

**UNIVERSITY OF**  
**WISCONSIN**  
**MADISON**

NCAA Self-Study

Division I

Athletics Certification

October, 1994

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## INTRODUCTION TO SELF-STUDY REPORT

### Institutional Information

1. Type of institution: Public
2. Year institution was founded: 1848
3. Special affiliation (e.g. church, military)? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis: 33,118
6. Number of faculty [using a full-time-equivalency (FTE) basis]: 2,220
7. Highest level of academic degree offered: Doctorate
8. Institution's governing entity (e.g., board of trustees): University of Wisconsin System Board of Regents
- 9a. Regional accreditation agency: North Central Association of Colleges and Schools
- 9b. Date of most recent regional accreditation self-study: 1989
10. Changes in key senior-level positions (if any) since the institution initiated this self-study: None
11. Other events/circumstances affecting this certification self-study (if any): None

### Athletics Information

1. Subdivision status of athletics program: 1-A
2. Conference affiliation(s) or independent status:  
Big Ten Conference (formally, the Intercollegiate  
Conference of Faculty Representatives)  
Western Collegiate Hockey Association

3. Athletics department organization (e.g., athletics association, division of physical education department):

Division of Intercollegiate Athletics

4. Certification pilot-program participant? Yes, 1990-91

- 5a. Date of last NCAA major infractions case (if any):  
December, 1993

- 5b. Institution currently under NCAA investigation, sanctions or probation? Yes. The wrestling program is currently under sanctions.

6. Date of most recently completed NCAA institutional self-study guide (ISSG): 1994

7. Other key dates or events in history of intercollegiate athletics program:

1896 - Big Ten Conference formed; Wisconsin a founding member

1969 - Joined Western Collegiate Hockey Association

1974 - Began intercollegiate competition in women's sports

1990 - Pat Richter appointed Athletic Director

1992 - Paul Winters hired as first full-time Compliance Coordinator

#### Certification Self-Study Information

- 1a. Coordinator of self-study (name and title):

Professor Dennis Dresang

- 1b. Writer/editor of self-study report (name and title):

Professor Dennis Dresang and  
Will Anzenberger, Program Assistant

- 1c. Please attach a list of the members and functions of the self-study steering committee and subcommittees.

See Attachment 1

- 1d. Please attach a timetable reflecting key dates in the self-study process.**

See Attachment 2

- 2. Institution-specific objectives of the self-study (if any):**

Complete comprehensive review of the athletic program

Communicate with the University community about the athletic program

- 3. Key resource materials used by committee and subcommittees in completing the self-study:**

Included as attachments

## GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

1. Describe any recent major changes in policy and organization that affect the institution's current efforts in matters relating to the operating principles listed previously regarding institutional athletics governance and rules compliance, focusing on those implemented during the last three years.

During the 1992-93 academic year, the University Committee (the Executive Committee of the Faculty Senate), acting on instructions from the Faculty Senate, oversaw a comprehensive process which, for the first time, specified — in writing — those policies and procedures that direct the Athletic Board. To accomplish this, the University Committee appointed an *ad hoc* committee made up of interested faculty members, including members of the University Committee, former members of the Athletic Board, and the current Chair of the Athletic Board.

This committee met throughout the fall semester and drafted the document, which was reviewed a number of times by the University Committee, by Athletic Board committees, and by the entire Athletic Board. The completed document (Attachment 12) was approved by the Faculty Senate on March 1, 1993.

The need for the document was identified in the spring of 1991, when the Athletic Board, without adequately consulting the University Committee or the Faculty Senate, approved a 1991-92 budget that included the elimination of five intercollegiate sports. Those faculty members who opposed the move claimed the Board was changing policy without consulting with the faculty. Those Board members who supported the move understood it to be an action that simply followed existing policy to develop and approve a balanced budget. The resulting debate demonstrated there was no clear understanding of what policies the Athletic Board was responsible for monitoring or approving. Thus, the need for a statement of policies, objectives and controls was evident.

The new policy has been supported by the Chancellor, the faculty, and the Athletic Board. It is a significant step to enhance faculty control of intercollegiate athletics and specifies in clear language, for the first time, the responsibilities of the Athletic Board — and the faculty — in establishing and changing policy. A recent example of the policy being utilized occurred in the fall of 1993 when the Athletic Board adopted and took to the Faculty Senate for approval a new policy opposed to the use of American Indian mascots and logos in our athletic facilities.

In May of 1992 the University hired its first full-time Compliance Coordinator to work within the Division of Intercollegiate Athletics. The Coordinator reports directly to the Vice Chancellor for Legal and Executive Affairs. Any potential violations or investigations are thus reported to the Vice Chancellor. The education

component of the job responsibilities are communicated through the Athletic Director and the two Associate Directors who oversee the 20 sports. Prior to 1992 the compliance coordinator was also the assistant director in charge of facilities and events, and was the supervisor of the ice hockey program. Compliance work amounted to about 20 percent of the job duties. Prior to 1992 the compliance position and job duties were undefined and often overlooked.

The change in reporting lines led to a change in compliance policy for the entire division. In the past, the Division made attempts to monitor NCAA legislation, to correct problems, and to avoid violations. But under the current system, the institution is making a more direct effort to monitor its programs and to correct potential problems proactively in order to report promptly any and all violations that are detected through the monitoring procedures. Two Associate Directors are the supervisors for all of the Division's sports and the Associate Directors have made significant efforts to share the responsibility with the Compliance Coordinator to educate the coaches and athletes regarding Big Ten and NCAA legislation, rules, and interpretations. The cooperation of the Associate Directors has lead to a greater commitment to compliance through the entire division.

The personnel committee of the Athletic Board has implemented a new evaluation instrument for members of the coaching staffs. (Attachment 42) The compliance component of the evaluation instrument is completed annually for each head coach by the Associate Directors working together with the Compliance Coordinator. Two coaches have recently been replaced in part because of their lack of effort to comply with NCAA and Big Ten rules.

The Division of Intercollegiate Athletics has also implemented a new eligibility certification process as a result of past violations in this area. Under this system, the University Registrar, along with the Division's Director for Academic Affairs and the Compliance Coordinator, work together to certify eligibility for every student-athlete in each sport.

2. Explain how the mission of the athletics program relates to that of the institution as a whole.

The Division of Intercollegiate Athletics is a unit of the University of Wisconsin-Madison which is part of the University of Wisconsin System. The System operates under the direction of a Board of Regents and consists of 13 four-year campuses, 13 two-year campuses, and a statewide University Extension and Outreach operation. UW-Madison is Wisconsin's most comprehensive teaching and research university, which has a statewide, national, and international mission.

The stated mission of the University System is:

... to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of the campuses, and to serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities; scientific, professional, and technological expertise; and a sense of value and purpose. Inherent in this mission are the methods of instruction, research, extended education, and public service designed to educate people and improve the human condition. Basic to every purpose of the system is the search for truth.

The UW-Madison's mission is:

... to provide a learning environment in which faculty, staff, and students can discover, examine critically, preserve, and transmit the knowledge, wisdom and values that will help ensure the survival of this and future generations, and improve the quality of life for all. The University seeks to help students develop an understanding and appreciation for the complex cultural and physical worlds in which we live and attract and serve students from diverse social, economic, and ethnic backgrounds and to be sensitive and responsive to those groups which have been under-served by higher education.

The educational policies of the University, which are derived from the missions of the University and of the System to which it belongs, govern the intercollegiate athletics program. Accordingly, the mission of the Division of Intercollegiate Athletics is "to provide a high quality athletic experience to a wide range of students, recognizing and supporting each student-athlete's academic and personal growth objectives, and to manage the programs of the Division responsibly, honestly, and effectively." The guiding principles adopted with the mission statement provide specific suggestions for meeting the specified goals. While all of the stated guiding principles are important, the first provides the greatest testament to the commitment to institutional goals:

The programs of the Division must be educationally responsible. The programs of the Division should be managed consistent with the ideas and objectives of the UW-Madison. All student-athletes should be capable of, and committed to, matriculating and completing an undergraduate curriculum. The Division, staff, and coaches should be committed to supporting each student-athlete's academic goals. (Adopted by Athletic Board, September 13, 1991)

To ensure continued attention to the intertwining of intercollegiate athletic programs and the institutional mission, the Athletic Board is directly accountable to the faculty and the campus administration through Faculty Policies and Procedures



6.22. Further, the Athletic Board committees specifically address the issues of rules compliance, fiscal integrity, academic and student affairs, gender equity (among athletes, coaches, and staff), and equal opportunities for student athletes. The continued academic success of the student-athletes demonstrates that the mission of the Division of Intercollegiate Athletics is consistent with the mission of the institution.

3. **Describe the process followed and the role of various participants in the development, formal approval and most recent review of the athletic program. Also, describe how and to whom the completed mission statement is circulated.**

One of the most recent reviews is described in answer to Question 1. The University Committee, which is the executive committee of the Faculty Senate, appointed an *ad hoc* committee of faculty to review the policies that govern the Athletic Board. A second review occurred within the framework of another University Committee initiative. A task force on faculty governance, between 1992 and 1994, rewrote faculty legislation defining faculty committees — including the Athletic Board — and their responsibilities.

Both of these projects were faculty-initiated and both concentrated on assuring that faculty oversight of intercollegiate athletics was adequate. For example, the faculty governance task force recommended changes, approved by the Faculty Senate, added three faculty members and one academic staff member to the Athletic Board and made the appointing authority the University Committee rather than the Chancellor (although the University Committee appointments must be made "with the approval of the Chancellor"). The newly rewritten and approved portions of Faculty Policies and Procedures that apply to the Athletic Board are appended as Attachment 13.

The two projects were interrelated to the degree that the faculty governance task force was willing to use the listing of policies and responsibilities developed by the first committee as its basis for articulating the Board's responsibilities in faculty legislation. The Chair of the Athletic Board served as a member of both of these projects and communicated regularly with the Athletic Board and the athletic administration during both processes.

The efforts appear to be working well. The Athletic Board incurs an expanded responsibility to report to the faculty, and as a result the faculty seems to have developed renewed confidence in the activities of the Board. For example, in the spring of 1994 the Chair of the Athletic Board appeared before the University Committee and the Faculty Senate not only to deliver the required Annual Report of the Board, but also to inform both bodies of the rationale for the recent decision to

add two women's sports, and to report on how the Board monitored the academic performance of those football players who made the trip to Tokyo for the Michigan State football game in December 1993. The University Committee and the Faculty Senate accepted these reports with application and without controversy.

The Division's mission statement, approved by the Board in September 1991, has become the focus of numerous department publications and other materials (Attachment 5). Along with the Guiding Principles, it is regularly used by administrators in the department in planning and budget decisions, and in their interactions with coaches and booster organizations. In addition, it appears prominently in the Division's compliance guide and is referred to in booster education meetings.

4. **Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other key individuals or groups (e.g. faculty, students) in this process.**

A number of different processes are used at the UW-Madison to make major decisions regarding intercollegiate athletics, some more formal than others. Perhaps the most formal and extensive is the creation and approval of the departmental budget.

That process begins with an analysis of the financial situation of the Division by divisional staff and the creation of a proposed budget of income and expenses for review with the director of athletics. Once the staff and director are satisfied with the budget, it is reviewed by budget personnel in the Chancellor's Office. From there, it is presented to the Finance Committee of the Athletic Board, then to the Athletic Board, the student government, the Chancellor, University of Wisconsin System administration, the Board of Regents and, ultimately, the Governor and Wisconsin State Legislature. Because of the existence of an accumulated deficit of approximately \$2.1 million at the conclusion of fiscal year 1988-1989, the Division's budget was removed from the overall UW System budget and became a separate appropriation in the state budget.

Another formal and extensive decision-making process involves large capital projects. In addition to the reviews and approvals included in the budget process, additional approvals are required from the state's Department of Administration and its subunits at various stages of the project.

Other major decisions are made based upon the formal and informal interactions and responsibilities of the Regents, the Chancellor, the Athletic Board, the Faculty Athletics Representatives and the Athletic Director. The role and authority of each is described briefly below.

In general, the Board of Regents of the University of Wisconsin System is vested with the authority to manage the entire university system. (Chapter 36, Wis. Stats.) All Regents are appointed by the Governor with the advice and consent of the State Senate, except for the Superintendent of Public Instruction, who is directly elected. The Regents reserve the right to authorize the hiring of any individual whose salary would exceed the maximum of an established salary range. This occasionally applies to Division personnel. Otherwise, the regents' role is generally limited to the receipt of periodic reports on athletic issues and some oversight, to ensure that applicable regent policies and procedures are followed.

The Chancellor is the chief executive of the institution and reports to the UW System President and the Board of Regents. He or she appoints, and is the immediate supervisor of, the athletic director. The Vice Chancellor for Legal and Executive Affairs is the Chancellor's liaison with the Division. The Chancellor also meets regularly with the Athletic Director to review decisions that the Director has made.

