadline.

Third parties hired by the institution to assist with the development of an APR Improvement Plan are permitted. However, all communication will take place between NCAA staff and the institutional contact. NCAA staff will not communicate with third parties unless authorized to do so, in writing, by the institution. Such authorization must include a signed statement from the director of athletics expressly granting permission for the staff to communicate with the third party. If any third-party attempts to contact the staff about an improvement plan, the staff will direct that person back to the institutional contact.

See Appendix 4E for APR Improvement Plan requirements. The online submission system is part of the Academic Portal.

The following link allows access to educational materials you may find helpful in developing and submitting your institution's APR Improvement Plan and record of implementation:

<http://www.ncaa.org/governance/committees/division-i-committee-academics>

See Appendix 4D for frequently asked questions on APR Improvement Plans.

APR Improvement Plan Submission Dates

Institutions required to submit new APR Improvement Plans and implementation reports on plans from a previous year 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 2023-24 APR Improvement Plans and/or evidence of implementation of the previous year's plan for the 2022-23 academic year:

2023-24 APR Improvement Plan/Implementation Reporting Requirement Dates

Institution with team(s) that were required to submit a plan in 2022-23 (implementation report only). July 15

LRIs hoping to use an LRI filter (new plan). October 15

Institutions with team(s) with a multiyear APR below 930 (new plan). November 1

Institutions requesting a waiver of an APP penalty (implementation of previous plans and any new plans) November 1
(or with waiver request; whichever is earlier)

(Adopted: 04/10. Revised: 10/11. Effective: 10/11. Revised: 07/12. Effective: 07/12. Revised: 02/16. Effective for plans submitted in 2016-17 and beyond.)

Additional Requirements for Limited-Resource Institutions

Plans submitted by institutions that have been identified as limited resource must meet several additional requirements in order to be used to access the LRI filters referenced earlier in this document. The institution must have developed a meaningful APR Improvement Plan and have had a history of implementing any prior plans. To satisfy this requirement the following criteria must be met:

1. A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required. Implementation reports must include a signed statement from the chancellor/president on the effectiveness of the goals that were implemented. The implementation report must include demonstration that all goals tied to a team's critical issues were implemented. The implementation report must also include a report on the progress made implementing any long-term goals;

2. Broad-based participation in the development, assessment and oversight of the plan. The APR Improvement Plan development team must include the institution's highest academic authority (e.g., provost). As appropriate, the plan team should include representatives from any function area or department of the institution that is required to complete a step (e.g., admissions, academic support, athletic administration, coaches, faculty groups, technology staff, purchasing, finance);
3. A current APR Improvement Plan that identifies critical issues supported by data analysis;
4. Goals in the current APR Improvement Plan must be performance based (e.g., decrease the number of lost eligibility points) and outcome specific (e.g., create an academic profile for successful two-year transfer student-athletes). They should include short-term benchmarks to track their progress. Steps designed to achieve the goals should specify how the goal will be achieved and should include specific individuals and their roles in the process. Goals can be short or long-term, but long-term goals must include short-term benchmarks to track progress;
5. The APR Improvement Plan must include a reporting timeline created by the institution. The timeline can be adjusted if needed, but all adjustments must be communicated with and approved by the NCAA staff. *(Adopted: 4/12. Effective: 4/12. Revised 10/15 and 2/16. Effective for APR Improvement Plans written for 2016-17 and beyond.)*;
6. Projected single-year APR targets that elevate the team out of the penalty structure within four years; and
7. Approval by chancellor or president. When developing a new APR Improvement Plan, the institution must make the chancellor or president and the improvement plan team, including the institution's highest academic authority, available for videoconference in which they outline the improvement plan in order to demonstrate involvement in its development and future implementation.

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, which 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 step 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 an APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. *A presumption that any related penalty waiver(s) will be denied;* and
2. 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*)

Staff Evaluation of New APR Improvement Plans and the Implementation of Previous 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, which 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 goals 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, 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.

Academic Performance Program Public Recognition Program

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. (*Adopted: 04/07. Effective: 04/07*)

The committee modified this element of the program in 2015 by expanding the number of teams in each sport recognized in the public recognition program that has a multiyear cohort size of less than 10. So, if the top 10 percent in a sport includes eight teams with a multiyear cohort below 10, then the next eight teams beyond the top 10 percent would also be recognized. (*Adopted: 02/15. Effective: Immediately. Not retroactive.*)

The committee will continue attempts to identify and implement additional, meaningful incentives in future years.

NOTE: The Board of Directors approved the suspension of APP penalties, loss of access to postseason competition, and the public recognition program for the 2020-21 (2019-20 academic data), 2021-22 (2020-21 academic data) and 2022-23 (2021-22 academic data) academic years. The program returns to normal operations with the submission of the 2022-23 academic data.

The public recognition program will return in the spring 2024 as a publicly searchable database.

Committee on Academics

Subcommittee on Penalties and Appeals Interpretations

Interpretations

The Committee on Academics shall oversee all aspects of the APP. These responsibilities include interpreting all APP penalty and appeal legislation and policies and procedures, including, but not limited to those referenced in Bylaws 14, 15.01.8 and 18.4.2.3. The Committee on Academics has the exclusive authority to interpret and provide written interpretations for all aspects of the APP. Neither the NCAA Division I Interpretations Committee, nor the Committee 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 Academics shall render decisions related to legitimate interpretative inquiries 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 Academics 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.

Interpretive Request Process

1. 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.

- a. 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.
- b. 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.

2. Receipt of the Interpretive Request.

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

- a. Referrals from the NCAA academic and membership affairs staff regarding the application of legislation, other interpretations and/or policies and procedures.
- b. Referrals from Division I governance entities (e.g., cabinets/committees) of issues related to the application of legislation and/or policies and procedures.
- c. 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 before filing an appeal of an APP penalty. Further, the interpretations process must be complete, including final review of any interpretive appeals, before 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.

3. 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.

4. Staff and Committee/Subcommittee Interpretations/Legislation Review.

- a. **Staff Review:** All interpretative requests must be forwarded in writing to the staff liaisons to the Committee on Academics. 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 Academics or one of its subcommittees will review all staff interpretations.

- b. **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 Academics and/or a subcommittee of Committee on Academics based on the topical nature of the request. The committee and/or subcommittees shall review the following issues:
- (1) **Subcommittee on Data:** 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 Academics chair for review.
 - (2) **Subcommittee on Penalties and 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 Academics chair for review.
 - (3) **Full Committee:** All issues related to the penalties and rewards structure. In addition, the Committee on Academics 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)*

5. 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. The full committee will review all subcommittee decisions.

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 before 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 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.

6. 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 then 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 LSDBi.

7. Review/Appeals.

The Committee on Academics 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 Academics 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.

The Committee on Academics interpretive decisions are final, and no additional appeal opportunity exists for a member institution or conference.

8. Ex Parte Communication.

To maintain the integrity of the interpretation process, the influence of outside discussions and arguments should be kept to a minimum. Once an issue has been submitted to the committee/subcommittee for review, each committee member shall not discuss the issue with noncommittee members (e.g., the public or the membership) prior to discussion by the committee.

APPENDIX 4A

NCAA Division I Academic Performance Program Penalty and Loss of Access to Postseason Competition Scenarios

The following scenarios are designed to assist institutions in understanding the progressive and cumulative nature of NCAA Division I Academic Performance Program penalties as well as the loss of access to postseason competition.

Example One – Baseball Team

- Year 1:** Team's multiyear NCAA Division I Academic Progress Rate is below 930 and team receives a Level-One Penalty consisting of a four-hour and one-day reduction in countable athletically related activities during the playing and practice season as well as the loss of access to postseason competition in the following academic year. Countable athletically related activities time must be replaced with academic activities.
- Year 2:** Team's multiyear APR is above 930. No penalty. This qualifies as clean year number one.
- Year 3:** Team's multiyear 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 and loss of access to postseason competition for the second time. No penalty or loss of access to postseason. This qualifies as clean year number two.
- Year 4:** Team's multiyear APR is below 930, but team receives an APP penalty waiver as well as a waiver of loss of access to postseason competition. 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's multiyear APR is below 930. Team is again subject to Level-One Penalty of four-hour and one-day CARA reduction in the playing and practice season, as well as loss of access to postseason competition. Because the team is back at Level-One Penalty, it is not eligible for the improvement filter.

Example Two - Football Team

- Year 1:** Team's multiyear APR is below 930, and team receives Level-One Penalty consisting of a four-hour and one-day CARA reduction in the playing and practice season as well as the loss of postseason competition. CARA time must be replaced with academic activities.
- Year 2:** Team's multiyear 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 and loss of access to postseason competition for the second time. No penalty or loss of postseason. This qualifies as clean year number one.
- Year 3:** Team's multiyear APR is below 930 but satisfies the improvement filter. No penalty or loss of postseason. This qualifies as clean year number two.
- Year 4:** Team's multiyear APR is below 930 but does not satisfy the improvement filter, and team is subject to Level-One and Level-Two Penalties, including a four-hour and one-day CARA reduction in the playing and practice season and elimination of spring football and the spring game. The team is subject to the loss of postseason competition for the second time.
- Year 5:** Team's multiyear APR is below 930 but does not satisfy the improvement filter and is subject to Level-One and Level-Two penalties for the second time, including a four-hour and one-day CARA reduction in the playing and practice season, and the elimination of spring football and the spring game. The team is also subject to the loss of postseason competition for the third time.

Example Three - Basketball Team

- Year 1:** Team's multiyear APR is below 930 and team receives Level-One Penalty consisting of a four-hour and one-day CARA reduction in the playing and practice season. CARA time must be replaced with academic activities. The team is subject to the loss of postseason competition for the first time.
- Year 2:** Team's multiyear 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 and loss of access to postseason competition for the second time. This qualifies as clean year number one.

- Year 3:** Team's multiyear APR is below 930, but team satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number two.
- Year 4:** Team's multiyear APR is below 930, but team does not satisfy the improvement filter and is subject to Level-One and Level-Two Penalties, including a four-hour and one-day reduction in CARA in the playing and practice season, a four-hour reduction in the amount of CARA out of season and a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games). The team is subject to the loss of postseason competition for the second time.
- Year 5:** Team's multiyear APR is below 930 but satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number one.
- Year 6:** Team's multiyear APR is below 930 but satisfies the improvement filter. No penalty or loss of access to postseason competition. This qualifies as clean year number two.
- Year 7:** Team's multiyear APR is below 930 but does not satisfy the improvement filter and is subject to Level-One and Level-Two penalties, including a four-hour and one-day CARA reduction in the playing and practice season, and a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games). The team is subject to the loss of postseason competition for the third time.
- Year 8:** Team's multiyear APR is below 930 but does not satisfy the improvement filter and is subject to Level-One and Level-Two Penalties, again. Penalties will include a four-hour and one-day reduction in CARA in the playing and practice season, a four-hour reduction in the amount of CARA out of season, and a 10 percent reduction in the length of season (14 days) and the number of basketball games (three games). The team is subject to the loss of postseason competition for the fourth time.

APPENDIX 4B

Frequently Asked Questions on Loss of Access to Postseason Competition and Penalty Application and Reporting Requirements

The following will assist institutions in ensuring the countable athletically related activity penalties are imposed correctly:

Question No. 1: When does the four-hour countable athletically related activity restriction apply?

Answer: The Level-One NCAA Division I Academic Performance Program penalty CARA restriction applies only during the period when the team is subject to the 20-hour per week limitation. The Level-Two APP penalty CARA 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 CARA 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 CARA 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 CARA related to conference and/or postseason championships?

Answer: The weekly hour restrictions and day-off restriction applies during a week in which a team is participating in conference and/or postseason championships per NCAA Division I Bylaw 17.1.7.4. 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, how is the additional day-off restriction applied in a week when a team is participating in three contests per Bylaw 17.1.7.10?

Answer: If the institution uses the legislated exception for the one day off per week requirement when it has three contests in the same week, the following requirements apply:

- (a) The team will not impose the additional day-off penalty during the week the team has three contests; and
- (b) The team will take an additional day off the week before or after the week the team has three contests.

Question No. 5: Do the weekly CARA 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 CARA restriction applies to the team's weekly CARA 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 CARA time with academic activities is imposed correctly:

Question No. 1: What are acceptable academic activities?

Answer: The following activities are acceptable academic activities:

- (a) Study hall.
- (b) Tutoring.
- (c) Meeting with academic support personnel.
- (d) Meeting with departmental academic advisor.
- (e) Meeting with professor.
- (f) Meeting with formal study group.
- (g) Meeting with informal study group.
- (h) Faculty mentoring.

- (i) Peer mentoring.
- (j) Meeting with career counselor.
- (k) Career development seminar.
- (l) Life skills development session.
- (m) Campus seminars.
- (n) Supplemental instruction session.
- (o) Study skills seminars.

The following activities would **NOT** be considered acceptable academic activities:

- (a) Meeting with coaches in their offices to study.
- (b) Academic activity while traveling (e.g., on a bus, plane).
- (c) Academic meetings with coaches.
- (d) Community service with athletics team/department.
- (e) Promotional activities.
- (f) Hosting recruits for official or unofficial visits.
- (g) 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, regardless of academic performance, must

participate in some academic activity to replace the CARA 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; CARA 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 in the penalized team's APR cohort is required to participate in monitored academic activities. This participation should be logged to demonstrate that the penalty was taken as prescribed. *(Revised: 10/09. Effective: 10/09. Revised: 10/10. Effective: 10/10)*

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: 10/10)*

The following addresses frequently asked questions with respect to teams that are subject to contest and season reduction penalties:

Question No. 1: When must the 10 percent season reduction be taken?

Answer: The 10 percent season-reduction penalty must be taken at the beginning of the regular playing and practice season. For example, a basketball team subject to a reduction of the playing and practice season must start its regular season 14 days later than the first permitted day of in-season practice.

Question No. 2: For the sports of men's and women's basketball, how is the 10 percent contest reduction calculated?

Answer: The APP penalty requiring a reduction of 10 percent of the number of contests results in a three-game reduction from the maximum number of permissible contests.

The following addresses the reporting requirements for APP penalties:

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 July 15 following the academic year in which the penalty was applied. For example, teams applying the penalty during the 2022-23 academic year must submit an electronic report to the NCAA Division I Committee on Academics not later than July 15, 2023.

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: 10/09*)

Question No. 3: What will an institution have to report regarding the academic activities in which the team participated in place of CARA 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 CARA. 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 a reduction 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 CARA logs and 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: NCAA Bylaws 17.1.1 (Playing Season), 17.1.7.3.6 (Vacation Periods and Between Terms), 17.1.7.3.8 (Multisport Participant); 17.1.7.4 (Required Day-Off – Playing Season), and 17.1.9 (General Regulations for Computing Playing Seasons Applicable to all Sports).]

The following addresses the application of the loss of access to postseason competition:

Question No. 1: If a team is subject to the loss of access to postseason competition (due to falling below the APR benchmark) in the same year it is subject to withholding from postseason competition due to any other process (e.g., NCAA Division I Committee on Infractions, missed APP data deadline), may these be served at the same time?

Answer: The Committee on Academics' policy requires that a penalty or loss of access to postseason competition be applied in the academic year following the release of the applicable APR data, unless otherwise specified. In this case, the team may take the two instances of loss of access to postseason simultaneously in order to satisfy the Committee on Academics' policy.

Question No. 2: If a team is subject to the loss of access to postseason competition and APP penalties (due to falling below the APR benchmark) in the same year it is subject to penalties due to any other process (e.g., Committee on Infractions), will the penalties be compounded? For example, if a team is subject to a 10 percent contest reduction through the APP process and is also subject to a 10 percent contest reduction due to Committee on Infractions' penalties, is the team now required to impose a 20 percent contest reduction?

Answer: No, in this instance, the penalties are not compounded, and the team would only be required to impose a 10 percent contest reduction in order to satisfy the Committee on Academics' policy.

Question No. 3: What if a team is subject to the loss of access to postseason competition in the same year due to unusable data and a multiyear APR below 930?

Answer: In this case, the team may take the two instances of a loss of access to postseason simultaneously.

Question No. 4: If a team is subject to the loss of access to postseason competition (due to falling below the APR benchmark) in the same year an NCAA championship is cancelled, will the loss of access to postseason competition be considered to have been served?

Answer: Yes, those teams will have served the loss of access to postseason competition despite the championship being cancelled.

Question No. 5: Beyond the 2019-20 data, can COVID-19 be cited in future adjustments requests as mitigation for lost points (for example, mitigation for transfers who do not enroll in the next possible term)?

Answer: Yes. Such requests will be reviewed on a case-by-case basis.

Question No. 6: Could COVID-19 be considered extraordinary mitigation in the future for teams facing first-year penalties or first-time loss of access to postseason competition?

Answer: Yes. COVID-19 meets the definition of a catastrophic event, and therefore, could be presented as mitigation like a natural disaster described as extraordinary mitigation in the penalty waiver directive. The institution would have to identify the points the team lost due to the catastrophic event, and the impact would likely have to be on multiple academic years.

The following addresses the impact of Level-Two APP penalties:

All teams in Level-Two are subject to the following penalties:

1. Reduction of the penalized teams' CARA time by four hours and one day per week of CARA *during* the playing season (Level-One element). This results in 16 hours per week and five days per week of CARA allowed. The reduced CARA time must be replaced with academic support activities; and
2. Reduction of the penalized teams' CARA time by four hours per week *outside* of the playing season. This results in four hours per week of CARA allowed. The CARA time must be replaced with academic support activities. (*Revised: 1/15. Effective: 1/15. Revised: 2/16. Effective 2/16.*)

The following charts indicate the application of all other Level-Two Penalties: Sports with Nonchampionship Season Elimination

Sport	Penalty
Cross country, men's and women's (but does not sponsor indoor or outdoor track and field).	No dates of competition during segment other than segment in which NCAA championship is conducted.
Field hockey, women's.	No dates of competition during segment other than segment in which NCAA championship is conducted.
Soccer, men's and women's.	No dates of competition during segment other than segment in which NCAA championship is conducted.
Softball, women's.	No contests during nonchampionship segment.
Volleyball, men's and women's.	No dates of competition during segment other than segment in which NCAA championship is conducted.

Sports with 10 Percent Reduction in Contests and Playing Season

Sport	Game Reduction	Season Reduction
Acrobatics and Tumbling, Women's	12 to 11 dates of competition.	144-day season to 130-day season.
Baseball.	56 to 50 contests.	132-day season to 119-day season.
Basketball, men's and women's.	29 to 26 contests. ¹	Reduction of 10 percent of playing and practice days between first allowable practice and end of
Bowling, women's.	32 to 29 dates of competition.	144-day season to 130-day season.
Cross country, men's and women's.	7 to 6 dates of competition.	144-day season to 130-day season.
Fencing.	11 to 10 dates of competition.	144-day season to 130-day season.

Golf, men's and women's.	24 to 22 dates of competition.	144-day season to 130-day season.
Gymnastics, men's and women's.	13 to 12 dates of competition.	144-day season to 130-day season.
Ice Hockey, men's and women's.	34 to 31 contests.	132-day season to 119-day season.
Lacrosse, men's and women's.	17 to 15 dates of competition.	132-day season to 119-day season.
Rifle, mixed.	13 to 12 dates of competition.	144-day season to 130-day season.
Rowing, women's.	20 to 18 dates of competition.	156-day season to 140-day season.
Beach volleyball, women's.	16 to 14 dates of competition.	132-day season to 119-day season.
Skiing, men's and women's.	32 to 29 dates of competition in both alpine and Nordic events.	144-day season to 130-day season.
Swimming and diving, men's and women's.	20 to 18 dates of competition.	144-day season to 130-day season.
Tennis, men's and women's.	25 to 22 dates of competition.	144-day season to 130-day season.
Track and field, men's and women's (only).	18 to 16 dates of competition.	144-day season to 130-day season.
Track and field, men's and women's (indoor and outdoor).	18 to 16 dates of competition.	156-day season to 140-day season.
Triathlon, women's.	6 to 5 dates of competition.	144-day season to 130-day season.
Water Polo, men's and women's.	21 to 19 dates of competition.	132-day season to 119-day season.
Wrestling, men's and women's	16 to 14 dates of competition.	144-day season to 130-day season.

Football

Sport	Penalty
Football.	No spring football practice sessions per Bylaw 17.11.7.5 including the spring game.

¹ For teams that plan to participate in a qualifying regular season multiple-team event (e.g., Maui Invitational), the reduction would be from 27 to 24 contests (includes the event as one contest).

² The start date for men's and women's basketball will vary depending on the year; however, the penalized team's playing and practice season must start 14 days later than the first permitted day of in-season practice. The 14 calendar days that are removed from the start of the regular season will be considered out-of-season and will be governed by the out-of-season legislation.

APPENDIX 4C

NCAA Division I Committee on Academics NCAA Division I Academic Performance Program Access to Postseason and Penalty Waiver Directive

Background

The central purpose of the NCAA Division I Academic Performance Program 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. Additionally, the program provides an academic access point to NCAA benefits, including postseason competition.

When a team's academic performance measured by the multiyear NCAA Division I Academic Progress Rate falls below 930, that team loses access to postseason competition and is subject to penalties. Filters are applied to teams' data to account for improvement and resources in the penalty calculation. NCAA Division I Bylaws 14.8.1.1.2, 14.8.1.2.3, 14.8.2 and 18.4.2.3.1 provide for waivers of APP penalties or access to postseason competition. The NCAA Division I Committee on Academics has approved this directive to provide guidance to the NCAA staff and the NCAA Division I Committee on Academics Subcommittee on Penalties and Appeals in reviewing APP penalty waiver requests.

Guiding Principles

1. Requests to waive loss of access to postseason competition and APP Level-One and -Two penalties will be considered independently. The requests are filed simultaneously, but the access to postseason competition and APP penalties have different standards for relief. (*Revised 04/16. Effective: 04/16*)
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). To that end, all data issues must be resolved prior to the review of a waiver request.

3. NCAA Division I 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 underperforming 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 Loss of Access to Postseason Competition

1. First Occasion Team Loses Access to Postseason Competition. Institutions are permitted to submit a waiver request the first occasion a team loses access to postseason competition. 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, adjustments to APP data). 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 impacts 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 or institutional dismissal of student-athletes.

If an institution cannot demonstrate extraordinary mitigating circumstances impacted a team the first time it loses access to postseason competition, the waiver request will be denied. (*Revised: 1/15. Effective: 1/15*)
 - (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 of the loss of access to postseason competition. Previous plans will

be reviewed for a sense of the institution's history of implementing initiatives to address critical issues. Current plans will be reviewed for identification of 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 performance 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). Overall academic performance will be evaluated to determine if the team is demonstrating sustainable academic improvement.
 - (4) Alternative Penalty Options. Within the waiver request, an institution may ask that an alternative to the loss of access to postseason competition be imposed on the team. The institution must include an explanation of how this proposal 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 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 3b below are present, the level of mitigation required to receive relief may be less stringent than what is required the first time a team lost access to postseason competition.
3. Notes on Outcomes. A loss of access to postseason competition waiver request will be approved, conditionally approved or denied.
 - a. Waiver requests will be denied the first time a team loses access to postseason competition if the institution cannot demonstrate extraordinary mitigating circumstances as described on Page No. 2. (*Revised: 1/15. Effective: Immediately*)
 - b. Waiver requests should be denied the second and subsequent times a team loses access to postseason competition if the institution cannot demonstrate:
 - (1) Significant academic improvement that is sustainable;
 - (2) Mitigating circumstances as defined on Page No. 6;

- (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 specific, measurable goals. Additionally, the institution is expected to demonstrate a history of implementation of initiatives designed to address critical issues from any previous APR Improvement Plans; 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 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'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. Overall academic performance will be evaluated to determine if the team is demonstrating sustainable academic improvement.
 - 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. The team's academic profile including hours earned, grade-point average, eligibility and retention points.
 2. 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.

3. The number of graduates the team has generated over the four years that make up the multiyear rate.
 4. The number of student-athletes who were not academically eligible and not retained included in the multiyear APR.
 5. Other academic data elements that may be relevant to the case.
2. Other Factors. The staff/subcommittee'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 benchmark (930).
 - c. The institution's history of implementation of initiatives to address critical issues identified in its previous APR Improvement Plan(s) as well as the current plan's ability to identify and address critical issues that have impacted the team's APR with clear steps and specific, measurable goals.
 - 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. Should an institution offer an alternative penalty, the staff/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. (*Revised 4/16. Effective: 4/16*)
 - 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 team's 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 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, supported by objective documentation, to the team's ability to earn eligibility/graduation and/or retention points. 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. A team whose APR 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. Notes on Outcomes. An APP penalty waiver request will be partially or fully approved, 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. The institution's history of implementation of initiatives to address critical issues identified in its previous APR Improvement Plan(s) as well as the current plan's ability to identify and address critical issues that have impacted the team's APR

with clear steps and specific, measurable goals; and

- d. An expectation that the team will achieve an APR of .930 or higher in a reasonable period of time.

Use of Conditional Approvals

Waivers of APP penalties and loss of access to 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. Demonstrated implementation of the institution's written APR Improvement Plan, especially issues identified as critical to the team's academic improvement, or any element specifically required by the staff/subcommittee/committee;
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 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 rationale;
5. Requiring the institution to impose limits, restrictions or penalties that are part of its APR Improvement Plan or cited in its waiver rationale (e.g., withhold a head coach from contests); and
6. Requiring an institution comply with identified minimal academic profiles for entering student-athletes that are part of its APR Improvement Plan or its waiver rationale.
(Revised: 10/08; 10/10)

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 within the prescribed period of time.

Review of Conditionally Approved Penalty Waivers

At some point established within the waiver decision, the staff verifies that all established conditions were satisfied (e.g., single-year APR, acceptable implementation of APR Improvement Plan). If the staff concludes that the team has not satisfied the established condition(s), the subcommittee or 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 circumstance with regard to the imposed conditions. In such cases, the staff will review factors including improvement in the single-year and multiyear APRs, 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. Appeals of the staff determinations will be heard by the subcommittee. 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 subcommittee, 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 2018-19 results in the imposition of the penalties in 2019-20).

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 develop and implement strategies to improve the academic performance, eligibility, retention and graduation rates 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 the team will achieve an APR of 930 in a reasonable period of time. Therefore, APR Improvement Plans submitted with a waiver request 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 benchmark. The following shall be addressed:
 - a. Using data analysis, identify any critical issues impacting the academic performance, eligibility, retention and graduation of the team's student-athletes.

- b. Develop specific and measurable goals to address the critical issues, steps to meet the goals, timetables for implementation and identify persons responsible for each step outlined in the plan.
 - c. Identify specific target APR goals for the team(s) for the current and future academic years that will assist the team in meeting the 930 benchmark in a reasonable period of time.
 - d. Demonstrate implementation of initiatives the institution has developed in any previous APR improvement plan(s) that address the critical issues impacting the team's academic success.
2. If an institution fails to create and submit an appropriate APR Improvement Plan, as defined by the committee, there is a presumption that any penalty waiver request will be denied.

APPENDIX 4D

Frequently Asked Questions on NCAA Division I Academic Progress Rate Improvement Plans

Question No. 1: When do I have to file an NCAA Division I Academic Progress Rate (APR) Improvement Plan with the NCAA national office?

Answer: An institution is required to file an APR Improvement Plan if a team's multiyear APR is below 930 or if the institution is requesting a penalty waiver, regardless of filter use. Submission deadlines are outlined within this chapter.

Question No. 2: Do I need to submit an APR Improvement Plan if the team is eligible to use the squad size adjustment?

Answer: It depends on. If the team's APR is below 930 WITH the squad-size adjustment, that team IS REQUIRED to submit an APR Improvement Plan to 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. 3: Is a data analysis required for APR 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 APR 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 critical issues (e.g., changes to the entering profile) based on this evaluation.

APPENDIX 4E**NCAA Division I Academic Progress Rate Improvement Plan Requirements****Purpose of the NCAA Division I Academic Progress Rate Improvement Plan**

The purpose of the NCAA Division I Academic Progress Rate Improvement Plan is to allow an institution to demonstrate its commitment to the NCAA Division I Academic Performance Program. The plan serves as a framework for an institution to improve teams' APRs by monitoring each team's academic, retention and graduation performance; identifying critical issues impacting any team with a multiyear APR below 930; and developing initiatives to address an underperforming team's critical issues.

Institutions that have at least one team with an APR below 930 are required to develop and submit an APR Improvement Plan. The first section of this document outlines the standards by which APR Improvement Plans will be reviewed to determine if an institution has implemented its improvement plan submitted for the previous academic year. Implementation of APR Improvement Plans is used in the analysis of APP waiver requests, and for limited-resource institutions to access filters to allow underperforming teams to access postseason competition and avoid APP penalties. The second section of this document outlines the minimum requirements for new or revised APR Improvement Plans.

Key Terminology

1. **Data analysis** is the review of APP and other data (e.g., incoming student-athlete profiles, progress of "at-risk" student-athletes, progress of student-athletes admitted under the institution's regular admission standards) with the focus on determining what points are being lost and who is losing them. The institution is encouraged to look for common themes in the point loss over the four years that make up the multiyear APR cohort in order to identify critical issues impacting the team's academic success.
2. **Critical issues** are those issues, identified by the institution through data analysis, that impact the underperforming team's academic, retention or graduation performance. For example, if the institution has concluded that a large number of APR points are lost by 2-4 transfers, the institution should review its data to determine what kinds of points this group is losing (eligibility or retention) and what common factors are in play with student-athletes in this group that lose points. Narrowed down, these identified points become the team's critical issues.

3. **Goals** are initiatives that should tie back to the critical issue. They should be specific and measurable in order for the institution to be able to demonstrate if its goals were effective. In the example above, the goal may be to reduce the number of eligibility points lost by two-year transfer student-athletes by 50 percent.
4. **Steps** are the specific actions or processes designed to bring the goals to life. They usually include the individuals responsible for components of the process, and possible timelines as well. In the example above, the steps in the initiative might include coordinating with the admissions office to design an "at-risk" evaluation.

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, even if the team is not subject to APP penalties or the loss of postseason competition. 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.

Institutions selected for an APP data review may be required to submit plans to the national office if they have a team with a multiyear APR below .930.

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.

Limited-Resource Institutions' Access to Filters

Limited-resource institutions can access filters to avoid APP penalties and loss of access to postseason competition provided the institution has submitted an APR Improvement Plan that meets established criteria. Limited-resource institutions are defined as teams in the bottom 15 percent of all Division I member institutions in resources (using the same formula the NCAA Division I Committee on Academics uses for other purposes), excluding all Football Bowl Subdivision institutions.

APR Improvement Plan Requirements for Limited-Resource Institutions

Plans submitted by institutions that have been identified as limited resource must meet several additional requirements to be used to access the limited-resource institution filters referenced earlier in this document. The institution must have developed a meaningful APR Improvement Plan and have had a history of implementing any prior plans. To satisfy this requirement the following criteria must be met:

1. A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required. Implementation reports must include a signed statement from the chancellor/president on the effectiveness of the initiatives that were implemented. The implementation report must include demonstration that all essential initiatives tied to a team's critical issues were implemented. The implementation report must also include a report on the progress made implementing any long-term goals;
2. Broad-based participation in the development, assessment and oversight of the plan. The APR Improvement Plan development team must include the institution's highest academic authority (e.g., provost). As appropriate, the plan team should include representatives from any function area or department of the institution that is required to complete a step (e.g., admissions, academic support, athletic administration, coaches, faculty groups, technology staff, purchasing, finance);
3. A current APR Improvement Plan that identifies critical issues supported by data analysis;
4. Goals in the current APR Improvement Plan must be performance based (e.g., decrease the number of lost eligibility points) and outcome specific (e.g., create an academic profile for successful two-year transfer student-athletes). They should include short-term benchmarks to track their progress. Steps designed to achieve the goals should specify how the goal will be achieved and should include specific individuals and their roles in the process. Goals can be short- or long-term, but long-term goals must include short-term benchmarks to track progress;
5. The APR Improvement Plan must include a reporting timeline created by the institution. The NCAA staff must check in with the institution regarding progress on implementation before the implementation report due date. The timeline can be adjusted if needed, but all adjustments must be communicated with and approved by the NCAA staff. (*Adopted: 4/12. Effective: 4/12. Revised 10/15 and 2/16. Effective for APR Improvement Plans written for 2016-17 and beyond*);
6. Projected single-year APR targets that elevate the team out of the penalty structure within four-years; and

7. Approval by chancellor or president. When developing a new APR Improvement Plan, the institution must make the chancellor or president and the improvement plan team, including the institution's highest academic authority, available for videoconference in which they outline the improvement plan in order to demonstrate involvement in its development and future implementation.

Failure to Develop a Required APR Improvement Plan

An institution that is required to create and/or submit an APR Improvement Plan, but fails to create or submit a plan meeting all committee specifications, will be subject to the following prescribed penalties:

1. ***A presumption that any related penalty waiver(s) will be denied;*** and
2. Notification to the institution's chancellor or president and conference office that the institution failed to create or submit an acceptable APR Improvement Plan.

Implementation Requirements

An APR Improvement Plan is considered to be implemented when:

1. The institution demonstrated that the essential steps outlined to address critical issues have been completed;
2. The institution achieved or demonstrated progress toward the measurable goals established to address critical issues;
3. The individuals responsible for the goals/steps designed to address critical issues contributed to their completion and/or attempted completion; and
4. If the institution did not implement the steps outlined in the plan, the institution provided.
 - a. Evidence that the team's critical issue was effectively addressed by an alternative 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) academic, retention or graduation performance.

An APR Improvement Plan is considered not implemented when:

1. The institution demonstrated that the essential steps outlined to address critical issues have not been completed;
2. The institution did not achieve or demonstrate progress toward the measurable goals established to address critical issues;
3. The individuals responsible for the goals/steps to address critical issues did not contribute to their completion and/or attempted completion; and
4. If the institution did not implement the steps outlined in the plan, the institution did not provide:
 - a. Evidence that the team's critical issue 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) academic, retention or graduation performance.

New or Revised APR Improvement Plan Requirements

APR Improvement Plans must have the following elements to meet submission requirements and receive a staff evaluation:

1. Broad-based participation.
 - The APR Improvement Plan must be developed with significant input from appropriate institutional constituent groups inside and outside of athletics.
2. Institutional approval.
 - The completed APR Improvement Plan must be reviewed and approved by the chancellor/president, to ensure that it represents the commitment and support of the entire institution to improve the team's APR.
3. Data analysis.
 - a. 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 beyond what is provided in the Academic portal.

- b. The data analysis by the institution should include the following information:
 - (1) The entering profile of student-athletes in the four-year cohort of the affected team(s) (e.g., high school core-course grade-point average, two-year transferable credits, ACT/SAT score, etc.);
 - (2) An accounting of all points lost over the four years making up the multiyear APR. This should include a summary of lost eligibility and retention points, indication why points were lost as well as any themes in the point loss;
 - (3) Reasons for loss of eligibility point. Specifically, the progress-toward-degree requirement not satisfied by the student-athlete;
 - (4) Circumstances surrounding loss of retention point (e.g., professional departure, lack of playing time, suspension/dismissal, etc.); and
 - (5) 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 "o/2s" by two-year transfers in final term of eligibility).
4. Additional required elements of the APR Improvement Plan.
 - a. Plan activity/assessment.
 - The APR Improvement Plan is a dynamic document. The institution should conduct regular assessments to determine if the critical issues, measurable goals and steps are still appropriate.
 - b. Timely development of plan.
 - The APR Improvement Plan must be developed in time for it to be effective for the current academic year.
 - c. 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.
 - d. Specific and measurable goals.
 - (1) The institution must identify at least one goal per critical issue. However, the issue may lead to multiple goals.

- (2) Goals must be established in terms that are specific and measurable in order for the institution to determine if the goal has been achieved.
- e. Steps to achieve goals.
 - The APR Improvement Plan must include specific, detailed steps the institution will take to achieve the goals in each initiative.
- f. Responsible individuals.
 - The institution must identify at least one institutional staff member responsible for carrying out the step(s) to achieve the goals.
- g. Timeline to complete initiatives and meet goals.
 - (1) The institution must include a specific timetable to complete the steps to achieve the goals.
 - (2) The timeline should refer to a point within the academic year.

APPENDIX 4F

Limited-Resource Institutions
NCAA Division I Academic Progress Rate Improvement Review

In October 2015, the NCAA Division I Committee on Academics elected to amend application of the NCAA Division I Academic Performance Program filters for limited-resource institutions. These filters allow teams at limited-resource institutions to avoid APP penalties and loss of access to postseason competition.

For the purpose of these filters, limited-resource institutions will be defined as teams in the bottom 15 percent of all NCAA Division I member institutions in resources, excluding all Football Bowl Subdivision institutions, using a formula that considers (1) average Pell Grant dollars awarded to first-time undergraduate students (to assess the need of the student body; (2) per capita institutional spending (to assess the need of the institution); and (3) per capita athletic spending (to assess the need of the athletics department). FBS institutions/teams shall not be eligible for these filters regardless of resource level. The filters impact both access to postseason competition and Level-One and Level-Two penalties. *(Adopted: 07/09. Revised: 10/11. Effective: 10/11. Revised: 4/16. Effective: 4/16. Revised: 4/18. Effective: 4/18)*

The committee elected to maintain the same filters that have been used in the past but modified their application. The changes are reflected below:

Current Model (starts with the 2015-16 data)	
Three filters for teams with an APR <930: 1. 920 multiyear APR; 2. 940 two-year APR; or 3. 930 single-year APR and meets one of five improvement tests.	
Filters can be used twice over rolling five-year period; LRI <i>must</i> decide if it will avail itself to the filters at the time it submits its data.	
Filters require an APR Improvement Plan that meets a set of more robust criteria established by the committee to ensure greater presidential engagement.	

To access the limited-resource institution filters above, the institution must have developed a meaningful APR Improvement Plan and have a history of implementing its prior plans. To satisfy this requirement the following criteria must be met:

1. A history of implementation of APR Improvement Plans – significant and critical elements - if a plan was previously required. Implementation reports must include a signed statement from the chancellor/president on the effectiveness of the initiatives that were implemented. The implementation report must include demonstration that all essential initiatives tied to a team's critical issues were implemented. The implementation report must also include a report on the progress made implementing any long-term goals.
2. Broad-based participation in the development, assessment and oversight of the plan. The APR Improvement Plan development team must include the institution's highest academic authority (e.g., provost). As appropriate, the plan team should include representatives from any function area or department of the institution that is required to complete a step (e.g., admissions, academic support, athletic administration, coaches, faculty groups, technology staff, purchasing, finance).
3. A current APR Improvement Plan that identifies critical issues supported by data analysis.
4. Goals in the current APR Improvement Plan must be performance based (e.g., decrease the number of lost eligibility points) and outcome specific (e.g., create an academic profile for successful two-year transfer student-athletes). They should include short-term benchmarks to track their progress. Steps designed to achieve the goals should specify how the goal will be achieved and should include specific individuals and their roles in the process. Goals can be short- or long-term, but long-term goals must include short-term benchmarks to track progress.
5. The APR Improvement Plan must include a reporting timeline created by the institution. The NCAA staff must check in with the institution regarding progress on implementation before the implementation report due date. The timeline can be adjusted if needed, but all adjustments must be communicated with and approved by the NCAA staff. *(Adopted: 4/12. Effective: 4/12. Revised 10/15 and 2/16. Effective for APR Improvement Plans written for 2016-17 and beyond).*
6. Projected single-year APR targets that elevate the team out of the penalty structure within four-years; and
7. Approval by chancellor or president. When developing a new APR Improvement Plan, the institution must make the chancellor or president and the improvement plan team, including the institution's highest academic authority, available for videoconference in which they outline the improvement plan to demonstrate involvement in its development and future implementation.

Team Improvement Tests

Team APR data will be examined to identify squads making meaningful improvement toward an APR of 930. The committee defined meaningful improvement as a change in APR that is greater than would be expected due to typical year-to-year fluctuations. A statistical analysis will be used to identify meaningful APR improvement. This analysis considers the differences in squad size that could be perceived as impacting observed APR variations (for example, a 20-point jump in a football team's APR is more meaningful than the same increase for a smaller squad). If a team fails to demonstrate meaningful improvement, it fails the improvement review and may seek relief from the penalty through the waiver process.

Based on this standard, the following chart was developed to provide the minimum improvement needed based on an average cohort size.

Average Cohort Size	Increase in APR Needed to
2	250
3	150
4	110
5	90
6	80
7	70
8-9	60
10-11	50
12-18	40
19-30	30
31+	20

For teams with a four-year multiyear APR, results of the following five tests are compared to the above chart to ensure that varied patterns of improvement are correctly credited. Having a single-year APR at or above 930 in the most recent year and meeting the standard indicated on the chart for any one of the five following tests indicates the team has made significant APR improvement:

1. Comparing the most recent single-year APR to the previous single-year APR (e.g., 2022-23 single-year APR compared to 2021-22 single-year APR).
2. Comparing the most recent single-year APR to the multiyear APR for the previous two years (e.g., 2022-23 single-year APR compared to 2021-22 and 2020-21 multiyear APR).
3. Comparing the most recent single-year APR to the multiyear APR for the previous three years (e.g., 2022-23 single-year APR compared to 2021-22, 2020-21, and 2019-20 multiyear APR).

4. Comparing the multiyear APR from years four and three to the multiyear APR from years two and one (e.g., 2022-23 and 2021-22 multiyear APR compared to 2020-21 and 2019-20 multiyear APR).
5. Comparing the initial single-year APR to the multiyear APR for the three most recent years (e.g., 2019-20 single-year APR compared to 2020-21, 2021-22, and 2022-23 multiyear APR). *(Adopted: 01/09. Effective with the collection of 2008-09 APR data; not retroactive to any prior year penalties.)*

For teams with a three-year APR (e.g., new programs or reclassifying institutions), improvement will be evaluated using tests one and two only.

To determine if a team has demonstrated meaningful improvement, the steps listed below will be reviewed electronically.

EXAMPLE ONE

Step One: Determine if team's most recent single-year APR is at or above 930 in 2022-23.



Step Two: Determine variables for each test.

Determine the different variables to be used in each of the four tests. Please note that the APR adjusted for squad size should **NOT** be used for any variable in any of the five tests.

All multiyear APRs are calculated by adding all APR points and delayed-graduation points earned for the noted academic years and dividing that number by the total possible points that could have been earned. The raw APR is multiplied by 1000 to achieve the final APR.

For a team at an institution on a quarter calendar, the APR should be calculated based on the computation approved by the committee as outlined in the data collection portion of this manual.

- Test One:** Variable One – 2022-23 single-year APR.
Variable Two – 2021-22 single-year APR.
- Test Two:** Variable One – 2022-23 single-year APR.
Variable Two – 2021-22 and 2020-21 multiyear APR.
- Test Three:** Variable One – 2022-23 single year APR.
Variable Two – 2021-22, 2020-21, and 2019-20 multiyear APR.
- Test Four:** Variable One – 2022-23 and 2021-22 multiyear APR.
Variable Two – 2020-21 and 2019-20 multiyear APR.
- Test Five:** Variable One – 2022-23, 2021-22, and 2020-21 multiyear APR.
Variable Two – 2019-2020 single-year APR.



Step Three: Calculate results for each test.

Insert variables in the respective formula and determine the result:

- Test One:** Variable One (2022-23 single-year APR) minus Variable Two (2021-22 single-year APR).
- Test Two:** Variable One (2022-23 single-year APR) minus Variable Two (2021-22 and 2020-21 multiyear APR).
- Test Three:** Variable One (2022-23 single-year APR) minus Variable Two (2021-22, 2020-21, and 2019-20 multiyear APR).
- Test Four:** Variable One (2022-23 and 2021-22 multiyear APR) minus Variable Two (2020-21 and 2019-20 multiyear APR).
- Test Five:** Variable One (2022-23, 2021-22, and 2020-21 multiyear APR) minus Variable Two (2019-20 single-year APR).



Step Four: Determine the average cohort size.

Add the number of student-athletes in the cohort for each cohort year being used in the particular test and divide by the number of cohort years being compared. Average cohort sizes should be rounded appropriately to the nearest whole number.



Step Five: Review results.

Review the above chart to determine if the results from Step Two are equal to or greater than the improvement corresponding to the average cohort size from Step Three. If it is equal to or greater for any one of the five tests, the team has demonstrated meaningful improvement.

EXAMPLE:

A basketball team had the following APR data for the past four cohort years:

2019-20:	12 Student-athletes in the cohort. 40 APR points earned out of 48 possible APR points. 0 Delayed-graduation points. Single-year APR of 833.
2020-21	13 Student-athletes in the cohort. 38 APR points earned out of 52 possible APR points. 0 Delayed-graduation points. Single-year APR of 731.
2021-22:	14 Student-athletes in the cohort. 52 APR points earned out of 56 possible APR points. 0 Delayed-graduation points. Single-year APR of 929.
2022-23:	13 Student-athletes in the cohort. 47 APR points earned out of 50 possible APR points. 1 Delayed-graduation point. Single-year APR of 940.

Step One: Determine if team's most recent single-year APR is at or above 930. Yes.



Step Two: Determine variables for each test.

Test One: Variable One – 2022-23 single-year APR = 940.
Variable Two – 2021-22 single-year APR = 929.

Test Two: Variable One – 2022-23 single-year APR = 940.
Variable Two – 2021-22 and 2020-21 multiyear APR = 833.

$$\frac{52 + 38}{56 + 52} * 1000 = 833$$

Test Three: Variable One – 2022-23 single-year APR = 940.
Variable Two – 2021-22, 2020-21, and 2019-20 multiyear APR = 833.

$$\frac{52 + 38 + 40}{56 + 52 + 48} * 1000 = 833$$

Test Four: Variable One – 2022-23 and 2021-22 multiyear APR = 933.

$$\frac{47 + 52}{50 + 56} * 1000 = 933$$

Variable Two – 2020-21 and 2019-20 multiyear APR = 780.

$$\frac{38 + 40}{52 + 48} * 1000 = 780$$

Test Five: Variable One – 2022-23, 2021-22, and 2020-21 multiyear APR = 867.

$$\frac{47 + 52 + 38}{50 + 56 + 52} * 1000 = 867$$

Variable Two – 2019-20 single-year APR = 833.



Step Three: Calculate result for each test.

Test One: Variable One (2022-23 single-year APR) minus Variable Two (2021-22 single-year APR).

$$940 - 929 = 11$$

Test Two: Variable One (2022-23 single-year APR) minus Variable Two (2021-22 and 2020-21 multiyear APR).

$$940 - 833 = 107$$

Test Three: Variable One (2022-23 single-year APR) minus Variable Two (2021-22, 2020-21, and 2019-20 multiyear APR).

$$940 - 833 = 107$$

Test Four: Variable One (2022-23 and 2021-22 multiyear APR) minus Variable Two (2020-21 and 2019-20 multiyear APR).

$$933 - 780 = 153$$

Test Five: Variable One (2022-23, 2021-22, and 2020-21 multiyear APR) minus Variable Two (2019-20).

$$867 - 833 = 34$$



Step Four: Determine the average cohort size.

Test One: $\frac{2022-23 + 2021-22 \text{ cohorts}}{2 \text{ (number of years)}}$ = Average cohort

$$13 + 14 = 27/2 = 13.5 \text{ (round to nearest whole number) Average cohort} = 14$$

Test Two: $\frac{2022-23 + 2021-22 + 2020-21 \text{ cohorts}}{3 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 = 40/3 = 13.33 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Three: $\frac{2022-23 + 2021-22 + 2020-21 + 2019-20 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Four: $\frac{2022-23 + 2021-22 + 2020-21 + 2019-20 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$

Test Five: $\frac{2022-23 + 2021-22 + 2020-21 + 2019-20 \text{ cohorts}}{4 \text{ (number of years)}}$ = Average cohort

$$13 + 14 + 13 + 12 = 52/4 = 13 \text{ (round to nearest whole number) Average cohort} = 13$$



Step Five: Review results.

- Test One:** Step Three result = 11.
Average cohort size = 14.
APR improvement needed = 40 points. Improvement **IS NOT** met.
- Test Two:** Step Three result = 107.
Average cohort size = 13.
APR improvement needed = 40 points. Improvement **IS** met.
- Test Three:** Step Three result = 107.
Average cohort size = 13.
APR improvement needed = 40 points. Improvement **IS** met.
- Test Four:** Step Three result = 153.
Average cohort size = 13.
APR improvement needed = 40 points. Improvement **IS** met.
- Test Five:** Step Three result = 34.
Average cohort size = 13.
APR improvement needed = 40 points. Improvement **IS NOT** met.

APPENDIX 4G

Postseason for APP Purposes

Postseason is defined as any competition not considered regular season competition per NCAA Bylaw 17 (e.g., NCAA championships, national collegiate championships, football bowl games, National Invitation Tournament, Collegeinsider.com Postseason Tournament and College Basketball Invitational). The following chart indicates when NCAA postseason competition begins for each sport.

Sport	Start of Postseason
Men's Baseball	First/Second Round.
Men's Basketball	First/Second Round.
Men's Cross Country	NCAA Regionals.
Men's Football	First Round.
Men's Golf	Regionals.
Men's Gymnastics	Qualification Meet at Finals Site.
Men's Ice Hockey	First Round.
Men's Lacrosse	First Round.
Men's Soccer	First/Second Round.
Men's Swimming and Diving	Diving Zone Meets/Swimming Finals.
Men's Tennis	First/Second Round.
Men's Track and Field, Indoor	Finals.
Men's Track and Field, Outdoor	Regionals.
Men's Water Polo	Final Site (play-ins).
Men's Volleyball	Final Site (play-ins).
Men's Wrestling	NCAA Regionals.
Mixed Fencing	Regionals.
Mixed Rifle	Finals.
Mixed Skiing	Finals.
Women's Basketball	First/Second Round.
Women's Bowling	Finals.
Women's Cross Country	NCAA Regionals.
Women's Field Hockey	First/Second Round (play-ins).
Women's Golf	Regionals.
Women's Gymnastics	Regionals.
Women's Ice Hockey	First Round.
Women's Lacrosse	First/Second Round (play-ins).
Women's Rowing	Finals.

Women's Soccer	First/Second Round.
Sport	Start of Postseason
Women's Softball	First/Second Rounds.
Women's Swimming and Diving	Diving Zone Meets/Swimming Finals.
Women's Tennis	First/Second Round.
Women's Track and Field, Indoor	Finals.
Women's Track and Field, Outdoor	Regionals.
Women's Volleyball	First/Second Rounds.
Women's Water Polo	Final Site (play-ins).