



# INSTITUTIONAL EFFECTIVENESS HANDBOOK

---

Auburn University at Montgomery



## COMPLIANCE TEAM HANDBOOK

*This handbook was developed to help each administrator understand and operate within the guidelines, policies, and procedures of this department and the Department of Athletics. Questions can be directed to the Assistant Provost for Institutional Effectiveness, Director of Athletics, and Assistant Director of Athletics for Compliance. This handbook will not duplicate information and forms readily available in other formats. Staff are expected to administer the program ethically, within the guidelines of the university, the NCAA, and efficiently, within the parameters of their individual budgets. Each employee is also expected to be knowledgeable of, and to operate within the policies and guidelines published in the NCAA Manual, Gulf South Conference, University publications, and the Student-Athlete Handbook. Procedures highlighted in **orange** represent a change since the June 2017 edition.*

## INSTITUTIONAL EFFECTIVENESS

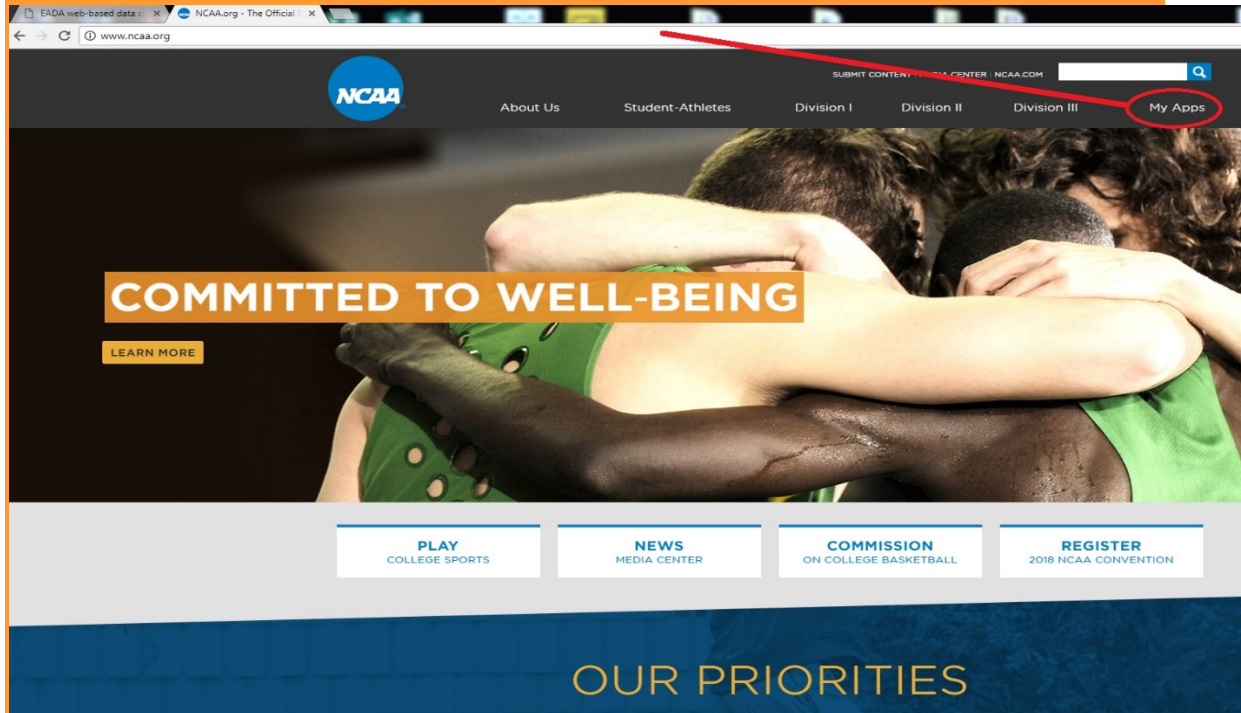