The UW-Madison has both a statutory obligation and a long-standing tradition of shared faculty governance, and its Athletic Board is a standing committee of its faculty senate. As such, it is required to be composed of a majority of faculty. The functions of the Athletic Board include decisions concerning athlete participation and eligibility, awards and prizes, athletic contracts, schedules and personnel. The board is also responsible for developing policies for the regulation of divisional activities, approves the department's long-term strategies and five-year plan, and selects the outside auditors. Both Faculty Athletics Representatives are members of the Athletic Board. They play substantial roles on that board and also in the areas of compliance and NCAA and conference governance.

Wisconsin also has an obligation and tradition of shared governance with its academic staff, its students and its alumni. To this end, there are two academic staff, four alumni, and four student members of the Athletic Board. The Academic Staff Executive Committee and the Wisconsin Alumni Association submit nominations to the Chancellor for their respective representatives. One student member of the Board is designated by student government, one by the student organization that recommends how the student fee should be allocated. Two student-athletes—one man and one woman—share a vote on the Board. In 1993, the Board created a Student Athlete Advisory Committee (SAAC). Recommendations regarding student-athlete welfare are brought to the Board from SAAC. SAAC also nominates student-athletes for membership on the Athletic Board.

Day-to-day decision-making is vested in the Athletic Director, with the advice of, or through delegation to, his or her staff. It is expected that the director will identify major decisions that require further approval and will secure it where necessary.

5. **Based on the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).**

The contact that the University of Wisconsin Board of Regents has with the intercollegiate athletics program on any one of the system campuses is rather minimal. However, because UW-Madison is the only Big Ten university in the state and because the budget of the Division of Intercollegiate Athletics is acted upon by the Board of Regents separate from the overall Madison campus budget, the Board of Regents has made a number of decisions which involve UW-Madison's intercollegiate program in recent years.

The most frequent connection is through the annual budget approval process. The Board regularly requested status reports on the removal of the deficit that had accumulated by the end of 1988-89. The Director of Athletics, the Administrative Officer, and the Chair of the Athletic Board regularly appeared before the Regents. The deficit was eliminated during the 1993-94 fiscal year.

Additionally, the Board of Regents must approve any athletics facilities projects, such as approval of the outdoor track/soccer complex which was constructed in 1992-93. The Board also had to approve the start of the planning process for the proposed new indoor sports arena, including the approval to spend funds for planning. The Board must also approve large maintenance projects, such as the 1994 structural improvements on the west side of Camp Randall Stadium.

The Board of Regents must approve any student athletic fee. In 1989 the Board authorized an assessment of \$10 per student per semester at UW-Madison to support intercollegiate athletics. The Regents have decided to defer to student government's decision regarding the continuation of a student athletic fee. The Board must also approve the development of separate funding sources proposed by intercollegiate athletics, such as the licensing program.

Finally, the Board of Regents has occasionally monitored potential competition with the private sector, like that which might occur with the university's golf course, University Ridge.

6. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's chief executive officer has been significantly involved.

The Chancellor has been significantly involved in the following issues related to intercollegiate athletics during the past three years:

- A. Deciding to participate in the NCAA Pilot Certification project and to participate, as soon as possible, in the full NCAA Certification program;
- B. Planning for development and construction of a proposed new indoor sports arena
- C. Restructuring the Athletics Compliance Office, placing reporting authority in the Chancellor's office rather than in athletics, and impressing on coaches and administrators the importance of compliance
- D. Deciding whether and how to renew the management contract for the university's golf course, University Ridge
- E. Revising complimentary ticket policies for athletics events
- F. Approving appropriate outside income opportunities and perquisites for coaches
- G. Reviewing performance of the Athletic Director
- H. Developing institutional responses to Title IX investigation by the Office for Civil Rights in the U.S. Department of Education
- I. Approving the annual budget for the Division of Intercollegiate Athletics
- J. Advocating before the Board of Regents the need for continuation of the \$10/semester student athletics fee

7. Describe the activities that the institution has established for its athletics booster groups and other representatives of the institution's athletics interests, as well as those organized or initiated by the booster groups. Also, describe how the activities of these groups and individuals are maintained under the clear control of the institution, including whether institutional personnel serve on booster club or foundation boards.

The actions and activities of booster organizations have been addressed by specific actions of the Athletic Board taken in 1985 and 1988. The Athletic Board established guidelines (Attachments 14 and 15) to define the University's requirements for its relationships with athletic booster organizations recognized by the University.

During the summer of 1994 — in planning for a first-ever mandated booster education workshop, held on September 13 — the Athletic Board carefully reviewed the 1985 and 1988 guidelines and revised them to reflect organizational changes and to enhance institutional control. The booster education program (Attachment 31) will

be an extended and comprehensive presentation of all issues of concern to the Division and the boosters, and will include presentations by the Chancellor, the Athletic Director, the Associate Athletic Directors, the Chair of the Athletic Board, the Compliance Coordinator, the Vice Chancellor for Legal and Executive Affairs, and the Executive Director of the University of Wisconsin Foundation, among others. All coaches and senior officers in booster clubs are required to attend.

The Compliance Coordinator and the two Associate Athletic Directors who administer the 20 sports regularly attend booster organization meetings. Thus, the staff of the Division is regularly represented at the meetings of these groups.

8. **Describe how the institution has organized itself to maintain compliance with NCAA rules. Include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator (if any), coaches, and other key individuals inside and outside athletics (e.g., recruiting coordinator, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.**

The current position of full-time Compliance Coordinator was established in 1992. The position is full time. The incumbent is hired by the Chancellor and reports directly to the Vice Chancellor for Legal and Executive Affairs.

The Compliance Coordinator is responsible for interpreting NCAA, Big Ten, and Western Conference Hockey Association (WCHA) policies. The Coordinator responds to questions from administrators, coaches, support staff, student-athletes, or boosters, usually both orally and in writing. Inquiries are logged by sport and included in a monthly newsletter. This provides for consistency in the interpretations. All compliance forms (e.g., playing and practice season, contact and evaluation, and record of official visits) are retained in the Office of Athletic Compliance. Division staff, student-athletes, and boosters about conference and NCAA rules. A variety of written and verbal presentations are used to provide this information. The Compliance Coordinator also is responsible for proactively educating reports to the Athletic Director regarding these activities.

Both Faculty Athletic Representatives are members of the Compliance Committee of the Athletic Board. The senior Faculty Representative serves as Chair of the Compliance Committee. The committee also includes, as members the Chair of the Personnel Committee of the Athletic Board (a faculty member), the Compliance Coordinator, and the Vice Chancellor for Legal and Executive Affairs. Thus, the majority of the membership are faculty and no members are employed by the Division of Intercollegiate Athletics. The Compliance Committee has been

significantly involved in drafting compliance policy and in overseeing, monitoring and reporting procedures.

During the 1993-94 academic year, the recruiting coordinator for football was responsible for documenting compliance for the football program. This is currently the responsibility at the football program's administrative assistant, who will work directly with the Compliance Coordinator. The other sports have assigned the responsibilities of documentation of playing and practice season and recruiting contact and evaluation forms to either the head coach or an assistant coach.

The institution's chief financial aid officer along with the financial aid specialist for intercollegiate athletics together have the responsibility to insure compliance with NCAA financial aid legislation and to maintain all forms dealing with financial aid.

Eligibility certification is handled by the Registrar, with assistance from the Director of the Division's Academic Affairs Office and the Compliance Coordinator. The Admissions Office designee along with the Registrar make decisions on initial eligibility. Beginning in 1994, these duties have been assumed by the NCAA Clearinghouse.

9. Describe the procedures by which the institution processes alleged or self-discovered violations of NCAA rules.

The following procedures are followed when there is a suspected or possible NCAA rules violation:

- A. Inform the appropriate administrator(s) and the Compliance Coordinator.
- B. The Compliance Coordinator informs the Director of Athletics and the Vice Chancellor for Legal and Executive Affairs.
- C. The Vice Chancellor informs the Chair of the Compliance Committee of the Athletic Board, and others deemed necessary. The Athletic Director, Vice Chancellor, Chair of the Compliance Committee, and the Compliance Coordinator will determine who will coordinate the initial inquiries. Possible preliminary investigators include:
  1. Compliance Coordinator
  2. Athletic Administration along with the Compliance Coordinator
  3. Legal Services office (with or without the Compliance Coordinator)
  4. Investigator from outside the University
- D. The preliminary investigator reports the results of the initial investigation to the Athletic Director, the Vice Chancellor, the Chair of the Compliance Committee, and the Compliance Coordinator.
- E. If there is a basis for believing a violation has occurred:

1. Any appropriate and necessary immediate action is taken, which may include, but is not limited to:
    - a. Declaring student-athlete(s) ineligible
    - b. Suspending staff member(s)
    - c. Reporting to the Big Ten or the WCHA and NCAA that an investigation is in process
  2. The Vice Chancellor, Director of Athletics, Chair of the Compliance Committee, Compliance Coordinator, and possibly the Compliance Committee and/or appropriate administrator(s) determine the further investigative process:
    - a. Select an internal or external process (as in "C" above)
    - b. Establish a timetable for the investigation
- F. The results of the investigation are reported to the Compliance Committee. The Compliance Committee and possibly the appropriate administrator(s) review the report and recommendations, and:
1. determine the final report and actions to be taken
  2. inform the appropriate persons
  3. implement corrective actions
- G. The Compliance Coordinator or Faculty Representative(s) report the results of the investigations and the actions taken to:
1. The Big Ten Conference or the WCHA
  2. The NCAA

10. Describe the institution's rules-education efforts for student-athletes, athletics department staff members, other institutional staff members, and representatives of the institution's athletic interests.

Rules education is the primary responsibility of the Compliance Coordinator. The Associate Directors who administer the sports assist in educating the coaches and booster organization representatives during the Associate Directors' meetings with the coaches and at booster organization meetings. Following are descriptions of the university's compliance education program organized by group:

A. Coaching Staff

At the beginning of each academic year the coaching staff is given a manual (Attachment 18) which has been prepared by the Compliance Coordinator to assist all coaches in compliance strategies for recruiting, playing and practice season, eligibility, complimentary admissions, sports camps, and interpretation procedures. The required forms that are used throughout the academic year are contained in this manual. The Compliance Coordinator holds four compliance education sessions for the coaching staff each year. The first session is primarily for distribution and discussion of that year's compliance manual. The second session is a review of recruiting and playing and practice season legislation along with legislative updates.



The third session covers results of the NCAA convention and rules changes. The final session covers summer camps and clinics, practice certification exams, and legislative updates.

Another tool used for compliance education is a monthly compliance newsletter that is distributed to coaches and other parties throughout the campus. The newsletter contains a section on recent interpretations which were given to members of the coaching staff, allowing us to share interpretations that might affect all coaches. It also includes a national news section, which covers compliance issues from other universities. This information comes from the *NCAA News*, the *Chronicle of Higher Education*, and various local newspapers. The newsletter also contains sections on required forms that might be missing, important dates that are upcoming in the next month (e.g., dead periods, signing periods), and important notes on legislative updates.

The Associate Directors hold biweekly meetings with the coaches to discuss procedures and problems relevant to the coaches and their sports. During these meetings the Associate Directors take time to include legislative updates that have been provided by the compliance coordinator, including a review of the latest minutes from the NCAA Interpretations Committee.

All coaches and department heads receive copies of both the NCAA and Big Ten Conference manuals, and each coach receives a copy of the *NCAA News*. Attachments 17 and 18 describe procedures for obtaining rules interpretations.

#### B. Support Personnel

The education efforts for support personnel such as secretaries, sports information, sports medicine, and other support areas consist primarily of an introductory session in the fall. During this compliance session, a compliance manual developed specifically for support personnel is distributed. This manual contains sections on recruiting rules and strategies of assistance for support personnel, explaining their roles in the recruitment process as well as providing the forms the coaches will need to complete in areas other than recruiting. The support personnel also receive a copy of the monthly compliance newsletter and have access to the *NCAA News*. The support personnel attend an additional education session during the spring semester which covers rules changes and results of the NCAA convention.

#### C. Booster Groups and Representatives of Athletic Interests

A compliance guide for the representatives of the institution's athletic interests is distributed to all season ticket holders and to all booster organization members with season ticket mailings. A compliance article is included in the newsletters of the W-Club and the Blue Line Club. This article is updated monthly and covers issues that the readers can understand and situations that they might face. The Compliance Coordinator presents at least one compliance education session to every booster

group each year, generally at the beginning of the academic year. The Compliance Coordinator and/or the Associate Directors attend all meetings of booster organizations. The Vice Chancellor for Legal and Executive Affairs and the Athletic Board have instituted an education session which includes compliance issues, Athletic Board rules, financial responsibility, and other intercollegiate athletics policies for each booster group and coaching staff member. Attendance at this education session is a prerequisite for registration with the Athletic Board as a certified booster organization.

