NCAA Division I Committee on Academics
Directive Regarding the Standard of Review of Progress-Toward-Degree Waivers

Background.

The NCAA Division I student-athletes enrolling in their first full-time term of collegiate attendance are required to complete minimum progress-toward-degree requirements to be eligible for competition. Waiver requests seeking relief from these standards may be submitted to the NCAA through the Requests/Self-Reports Online (RSRO) Case Management System. This directive provides guidance to the NCAA academic and membership affairs (AMA) staff and the NCAA Division I Progress-Toward-Degree Waivers Committee with the understanding that both entities may use discretion in the application of this directive when warranted by the circumstances of a specific case. This directive is reviewed and updated annually by the NCAA Division I Committee on Academics.

This directive outlines the required documentation, information considered (e.g., academic record, mitigating circumstances) and the approach for analyzing waivers and reaching decisions. Institutions seeking a progress-toward-degree waiver on behalf of a student-athlete must present evidence and information outlined in the directive.

Please see the previously approved waiver list for waiver requests involving the following circumstances that were formerly included in this waiver directive:

1. Waiver requests for a continuing undergraduate student-athlete that has not transferred at any time who presents a cumulative grade-point average above 3.00 and an academic recovery plan that shows graduation within five years;
2. Waiver requests for student-athletes entering final season of competition (credit-hour deficiencies only);
3. Waiver requests of NCAA Bylaw 14.5.5.4 for 4-4 transfer student-athletes seeking to earn financial aid only;
4. Waiver requests when there is evidence that the student-athlete was directly impacted by the restrictive nature of the degree program; and
5. Waiver requests for student-athletes enrolling less than full-time enrollment due to a documented education impacting disability.

Guiding Principles.

Institutions seeking a progress-toward-degree waiver on behalf of a student-athlete for relief of Bylaws 14.4.3.1-(a) (24/36 credit hours), 14.4.3.1-(b) (18/27 hours earned during regular academic year), 14.4.3.1-(c) (six hours earned per academic term), 14.4.3.1.2 (credit hour requirements for transfers), 14.4.3.1.6 (additional requirements for football), 14.4.3.1.6.1 (regaining eligibility for two contests), 14.4.3.1.6.2 (regaining eligibility – one-time exception), 14.4.3.2 (40/60/80
percentage of degree), 14.4.3.2.1 (33/50/67 percentage of five-year degree), 14.4.3.3 (90/95/100 grade-point average) and/or 14.4.3.4.2 (eligibility for postseason competition--between terms)

must present evidence of academic achievement and an academic recovery plan that demonstrates the student-athlete's strong likelihood of graduation within five years of initial full-time enrollment, along with any compelling mitigating circumstances that prevented the student-athlete from meeting the progress-toward-degree requirements. In order for the waiver to be granted, the academic record of the student-athlete and the mitigation presented must demonstrate a reasonable expectation that the student-athlete would have met the progress-toward-degree requirements, absent the mitigation and a strong expectation for the student-athlete to recover academically. Such waivers will be reviewed under the presumption of a good-faith effort on the part of the student-athlete and his or her institution toward completion of the student-athlete's collegiate degree within five years of the student-athlete's full-time enrollment, unless and until circumstances surrounding the waiver request indicate otherwise.

Further, while reviewing requests for relief from the additional requirements for football (Bylaws 14.4.3.1.6, 14.4.3.1.6.1. and 14.4.3.1.6.2), staff should proceed with the following analysis:

1. Institution must first demonstrate why the student-athlete failed to earn nine semester or eight-quarter hours and/or earn the NCAA Division I Academic Progress Rate eligibility point.

2. Institution must then demonstrate why the student-athlete failed to earn 27-semester hours or 40-quarter hours prior to the beginning of the next fall term.

This analysis is consistent with the Committee on Academics' direction that barring substantial mitigation for both elements of the deficiency these waivers should not be approved. However, additional waiver flexibility may be appropriate when significant mitigation exists for the student-athlete's failure to pass nine-semester or eight-quarter credits during fall term.