### CALENDAR OF INTERACTIONS

#### Calendar of Athletics Interactions

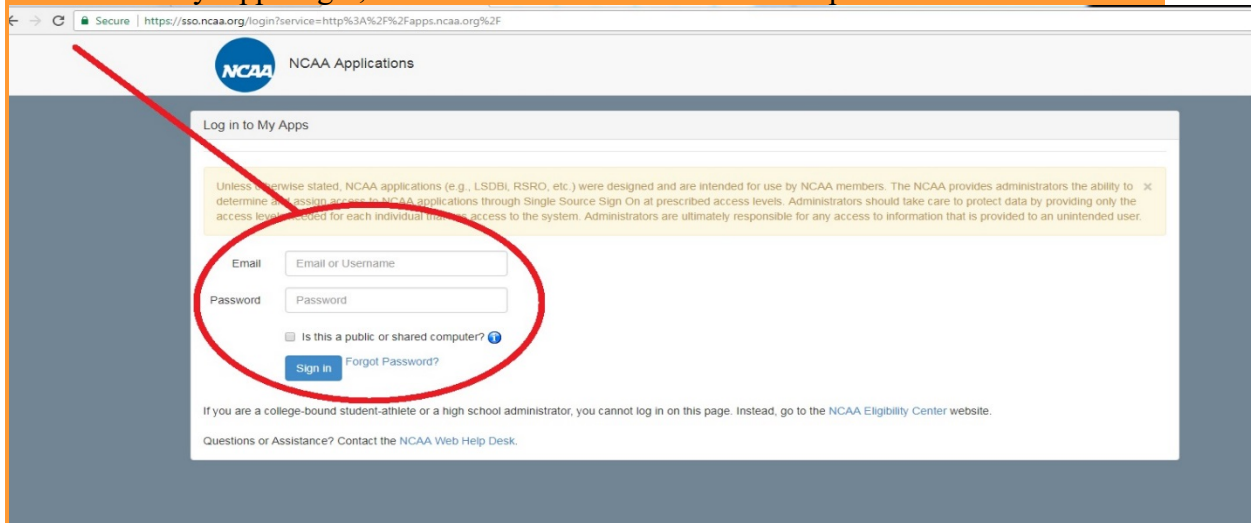
<b>Task</b>	<b>When</b>
Perform audit of Enrollment database to check athlete attribute.	September and February
Meet with the Department of Athletics and Faculty/Athletics representative to review graduation rate procedure.	November
Provide data on student-athlete graduation rates.	March
Provide data for NCAA annual report.	Due May
Provide data for Sports Sponsorship and Demographic report.	May
Serve as tertiary proctor for athlete coaches' Division II compliance examination.	As needed
Serve as a member of the AUM NCAA Compliance Committee.	Ongoing
Perform athletics-related data requests.	As needed

ENROLLMENT DATA, STUDENT BODY GRADUATION RATE DATA,  
AND STUDENT-ATHLETE OUTCOMES PROCEDURES FOR OFFICE OF  
INSTITUTIONAL EFFECTIVENESS

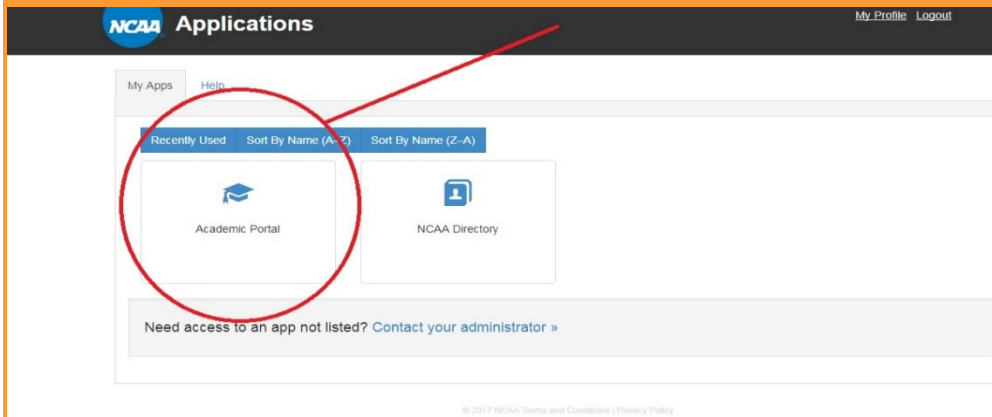
Go to the NCAA website at [www.ncaa.org](http://www.ncaa.org)



Click “My Apps” in the top right. This will open the “My Apps” login page.  
Once in the My Apps login, enter full AUM e-mail address and password.