#### D. Student-Athletes

Every student-athlete who attends the UW–Madison is required to attend a compliance education session at the beginning of every academic year. The Compliance Coordinator covers the compliance section that is included in the Student-Athlete Handbook as well as the NCAA and Big Ten Conference forms that deal with compliance and compliance education. The Assistant to the Compliance Coordinator works with the Student-Athlete Advisory Committee and provides NCAA, Big Ten, and WCHA rules legislation updates and interpretations relevant to the conduct of student-athletes.

### Evaluation and Plan for Improvement

1. Given the responses previously, evaluate whether the activities of the athletics program are in substantial conformity with each of the operating principles set forth in this section. The institution's evaluation should address each of the six specific operating principles separately.

We are convinced that the UW–Madison's Division of Intercollegiate Athletics is administered, operated, and overseen in a manner consistent with the six operating principles articulated for this task force.

To a great extent this occurs because the vast majority of these policies and practices have been written or have been extensively reviewed and updated within the past two to three years. Accordingly, the university community — including the faculty, staff, and administration — has participated in this process. Although not all of the new policies have yet been tested, they appear to be working effectively. Only minor fine-tuning has been required as their use has evolved. Specifically, at this point we are satisfied with our success in addressing each of the following operating principles:

- A. Institutional Mission. The Mission Statement for intercollegiate athletics which was approved by the Athletic Board in September, 1991 is consistent with the institutional mission and the UW system mission. It emphasizes the value of academics, provides for an appropriate balance between academics and

athletics and reflects current actual practice within the intercollegiate athletics program.

- B. Institutional Control. Through the Athletic Board, the Chancellor, and the compliance office, the University holds an appropriate level of institutional control over its intercollegiate athletics program.
  - C. Presidential Authority, Governing Board. Because the Board of Regents oversees the entire University of Wisconsin System, it is not regularly involved in intercollegiate athletics activities. It does, however, have budget oversight and does expect accountability on specific issues of concern. The Chancellor is directly involved in those policy and procedure issues appropriate for his attention and action.
  - D. Shared Responsibilities. The newly developed campus policies dealing with intercollegiate athletics have significantly involved faculty, the Athletic Board, the Chancellor, and intercollegiate athletics administrators, working together.
  - E. Assignment of Rules-Compliance Responsibilities. Rules-Compliance is now appropriately concentrated in the newly-created full-time position of Compliance Coordinator. Because this position reports to the Vice Chancellor for Legal and Executive Affairs and is overseen by the Athletic Board's compliance committee, compliance responsibilities and accountability are appropriately external to intercollegiate athletics.
  - F. Rules-Compliance Accountability. The Compliance Coordinator develops a regular and meaningful series of compliance education sessions and materials for the appropriate constituencies, including coaches, support personnel, boosters, and student-athletes.
2. Given the responses previously, evaluate whether the activities of the athletics program are consistent with the mission and purpose of the institution.

The activities of the Division of Intercollegiate Athletics are consistent with the mission and purpose of the UW-Madison and the University of Wisconsin System.

## ACADEMIC INTEGRITY

1. Describe any recent major changes in policy and organization that affect the institution's current efforts in matters related to the operating principles of the NCAA regarding academic integrity, focusing on those implemented during the last three years.

- A. **Operating Principle #1: Student-Athletes Integrated in Student Body.** An intercollegiate athletics program shall be designed to be a vital part of the institution's educational system, and student-athletes shall be considered an integral part of the student body.

Student-athletes at the UW–Madison have always been integrated in the student body. Student-athletes take the same courses, pursue the same degrees, live in the same dorms, and eat in the same dining halls as all other students. There have been no major policy or organizational changes that relate to this principle during the past three years. However, several developments have enhanced the quality of student-athlete integration into the student body:

1. In response to a 1992-93 evaluation of the Academic Affairs Office by a task force chaired by the Dean of Students (Attachment 19), the Office has defined and pursued a more focused mission of academic support services and made more use of existing campus resources for orienting, advising, and counseling students.
2. The Division of Intercollegiate Athletics, with the assistance of campus and community resources, has developed SUPPORT, a program to help student-athletes cope with the stresses and pressures of everyday living as well as the life of a student-athlete. Two components of that program are worth mentioning:
  - a. Freshman Seminar  
A series of presentations to all incoming student-athletes on topics ranging from social conduct to media relations
  - b. Community Service  
An organized involvement by the department with its student-athletes in the community ranging in activities from reading to elementary school student to visiting terminally ill children with "Amanda the Panda." (Attachments 20, 21, and 22.)
3. The Student-Athlete Advisory Committee has provided student-athletes with an opportunity to participate in the governance and policy making of the University, especially on issues related to student-athletes.

- B. **Operating Principle #2. Admissions and Graduation.** The institution shall admit only student-athletes who have reasonable expectations of obtaining academic degrees. If the graduation rate of student-athletes is significantly lower than that of the rest of the student body, this disparity shall be

analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities under clearly established and approved policies. If the academic profile of entering student-athletes differs from that of the rest of the student body, the contrast shall be analyzed and explained by regular institutional authorities under clearly established and approved policies.

The UW-Madison uses the same criteria and processes for the admittance of all students, including student-athletes. Likewise, prospective student-athletes use the same appeals process as others who do not meet established admissions standards. There have been no changes in policies or structures during the past three years that relate to this principle.

The profiles of student-athletes and students generally are similar and the graduation rate of the student-athletes nearly mirror the rate for all students (69% to 70%). In 1991, the University dropped five sports (baseball, men's and women's fencing, and men's and women's gymnastics). Several student-athletes in these sports transferred in good standing and may have graduated. Information regarding these athletes is not available. The graduation rates for student-athletes may, in other words, be higher than reported. (Attachments 24 and 25)

- C. Operating Principle #3: Academic Authority. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes shall be vested in the same agencies that have authority in these matters for students generally.

All actions involving appeals, admissions and/or dismissals are handled by the Deans of the appropriate colleges. There have been no changes in the relevant policies and organizations during the past three years.

- D. Operating Principle #4: Academic Support. Adequate academic support services shall be available for student-athletes. Student-athletes shall be encouraged and assisted in reaching attainable academic goals of their own choosing. When it is determined that individual student-athletes have special academic needs, these needs shall be addressed. The support services shall be approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics.

The Division of Intercollegiate Athletics requested an evaluation of its Academic Affairs Office in 1992. This study was conducted by an all-campus task force chaired by the Dean of Students. The task force completed its work in February 1993. In July 1993 a new Director was hired to head the Division's Academic Affairs Office and was given the responsibility to implement the recommendations of the

task force (Attachment 26). The Academic Affairs Committee of the Athletic Board is overseeing and monitoring the implementation of these recommendations.

- E. **Operating Principle #5: Scheduling.** The scheduling of athletics competition and practice shall minimize conflicts between athletics participation and academic schedules, especially during examination periods.

The Division of Intercollegiate Athletics has a policy that no more than six class days may be missed in a semester due to athletics. Faculty policies and procedures do not allow regular season competition during final examination periods. In December 1993 the Academic Affairs Committee adopted a procedure in which the Associate Directors of Athletics work with the coaches to establish the schedules and give them to the Director of the Academic Affairs Office for review. Schedules are then submitted to the Academic Affairs Committee for approval. The modification in procedure was to include the review by the Academic Affairs Office.

2. **Describe the process by which student-athletes are admitted to your institution, and compare it to the process for admitting students generally. Given careful attention to key decision points (e.g., establishment of admissions criteria, approval of special admissions) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the athletics department plays (if any) in the admissions process for student-athletes.**

Admissions decisions are made by the Office of Admissions. Students must submit official transcripts, ACT or SAT scores from the relevant testing agency and class rank. To be considered for admission an applicant must do each of the following:

- A. Graduate from high school or have the equivalent certification
- B. Complete required prep course units (4 - English, 1 - Algebra, 1 - advanced math, 3 - social science, 2 natural science, 2 - single foreign language, and two additional academic)
- C. Rank in the top fifty percent of the twelfth grade class
- D. Submit ACT/SAT score

Athletes follow the same procedure except that they are treated as an "outreach" group. Outreach groups consist of prospective students whom the University actively seeks. Other examples of outreach groups are veterans, older adults, and ethnic minorities. This status allows applicants to submit applications beyond the February 1 deadline. Also, outreach applicants are not affected by enrollment management policies that sometimes raise high school ranking ACT/SAT scores in order to reduce the number of qualified applicants. The admission

standards for those in outreach groups do not vary each year. Among the constant standards is the requirement that the applicant rank in the top half of his or her high school graduating class (Attachment 23).

The Division's Office of Academic Affairs may present appeals in cases where athletic applicants fail to meet the stated criteria. Each college has its own appeals procedure. For example, the College of Letters and Science convenes a committee of two members of the dean's staff and one representative from Admissions to decide on individual appeals. The Division of Intercollegiate Athletics may send up to two representatives to present the appeal.

3. **Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years for which this information is available: average standardized test scores and average overall high-school grade-point averages for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sports groups listed in the NCAA Division I graduation-rates disclosure form — football, men's basketball, baseball, men's track/cross country, men's other sports and mixed sports, women's basketball, women's track/cross country, and women's other sports) and for all entering freshman students (by gender and by racial or ethnic group). [Note: Use Attachment No. 1 to compile these data.]**

Attachments 24 and 25 provide data on all students admitted to the UW–Madison and on freshman student-athletes receiving athletic aid. The profiles are generally similar, although student-athletes as a group are somewhat below the norm of the academic credentials of the student body as a whole. Another difference is that student-athletes have a higher representation of racial minorities and a lower representation of women. These differences reflect the special outreach efforts made by the Division of Intercollegiate Athletics to provide opportunities for student-athletes and the exemption explained above from the additional barriers sometimes erected by enrollment management policies. For each of the years reported there were higher admission standards and attempts to reduce the general undergraduate population. Despite some differences in the profile of those admitted, the graduation rates, noted below, are virtually the same.

4. **Provide a copy of your institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements. Also, compare the number of freshman student-athletes receiving athletics aid who were admitted through these special**

exception provisions with the number of freshman students generally who were so admitted by providing these data for the three most recent academic years and, for the student-athlete data, for each of the eight sports groups listed in the Division 1 graduation-rates disclosure form. [Note: Use Attachment No. 2 to compile these data.]

Attachment 23 presents the published entrance requirements. The process for individuals to appeal for exceptions to these requirements was described above. As pointed out, the committees that grant exceptions are located in each college and all applicants, whether or not they are athletes, use the same process and same committees. Attachment 26 presents the number of students and student-athletes who successfully appealed for special admission. The numbers for both groups are rather small. Student-athletes are a minority of those who matriculate through special admission.

5. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify initial eligibility for transfer student-athletes. Identify the individuals(s) with final authority for certifying initial eligibility, and their title(s).

Transfer athletes are referred to the Office of Academic Affairs (in the Division of Intercollegiate Athletics) by the appropriate coach. They provide the following:

- A. Release from the previous institution (if applicable)
- B. UW evaluation of transfer credits
- C. College transcript(s)
- D. High school transcripts (if applicable)

The student-athlete completes a Transfer History Form (copy to Compliance Office). The Academic Affairs Office and the Compliance Office confer as to the eligibility status and if they agree, a contact is made with the Registrar's Office to confirm the eligibility status. If there is no disagreement the student is then asked to fill out appropriate NCAA and Big Ten forms and can be added to the Eligibility List.

Final authority for certification rests with the Registrar's Office (Larry Lockwood) with consultation from Academic Affairs (Alan Zussman or his designee) and Compliance Coordinator (Paul Winters).

6. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify student-athletes' continuing eligibility. Identify the individuals with final authority for certifying continuing eligibility, and their title(s).



At the end of each term, a computer printout containing the name, identification number, classification, matriculation date, number of semesters enrolled, number of previous semester credits, previous semester grade point, cumulative degree credits and cumulative grade point average of all athletes coded into the data processing system is sent to the Academic Affairs Office. This printout is called the "Grade Analysis Worksheet." All athletes on eligibility lists and squad lists are included on the Worksheet.

Academic advisers in the Academic Affairs Office are responsible for reviewing the printout with individual coaches to check for accuracy and to be certain that information is passed along to individual athletes.

Academic Affairs personnel then confer with the Registrar's Office (Larry Lockwood) to concur on questions about continuing eligibility of individual student-athletes. Most student-athletes have clear cut continuing eligibility and do not go through this individual scrutiny.

Final authority for certifying continuing eligibility rests with the Registrar's Office (Larry Lockwood) with consultation from Academic Affairs (Alan Zussman or his designee) and Compliance (Paul Winters).