Additionally, institutions seeking a waiver of full-time enrollment for a student-athlete pursuant to Bylaws 14.2.5 (full-time enrollment – practice and competition) must present evidence of specific mitigating circumstances along with an academic recovery plan that demonstrates the student-athlete's strong likelihood of graduation within five years of initial full-time enrollment for the waiver request to be granted. Such waivers will be reviewed under the presumption of a good-faith effort on the part of the student-athlete and his or her institution toward completion of the student-athlete's collegiate degree within five years of the student-athlete's initial collegiate full-time enrollment, unless and until circumstances surrounding the waiver request indicate otherwise.

In January 2016, the NCAA Division I Council granted the staff authority to consider extenuating circumstances, exercise reasonable discretion in evaluating cases and allow consideration of mitigating factors that may justify departure from the strict application of legislation, case precedent or the Committee on Academics' guideline where the prescribed outcome is
disproportionate or inconsistent with legislative intent. This authority applies to all facets of this directive, including waiver decisions granting access to athletically related aid only, athletically related aid and practice and athletically related aid, practice and competition.

**Minimum Review Standard.**

Additionally, staff and Committee on Academics' will not consider a waiver request submitted on behalf of a student-athlete if that student-athlete's eligibility for competition and/or practice (in cases of less than full time) will not be directly affected by the outcome of the waiver decision. Specifically, the student-athlete must have exhausted his or her options for rectifying the deficiency and must be enrolled at the certifying institution or have enrollment immediately pending (e.g., immediately preceding term has been completed and enrollment at the certifying institution is imminent).

**Information to Be Considered.**

Decision outcomes of progress-toward-degree waivers will be based on the overall academic record of the student athlete, the student athlete's academic performance at the time of the mitigating event, the impact of the mitigation on the student-athlete's ability to meet the requirements, the student-athlete's ability to overcome the mitigation and an academic recovery plan that demonstrates the student-athlete's likelihood of graduation within five years of initial full-time enrollment.

The student-athlete's complete academic record, including any deficiencies, in existence at the time of the waiver shall be reviewed. This review will include credits attempted, credits earned, term grade-point averages and any other relevant academic information. An analysis of the student-athlete's cumulative total of quality points (as determined by the multiplication of grade-point average and credits earned) will also be performed. If the analysis of the student-athlete's quality-point total predicts he or she has less than 25 percent chance of graduating, then the waiver will likely be denied by staff for failure to meet the minimum standard for review of a progress-toward-degree waiver.

Mitigation provided must be shown to have directly impacted the student-athlete's ability to meet the progress-toward-degree requirements. The academic record and mitigation must show how the student-athlete was on pace to meet the requirements when the unforeseen mitigation negatively impacted his or her academic efforts. For waivers of progress-toward-degree requirements that are cumulative, such as percentage of degree and grade-point average requirements, mitigation must be presented that tie to the overall academic performance that contributed to the deficiency.

**Documentation.**
Institutions are required to provide at a minimum, the following supporting documentation with all progress-toward-degree waiver requests:

1. Required documentation:
   a. An accurately completed progress-toward-degree waiver application submitted via RSRO;
   b. Statements from the institution and student-athlete explaining the reasons for the deficiency;
   c. Contemporaneous documented evidence of the compelling mitigating circumstance(s) tied to the deficiency supporting the waiver request;
   d. A copy of the student-athlete's current official transcript and copies of official transcripts from any previous institutions (print screen transcripts will not be accepted); and
   e. An academic recovery plan designed by the applicant institution that demonstrates how the student-athlete's individual efforts, course schedule planning (including consideration of academics and athletics related time demands) and use of academic resources (including appropriate accommodations for any education-impacting disability) will allow him or her to overcome academic eligibility deficiencies. A reasonable academic recovery plan also will demonstrate that the student-athlete is likely to graduate within five years of initial full-time enrollment and should include term-by-term scheduling of courses to the greatest extent possible. The plan must be signed by both the student-athlete and an institutional representative with academic oversight for the student-athlete.

2. To be provided if needed or requested by staff to support waiver request:
   a. Description of the designated degree as found in the academic catalog;
   b. Degree audit indicating degree applicable courses; and
   c. Current course enrollment list or schedule.

3. To be provided if the student-athlete is entering his or her final season of competition and has only a credit-hour deficiency:
   a. A degree audit specific to the student-athlete's current degree program; and
b. Certification that the student-athlete is in the coursework necessary to complete his or her degree requirements during the ensuing semester(s) or quarter(s). The statement must be signed by the student-athlete and his or her academic advisor.

**Staff Decisions.**

In analyzing all progress-toward-degree waiver cases, staff will review the student-athlete's academic record and weigh the student-athlete's overall academic record against the progress-toward-degree deficiency and the mitigating circumstances presented as reasons for that deficiency.

1. **Approvals.**

   Staff is granted the authority to approve waivers of the progress-toward-degree requirement(s) based on a review of some or all of the following information:

   a. The student-athlete's overall academic record and whether it demonstrates a likelihood of academic success;

   b. The size of the deficiency (e.g., number of credits deficient in meeting the requirement);

   c. A quality-point analysis indicating the student-athlete has a greater than 50 percent chance of graduating within five years of initial full-time collegiate enrollment;

   d. A reasonable academic recovery plan (e.g., number of credits per term, grades in courses to achieve required grade-point average, etc.) that demonstrates the student-athlete's likelihood of graduation within five years of initial full-time enrollment, signed by both the student-athlete and an institutional representative with academic oversight;

   e. Documented compelling mitigating circumstances surrounding the waiver request and evidence that it is reasonable to determine that but for the mitigation, the student-athlete would have met the academic requirement; and

   f. In cases in which change of degree is cited as mitigation if the above guidelines are met and the student-athlete was academically eligible in the previous degree and the student-athlete has a grade-point average of 3.00 or higher, staff is to approve those cases.

2. **Conditional approvals.**
Staff is granted the authority to conditionally approve progress-toward-degree waivers as follows:

a. There are mitigating circumstances present to warrant such a conditional approval of a progress-toward-degree waiver;

b. The student-athlete's academic record does not clearly demonstrate a likelihood of graduation within five-years of initial full-time collegiate enrollment; and

c. Due to additional requirements for baseball student-athletes (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), per the Committee on Academics' direction, waivers approved in the fall term will generally be conditional approvals. For waivers submitted after the fall term, staff analysis will include whether or not the student-athlete would have met a conditional approval based on their fall academic record.

3. Denials.

Staff is directed to deny waivers of the progress-toward-degree requirement(s) based on a review of some or all of the following information:

a. A 25 percent (or lower) chance of graduation, based on the student-athlete's quality-point analysis;

b. The absence of compelling documented mitigating circumstances surrounding the waiver request;

c. Based on the student-athlete's overall academic record, it is not reasonable to determine that but for the mitigation, the student-athlete would have met the academic requirement;

d. Any previous reviews of the student-athlete's academic progress through the progress-toward-degree waiver process including the student-athlete's history of following an academic recovery plan; or

e. In cases in which education-impacting disability is cited as mitigation, the student-athlete was provided the appropriate accommodations by the institution but elected not to use them.

Mitigating Circumstances.
In conjunction with reviewing the overall academic record and the academic recovery plan, all mitigating circumstances asserted in a progress-toward-degree request are analyzed to determine whether those circumstances directly impacted the student-athlete's ability to satisfy progress-toward-degree requirements and whether the mitigating circumstances were partially or fully within the student-athlete's control. Staff will analyze the mitigation in conjunction with the size of deficiency. The following mitigating circumstances are often asserted as part of a progress-toward-degree request (not all inclusive):

1. **Personal hardship:**

   Staff may approve a progress-toward-degree waiver when there is evidence of compelling mitigation of a personal hardship that contributed clearly to a student-athlete's failure to satisfy progress-toward-degree requirements. The situation must be supported by contemporaneous documentation and the circumstance must be out of the student-athlete's control. Staff should consider whether the event or circumstance has been resolved or accommodated to the point that it will no longer impact the student-athlete's ability to be academically successful.