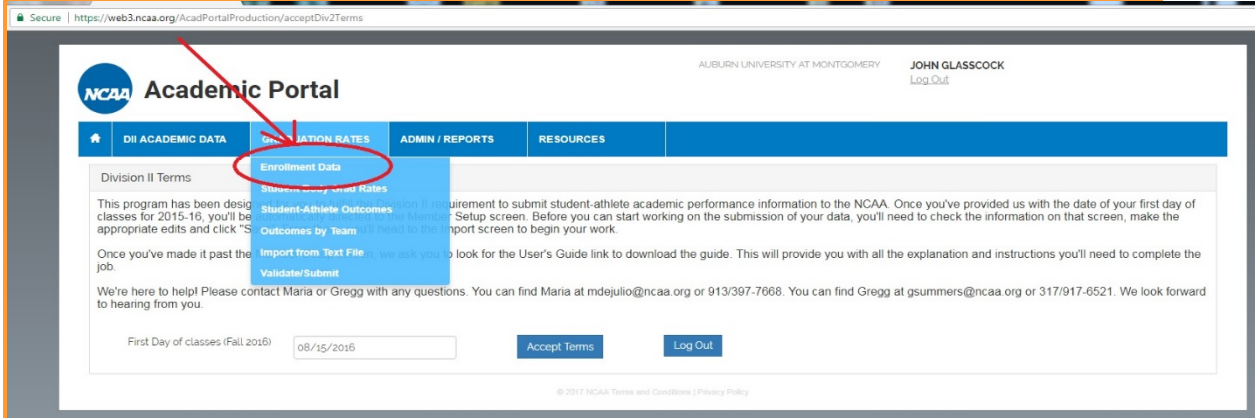
After entering your login credentials, you will be taken to the “My Apps” page.



Click on the “Academic Portal” button.

## ENROLLMENT DATA

Hover over the Graduation Rates tab, and choose Enrollment Data



Once you have entered the “Enrollment Data” section under the “Graduation Rates” tab, you will be presented with a table for entering the total number of baccalaureate degree-seeking students and student-athletes by sport at AUM.

Secure | https://web3.ncaa.org/AcadPortalProduction/qs/enrollment

AUDUBON UNIVERSITY AT MONTGOMERY JOHN GLASSCOCK Log Out

NCAA Academic Portal

Home / Graduation Rates / Enrollment Data Academic Year: 2016-17

Your data for this academic year has already been submitted.

Enrollment Data for Academic Year 2016-17

	Men						Total student-athletes receiving athletics aid
	Baccalaureate degree-seeking students	Football	Basketball	Baseball	CC/Track	Other	
American Indian/Alaskan Native	9						
Asian	31						
Black/African American	294		9		1	4	14
Hispanic/Latino	20					1	1
Native Hawaiian/Pacific Islander							
Non-Resident Alien	87					14	14
Two or More Races	31		1	1			2
Unknown	9						
White/Non-Hispanic	605		2	17	5	7	32
<b>Total</b>	<b>1,085</b>	<b>0</b>	<b>12</b>	<b>18</b>	<b>7</b>	<b>26</b>	<b>63</b>

The number of “Baccalaureate Degree-Seeking Students” comes from the Fall semester IPEDS Total Degree/Certificate-Seeking worksheet. This is the number of full-time undergraduate students currently at AUM. The IPEDS report is completed by OIE and submitted to the U.S. Department of Education in mid-April.

Part A - Fall Enrollment for Full-Time Undergraduate Students  
Enrollment as of the institution's official fall reporting date or as of October 15, 2016

Full-time Undergraduate Students

Reporting Reminders:  
 • Report Hispanic/Latino individuals of any race as Hispanic/Latino  
 • Report race for non-Hispanic/Latino individuals only  
 • Even though Teacher Preparation certificate programs may require a bachelor's degree for admission, they are considered undergraduate certificate programs and students in those programs are undergraduate students.