7. Describe the academic support system available to student-athletes. Include: (a) the specific academic support services (e.g., tutoring, posteligibility programs, study skills) offered; (b) any policies that govern which students can use these services; (c) the mechanisms by which student-athletes are made aware of these services; (d) the mechanism for institutional academic oversight of these services, and (e) any means of analyzing, explaining and addressing special academic needs of student-athletes (if any are identified).

The Academic Affairs Office strives to provide student athletes, through an enriching environment, the maximum opportunity for academic as well as athletic achievement.

The office is centrally located in the football stadium (Room 3038) near many other facilities, such as coaches offices, sports medicine, sports information, weight training and practice facilities. The office is open from 7:45 AM to 4:30 PM, with extended hours during certain periods (e.g., for advising and registration). A small microcomputer lab, is also supervised by the Academic Affairs Office. It is available daily during regular office hours and five evenings a week, 7 - 9 PM.

Specific support services include the following:

- Academic advising
- Major choice assistance

- Group and one-to-one tutorials
- Review sessions (prior to exams)
- Study table
- Evelyn Wood Reading Dynamics
- Support group for medical redshirts
- Financial aid information and referral
- Freshman Seminars - Orientation
- Alcohol and other drug information and referral
- Personal counseling and referral
- Degree summary assistance
- Career networking ideas

The Academic Affairs Office provides academic services to over 400 student-athletes on the Madison campus on a yearly basis. The services cover a wide range of activities starting with the establishment of the initial eligibility and ending with graduation, the career search and/or post graduate enrollment.

Semester-by-semester advising is available for students to plan their academic schedules (course selection, major requirements, and degree audits). During the sophomore year emphasis is placed on helping the student-athlete choose a major. By the onset of the senior year a graduation plan is prepared and reviewed, so that the student-athlete can graduate within the five years of initial matriculation.

The services offered by the Academic Affairs Office are available to all current student-athletes. Students are notified of these services during team meetings, via their coach, notices on bulletin boards, etc. The Office sets up and monitors study tables and supplemental learning groups in a variety of subjects each semester, as requested by the students. A reading specialist is available for assistance for those students who need special reading help. This is determined via high school records, request from the student-athlete or via reading tests administered during Wisconsin Welcome Week, the week before the start of fall semester classes. The reading specialist is available on an hourly basis and is in the building approximately half-time, working flexible hours to meet specific schedule needs. In addition, two sessions of a reading dynamics course are offered each year. The coaching staff and/or Academic Affairs staff nominate people for this program. A learning specialist is in the department approximately ten hours a week 7-10 PM.

Student-athletes who have learning difficulty are referred to the following:

- In-house Learning Disabled or Reading Specialist
- McBurney Disability Resource Center
- Counseling and Consultation Center
- Math Tutorial
- Chemistry Tutorial
- Writing Lab

If a student-athlete needs assistance that the Academic Affairs Office staff cannot provide, or if they prefer to seek outside help, referrals are made to other programs on campus. Interaction with departmental advisers and college deans is commonplace.

Other services include support groups for medically red-shirted student-athletes and for those experiencing academic difficulty. The Academic Affairs Office monitors and keeps statistics on the academic progress of the freshmen and selected upperclassmen who have experienced academic problems. A staff member teaches two sections of a study skills/educational effectiveness course each semester. This is offered through the Department of Counseling Psychology. Enrollment is not limited to student-athletes, though many student athletes who experience academic trouble are advised to take the course.

Oversight for these services is provided by the Academic Affairs Committee of the Athletic Board. Daily supervision is provided by the Academic Affairs Director, who reports directly to the Athletic Director.

**8. Describe the institutions policies related to the scheduling of intercollegiate athletics competitions and practices that minimize interference with class time and examination periods.**

**A. Formulation of schedules**

The following policies of the Athletic Board guide the formulation of schedules:

1. The Associate Athletic Directors for sports work with the coaches of the appropriate teams to formulate the competition schedules.
2. Schedules are then submitted to the Academic Affairs Office for suggestions and recommendations with attention given to possible conflicts.
3. The Associate Athletic Directors for Sports approve the schedules before they are submitted to the Academic Affairs Committee for approval.
4. Regular season schedules shall require teams (or individual student-athletes) to miss no more than six (6) class days per semester. However, some conference circumstances may require additional class days to be missed by student-athletes. These circumstances will be reviewed and approved by the Academic Affairs Committee of the Athletic Board prior to travel.
5. Regular season schedules shall not include post-season competition. Post-season competition is defined as NCAA (or appropriate collegiate sport governing organization) championships, bowl games, and those Big Ten championships for which a team or individual must qualify.

6. The dates of the championships may appear on the schedules presented to the Academic Affairs Committee, but the class days shall not be counted as part of the six (6) allowed.

The Academic Affairs Committee reviews all schedules before the beginning of each sport season to make sure that student-athletes do not miss more than six class days. If a schedule appears to violate this rule, it is sent back to the relevant coach for revision or for justification. It is seldom the case that exceptions beyond an added half day are allowed. Actual schedules are also reviewed after the season is over, to see whether additional days were missed because of unanticipated travel delays or other factors. For individual competitors (e.g., in tennis or golf), the number of days missed through participation in invited competitions is also reviewed for its potential impact on grades.

Student-athletes are expected to take responsibility for dealing with material missed because of competition.

**B. Conflicts of athletic participation with examination periods**

The following, regarding conflicts with examination and study period dates, appears in Faculty Document 485.

1. Athletic Board policy prohibits regularly scheduled games during examination periods and study periods.
2. As a matter of practice, the Board has granted exceptions to this rule on those occasions when conference, regional, or national championships have fallen during an exam or study period, when UW-Madison teams or individuals have been invited or otherwise qualified for competition in such events.

The approval to participate in football bowl games in conflict with final examination periods is to be considered a "significant departure in policy." This requires consultation with the University Committee in advance and, if deemed necessary by the University Committee, the Board must secure approval of the Faculty Senate. The Chancellor must also approve.

For most sports, post-season competition does not conflict with examination periods. Any exceptions are handled as is described above for football bowl games. When such exceptions are made, the Division's Academic Affairs Office assist student-athletes in making arrangements to accommodate both academic and team schedules. Usually these procedures result in individually arranged makeup examinations. Occasionally arrangements have been made for student-athletes to take proctored examinations while on the road. In a few cases students have had to choose between missing the competition or taking an F in the scheduled exam.

C. Conflict between classes and practice times

It is the policy of the Division of Intercollegiate Athletics that student athletes not be required to practice or engage in conditioning activities during normal class periods. Different teams practice at different times, but "normal class periods" are generally considered to be between 7:45 AM and about 2:30 PM. Student-athletes make every effort to get classes that do not conflict with practice times. Some are able to register early in order to assure getting into required classes. If there is a conflict between required classes or special exam times and regular practice times, the student is released from practice at those times. All rules concerning the total number of hours of practice plus game participation mandated by the NCAA are adhered to. Coaches complete forms each month that allow the Compliance Coordinator to monitor their compliance.

9. Provide a copy of the student-athlete degree program information from the institution's completed graduation-rates disclosure forms for the three most recent academic years, which indicates the number of student-athletes who received athletics aid and graduated within six years, by the school, college or department from which student-athletes received baccalaureate degrees.

A. Scholarship

1. 1991-92 (including degrees granted summer 1990)—55 student athletes
  - 36 Letters and Science
  - 3 Agriculture and Life Science
  - 3 Family Resources and Consumer Science
  - 5 Engineering
  - 7 Education
  - 1 Nursing
2. 1992-93 (including degrees granted summer 1991)—49 student athletes
  - 18 Letters and Science
  - 38 Agriculture and Life Science
  - 5 Family Resources and Consumer Science
  - 8 Business
  - 5 Engineering
  - 3 Education
  - 2 Nursing
3. 1993-94 (including degrees granted summer 1992)—84 student athletes
  - 46 Letters and Science
  - 13 Agriculture and Life Science
  - 3 Family Resources and Consumer Science
  - 15 Business
  - 3 Engineering
  - 4 Education

10. Review the graduation rates for student-athletes and for students generally during the last three years, and comment on any trends or significant changes.

Six-Year Graduation Rates

	1991	1992	1993
All Students	.66	.68	.70
Student athletes receiving aid	.62	.64	.69
Men's sports	.58	.66	.63
Women's sports	.73	.60	.80
Football (N=21-24)	.65	.63	.81
M-Basketball (N=3-7)	.43	.60	.25
W-Basketball (N=1-7)	.71	.50	1.00

Average # of Years to Graduate

All Students	4.72	4.73	4.74
Student-Athletes	5.00	5.05	5.06

In general graduation rates have improved over the past several years. The graduation rates for all students and for student-athletes receiving aid have remained similar. For the years reported there is no particular reason to be concerned over graduation rates of student athletes. (Areas that might cause concern because of low rates generally reflect extremely small numbers of students and thus do not show a significant pattern. However, since 1992, an academic support person has been hired to devote full energy to the men's basketball team.)

11. Describe the specific goal(s) that your institution has set for graduation of students generally and for graduation of student-athletes.

Every student admitted to any one of the eight undergraduate schools and colleges is expected to earn a degree from the University. No differentiation between student-athletes and the general student population is made. Recognition is given to the rigorous and demanding academic schedules, as well as athletic practices and competitions, of Division I student-athletes.

The faculty of each school and college, through discussions and faculty votes, decide upon the requirements in the major and the general degree requirements. Exceptions to the stated degree requirements are rarely made for any student. Degree requirements are widely published and publicized. Students meet with their academic advisers at regular intervals to make sure they are progressing satisfactorily toward graduation.

The Registrar's Office must certify a grade point average of at least a 2.0 (out of 4.0) for each student who is awarded a degree from the UW–Madison. All students must have earned a minimum of 120 credits in order to be awarded their degrees.

#### Evaluation and Plan for Improvement

1. Given the responses above, evaluate whether the activities of the athletics program are in substantial conformity with each of the operating principles set forth in this section. The institutions evaluation should address each of the five specific operating principles separately.
  - A. Student Athletes Integrated in Student Body  
All evidence indicates commitment to an integration of student- athletes into the student body. Athletics is clearly a vital part of the institution's educational system. The institution as a whole, as well as the Division of Intercollegiate Athletics and the Athletic Board, are committed to the integration of the athletics program into the institution's educational system.
  - B. Admission and Graduation  
Graduation rates and student-athletes' profiles indicate that the institution is in full compliance with this principle and that admissions and graduation of student athletes is comparable with those of other students.
  - C. Academic Authority  
The University of Wisconsin-Madison is in compliance with this principle. Final responsibility for admission, certification of academic standing and

evaluation of academic performance of student-athletes is vested in the same agencies on campus that have authority in these matters for students generally.

D. Academic Support

A full range of academic support services is available to student-athletes and structures exist for campus oversight and assistance. The work of the Academic Affairs Office through which support services are provided is overseen by the Academic Affairs Committee of the Athletic Board. This committee is composed predominantly of faculty members. Further, a major review of the Academic Affairs Office was conducted in 1992-93 by an ad hoc committee made up of a wide variety of university representatives and chaired by the Dean of Students.

E. Schedule

All evidence supports full compliance with this principle. There are policies regarding missed classes and examinations that are adhered to with careful attention from the Academic Affairs Office and the Academic Affairs Committee of the Athletic Board.

2. Given the responses above, evaluate whether the activities of the athletics program are consistent with the mission and purpose of the institution.

The academic activities of the athletics program of the University of Wisconsin-Madison are fully articulated and consistent with the mission and purpose of the institution.



## FISCAL INTEGRITY

As background for all the answers that follow it is important to understand that certain policies and procedures have been in place for some time to assure fiscal integrity of the operations of the Division of Intercollegiate Athletics. First, as part of a public university, the Division of Intercollegiate Athletics budget and all Division expenditures follow campus-wide budget and expenditure policies and procedures which are part of Wisconsin State Statutes. These policies and procedures have been described in the Governance and Rules Compliance section of this self-study. Second, the Finance Committee of the Athletic Board reviews both the expenditure and income budgets, as well as the detail of approved expenditures from University of Wisconsin Foundation (booster and support group) accounts, on a monthly basis, to determine if the Division is on budget and following Board directives and campus/state policy. Third, each year an outside audit is performed by a professional accounting firm to determine policy compliance and to determine if appropriate accounting standards and controls are in place and being utilized effectively. Finally, campus internal auditors and UW System auditors conduct periodic audits to determine if campus and State policies are being followed and if appropriate accounting controls are in place. Exit interviews are arranged with auditors and all audits and Division responses are reviewed by the Finance Committee.

1. Describe any major changes in athletics policy and organization that affect the institution's current efforts in matters related to NCAA operating principles regarding fiscal integrity, focusing on those implemented during the last three years.