   Staff may approve waivers that meet the following requirements:

   a. Situations which indicate that the student-athlete was unable to meet the progress-toward-degree requirement as a result of significant physical or mental circumstances suffered by the student-athlete, a close family member or others on whom the student-athlete is dependent. If these cases include an analysis of medical documentation to determine how an injury or illness affected the student-athlete's ability to satisfy progress-toward-degree requirements the case may be shared with an expert in that field. The expert will review the information and provide an analysis, which will be included as part of the waiver request and considered by the staff and committee when reviewing the case. This analysis may include comment on the student-athlete's physical circumstances and how it impacted his or her academic performance;

   b. 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, which prohibits the student-athlete from completing the progress-toward-degree requirement(s). The 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;

   c. Natural disasters (e.g., earthquakes, floods) that clearly affect the student-athlete's academic performance; and
d. Other types of personal hardship (e.g., issues involving student-athletes' children, legal issues, victim of a crime) that clearly tie to the deficiency and outside the control of the student-athlete.

2. Restrictive transfer:

Staff may approve a progress-toward-degree waiver when there is evidence that the student-athlete was directly impacted by the restrictive nature of the transfer. The situation must be supported by contemporaneous documentation that demonstrates it is reasonable to believe that but for the restrictive nature of the transfer, the student-athlete would have been academically eligible. Additionally, staff should request documentation indicating whether the student-athlete could have been eligible in other degree programs at the institution.

Staff should consider mitigation to include course sequencing and offering limitations, catalog changes, a lack of course substitutions for transfer student-athletes and academic programs that extend beyond five years. Staff should request documentation of the institutional policy impacting the student-athlete's ability to meet the requirements that would otherwise be transferrable degree credit. **Staff does not have authority to waive institutional transfer policy.** Failure to know or understand the policy typically results in a case of misadvisement on the part of the institution, which requires the inclusion of an institutional recovery plan demonstrating how such mistakes will be avoided in the future. Additionally, staff should request documentation to indicate when the student-athlete's recruitment began, and any information provided to the student-athlete about transfer restriction policies.

3. Change of degree:

Staff may approve a progress-toward-degree waiver when there is evidence that the student-athlete was directly impacted by the change of degree program. The situation must be supported by contemporaneous documentation that provides evidence that demonstrates the student-athlete was eligible in the previous degree program and it is reasonable to believe that but for the change in degree programs, the student-athlete would have been academically eligible.

When change of degree is asserted, staff will thoroughly review other factors that may have contributed to the student-athlete's ineligibility. In cases where staff cannot correlate the deficiency to the change of degree program, staff should deny the waiver based on the lack of mitigation or mitigation within the control of the student-athlete.

4. Education-impacting disability:
Staff is granted authority to approve waivers where the institution cites an education-impacting disability (EID) as the reason a student-athlete could not meet progress-toward-degree requirements. Examples of these disabilities may include learning disabilities, mental health issues and physical disabilities that would be serviced by an institution's Office of Disability Services. Analysis of such waivers requires a formal diagnosis and recognition of the diagnosis by the Office of Disability Services at the applicant institution. These cases may be shared with an expert in that field. The expert will review the information and provide an analysis, which will be included as part of the waiver request and considered by the staff and committee when reviewing the case. This analysis may include comment on the student-athlete's EID and how it impacted his or her academic performance.

Staff should also request evidence that demonstrates that it is reasonable to believe the impact of the disability was such that the student-athlete would have otherwise been academically eligible. Additional information may include a written statement from the student-athlete that addresses the impact of the diagnosed disability on his or her academic performance.

In instances where a student-athlete is provided appropriate accommodations by the institution but elects not to use the accommodations, staff should generally deny the waiver request. However, staff should consider more closely instances where a student-athlete attempts to be successful without accommodations during the first year of enrollment or the instance where a student-athlete is diagnosed while at the collegiate institution and is coming to terms with the need for accommodations or the perceived stigma of using accommodations.

In consultation with the NCAA consultant, staff will consider the following information for waivers citing EID as mitigation:

a. Full and complete documentation of the student-athlete's EID including:

   (1) Current, signed documentation of the diagnosis (including test data) and/or recommendations from the treating professional (e.g., medical doctor, clinical psychologist, other qualified individual). If specific circumstances of the case indicate that this requirement is unnecessary, a prior diagnosis may be acceptable. (Note: Staff or committee reserves the right to request a second opinion or diagnosis);

   (2) Copy of the student-athlete's Individualized Education Program or Section 504 Plan, if applicable; and

   (3) Contemporaneous medical documentation provided by an individual who is qualified and licensed to diagnose and treat the particular impairment (e.g.,
psychiatrist, psychologist) must be submitted on behalf of the student-athlete with a mental health disorder (e.g., depression, anxiety, post-traumatic stress disorder).

b. If the student has voluntarily disclosed his or her diagnosed disability to the institution's Office of Disability Services, documentation (letter on Office of Disability Services letterhead) verifying the student-athlete's disability;

c. A written copy of the institution's policies and curriculum guidelines applicable to all student-athletes with EID;

d. If the student-athlete has voluntarily disclosed to the Office of Disability Services, documentation of the specific accommodations granted to provide access to the student-athlete. This summary must include accommodations provided by the institution with respect to the student-athlete's disability, as well as academic and other support services provided, and any institutional accommodations related to adjustments of minimum performance requirements. If the institution offers any accommodations with respect to the student-athlete's athletics responsibilities, those should be indicated as well;

e. Statement on the use of said accommodations in the student-athlete's academic recovery plan; and

f. An institution filing a progress-toward-degree waiver for a student-athlete with an EID must identify if it previously filed an initial-eligibility waiver request for the same student-athlete based on the EID. If institution previously submitted an initial-eligibility waiver request for the student-athlete based on the EID, institution must provide a summary of the support services and/or accommodations for which the student-athlete was approved at the institution.

The institution should also indicate which accommodations the student-athlete has used at the institution. If the support services and/or accommodations provided differ from the support services and/or accommodations that were described in the student-athlete's initial-eligibility waiver request, institution must provide a written statement explaining why the support services and/or accommodations changed. If the student-athlete did not use any support services and/or accommodations, institution must provide a statement explaining why the student-athlete did not use available support services and/or accommodations.

5. Misadvisement or lack of advisement:
In order for misadvisement or lack of advisement by member institutions to serve as sufficient mitigation to warrant a full approval of progress-toward-degree requirements,
the documentation received must *clearly demonstrate* that the student-athlete would have satisfied all progress-toward-degree requirements absent the misadvisement or lack of advisement.

Staff may approve waivers that meet the following requirements:

a. A written statement of explanation from the person or persons responsible for providing erroneous information or the individual's supervisor. This statement must summarize the information given to the student-athlete. In the event the responsible individual is unavailable to submit a statement, institution must submit a statement from the individual's supervisor including an explanation as to why the responsible individual could not provide a statement (e.g., no longer employed, etc.). If available, institution should include contemporaneous documentation demonstrating misadvisement (e.g., notes, phone logs).

b. A written statement from the student-athlete in question demonstrating whether the student-athlete in good faith, relied on the erroneous information to his or her detriment. The statement should include a chronology of events.

c. Clear evidence that the student-athlete's deficiency was the result of his or her reliance on the misadvisement or the lack of advisement and that but for the misadvisement or lack of advisement, it is reasonable to determine that the student-athlete would have satisfied the progress-toward-degree requirement.

d. A written statement from the institution regarding its actions to educate the student-athlete about the progress-toward-degree requirements.

e. A reasonable institutional recovery plan to avoid a similar situation occurring in the future. Such a plan should include educational initiatives to be conducted by the institution relative to the student-athlete and/or the personnel who have a role in providing academic advisement to student-athletes. In addition, the plan should contain corrective actions to ensure that all student-athletes will receive proper academic advisement relative to the evaluation of each student-athlete's degree program and course selection and the evaluation of the student-athlete's transcript and degree audit to ensure courses are acceptable for satisfying the progress-toward-degree requirements. The plan must be signed by the director of athletics, the faculty athletics representative and the athletics staff member with academic oversight of student-athletes as well as any additional staff member impacted by the plan (e.g., registrar, director of admissions, head coach, etc.).

f. Evidence that demonstrates that it is reasonable to believe that but for the misadvisement, the student-athlete would have been academically eligible.
g. Note: Staff has the discretion to notify the chancellor or president of an institution in which misadvisement or lack of advisement is determined to be the mitigation which impacted the student-athlete's ability to meet an academic requirement in the following instances:

(1) The institution has filed more than one waiver during the current academic year citing misadvisement or lack of advisement due to the same, recurring procedural deficiencies or errors.

(2) The waiver filed by the institution indicates that a significant procedural error exists and there is a high likelihood of misadvisement continuing to occur unless the advisement policies and procedures are corrected.

h. Note: Due to the flexibility adopted with the application of the 18/27-credit hour requirement, misadvisement waiver requests submitted with the assertion that the student-athlete was not enrolled in enough degree applicable credits to meet the six and nine-hour requirements or percentage-of-degree requirements will be strictly analyzed and likely result in a denied waiver.

6. Nonrecruited/late recruitment or nonstudent-athlete:

Nonrecruited status, late recruitment or not being a student-athlete is not by itself, sufficient mitigation to warrant relief. Nonrecruited status, late recruitment or not being a student-athlete will not be considered mitigation for a student-athlete's poor academic performance. The nonrecruited status, late recruitment or the student-athlete not being a student-athlete at the time of the deficiency will be weighed against the academic record and the deficiency to determine whether relief is warranted.

7. Other unforeseen events and/or circumstances beyond the student-athlete's control.

8. Circumstances that will not be considered as 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) unless accompanied by the documented assertion of misadvisement; or

b. Failure to follow an academic recovery plan submitted with a previously approved waiver of the progress-toward-degree requirements (which left the student-athlete deficient for future eligibility certification).
9. Transfers with progress-toward-degree deficiencies due to minimal enrollment at the previous institution.

Waivers for transfer student-athletes who do not meet the six-hour requirement in Bylaw 14.4.3.1 (six-hour requirement for transfer) shall be reviewed under the general principle of this directive which requires compelling mitigating circumstances for the waiver request to be granted.

However, if the student-athlete presents no compelling mitigating circumstances, staff has the authority to approve a waiver that meets the first two criteria below after a thorough review of the case and consideration of the additional review factors.

a. The student-athlete did not compete in intercollegiate competition during the term in which the deficiency occurs; and

b. The student-athlete withdraws from the institution within 14 days of initial enrollment at the institution.

Additional review factors.

a. The overall academic record of the student-athlete, with particular emphasis in the analysis placed on any previous collegiate coursework; and

b. Documentation from the previous institution that the institution supports the waiver request.

Less Than Full-Time Enrollment (International Competition).

Staff is granted the authority to approve requests for less than full-time enrollment due to participation in international competition outlined in Bylaw 14.2.3.3 (Olympic Games, Pan American Games, World Championships, World Cup, World University Games or World Youth Championships – Competition) based on a review of the following information:

1. A letter of invitation from the sport's national governing body indicating the student-athlete has been selected to participate in the event;

2. Documentation indicating that the student-athlete's participation will not cause additional academic deficiencies; and

3. Case precedent as established by the Committee on Academics and the Progress-Toward-Degree Waivers Committee.
Less Than Full-Time Enrollment (Other).

Staff is granted the authority to approve requests for less than full-time enrollment based on a review of the following information:

1. A quality-point analysis indicating the student-athlete has a greater than 50 percent chance of graduating within five years of initial full-time collegiate enrollment;

2. Documented compelling mitigating circumstances surrounding the waiver request;

3. An academic recovery plan demonstrating that the course load reduction will not create a future academic deficiency; and

4. Case precedent as established by the Committee on Academics and the Progress-Toward-Degree Waivers Committee.