Men	Enrolled for credit	Degree/certificate-seeking			Non-degree/non-certificate-seeking	Total Full-time undergraduate students
		First-time	Transfer-in/Continuing	Total degree/certificate-seeking		
			Returning			
Nonresident alien	9	38	40	87	1	88
Hispanic/Latino	7		13	20		20
American Indian or Alaska Native	4		5	9		9
Asian	9		22	31		31
Black or African American	55	23	216	294		294
American Indian or Alaska Native				0		0
Native Hawaiian or other Pacific Islander				0		0
White	123	69	413	605		605
Two or more races	5	2	24	31		31
Race and ethnicity unknown			8	8		8
<b>Total men</b>	<b>212</b>	<b>132</b>	<b>741</b>	<b>1,085</b>	<b>1</b>	<b>1,086</b>
<b>Total men prior year</b>	<b>288</b>	<b>97</b>	<b>725</b>	<b>1,080</b>	<b>1</b>	<b>1,081</b>

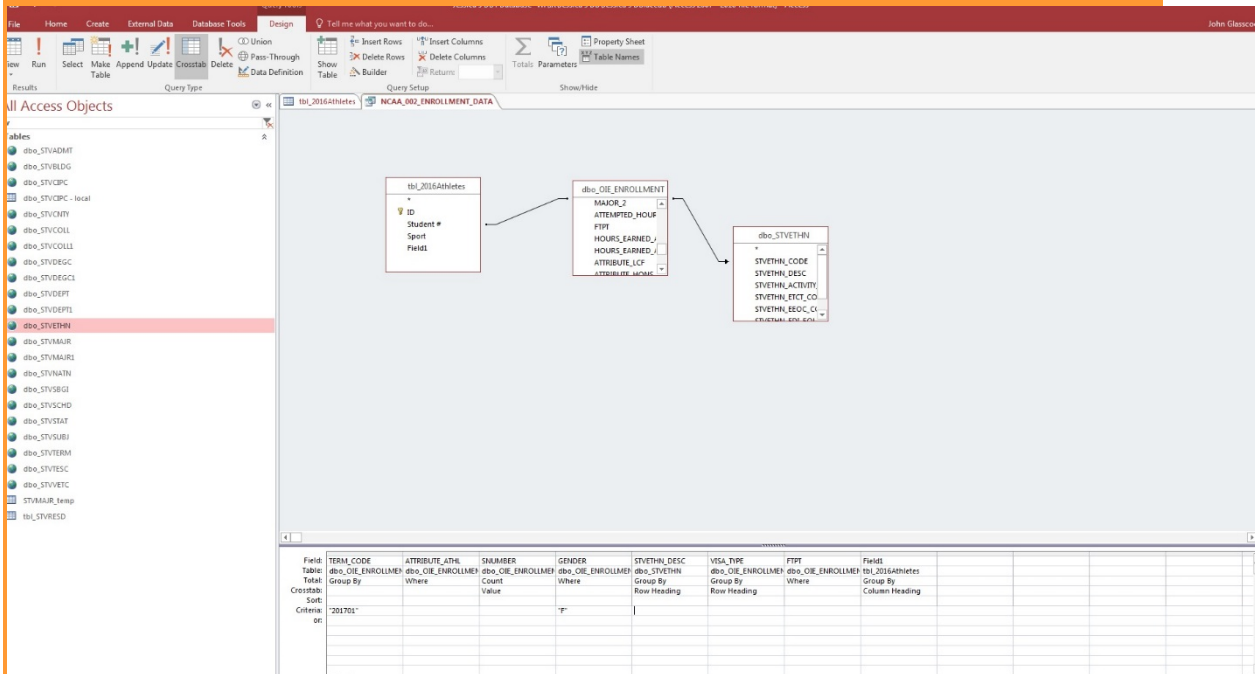
Women	Enrolled for credit	Degree/certificate-seeking			Non-degree/non-certificate-seeking	Total Full-time undergraduate students
		First-time	Transfer-in/Continuing	Total degree/certificate-seeking		
			Returning			
Nonresident alien	3	34	39	76	2	78
Hispanic/Latino	9	3	15	27		27
American Indian or Alaska Native	3	1	6	10		10
Asian	6	2	35	43		43
Black or African American	146	83	630	859	2	861
American Indian or Alaska Native			3	3		3
Native Hawaiian or other Pacific Islander				0		0
White	163	92	658	913		913
Two or more races	16	7	43	66		66
Race and ethnicity unknown			8	8		8
<b>Total women</b>	<b>346</b>	<b>222</b>	<b>1,437</b>	<b>2,005</b>	<b>4</b>	<b>2,009</b>

In order to complete this report, the Department of Athletics will provide OIE a list of student-athletes for the year by sport. The list will include: Name, S#, Aid Recipients/Non-Aid Recipients, and Sport.