Several organizational changes have been made in the past three years to enhance the University's ability to monitor, understand and control financial operations of the Division.

A new accounting system/chart of accounts was introduced that identifies, at a very detailed level, sources and uses of funds by sport and by activity. This new system dramatically improves the Division's and Finance Committee's ability to track and monitor income and expenditures of the Division.

Three new staff positions have been added to the Budget and Finance Office. These positions have not only enhanced the level of financial management in the Budget and Finance Office but have also enabled the office to handle business requirements more effectively and in a more timely manner.

The Division has been restructured so that each of the two Associate Athletic Directors is responsible for some women's and some men's sports and for some

income and some non-income sports. As part of this restructuring, all expenditures by different sports must be approved by the Associate Athletic Director responsible for that sport. This not only allows the Associate Athletic Director to monitor sports for budget and regulatory compliance, but also raises the awareness on the part of both Associate Athletic Directors to the special needs and concerns of both men's and women's sports and also income and non-income (Varsity) sports. Expenditures by support departments must be approved by the Athletic Director, the Administrative Officer or the Business Manager, all of whom are well-versed in Athletic Board and University policies as well as NCAA regulations.

As mentioned in the Governance and Rules Compliance section, beginning in Fall 1994 all booster and support groups must be certified by the University. Part of this initiative will be to implement a policy that allows the Division of Intercollegiate Athletics to audit actual direct expenditures of Booster Clubs to determine if they are consistent with NCAA regulation and University policy, and were made for the approved purpose. Booster Clubs typically have two checking accounts—one at the UW Foundation through which most budgeted and unbudgeted expenditures on behalf of the Athletic Department should flow, and another private account at a local bank through which expenditures on behalf of the booster club itself (like fundraising dinners) are made. On occasion, it is reasonable to assume that some expenditures on behalf of UW Athletics will be made directly from these private accounts. These expenditures, like expenditures from foundation accounts on behalf of UW Athletics must have prior approval of the Division of Intercollegiate Athletics. This approval, of course, is no guarantee that actual expenditures from a private account end up being for the approved purposes. To guarantee this, checking accounts must be monitored and audited ex-post. Part of this initiative will be to create the system necessary to monitor actual expenditures.

**2. Explain the institution's philosophy with respect to the funding of the athletics program.**

The level of funding will be such that the UW-Madison athletic program is competitive for NCAA Division I sports.

The oversight of funding and expenditures will be such as to ensure institutional control and compliance with all University, State, Conference and NCAA guidelines.

The diversity of sources of funding will be such that the department is self-supporting from revenues generated by the athletic program, gifts and donations to the program, proceeds of special events projects (concerts, golf outings, etc.), and state taxpayer funds specifically appropriated by the Legislature to support a portion

of women's sports and a portion of facility construction and improvements (total state appropriation is less than 4 percent of Division budget):

**3. Prepare a list of all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution.**

**A. Internal Revenue Sources**

**1. Direct Revenue (Ticket Revenue/Event Proceeds)**

- Football
- Basketball (M)
- Hockey
- Varsity Sports (17 other sport programs)
- Clinics
- Special Events
- Golf Course

**2. Indirect Revenue (TV, Radio, Post-Season Distributions, Concessions, etc.)**

- Football
- Basketball (M)
- Hockey
- Varsity Sports
- Marketing & Promotion
- Special Events
- Miscellaneous

**3. Other:**

- General Purpose Revenue (State funding)
- Student Segregated Fees
- University Parking Fees
- Investment Income

**B. External Revenue Sources**

**1. Direct gifts and grants to the Athletic Department**

**2. UW Foundation**

- General gifts and grants (non-Booster Club)

**3. Booster/Sport Accounts\***

- Mendota Gridiron Club-Football
- Badger Basketball Boosters-MBB
- Badger Cager Club-WBB
- Blue Line Club (Hockey)
- Hockey Booster Club
- Track/Cross Country (W)
- Men's Track Club
- Cross Country (M)

Wis Rowing Association-Crew (M)  
 Wis Rowing Association-Crew (W)  
 Swimming (M)  
 Swimming (W)  
 UW Gold Medal Wrestling Club  
 Badger Crosscourt Club-Tennis (M)  
 Badger Advantage Club-Tennis (W)  
 Women's Avid Volleyball Enthusiasts-Volleyball  
 Wisconsin Golf Club-Golf (M)  
 Wisconsin Women's Golf Club-Golf (W)  
 Men's (UW) Soccer Club-Soccer (M)  
 Wisconsin Women Soccer Boosters-Soccer (W)  
 Men's Varsity Sports  
 Women's Varsity Sports

\*The Division does not require revenue from these clubs.  
 However, the Division does budget expenditures financed by  
 these funds, and these are the revenues listed in this question. In  
 addition, Booster Clubs pay for unbudgeted expenditures on  
 behalf of athletics. These unbudgeted items are listed in Question  
 4.

4. **Prepare a list of all sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of your institution's intercollegiate athletics program, including outside foundations.**
  - A. UW Foundation Accounts
  - B. **Booster Clubs and Other Support Groups**
    - Mendota Gridiron Club-Football
    - Badger Basketball Boosters-MBB
    - Badger Cager Club-WBB
    - Blue Line Club (Hockey)
    - Hockey Booster Club
    - Track/Cross Country (W)
    - Men's Track Club
    - Cross Country (M)
    - Wis Rowing Association-Crew (M)
    - Wis Rowing Association-Crew (W)
    - Swimming (M)
    - Swimming (W)
    - UW Gold Medal Wrestling Club
    - Badger Crosscourt Club-Tennis (M)
    - Badger Advantage Club-Tennis (W)

Women's Avid Volleyball Enthusiasts-Volleyball  
Wisconsin Golf Club-Golf (W)  
Men's (UW) Soccer Club-Soccer (M)  
Wisconsin Women Soccer Boosters-Soccer (W)  
Men's Varsity Sports  
Women's Varsity Sports  
WIS Club  
National 'W' Club

Two sources of funds are not under the institution's accounting and budgeting control. They include unbudgeted items which are expended from support group accounts after appropriate approvals are obtained from the Division and direct expenditures from support group checking accounts. Depending on the nature of the items expended from the checking accounts, prior approval of these items by Division administrators may be required.

5. **Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures. Prepare a separate description for those sources of revenue described in Item No. 3 and another for revenue sources described in Item No. 4.**

A. Item No. 3 Revenue

Budgeting procedures applied and undertaken by the campus and the UW System are the same for the Division of Intercollegiate Athletics as they are for the rest of the University.

The steps in the budget development process are as follows:

1. UW-Madison budget instructions are distributed to all auxiliary operations. Revenue and expense budget proposals are developed and submitted to the Office of Budget, Planning and Analysis (copies of annual budget instructions are available for review). A full set of projected financial statements is developed for each auxiliary.
2. Within the Division, the internal budgeting process begins in November and concludes in April (or later in the second year of the biennium) for the following fiscal year. The process works as follows:
  - a. The management team meets in November to determine the budget priorities for the following year and to finalize the process and timetable.
  - b. Budget instructions and forms are distributed to each sport and general/administrative department. Each department develops its additional instruction/limited term employee (LTE)/student help,

supply and expense, capital, and preliminary grant-in-aid (GIA) budgets.

- c. All budgets are due in late December and early January. All sport budgets are reviewed by the appropriate Associate Athletic Director prior to submission to the Budget and Finance Office.
  - d. The Budget and Finance Office consolidates all budget information into an overall divisional budget in January.
  - e. The management team reviews the budget and makes appropriate revisions based on annual priorities, available funding and any other appropriate considerations (such as gender equity).
  - f. The final management team budget is compiled and submitted to the Finance Committee for their review at their February meeting.
  - g. The final Finance Committee budget is compiled and submitted to the Athletic Board for their review at their March meeting.
  - h. After approval of the budget by the Athletic Board, the budget is submitted to the Chancellor of UW-Madison.
2. Following adoption of the budget by the Athletic Board, the Student Services Finances Committee, a student committee, receives, reviews and discusses the proposed budget and forwards a recommendation to student government and to the Chancellor.
  3. The budget is submitted to the Chancellor of the UW-Madison for review and recommendation to the President of the University of Wisconsin System.
  4. The President receives and reviews the budget and makes a recommendation to the Board of Regents.
  5. The Board of Regents approves the budget as part of the annual budget of the University of Wisconsin System.
  6. If the budget adopted by the Regents exceeds the spending amount approved by the State Legislature in the biennial budget in one or more of the separate and specific Division appropriations, the budget must be submitted to the State Department of Administration (DOA) and the Legislature's Joint Committee on Finance (JFC) for review, approval or modification.

**B. Item No.4 Revenue**

With regard to outside sources of revenue (Foundation/Booster Clubs/Other), there are two processes that are followed. If the funds are included in the University budgeting process, they are handled as discussed above and shown as Fund 533 Gifts and Grants. If the items are handled outside the University budgeting process then, as outlined in the Booster Club Guidelines displayed in Attachments 14 and 15, the process is as follows:

In order for an item to be expended on behalf of the Intercollegiate Athletic program, the outside source must submit a request which is reviewed by an

Associate Athletic Director. If approved, the Associate Athletic Director signs the request and authorizes payment.

6. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. Provide this information on a sport-by-sport basis (if available), and in doing so, make sure that all athletics administrative costs are included. Prepare a separate list for revenues described in Item No. 3 and another for revenues described in Item No. 4.

Budget and actual information for 1991-92, 1992-93 and 1993-94 are provided in Attachment 27.

7. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics, including any methods used to ensure the independent nature of the auditor. Also describe relevant corrective actions planned or implemented from the three most recent external audits.

The selection of an independent auditor is conducted pursuant to State purchasing laws and code and UW System purchasing policies which implement that law and code. It is overseen by state government.

The University used its standard Request for Proposals process in 1986 and again in 1992 to select the independent auditor for the institution's external financial audit for Intercollegiate Athletics. The RFP evaluation team consisted of the Director of the Office of Auxiliary Operations Analysis in the Chancellor's Office, the Internal Audit Director, the Chair of the Athletic Board's Finance Committee, and the Business Manager for the Division of Intercollegiate Athletics. Forty percent of the evaluation was based on price and sixty percent on the proposer's understanding of audit scope, work plan, staffing, and experience. The 1986 process hired Arthur Andersen & Co. for a six-year term. The 1992 process hired Virchow Krause & Co. The audit reports are provided directly to the Athletic Board and the Chancellor.

The Audit Reports and official responses by the Division to the Audits are contained in Attachment 28.

- A. Division of Intercollegiate Athletics Actions taken as a Result of the 1991 - 92 Audit
  1. In response to the recommendation to have a bonded employee handle all fee collections for campus/clinics, the Division has designated current staff to perform this function for each camp/clinic.

2. In response to the recommendation to develop a camp/clinic policy, the Assistant Athletic Director/Budget Manager and the Chair of the Athletic Board Finance Committee have added development of a Camp/Clinic Policy to their Summer 1994 workplan.
  3. In response to the finding that all time sheets be signed, the Division has made it a matter of standard procedure that payrolls not be processed without the signature approval of the appropriate supervisor.
  4. In response to the concern over cash discrepancies in the ticket office, the Division significantly bolstered the competency and control skills of ticket office personnel by hiring trained accountants as Assistant Ticket Manager and Cashier and has assigned another employee trained in accounting the half-time position of reconciling Paciolan receipts with the accounting records.
- B. Division of Intercollegiate Athletics Actions taken as a Result of the 1989 - 90 and 1990 - 91 Audit.
1. In response to the need to update the financial management systems, the Division hired an experienced professional accountant as Assistant Athletic Director/Business Manager and that person has completely redesigned and installed a new chart of accounts and accounting system.
  2. In response to the recommendation to adopt full accrual accounting, the Division initiated the changes necessary to adopt full accrual accounting. Staff limitations and the fact that the Division must also use, as a first priority, the University's cash-based accounting system, precluded complete implementation of accrual accounting. The new system is now nearly complete and this system will be able to produce accrual based financial statements by the end of 1994.
  3. In response to the concern that complimentary tickets for Special Events not be netted against gross special-event revenues, the Budget and Finance Office revised procedures so that all revenues and expenditures are accounted for in gross terms.

Just as important as the outside audits, the new Assistant Athletic Director/Business Manager conducts her own review of the financial systems and condition of the Division. Attachment 28 includes the problems and issues uncovered in her review (some of which overlap with the findings of the external audit but many of which do not) and report the current status (as of 5-5-94) of actions taken or necessary to correct the problems or deal with the issues.

8. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., state funds vs. restricted/foundation funds). Also describe the controls, policies or



**guidelines (if any) the institution has in place in regard to staff expansion and approval of new positions.**

Institutional oversight and approval of all expenditures, except those identified and discussed in question 4, is exactly the same as for all expenditures of all other units at the UW-Madison (and for any state agency or department). The oversight and approval process is governed by State Statute and is applicable to all types and sources of funds budgeted and expended by the Division of Intercollegiate Athletics and the University. The same applies to the filing of positions - existing and new.

The four basic elements are as follows:

1. The Division budget, including all sources of funds and all positions, must be approved by the Athletic Board, the UW-Madison, the UW System Board of Regents, the Governor and the Legislature.
2. This approval process applies to each separate source of funds. In other words, all of the above approve not only the total budget, expenditures and positions for the Division, but the budget, expenditures and position level for program revenue, state tax support, and gifts/donations.
3. The budget and position level, as approved in elements 1 and 2 cannot be increased without the prior approval of the Athletic Board, UW-Madison Chancellor, the Board of Regents, the Governor and the Legislature.
4. Any shift in expenditures between budget lines of more than 0.2 percent and any change in title or pay range of existing or previously approved new positions requires at least the prior approval of the UW-Madison Chancellor and the UW System. Certain situations require prior Board of Regents and/or legislative approval. This requirement is also the same as applies to all other units on the UW-Madison campus.

**9. Describe the institutional procedures that are in place to address any deficit in the Intercollegiate Athletics budget incurred during any fiscal year(s).**

Two sections of the Wisconsin State Statutes (s. 20.903(2) and s.16.513) address deficits in program revenue appropriations, such as those assigned to the UW-Madison Division of Intercollegiate Athletics. The statutes require that when revenues are insufficient to cover projected expenditures, the University, or any state agency, must develop a plan to assure that the deficit will be eliminated.

The most recent application of this policy to the Division involved an approximate \$200,000 deficit in a specific appropriation during fiscal year 1992 - 93. The University submitted a plan to eliminate the deficit during 1992 - 93, and that plan was successfully implemented.

Separate and distinct from those statutory provisions, in 1989 the University developed a five-year plan to address a major accumulated deficit in the Division consolidated accounts. The plan, which was adopted by the Board of Regents and the Legislature, involved a combination of measures:

1. Refinancing debt on athletic facilities through state bonds
2. Diversifying and enhancing revenues through development of new sources of revenue and increasing attendance at sporting events
3. Increasing state support of athletic facility maintenance
4. Establishment of a temporary \$10 per semester student fee to support non-income sports
5. Reduction and control of Division expenditures in a variety of areas

In addition, the Governor and State Legislature required that a portion of the general parking fees paid by faculty and staff be allocated to the Division. The deficit was successfully eliminated by implementing the points identified in the plan.

10. **Describe institutional policies and any state laws applicable to individuals, including athletics department staff members, who may enjoy economic gain as a result of university affiliation or the use of institutional facilities (e.g., faculty involved in product research and development, coaches involved in sports campus or shoe-contract endorsements). Indicate whether, and if so, how, the institution has addressed issues related to conflict of interest, property rights, procurement regulations, and consistency of Athletics Department staff compensation with the various guidelines and regulations that govern compensation of other university personnel.**

A. Policies

State statute and University policies clearly cover situations where public employees might stand to gain personally from their position or from the use of state property/facilities or where conflicts of interest exist between personal gain and public responsibility. These statutes and policies are detailed below and in Attachment 29, along with the appropriate reporting forms. All statutes and policies share several common features.

1. Public employees must be held to a high standard of ethics to minimize conflicts of interest between private gain and public responsibilities and to strengthen the confidence the citizens of the State have in public employees
2. Outside activities are permitted as long as they do not create a conflict of interest between private gain and public responsibility providing the nature of the activity and the remuneration are reported
3. Use of public facilities for personal gain is prohibited and use of University logos are subject to licensing fees
4. All activities must be reported annually to the appropriate authority and the source of all economic gains in excess of \$5,000 must be identified

The state statute and University policies germane to these issues are as follows:

1. Wisconsin State Statutes, Chapter 19, especially subchapter III "Code of Ethics of Public Officials and Employees"
2. Wisconsin State Statutes, Section 946.12, "Misconduct in Public Office"
3. Wisconsin Administrative Code, Chapter UWS 8, "Unclassified Staff Code of Ethics"
4. Wisconsin Administrative Code, Chapter ER-Pers 24 "Code of Ethics"
5. UW– Madison Faculty Policies and Procedures, "Faculty Rights and Responsibilities"
6. UW– Madison Academic Staff Policy on Outside Activities
7. UW– Madison Division of Intercollegiate Athletics, "Policy on Outside Activity and Interests, Outside Athletically Related Income and Benefits, Employment Perquisites and Benefits and Use of the University's Name and Logo"

B. Conflicts of Interest Issues

As in any other organization, actual or perceived conflicts of interest can and do arise. They arise whenever an employee has outside interests or affiliations that might overlap or intersect with his or her Division responsibilities. The approach to resolving an actual conflict, the appearance of a conflict, or even a potential conflict is as follows

1. report the conflict or potential conflict to the appropriate administrator
2. gather all the relevant facts and information pertaining to the conflict
3. eliminate the actual conflict or the public perception of the conflict by advising the employee not to engage in the activity that causes the conflict, or if that is impossible, by reassigning the employee or contracts so as to eliminate the conflict.

C. Procurement Issues

For the most part, the Division follows the same procedures as any other unit on campus for procurement of goods and services. This means that all expenditures over \$500 must be put out to bid. (Effective July 1, 1994 this limit has been increased to \$1,500.) State statute then requires the University's purchasing department to award contracts to the lowest responsible bidder. This procedure minimizes conflict of interest for expenditures made pursuant to this process. Some expenditures made on behalf of the Division are not subject to the state-mandated bidding process. One example is golf course expenditures. While all greens and grounds expenditures go through normal bidding channels, clubhouse expenditures (e.g., for golf balls, clubs, sweaters, etc.) are made by the course management company, RMA. The management company itself was chosen through the normal channels and procurement policies of the campus. Another exception is certain booster expenditures. On occasion, booster clubs make direct expenditures on behalf of athletics or provide indirect benefits through gifts-in-kind. While these expenditures by

booster clubs are not subjected to normal state procurement procedures, all expenditures and gifts-in-kind are reported to the Division, as described in the response to question 11 and in Attachment 30, and must be approved by the Division before they are accepted. The total amount of these expenditures is less than 2 percent of the Division budget.

D. Compensation Issues

Division personnel must abide by the same rules and regulations that apply to any other campus employee. All job titles are campus titles and all job changes or hires are reviewed by the campus personnel office. In addition, all salaries above \$75,000 must be approved by the Board of Regents and are subject to further review by the State of Wisconsin Department of Employee Relations.

11. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA rules.

The UW-Madison is committed to NCAA compliance and to the institutional control, and fiscal integrity, of its Intercollegiate Athletic Program. This commitment manifests itself not only in the genuine interest in athletics shown at all levels of University structure and governance but more importantly in the philosophies, policies and operating procedures adopted at every level of University structure from campus administration to the Division of Intercollegiate Athletics itself.

A. Principles/Philosophies

1. By virtue of its membership in the Big Ten Conference, the University has adopted the following Big Ten Conference Principles which are contained in "Big Ten Conference Statement of Guiding Principles":

*Institutional Responsibility*

*Principle 4:*

*The Big Ten Conference recognizes the imperative of institutional control over intercollegiate athletic programs.*

- Guidelines:
- A. *Each Conference member institution will self-report any violations and will establish a program of compliance which consists of education, monitoring and investigating violations. The compliance program will inform its athletic personnel and student-athletes of Conference and NCAA legislation and will emphasize the academic principles and priorities of the Big Ten Conference.*

- B. *Each member institution will provide appropriate administrative support to a staff member or members who may be assigned compliance responsibilities.*

### ***Presidential Authority and Faculty Control***

#### ***Principle 5:***

*The governance of the Big Ten Conference depends upon the concept of presidential or chancellorian authority. The principle of faculty control of the joint Group shall be effectuated by authority delegated by the Council of Presidents. Further, member institutions should select Faculty Representatives for a significant number of years, so as to achieve continuity in the carrying forth of Conference academic principles and priorities and to permit the development of experienced faculty athletic leaders for both the Conference and the NCAA.*

*While recognizing that ultimate authority rests with the Council of Presidents, the faculty, through the following delegated authority, shall perform the following leadership functions:*

- Guidelines:*
- A. *The faculty shall exercise oversight within the Joint Group over all actions properly delegated to the Directors of Athletics, Women's Athletics Administrators and Joint Group, and may exercise veto power on those actions.*
  - B. *The faculty hold primary responsibility in the areas of academic, student life, and equity issues.*
  - C. *Faculty hold a continuing and historic leadership responsibility within administration of Joint Group activities.*
2. The Athletic Board, which represents the faculty of the University in all matters relating to Intercollegiate Athletics, adopted a set of guiding principles in September 1991 for Division operations. The Board monitors every aspect of Division operations to ensure the Principles are adhered to.

Two of the most relevant principles are stated as follows:

The programs of the Division must be financially responsible. Individual program goals should be established, communicated and reviewed on a regular basis. Expenditures are justified on the basis of demonstrably advancing the mission and goals of the Division.

.....  
The Division must comply with all of the regulations to which it is

subjected. The Division, by action and commitment, should strive to be a model program for college athletics.

3. The Athletic Board adopted five goals for the Division on December 11, 1992:
  - a. Academic Achievement
  - b. Competitive Success
  - c. Effective Financial Management
  - d. Compliance with NCAA Rules
  - e. Equity

Each year all five goals are reviewed by relevant Athletic Board committees to determine progress on each front and new objectives are set up for the next year. Progress toward achieving these goals is considered by the Athletic Board before the Annual Budget is approved.

4. The Division adopted a "Compliance Philosophy" at the time the full-time Compliance Coordinator position was established. The philosophy, which is included in the Division's Compliance manual entitled "Guide to NCAA Compliance" reads:

It is the primary goal of the Compliance Coordinator to support athletic department personnel in administering compliance strategies within the frame of NCAA and Big Ten legislation. Everyone within the Athletic Department is working hard to establish a first class program. The existence of a compliance program should assist all staff members in those efforts. This assistance is primarily directed towards four avenues: First, through NCAA, Big Ten legislation education. Monthly educational sessions are held to educate University personnel on the application of NCAA, Big Ten legislation; Secondly, to provide quick and accurate responses to requests for rule interpretations; the third avenue is to assist in achieving timely and equitable resolutions to allegations of possible rules violations against the UW-Madison and its personnel; and finally, to develop strategies for dealing with the problems of the student-athletes' personal, legal or economical within compliance of NCAA Rules.

#### B. Policies

1. UW-Madison Faculty Policies and Procedures establish an Athletic Board to represent the faculty and oversee operations of the Division of Intercollegiate Athletics. (Attachment 12)  
Functions 8 through 12 clearly define the Board's role in monitoring Athletic fiscal operations and ensuring those operations comply with NCAA regulation.

2. The Division of Intercollegiate Athletics has established a policy, (included in Attachment 15) consistent with State, University and NCAA regulations, concerning Outside Activities and Interest, Athletically Related Income and Benefits, Employment Prerequisites and Benefits and Use of University name and logos. This policy is aimed at eliminating conflicts of interest and ensuring that all expenditures on behalf of or related to Athletics is known by Administrators and approved.

C. Standard Operating Procedures/Guidelines

Operating procedures and guidelines are in place to help assure that all Division expenditures are consistent with State Statute, NCAA Regulation and the philosophy/goals of Intercollegiate Athletics described above.

1. The Athletic Board has established procedural guidelines regarding the establishment and operation of booster organizations. These guidelines are listed in Attachment 15. The guidelines which are being revised and updated, speak to many issues including compliance with Federal Tax Code and State Statute. More important, they speak to NCAA compliance, including a mandatory outside audit of Booster operations, and to institutional control of Booster expenditures through prior approval of expenditures made by Boosters on behalf of Intercollegiate Athletics.

The Division of Intercollegiate Athletics itself has established its own guidelines for Booster Organizations (see Attachment 15). These guidelines mandate, among other things, prior approval by the Athletic Director or Administrative Officer of any expenditures on behalf of Intercollegiate Athletics.

In addition to the above, the University has launched two new initiatives to ensure that booster clubs and the Division are complying with NCAA Regulations. The first is that the Finance Committee of the Board is inviting one booster club each month to its meeting to a) allow the club to describe its mission and operations; b) stress the importance of institutional control and compliance; and c) stress how booster clubs and the Division/University must work with one another to guarantee the integrity of the Athletic Program and its long-run financial soundness. The other initiative is to establish an educational session for booster organizations. All booster Clubs, and head coaches in sports for which booster clubs exist, will have to attend an educational session covering, among other things, permissible financial support of athletic programs. Attendance will be a prerequisite for a club to be officially recognized as a booster organization.