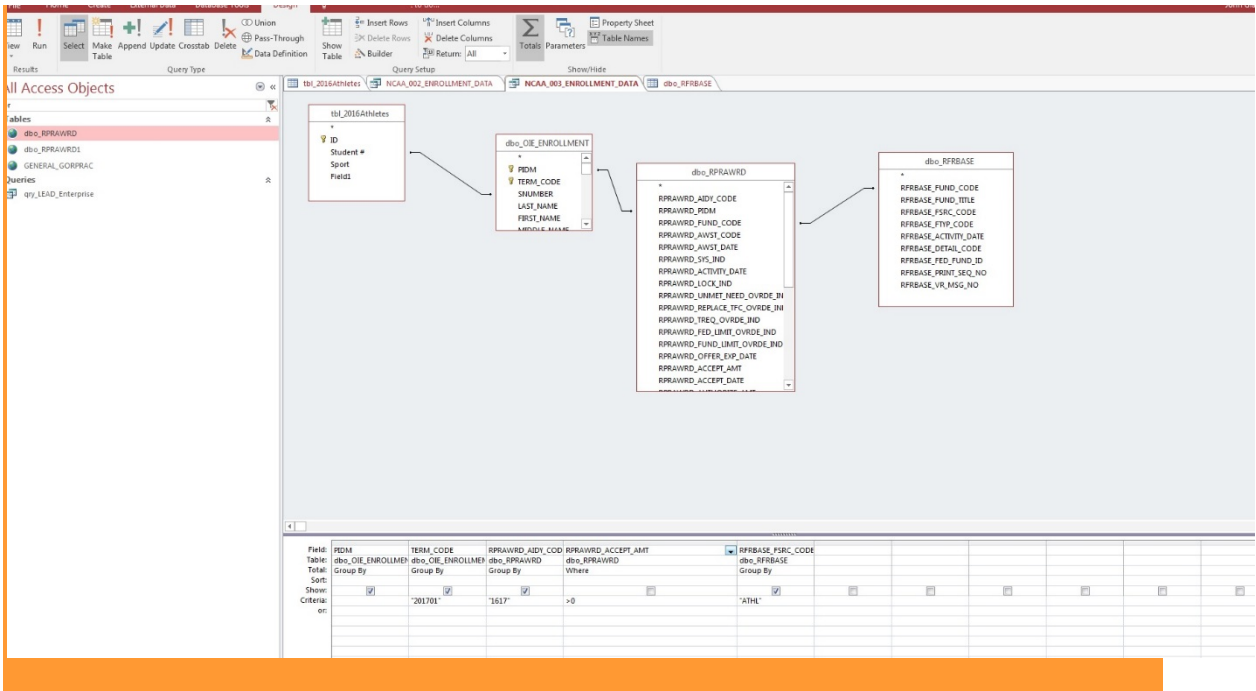
OIE will then create a field in the list of student-athletes that crosswalks the athletic department sport to NCAA sport (i.e. “MBA” equates to baseball in the NCAA table). It will be important to abide by the following guidelines:

- Basketball- Demographic information will be entered for both men and women
- Baseball- Demographic information will be entered for men only
- Cross Country/Track- Demographic information will be entered for both men and women
- All other sports- Enter demographic information will be entered for both men and women

OIE will check in census enrollment tables for full-time status of student-athletes. OIE will report student-athletes by gender, ethnicity, and sport in the NCAA portal. This will be done utilizing Access Query NCAA\_001\_ENROLLMENT\_DATA.

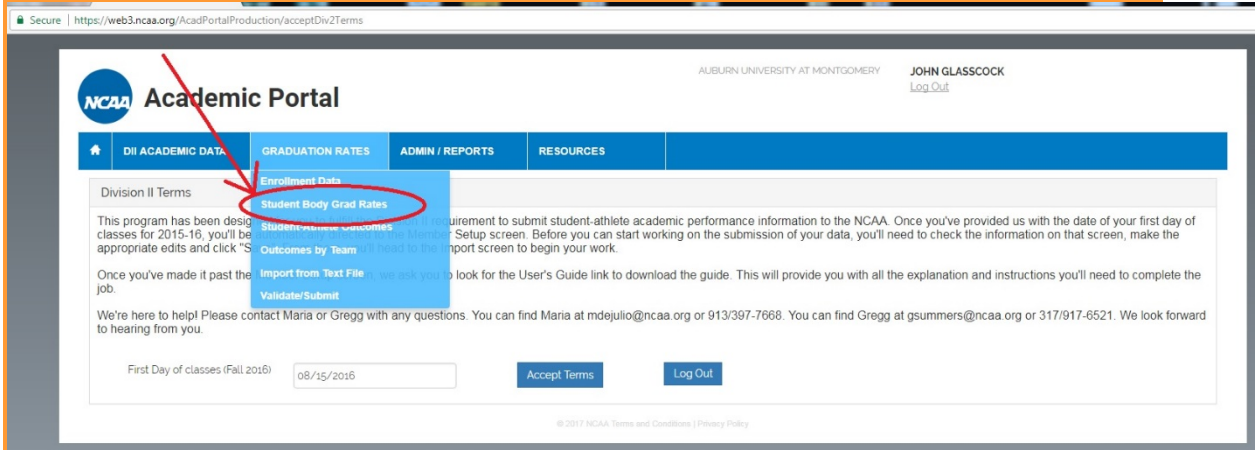


From the list of student-athletes, OIE will confirm which ones received financial aid using query NCAA\_002\_ENROLLMENT\_DATA.



## STUDENT BODY GRADUATION RATE DATA

Hover over the Graduation Rate tab, and choose Student Body Graduation Rate.



The information needed to complete this section will come from the IPEDS Graduation Rate survey which OIE will submit to the Department of Athletics for submission to the NCAA office. Per NCAA regulations, *“An institution shall not be eligible to enter a team or an individual competitor in an NCAA championship unless it has completed and submitted a copy of the Integrated Postsecondary-education Data System Graduation-*

Rate Survey (IPEDS GRS-1) to the NCAA national office on or before the applicable deadline established by federal regulations." Bylaw 13.3 The particular information will be taken from the IPEDS report that deals with the establishment of cohorts.

Institution: Auburn University at Montgomery (100830)  
 User ID: P1008304

**Section I - Establishing cohorts**

- Incoming students seeking a bachelor's degree should be reported in Column 02. Column 03 will then be generated for you. Column 03 is meant to include any full-time, first-time entering students who were seeking a degree or certificate other than a bachelor's degree, such as an associate's degree or undergraduate certificate.
- If you have no changes to the preloaded data on this screen, click the "Save and Next" button to generate additional screens for reporting completers and transfers/exclusions.

**Establishing cohorts**

- Report Hispanic/Latino individuals of any race as Hispanic/Latino
- Report race for non-Hispanic/Latino individuals only

**Men**

Screen 2 of 2		Cohort year 2010		
	Cohort	Bachelor's or equivalent degree-seeking subcohort	Other degree/certificate-seeking subcohort	
	(Column 01)	(Column 02)	(Cohort minus Bachelor's or equivalent degree-seeking subcohort)	
			(Column 03)	
Nonresident alien	17	17		0
Hispanic/Latino	6	6		0
American Indian or Alaska Native	1	1		0
Asian	1	1		0
Black or African American	85	85		0
Native Hawaiian or Other Pacific Islander				0
White	128	128		0
Two or more races	8	8		0
Race and ethnicity unknown	2	2		0
<b>Total men</b>	<b>248</b>	<b>248</b>		<b>0</b>

**women**

Screen 2 of 2		Cohort year 2010		
	Cohort	Bachelor's or equivalent degree-seeking subcohort	Other degree/certificate-seeking subcohort	
	(Column 01)	(Column 02)	(Cohort minus Bachelor's or equivalent degree-seeking subcohort)	
			(Column 03)	
Nonresident alien	2	2		0
Hispanic/Latino	3	3		0
American Indian or Alaska Native	2	2		0
Asian	5	5		0
Black or African American	236	236		0
Native Hawaiian or Other Pacific Islander				0
White	182	182		0
Two or more races	4	4		0
Race and ethnicity unknown	0	0		0
<b>Total women</b>	<b>434</b>	<b>434</b>		<b>0</b>
<b>Total men + women</b>	<b>682</b>	<b>682</b>		<b>0</b>



OIE will enter the numbers in the categories as described below within each ethnic category for men and women in the given cohort. An example of this type of reporting is that for the 2016 NCAA report, data from the 2010 /2011 cohort was submitted.