2. As a matter of standard operating procedure, the fiscal operations of Intercollegiate Athletics are monitored as follows:
  - a. Each month, the Finance Committee of the Athletic Board reviews the year-to-date budget in detail by sport and activity and discusses all

significant budget variances. Variances in excess of \$50,000 require prior approval of the Finance Committee. All significant variances are reported to the entire Athletic Board.

- b. Each month, the Finance Committee reviews transfers made to booster clubs from Foundation Accounts and payments made on behalf of the Division that go through UW Foundation accounts. The Committee also reviews contributions to Foundation accounts and reports its findings to the entire board.
- c. Each year the Finance Committee reviews the proposed budget for the next fiscal year. It is reviewed in great detail with considerable attention paid to compliance and progress toward achieving the five goals set by the Athletic Board (see Principles/Philosophies above) for the Division.
- d. Each year the University contracts with an outside accounting firm to audit the financial operations of the Division. Audits focus on compliance with state and NCAA laws and regulations as well as on control issues and adherence to generally accepted accounting practices.

#### **Evaluation and Plan for Improvement**

1. Given the responses above, evaluate whether the activities of the athletics program are in substantial conformity with each of the operating principles set forth in this section. The institution's evaluation should address both of the specific operating principles separately.
  - A. The first operating principle states that financial controls must be in place to ensure responsible financial management of Division of Intercollegiate Athletics budgets and compliance with all pertinent statutes and regulations including those issued by the NCAA.
    1. The first area of financial control is prudent management and fiscal practice. There is a little doubt that the Division is more prudently managed today and that its financial management practices are more complete, informative and up-to-date than at any time in the recent past. Four facts support this view. First, a new management team is in place that has better financial skills and better business skills than in the past. Second, the entire Division has been restructured. The byproduct of this restructuring is that competent individuals head different areas that are critical to the financial integrity of the Division. Third, the Assistant Athletic Director/Business Manager has completely revised the accounting system and chart of accounts which has dramatically increased the amount, and accuracy, of financial information available in the Department. Finally, the Division has eliminated a \$2.1 million deficit and is well on the way to



building a meaningful surplus, which attests to the prudent financial management and practices now in place in the Division.

2. The second area of fiscal control is full and stable opportunities for student-athletes. While it is true that the Division dropped five sports three years ago in an effort to control costs, the Division still fields teams in 11 men's sports and 9 women's sports. Moreover, the Division has added women's softball and women's lightweight crew in 1994, to begin competition in 1995-96 and will add women's lacrosse (or an alternative) in 1995, to begin competition in 1996-97. This is clearly a very full menu of opportunities for student-athletes and the addition of the three new sports highlights the commitment to equal opportunity while at the same time maintaining financial integrity and soundness.
3. The third area of fiscal control is documentation, review, oversight and approval of expenditures. As described above, accounting systems are now in place that allow both Division administration and the Athletic Board to review most expenditures made on behalf of the Division. In addition, the budget and expenditure process described in the answers to the review questions clearly requires prior approval and documentation of all expenditures made directly by the Division through program revenue and state funds, and of all expenditures made from booster funds that are included in the budget. Unbudgeted expenditures made through booster funds are covered by Booster Club Policy and also require proper documentation and approval before expenditures are made on behalf of athletics by booster clubs out of their own checking accounts. Any expenditures boosters make out of Foundation accounts require documentation and approval by the Division and are all reported to the Finance Committee of the Athletic Board for review.
4. The final aspects of financial control are that the budget be approved by the institution's chief executive officer and that an external audit be conducted by an independent auditor chosen outside the Division of Intercollegiate Athletics. Both of these controls are in place. Not only is the Division budget approved by the Chancellor of the University, it is also approved by the Board of Regents of the UW System, the State Legislature and Governor. Outside audits are performed annually by an independent auditing firm chosen through normal state channels by the University, not the Division.

- B. The second operating principle states that policies and procedures must be in place to ensure that all expenditures for athletics are handled in accordance with NCAA rules. Policies are indeed in place covering faculty and institutional control of athletics, conflicts of interest, outside activities and income, and booster club activities. All policies are written to be consistent with, support, and reinforce NCAA rules. Operating procedures have been set up to require prior approval of all expenditures made by the Division and

boosters by administrators in the Division or by the Athletic Board. Procedures are also in place to audit most of the expenditures made on behalf of the Division. These involve Finance Committee of the Athletic Board review of expenditures, including all booster club expenditures that go through Foundation accounts, on a monthly basis.

2. **Given the responses above, evaluate whether the activities of the athletics program are consistent with the mission and purpose of the institution.**

The financial activities of the Division are fully consistent with the mission and purpose of the institution.

3. **Where the institution concludes in its evaluation that it does not conform to one or more operating principles, describe the institution's specific plan for improvement, including: (a) the intended end result, (b) the individuals or offices that will be responsible for taking specific actions and (c) the specific timetable for completing the work. Where the institution concludes that these improvements may affect existing programs or activities in other areas, describe how the institution intends to maintain the current level of quality of those programs.**

While we believe strongly that the athletic program at UW-Madison conforms to the operating principles of the NCAA and that appropriate policies and procedures are in place, there is one area that requires attention. This is the area of booster expenditures from boosters' own, private accounts at banks. While policies are in place requiring notification, approval and documentation of all expenditures made on behalf of Intercollegiate Athletics, the audit trail necessary to make sure all policies are complied with does not exist for these private accounts. It does exist for booster expenditures made from UW Foundation accounts. To rectify this situation a new program for booster education, compliance, and sanctioning has been initiated.

The idea behind the program is that all booster clubs must satisfy at least two conditions before they receive official booster club status from the Division. The first condition is that the booster club, along with the head coach in the sport the club represents, must attend an educational session that will cover all pertinent NCAA, Division, Athletic Board, University and State regulations or policies related to the conduct of Intercollegiate Athletics. The agenda for the session is displayed in Attachment 31. This mandatory session will eliminate any doubt as to which activities are appropriate and which are not, and will eliminate any excuse that "we did not know. . . ." The second condition, which has not been finalized at this time, will be that some oversight group, like the Athletic Board's Finance or Compliance Committee, will be provided with copies and numbers of all checks written from

private booster accounts to review the nature of the expenditure and check for compliance.

The educational program was held September 13, 1994. It was a joint program put on by the Vice Chancellor's Office of Legal Affairs, the Compliance Office, the Athletic Board and the Division of Intercollegiate Athletics. The Vice Chancellor for Legal Affairs Office and the Finance Committee of the Athletic Board took the lead in developing this program.

## COMMITMENT TO EQUITY

1. Describe any recent major changes in policy and organization that affect the institution's current efforts in matters related to the operation principles listed above regarding gender equity, minority opportunity and student-athlete welfare, focusing on those implemented during the last three years. Explain how the institution is organized to further these efforts for both staff and students and provide evidence that matters concerning gender equity, minority issues and student-athlete welfare are monitored, evaluated, and addressed on a continuing basis.

The UW-Madison is committed to providing affirmative action and equal opportunities in all of its services and activities and to all current and potential students and employees. The Division of Intercollegiate Athletics shares that commitment.

### A. University Affirmative Action Program

The University has articulated its goals and strategies to achieve equity through a comprehensive Affirmative Action Program. This program identifies a set of specific and results oriented procedures to ensure equal employment opportunities, gender equity, and accessibility for those with disabilities. This program includes analyses of areas within which the University is deficient in the utilization of minority groups and women, and goals and timetables to correct these deficiencies.

The Division of Intercollegiate Athletics is included in the general University Plan. Like other campus units, the Division must comply with the policies and procedures of the Plan. In addition, the Division has included affirmative action and equal opportunity objectives in its own Strategic Plan.

The University Office of Affirmative Action and Compliance will monitor the Division and will assist it in its efforts to provide rich and meaningful opportunities to a diverse staff and student-athlete body. Attachment 34 is a detailed description of the University's Affirmative Action Program and other University policies and programs that are relevant to the Division's commitment to equity.

### B. Big Ten Conference Goals

The Big Ten Conference has also established goals and plans that reinforce the Division's commitment. The Conference has challenged each of its members to reach a ratio of at least 40 percent female and no more than 60 percent male student-athletes by 1996. In addition, the Big Ten has adopted the goals and recommendations of its Advisory Commission, which in part call for an annual 20 percent rate for hiring minorities into coaching and administrative staff positions, for increasing the number of minority student-athletes in non-revenue sports, and the number of minority participants in female sports (Attachment 33).

C. Office for Civil Rights Complaint

Although the UW-Madison has been a conference and national leader in providing increased opportunities for women to participate in intercollegiate athletics, a complaint was filed against the University with the Office for Civil Rights, United States Department of Education. After investigation, the Office for Civil Rights found the University in compliance with eleven of thirteen of the Title IX criteria. The report did, however, note that there were fewer opportunities available for female student-athletes than for men. A major step taken by the University to address this gap was the Athletic Board decision in April, 1994 to add two more sports for women—softball, to begin competition in 1995-96, and another sport, tentatively lacrosse, to begin in 1996-97. These actions would achieve a ratio of 43 percent female to 57 percent male student-athletes. On September 9, 1994, the Board took action to add women's lightweight crew, to begin competition in 1995-95, in order to provide a ratio of athletic opportunities for women and for men that is substantially similar to their respective proportions in the student body generally by 1996-97. Attachment 32 describes the interaction between the University and the Office for Civil Rights over this complaint.

D. Respect for American Indians and Their Culture

During the 1993-94 academic year, the Athletic Board developed and adopted a set of policies designed to ensure respect for American Indians and their culture. The Board discourages any use of Indian mascots, logos and nicknames at our sports events and in our facilities (The First Amendment limits the University as a public institution from prohibiting use). In addition, the Division will not schedule competition with teams who have Indian nicknames, mascots, chants, cheers, songs or logos unless the competition involves league or post-season play. The Division opposes the sale of merchandise with Indian nicknames or logos in its facilities or at athletic events.

E. Student-Athlete Welfare

The University and the Division consider the welfare of student-athletes integral to their academic and athletic development. Thus, this subject is addressed in detail in the Academic Integrity section of the self-study. The major changes in the past three years relate to the 1992-93 study of the Division's Academic Affairs Office, which recommended a clearer focus for the Office and more effective use of campus resources, the publication of a student-athlete handbook beginning in 1993, and the establishment of the SUPPORT program in 1993-94.

The evaluation and monitoring of the Academic Affairs Office is conducted by the Athletic Director, the Academic Affairs Committee of the Athletic Board, and the Student-Athlete Advisory Committee. The Dean of Students and the Chancellor's Office evaluates and monitors other providers of student support services. All evaluations consider whether student-athletes are each treated fairly. The University Office of Affirmative Action and Compliance has special responsibility for

maintaining a University environment free of sexual and racial harassment. The Dean of Students has been especially active in fostering a community hospitable to everyone in a diverse student body.

- 1a. For the three most recent academic years, provide the gender and racial or ethnic composition for full-time senior administrative athletics department staff members; other full- and part-time professional; full- and part-time head coaches; full- and part-time assistant coaches; faculty-based athletics board or committee members.

Attachment 35 provides the requested data on the gender and ethnic composition of the administrative, coaching, and support staff and of the Athletic Board. The general pattern is that about two-thirds of the staff have been men and one-third women, except that this pattern reverses itself among part-time staff over the three-year period. Ethnic diversity remains low. The Athletic Board has more gender balance and racial diversity than the Division staff.

- 1b. For the three most recent academic years, provide the gender and racial or ethnic composition for student-athletes who received athletics aid and for students generally.

The gender and racial backgrounds of students generally and student-athletes on athletic aid are presented in Attachment 36. The representation of African Americans is considerably higher among athletes than among students generally. Women, on the other hand, have higher representation in the general student body than among student-athletes.

- 1c. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form.

Attachment 37 presents a racial breakdown for each sport over the three-year period. Except for football, the number of minority student-athletes has gone down in the various sports. The total number of student-athletes has also gone down, although much of this is because five sports were dropped.

- 1d. For the three most recent academic years, provide the same data as requested in the 1990-91 NCAA gender-equity study. Comment on any trends or significant changes.

The data on gender equity are presented in Attachments 38, 39 and 40. The level of expenditures on women's sports has gone up 21.9 percent from 1991 to 1994, while the expenditures for men's sports have declined 6.1 percent. The continued pattern of spending is that almost three times as much money is spent on men's sports than on women's. Some of the sports played by men (especially football and hockey) are relatively expensive, regardless of the gender of the athletes. Also, as reported above, there had been almost twice as many male athletes as female.

There are no gender-based differences in practice or game schedules for sports, the distribution of scholarships, the expenditures for scholarships and recruiting, or coaches salaries. Expenditures for recruiting have increased for women's sports and decreased for men's sports over the three-year period, but the decrease for men's sports is driven primarily by NCAA limits on football scholarships and the overall increase in expenses for women's sports is due to one sport, swimming. The latter reflects an aggressive strategy of recruitment by a new coach. The Division has been encouraging coaches of women's sports to evaluate their recruitment policies and have provided the financial support needed to expand recruitment bases and assemble nationally competitive teams.

The difference in salaries is explained largely by market forces. The patterns depend more on the sport and the experience of the coach than on whether the team is composed of men or women. In fact, in 1993-94, the coaches of women's soccer and women's tennis had a slightly higher salary than their counterparts with men's teams.

Throughout the three-year period, there have been only three women head coaches. Six of the women's sports have men as coaches. On the other hand, women are predominant among assistant, volunteer and restricted earnings coaches. In 1993-94, only 2 of the 13 in these categories were men. These patterns suggest that although there are few women among the head coaches, opportunities are provided for the development of women coaches. Indeed, in the past few years several women who were assistant coaches have gone on to secure head coaching positions.

Not reflected in the data is the hiring of a woman in September, 1994 to be head coach of the new women's softball program. In addition, since the end of the 1993-94 academic year, five women (and three men) have been hired as assistant coaches, and of these eight hires three are African-American. Also, of eleven staff hires since June, 1994, five are female and four are African-American.

2. Describe the institution's educational enhancement programs (e.g., education regarding substance abuse, AIDS and nutrition education; career guidance and counseling; personal counseling; academic skills enhancement) available

to student-athletes. Describe practices/procedures in place to assure student-athletes' access to these programs.

A discussion of educational enhancement programs is included in the Academic Integrity section. Like other students, student-athletes have access to a wide variety of health and educational programs offered by University agencies. These include educational and treatment programs of the University Health Services, the Campus Assistance Center, the Writing Laboratory, the School of Business Learning Center, and the various dormitories and other living units. In addition, student-athletes have the SUPPORT program in the Division of Intercollegiate Athletics, which provides information, counseling and assistance on personal issues.

All students are informed of campus resources and invited to use the services whenever necessary. Information is provided through the Summer Orientation and Advanced Registration Program, Dean of Students, college and departmental advisors, and through campus living quarters. In addition, student-athletes are assisted by their coaches and through the staff in the Division's Academic Affairs Office. The Student-Athlete Handbook (Attachment 20) includes information about University and Division resources and programs.

3. Describe the institution's process for conducting the student-athlete exit interviews required by NCAA Constitution 6.3.2 and the means by which this information is used to better the student-athlete experience. Describe other avenues available to student-athletes to provide input.

A. Interviews

One-on-one exit interviews are held with a sampling of student-athletes at the end of their final seasons of athletic eligibility. The interviews are conducted by the Associate Athletic Director responsible for an individual's particular sport and are used as part of a coach's job performance evaluation by the administrator. The student-athlete exit interview is used as a tool to discover the overall experience had by the student-athlete while at the UW. During the first part of the interview the student-athlete is asked to complete a questionnaire regarding the individual's general experiences; then the administrator talks through the individual's answers and discusses any additional comments or concerns with the student-athlete (Attachment 41).

In addition to exit interviews, student-athletes complete head coach evaluation questionnaires after the completion of their first and third years of competition. The areas covered on the evaluation include academics, athletics, and player-coach relationships. Like the exit interviews, these evaluations are used as part of the coach's overall evaluation by the Associate Athletic Director. They are also used as a tool to find areas of concern to the student-athletes so that needed improvements can



be made to enhance their athletic and academic experiences while at the University (Attachment 42).

B. Student-Athlete Advisory Committee

The Student Athlete Advisory Committee (SAAC) serves many purposes. SAAC provides an outlet for student-athletes to discuss various issues specific to dealing with the rigors of student-athlete life, as well as a place to meet with peers and make friends. It also serves as a mentor program. It is run primarily by the student-athletes to serve the purposes of the student-athlete.

SAAC is made up of student representatives from each sport. Of this group of student-athletes, two will serve as liaisons with the Athletic Board. Two student-athletes, one man and one woman, serve as members of the Athletic Board. The Chair of the Athletic Board appoints these members after consultation with coaches and with SACC.

The student-athlete exit interviews, head coach evaluations, Student Athlete Advisory Committee, and student-athlete board representation provide avenues for student-athletes to give feedback to administrators and Athletic Board members about their areas of concern. These programs and policies assist the UW in its continual effort to improve the student-athlete experience.

On a broader scope, the Big Ten Conference has established a Big Ten Student Athlete Advisory Committee. The membership of SAAC consists of representatives from each of the eleven institutions that compose the Big Ten Conference.

4. Describe current policy, organization and resource allocation related to student-athlete or athletic support services (e.g., sport information, marketing and promotions, sports medicine, strength and conditioning, training-room services, sports equipment, travel and per diem, facilities) for both male and female student-athletes.

A. Sport information, Marketing and Promotion

A single unit within the Division of Intercollegiate Athletics is responsible for the information, marketing and promotion of all sports. Within that unit, one group specializes in sports information for women's sports and one for men's sports. Men's Sports Information, which must handle the heavy media demands of football, hockey and men's basketball, has just one more (4 instead of 3) staff person than its counterpart for women's sports. This reflects a commitment to be aggressive in promoting women's athletic programs.

B. Sports Medicine

Sports medicine and training room services are provided at one site for all athletes, with practice sites serving as satellite locations. Graduate Assistants and student-trainers are assigned to sports by the Head Athletic Trainer. Full-time trainers are assigned to football, men's basketball, and men's ice hockey. Other sports are assigned graduate assistants or student-trainers who report daily to full time trainers.

C. Equipment

All coaches rely on the Equipment Manager of the Division for team equipment and uniform purchases. The Division provides equipment without regard for whether the sport is for women or for men. There are two main equipment rooms in the football stadium and satellite equipment rooms at practice sites.

D. Per Diem

Coaches submit their team travel budgets in conjunction with their overall sport budgets which are reviewed by the administration. Coaches decide how meals are coordinated during team travel. For example, one coach may handle all of the money and the team will eat all meals together. Another coach may give a per diem to the individual athletes and let them eat on their own. Either way, there is a maximum amount allowed for breakfast, lunch and dinner expenses as determined by the University. This maximum amount is the same for all athletes.

E. Facilities

Facilities are shared equally between the men's and women's athletic teams. In certain facilities (e.g., the Field House) there are times of the year when more than one team needs access for practice/games. In such cases the coaches and Associate Athletic Directors discuss the situation and come to solutions which are reasonable for everyone involved, regardless of gender. In other facilities that are specific to a sport (e.g., indoor football facility), that particular sport has priority during their season, then other sports have access.

### Evaluation and Plan for Improvement

1. Given the responses above, evaluate whether the activities of the athletics program are in substantial conformity with each of the operating principles set forth in this section. The institution's evaluation should address each of the three specific operating principles separately.

The UW-Madison is in substantial conformity with each of the operating principles:

- A. The University and the Division of Intercollegiate Athletics are firmly and seriously committed to gender equity. There has been a pattern of providing increased opportunities for women student-athletes and of allocating resources to women's sports fairly. A commitment has been made to continue this pattern and to add three additional sports for women.

Based on its investigation, the Office for Civil Rights concluded that the University satisfied almost all of its criteria for achieving gender equity. The implementation of plans to add women's sports, backed by support for scholarships and for recruitment to field nationally competitive teams, will bring the proportion of women in intercollegiate athletics to substantially the same level as their proportion in the undergraduate student body by 1996-97. The University will then have met all of OCR's standards.

- B. The University and the Division of Intercollegiate Athletics are firmly and seriously committed to providing equitable opportunities for minority students and institutional personnel. The representation of minority students in intercollegiate athletics is higher than for the student body as a whole.
- C. The University and the Division of Intercollegiate Athletics are firmly and seriously committed to the welfare and the fair treatment of student-athletes. Resources and programs are available both on campus generally and in the Division specifically. Special efforts are made to ensure that student-athletes are aware of and take advantage of these resources. The staff of the Division's Academic Affairs Office has been increased and construction for a new learning facility for student-athletes is scheduled for 1995.

2. **Given the responses above, evaluate whether the activities of the athletics program are consistent with the mission and purpose of the institution.**

The activities of the athletics program are consistent with the mission and purpose of the UW-Madison. The Division is, like all other units of the University, included in the University's general programs for student welfare and in the Affirmative Action Plan. The Office of Affirmative Action and Compliance for the University monitors the activities of the Division and provides any assistance that is needed.

The UW-Madison has been a leader within the Big Ten Conference in establishing goals for gender equity, ethnic diversity, and respect for ethnic cultures. This activity reflects the seriousness with which the University and the Division consider the commitment to equity.

3. Where the institution concludes it does not conform to one or more operating principles, describe the institution's specific plan for improvement, including: (a) the intended end result, (b) the individuals or offices that will be responsible for taking specific actions and (c) the specific timetable for completing the work. Where the institution concludes that these improvements may affect existing programs or activities in other areas, describe how the institution intends to maintain the current level of quality of those programs.

Although the Division is in substantial conformity with the operating principles, it is important to note that the Division—and the University—are still not satisfied. Equity goals and principles are integrated into the operations of the Division. Treatment of staff and student-athletes is fair. Nonetheless, there needs to be further diversification. Specifically, the Steering Committee notes the need for more women head coaches, for more minorities at all ranks of the coaching and administrative staff, and for more minorities in the varsity sports.

The commitment to diversity throughout the athletics program is being translated into action in two major ways. One is that the annual performance evaluations of administrators and coaches will include a review of their efforts to achieve more gender and racial diversity. The other is that the Planning and Equity Committee of the Athletic Board has been charged with developing a detailed and comprehensive affirmative action program to incorporate into the Division's daily operations and into its Strategic Plan. This is a major item on the 1994-95 agenda of the Committee and the intent is to report to the Board no later than April 1995.

## Table of Attachments

1. Steering Committee and Task Force Members
2. Plan for Completion of Self-Study for NCAA Certification
3. Mission Statement, University of Wisconsin System
4. Mission Statement, UW-Madison
5. Mission Statement, Division of Intercollegiate Athletics, UW-Madison
6. Organizational Chart, University of Wisconsin System
7. Organizational Chart, UW-Madison
8. Organizational Chart, Division of Intercollegiate Athletics, UW-Madison
9. Members of Athletic Board, 1994-95
10. Conference Memberships, Big Ten Conference
11. Conference Memberships, Western Collegiate Hockey Association
12. UW Athletic Board Policies and Procedures, as revised and approved March 1, 1993
13. Recommendations of the Commission on Faculty Governance, as revised and approved November 1, 1993
14. Guidelines for Booster Club Financial Relations with the Division of Intercollegiate Athletics and the UW Foundation, August 1988
15. Athletic Board Guidelines for Officially Recognized Athletic Booster Organizations, approved December 6, 1985 and amended October 14, 1988
16. Athletic Booster Organizations
17. UW-Madison Rules Interpretation Procedures
18. UW-Madison 1994-95 Guide to NCAA Compliance
19. Report from the Ad Hoc Committee to Review the Academic and Student Affairs Office in the UW-Madison Division of Intercollegiate Athletics, February 22, 1993
20. Student-Athlete Handbook
21. Support Program: Freshman Seminar

22. Support Program: Student-Athlete Community Service
23. Admission Policies
24. Admissions Profile Information: Freshman Students Generally
25. Admissions Profile Information: Freshman Student-Athletes on Athletics Aid
26. Special-Admissions Information: Freshman Students Generally and Freshman Student-Athletes on Athletics Aid, by Sports Group
27. Budgeted and Actual Revenues and Expenditures for Fiscal Years 1992-92, 1992-93, 1993-94
28. External NCAA Audit Reports and Athletics Department Responses for 1989-90, 1990-91 and 1991-91 plus External and Internal Management Letters
29. State, University and Athletic Division Policies on Outside Income, Conflicts of Interest, Benefits, Perquisites and Use of Names and Logos
30. Booster Organization Education Session Agenda
31. Financial Charge of the Athletic Board from Faculty Policies and Procedures
32. Summary Description of Title IX Complaint to the Office for Civil Rights
33. Big Ten Advisory Commission Goals and Recommendations
34. UW-Madison Policies and Programs for Affirmative Action and Equal Opportunity
35. Gender and Racial Composition of Athletics Administration and Athletic Board
36. Gender and Racial Composition of Students Generally and Student-Athletes on Aid, 1991-94
37. Racial Composition of Men's and Women's Teams, 1991-94
38. Women's and Men's Sports: Participation Opportunities/Contests/Expenses, 1991-94
39. Women's and Men's Sports: Scholarships and Recruiting, 1991-94
40. Women's and Men's Sports: Scholarships and Recruiting, 1991-94
41. Student-Athletic Exit Interview
42. Head Coach Evaluation