- **Entered**- Report only the number of full-time, first-time students seeking a bachelor's or equivalent degree who entered the institution the 2010 fall term.
- **Graduated**- Of those students reported above, report the number of students who have completed their bachelor's or equivalent degree by August 31, 2016 (the federal 150 percent timeframe).
- **Exclusions**- Report the number of students who left your institution because of one of the following reasons:

- (1) The student is deceased or is permanently disabled and unable to return to school;
- (2) The student left your institution to serve in the armed forces;
- (3) The student left your institution to serve with a foreign aid service of the federal government such as the Peace Corps; or
- (4) The student left your institution to serve on an official religious mission.

This will all be entered into the “Graduation Rates” portion of the Academic Portal.

Secure | <https://web3.ncaa.org/AcadPortalProduction/gsr/studentbody>

Home / Graduation Rates / Student Body Grad Rates Cohort Year: 2010-11

Your data for this cohort year has already been submitted.

Student Body Graduation Rate for Cohort: 2010-11

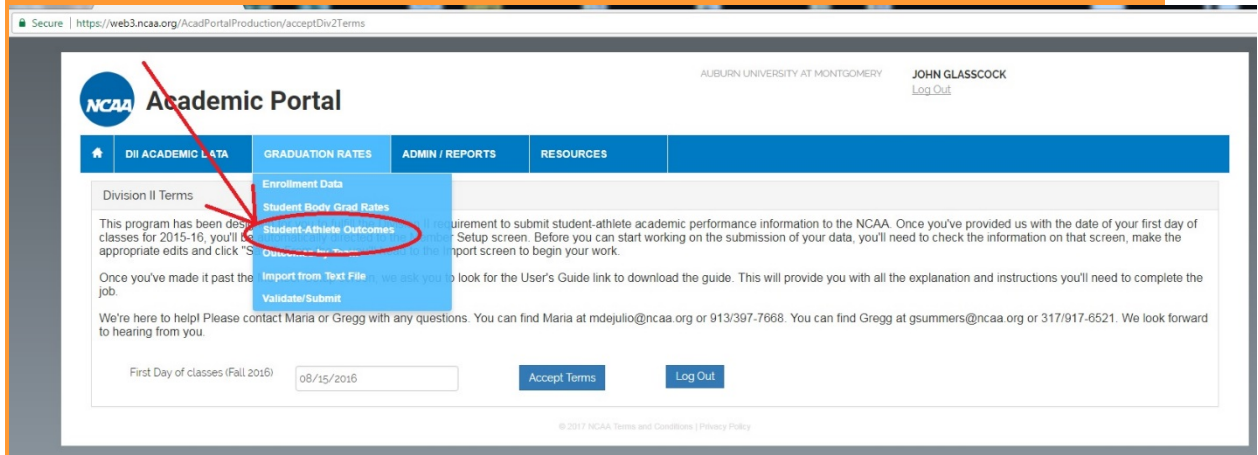
Men			
	Entered	Graduated	Exclusions
American Indian/Alaskan Native	1		
Asian	1		
Black/African American	85	8	
Hispanic/Latino	6	1	
Native Hawaiian/Pacific Islander			
Non-Resident Alien	17	6	
Two or More Races	8	4	
Unknown	2		
White/Non-Hispanic	128	30	1
<b>Total</b>	<b>248</b>	<b>49</b>	<b>1</b>

Women			
	Entered	Graduated	Exclusions
American Indian/Alaskan Native	2		
Asian	5	3	

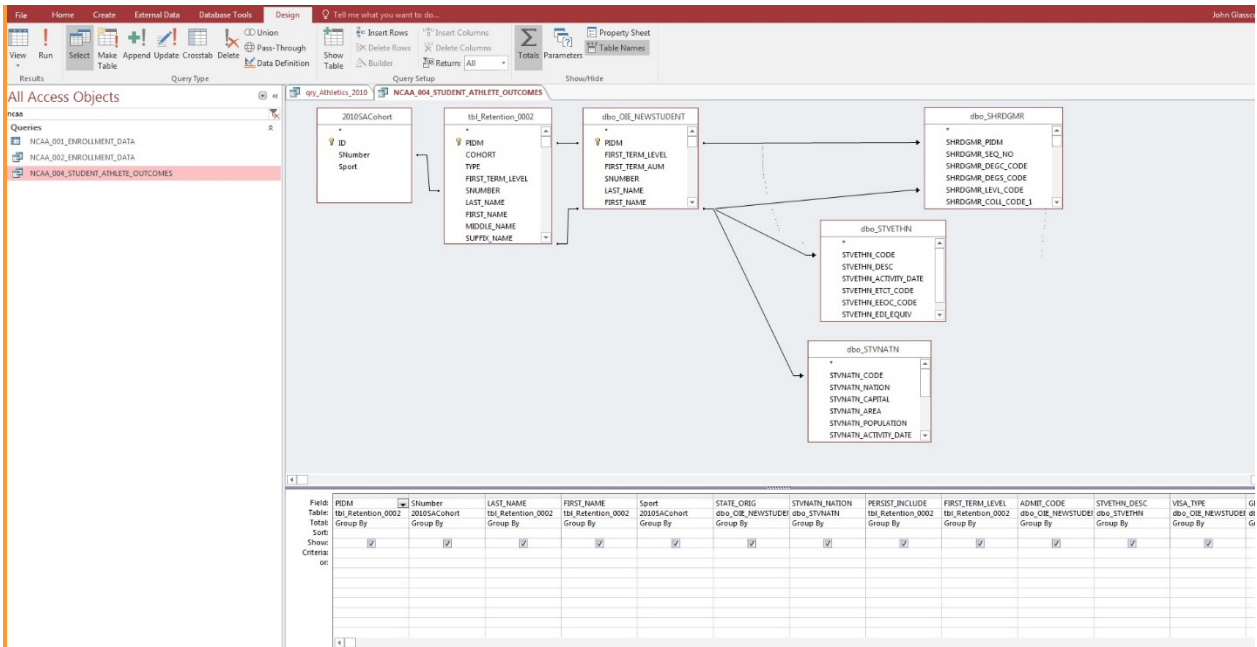
## STUDENT-ATHLETE OUTCOMES

Click on “Student-Athlete Outcomes” on the “Graduation Rates” tab.



The screenshot shows the NCAA Academic Portal interface. At the top, there is a navigation bar with the NCAA logo and the text 'Academic Portal'. Below this, there are several tabs: 'DIJ ACADEMIC DATA', 'GRADUATION RATES', 'ADMIN / REPORTS', and 'RESOURCES'. The 'GRADUATION RATES' tab is selected, and a dropdown menu is open, showing options: 'Enrollment Data', 'Student Body Grad Rates', and 'Student-Athlete Outcomes'. The 'Student-Athlete Outcomes' option is circled in red, and a red arrow points to it from the text above. Below the navigation bar, there is a main content area with text and a form. The text includes instructions about submitting student-athlete academic performance information to the NCAA. The form has a field for 'First Day of classes (Fall 2016)' with the value '08/15/2016' and two buttons: 'Accept Terms' and 'Log Out'.

Athletics will provide a list of student-athletes by sport in a given year. OIE will determine the cohort and demographic information for this particular group of student-athletes using Access Query NCAA\_003\_STUDENT\_ATHLETE\_OUTCOMES and will report on outcomes. OIE will indicate whether the student graduated or not utilizing NCAA\_004\_STUDENT\_ATHLETE\_OUTCOMES.



The Department of Athletics and the Faculty Representative will determine eligibility and report the final result (did not graduate/did not leave eligible, left academically eligible with athletic eligibility remaining, graduated). Auburn University at Montgomery, Campus Services units and team members interact with Athletic and student athletes in the following manner:

