

NCAA Self-Study Report

Division I Athletics Certification University of Wisconsin-Madison

Year 2000

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

Operating Principle 1.1: Mission of the Athletics Program and the Institution

The NCAA Operating Principle for this objective indicates that the institution maintain an intercollegiate athletics program as an integral part of the educational mission of the institution. This requires that the mission and goals of the athletics program relate clearly to those of the institution, support the educational objectives, welfare, and progress of student-athletes, support equitable opportunities for all students and staff, embrace the NCAA principles of sportsmanship and ethics, and are widely circulated among the program's constituents. The institution must also demonstrate that the actual practices of the athletic program are consistent with the mission and goals. Through the following self-study items, the university's arrangements in this regard are described and appraised

OP 1.1; SELF STUDY ITEM 1:

Provide mission statements of the institution and the athletics program.

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, and has a statewide, national, and international mission.

The stated mission of the **University of Wisconsin 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. (revised, 1999)

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. (revised, 1988)

The educational objectives and policies of the UW-Madison, which are derived from the missions of the University and of the System to which it belongs, also 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. (adopted, 1991)

OP 1.1; SELF STUDY ITEM 2:

Explain how the mission of the athletics program relates to that of the institution.

The mission of the athletics program flows directly from the stated mission of the institution. The guiding principles adopted with the athletic 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 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)

OP 1.1; SELF STUDY ITEM 3:

Describe how and to whom the athletics program's mission is circulated.

Both the Mission Statement and the Guiding Principles are used regularly by administrators in the athletic department in planning and budget decisions.

Unfortunately, as is often the case with mission statements, it is not easily found by others outside the department's administration. Therefore, in order to make this a more visible document, the mission statement will, in the future, be given added visibility according to the following suggestions:

- Included in athletic department employee contracts.
- Included in new staff orientation sessions.
- Distributed to all student-athletes at team meetings at the start of each academic year.
- Included in the compliance manual.
- Included in the "Booster Guide", distributed to all season ticket holders and all identified booster group members.
- Included in a prominent location on the Athletic section of the UW website.

OP 1.1; SELF STUDY ITEM 4:

Describe how the athletics program's mission and goals are supported by the actual practices of the athletics program.

To ensure continued attention to the intertwining of intercollegiate athletic program's and the institutional mission, the Athletic Board is directly accountable to the faculty and the campus administration through Faculty Policies and Procedures 6.26. (See *Attachment 1*) Further, the individual Athletic Board committees specifically address the issues of rules compliance, fiscal integrity, academic and student affairs, gender equity (among athletes, coaches, and staff), and equitable opportunities for student-athletes.

The continued academic success of the student-athletes, documented in the self-study section on Academic Integrity, demonstrates that the mission of the institution is clearly supported by both the mission – and the practices – of the Division of Intercollegiate Athletics. The Division is committed, through recruitment policies and academic support services, to establish an environment in which each student-athlete can achieve his or her desired academic success. This commitment is described in the Self-Study descriptions under Academic Integrity Operating Principles 2.1, 2.2, and 2.3

The Division of Intercollegiate Athletics and the Athletic Board have developed a comprehensive gender equity plan which is actively and regularly monitored by the Athletic Board and the campus. This plan, described in detail in the Self-Study under Operating Principle 4.1, has resulted in substantially increased participation by female student-athletes and in significantly expanded resources for our women's sports over the past decade. We are proud of the successes we have had as a result of the mutual commitment we have made to our staff and student-athletes in this area.

Intercollegiate Athletes continues to be one of the major components through which the campus demonstrates success in recruitment and retention of minority students. The Division continues to place a high priority on concerns and issues facing minority athletes, as described in the Self-Study under Operating Principle 4.2. Achieving and maintaining diversity on our staff and on our teams is a primary goal of our program. This emphasis is part of a variety of campus-wide initiatives, also described under OP 4.2.

Throughout our athletic program, we have placed the highest of priorities on sportsmanship and ethical conduct by our coaches, staff, and student-athletes. This is not only an expectation of the NCAA and the Big Ten Conference, but it also our own expectation for individuals who represent our university. Our commitment in this area is described under Self Study Operating Principle 4.4.

Finally, the administration of the Division of Intercollegiate Athletics, together with the Athletic Board, has developed – and is carefully monitoring – a long range strategic plan which has been revised and expanded in 1999. Under this plan, the following are major points of emphasis that drive much of the planning and decision-making in the athletic program:

Academic Achievement

Graduation rates should meet or exceed student body
95% or more of S-A's should be eligible

Competitive Success

Finish in the top half of the conference
Regular post-season or NCAA tournament participation Win championships
Compete for the Sears Director's Cup

Financial Performance

Positive annual margins
Expand reserves
Invest in facilities – new/improved/maintained

Rules Compliance

Maintain institutional control
Avoid violations
Expand education, monitoring, and enforcement

Gender Equity and Diversity

Add participation opportunities for women
Invest in women's sports
Encourage and support diversity in staff and student-athletes

Build Bridges to Campus

Interact more with peer units on campus
Encourage sharing of resources and expertise with campus units
Try to be perceived more as a "part" of the campus community
Join with other units on campus to further the institution's state-wide external relations mission

Improve Working Conditions

Make the athletics program a "better place to work"
Develop programs that permit more interactions with colleagues Help to foster improved working relationships within the Division

A Strategic Planning Task Force was appointed for each of these seven areas. The task forces included athletic administration, coaches, staff, and Athletic Board members. These task forces have been meeting and fine-tuning the strategic plans in each of the seven areas. It has proven to be a healthy and important exercise. It is ongoing.

Operating Principle 1.2: Institutional Control, Presidential Authority and Shared Responsibilities

The NCAA Operating Principle for this objective emphasizes that the institution is responsible for the conduct of the athletics program (defined to include staff and representatives of its athletic interests). Demonstration that such control exists requires that the institution's governing board provide oversight and broad policy control over the athletics program (consistent with its control over other units), that the institutional CEO have ultimate responsibility for the operation and personnel of the athletics program, and that the university's chief constituencies have the opportunity to provide input and to periodically review the athletics program. Through the following self-study items, the university's arrangements in this regard are described and appraised.

OP 1.2: SELF STUDY ITEM 1:

List the decisions in the past three years related to intercollegiate athletics in which the institution's governing board or individual board members have been involved.

The governing board for the University of Wisconsin-Madison is the Board of Regents of the University of Wisconsin System. Given their system-wide responsibility, the contact that the Board of Regents has with the intercollegiate athletics program of any one of the 13 system campuses is generally rather minimal. However, because UW-Madison is the only member of the Big Ten Conference in the System and in the state, and because the budget of its Division of Intercollegiate Athletics is acted upon by the Board of Regents separate from the overall UW-Madison campus budget, the Regents have made a number of decisions which involve or affect UW-Madison's intercollegiate program over the past three years.

The most frequent connection that the Regents have with the UW-Madison Division of Intercollegiate Athletics is through the annual operating and capital budget approval process. The Regents annually review the budget of the Division of Intercollegiate Athletics, separately and individually. They have recently reviewed the Division's Five-Year Financial Plan, published in autumn, 1999, as well as the audit report of the Legislative Audit Bureau and the Division's response in early autumn, 1999. The Regents held multiple sessions regarding the siting, financing, event schedules, and operations of the Kohl Center (our new indoor sports arena)-from its design inception to its completion and full-scale operation. The Regents also reviewed and approved the contracts between the university and Reebok and Coca Cola.

In addition to involvement with the budget, the Regents must also approve any athletics facilities projects such as the Kohl Center and the Goodman Softball Complex. Moreover, the Regents had to approve the start of the planning process for the proposed remodeling of Camp Randall Stadium and any large maintenance projects such as the Camp Randall turf replacement in 1997-98.

The Regents must also approve certain salary and compensation arrangements of members of the Division of Intercollegiate Athletics that will exceed stated range maximums. In the past year, for example, they approved a compensation increase for our head football coach, Barry Alvarez.

Finally, the Regents monitor potential competition with the private sector, such as that which might occur with the operation of our University Ridge Golf Course. Documentation of Board of Regents participation in many of these Intercollegiate Athletics issues is included in

Attachment 2.

OP 1.2: SELF STUDY ITEM 2:

List the decisions related to intercollegiate athletics within the past three years in which the institution's Chief Executive Officer has been significantly involved.

The Chancellor of UW-Madison has been significantly involved in the following intercollegiate athletics issues during the past three years:

- Assist with fund-raising and oversee the completion of construction and the opening of the Kohl Center, the Fetzer Academic Center, and the Goodman Softball Complex
- Reviewing and approving the annual capital and operating budgets, the recently developed Five Year Financial Plan, and any preferential seating plan intended to be implemented
- Approval of faculty and academic staff appointments to the Athletic Board on recommendation of the University Committee and the Academic Staff Executive Committee
- Reviewing the performance of the Athletic Director
- Approving certain organizational changes in the Division
- Approving the restructuring of the head football coach's compensation package
- Approving appropriate outside income opportunities and perquisites for coaches and other Division staff members
- Participating in annual athletics compliance meetings to remind staff, boosters, and others of the importance of compliance and the requirement for institutional control
- Overseeing the institution's self-report of various NCAA infractions, preparation for an Infractions Committee hearing, and subsequent follow-up to meet the requirements imposed by the committee
- Oversight of the development of a Special Account and other mechanisms to better monitor outside perquisites and activities of booster organizations
- Developing institutional responses to a Title IX complaint filed with the U.S. Department of Education's Office for Civil Rights, including the adding of three women's sports and initiation of roster management
- Representing the institution at football bowls and other athletic championship and special events
- Making the UW-Madison a national leader in finding ways to improve the working conditions in factories where intercollegiate athletic apparel is manufactured

OP 1.2: SELF STUDY ITEM 3:

Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In doing so, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board, the faculty representative(s), the director of athletics, and any other campus constituencies (e.g., faculty, students, institutional personnel involved in rules compliance activities) in this process. Please provide the composition of the athletics board (including titles and positions).

There are a number of different processes that are utilized to make major decisions regarding UW-Madison's intercollegiate athletics program, both formal and informal. The most formal and extensive involves the creation and approval of the Division of Intercollegiate Athletics' budget. Other important reviews involve expenditures on capital equipment and facilities and a variety of other issues. These are described below.

Division of Intercollegiate Athletics Annual Operating Budget

The process of creating and approving the budget of the Division of Intercollegiate Athletics begins with a departmental analysis of its current financial situation and the development of a proposed budget of income and expenses by the department's budget and finance office, for review by the athletic director and departmental management team (the director, the associate directors, the chief financial officer, the administrative officer, and the Chancellor's liaison to intercollegiate athletics). After this review is complete, the budget is discussed with the Athletic Board and is reviewed by the Chancellor's budget personnel. From there, it is presented to the Finance Committee of the Athletic Board, then the Athletic Board, the Chancellor, UW System administration, the Regents, and, ultimately, the State Legislature and the Wisconsin Governor. From the state's perspective, the UW-Madison intercollegiate athletics budget consists of separate and distinct appropriations in the state budget. The Joint Finance Committee of the Legislature and the Secretary of the Wisconsin Department of Administration are required to review and approve the budget of the Division of Intercollegiate Athletics in December of each year.

Division of Intercollegiate Athletics Capital Projects

Another formal and extensive decision-making process involves large capital projects. This process tracks fairly closely the budget approval process, described above, in that it begins with informal discussions at the campus and Athletic Board levels. However, in addition to the discussions, reviews, and approvals of the budget process, approvals are also required from the state Department of Administration and its various appropriate subunits, such as the Division of Facilities Development and Building Commission, at various stages of the process. See examples of Board of Regents participation in capital project approval in *Attachment 3*.

Other Policy Issues

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

The Board of Regents of the University of Wisconsin System

The Board of Regents is vested with the authority to manage the entire University of

Wisconsin System (Chapter 36, Wisc. Stats.). This authority is most regularly exercised through delegation to the appropriate offices or individuals on each campus. The Regents, however, in addition to approving the capital and operating budgets for submission to the Governor and the Legislature, reserve to themselves the right to authorize the hiring of any individual whose salary would exceed the maximum of an established salary range and the amount of any salary increase for such individuals and to approve certain institutional contracts. Otherwise, the role of the Regents is generally limited to the receipt of periodic reports on intercollegiate athletics issues and to engage in monitoring to ensure that applicable Regent policies are being followed. This is also outlined in response to Self Study Item 1, above.

The UW-Madison Chancellor

The Chancellor is the Chief Executive Officer of the institution and reports to the UW System President and to the Regents. S/he appoints and is the immediate supervisor of the Athletic Director. The Vice Chancellor for Legal and Executive Affairs is the Chancellor's liaison to athletics, is a member of the athletics management team, and has joint responsibility with the Athletic Director for NCAA and Conference compliance. The Chancellor also meets regularly with the Athletic Director to review decisions the director has made.

The Athletic Board-Faculty, Academic Staff, and Students

UW-Madison has a statutory obligation (Section 36.09(4), Wis. Stats.) as well as a long-standing tradition of shared faculty governance. The Athletic Board is a standing committee of its Faculty Senate, which requires the board to be composed of a majority of faculty (Section 6.25, UW—Madison Faculty Policies and Procedures (FPP)). UW-Madison also has a statutory obligation [Section 36.09 (4m) and (5), Wis. Stats.] and tradition of shared governance with its academic staff and students. To this end, there are two academic staff and four student members of the Athletic Board. Two of the student members are selected by the campus-wide student government and two are student-athletes selected by the Student Athlete Advisory Board (SAAB). Recommendations regarding student-athlete welfare generally are brought to the board through the two SAAB-appointed board members. Student government representatives represent the interests of the overall student body more generally.

The functions and authority of the Athletic Board include decisions regarding:

- . athletic participation
- . academic progress
- . scheduling and post-season participation
- . personnel
- . awards
- . budgets, and
- . rules compliance

The Athletic Board also is responsible for developing policy regarding various operational areas such as tickets, facilities use and booster recognition; approval of long-term strategic and other plans, and selecting outside auditors. It is organized into a committee structure which includes six committees: Finance, Academic Affairs, Personnel, Planning and Equity, Compliance, and University Ridge (golf course). See *Attachment 4*.

Pursuant to FPP Section 6.26 A. 1-5, the Athletic Board consists of the following

members:

- Twelve members of the university faculty, as defined in FPP, who shall have one vote each and shall be appointed by the University Committee after consultation with and approval of the Chancellor.
- Two members of the academic staff, who shall have one vote and shall be appointed by the Academic Staff Executive Committee after consultation with and approval of the Chancellor.
- Four alumni each with one vote who shall be appointed by the Wisconsin Alumni Association after consultation with the Chancellor and the Chair of the Athletic Board.
- Three student memberships with one vote each. Two are held by students selected by the student government; one is shared by two students elected by the organization representing UW-Madison student-athletes. Of the two student-athletes, one is a member of a women's team and one a member of a men's team.
- One non-voting representative of the Division of Recreational Sports.

The current composition of the Athletic Board is as follows:

James Hoyt, Chair	Professor	Faculty
Dennis Dresang	Professor	Faculty
Bernice Durand	Professor	Faculty
Robert Haveman	Professor	Faculty
James Johannes	Professor	Faculty
Gloria Ladson-Billings	Professor	Faculty
David McDonald	Professor	Faculty
Larry Meiller	Professor	Faculty
Jane Piliavin	Professor	Faculty
Suzanne Pingree	Professor	Faculty
Andrew Porter	Professor	Faculty
James Starling	Professor/MD	Faculty
Peg Davey	Admin. Specialist	Academic Staff
Don Woolston	Assistant Dean	Academic Staff
Elzie Higginbottom	Alumni Representative	
Ted Kellner	Alumni Representative	
Mark Pennow	Alumni Representative	
Barbara Wegner	Alumni Representative	
Kathy Brasier	Student	ASM
Josh Levin	Student	ASM
Allie Blomquist	Student-Athlete	SAAB (1/2 vote)
Josh Dickerson	Student-Athlete	SAAB (1/2 vote)
David Berge	Director Recreational Sports	Non-voting member

Athletic Director

The day-to-day decision-making and operation of the Division of Intercollegiate

Athletics resides with the Athletic Director, with assistance from and through delegation to his management team and other departmental administrators. It is expected and understood that the director is also responsible for identifying major decisions that require additional consultation and approval, and will seek and secure it when necessary.

Operating Principle 1.3 – Rules Compliance

The NCAA Operating Principle for this objective indicates that the institution assure members of the intercollegiate athletics community that compliance with NCAA rules and regulations is necessary. To demonstrate that such assurance is given, the institution must: 1) have written policies and procedures in place that assign rules compliance to an individual to whom the CEO assigns overall responsibility for the athletics program, 2) provide for the regular participation of persons outside of the athletics department in critical and sensitive compliance areas, 3) have programs that indicate that education on rules compliance is an ongoing effort, 4) have procedures that indicate that clear and unambiguous commitment to rules compliance is a central element in all personnel matters, and 5) have an evaluation of the rules compliance program by an authority outside the department at least every three years. Through the following self-study items, the university's arrangements in this regard are described and appraised.

OP 1.3: SELF STUDY ITEM 1:

Describe how the activities of the institution's athletics booster groups, support groups, and other representatives of the institution's athletics interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster club, support group, or foundation boards.

The control and monitoring of the activities of UW-Madison athletics booster and support groups, as well as the development and implementation of policies and procedures applicable to them, have been an area of considerable and ongoing activity. Areas addressed or to be addressed have included, but are not necessarily limited to: 1) their handling of funds under their control or accessible to them, 2) their activities for themselves or on behalf of the UW-Madison intercollegiate athletics program, and 3) their official recognition and ability to use the institution's name or logos.

Consideration of booster policies and their development and adoption have been the subjects of numerous and ongoing discussions involving the Chancellor's office, the Vice Chancellor for Legal and Executive Affairs, the compliance office, the Athletic Board and the Division of Intercollegiate Athletics, and the boosters themselves.

In addition, our efforts with respect to education about rules compliance and departmental policies and procedures for booster and support groups and representatives of our athletics interests—the details of which will be included in our response to Self Study Item 4. below—have been considerable and ongoing. Moreover, consideration is currently being given to the expansion of those educational activities, in part as the result of the audit report referred to above.

Since the last NCAA Certification visit, our activity related to booster organizations has included, in part, the revision of our Athletic Board policy and departmental guidelines for boosters and their recognition, and regular revisions and clarifications to our policy and forms for the reporting of outside income and perquisites (particularly any to be provided by boosters). Further, during the course of an internal investigation that led to an infractions self-report which was heard by the NCAA Committee on Infractions in November, 1998, we: 1) created a new Special Account and related policy to ensure control over any reimbursements or payments to staff from booster raised or donated funds, 2) modified the booster check authorization policy, and 3) again clarified the outside income reporting policy. We have also

conducted a comprehensive audit of our booster organizations' revenues and expenses, using both internal and external individuals with both audit and NCAA legislation expertise, and an audit of the operation and effectiveness of the new Special Account and policy. The conclusions from that audit were that although the new and modified policies were working, some additional adjustments could improve their effectiveness even further.

We continue to study the results and recommendations from the recently completed audit as well as to prioritize and implement them. Discussions and decisions are ongoing. The sports administrators and the compliance director receive and review considerable information about the identity and activities of our boosters, and attend meetings of the clubs and support groups. Efforts are also underway to identify "best practices" that could be shared to improve the operations of all booster groups and other supporters. Copies of the referenced policies and procedures, the audit, and our first annual Progress Report to the NCAA Infractions Committee are included as Attachments. (See *Attachments 5, 6, and 7.*)

OP 1.3: SELF STUDY ITEM 2:

Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO delegates as being responsible for the institution's rules compliance. Also, 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., administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.

[See Flow Chart on following page]

The current full-time position of Compliance Director was created in 1992. The incumbent was interviewed by the Athletic Director, and hired by the Vice Chancellor for Legal and Executive Affairs (Melany Newby). The Compliance Director maintains a dual reporting relationship both to the Athletic Director and to the Vice Chancellor for Legal and Executive Affairs.

The Compliance Director is responsible for interpreting NCAA, Big Ten Conference, and WCHA (Western Collegiate Hockey Association) rules and regulations. The Director responds to questions from administrators, coaches, support staff, student-athletes, boosters, and the public. All compliance forms (e.g., playing and practice season, contact and evaluation, and record of official visits, etc.) are retained in the Office of Athletic Compliance. Division staff, student-athletes, and boosters are educated about conference and NCAA rules. A variety of written and verbal presentations are used to provide this information.

In the summer of 1998 a second full-time position was added to the compliance staff. The Compliance Assistant was hired to monitor all compliance activity, including recruiting. However, the Compliance Assistant's primary responsibilities were: a) to fully integrate the NCAA Compliance Assistance Software program throughout the department and b) to enhance the existing compliance monitoring program by implementing additional checks and balance systems. Beginning in January, 1999, the reporting relationship of the Financial Aids Specialist was changed to report to the Compliance Director rather than to the Director of Academic Services. The change in reporting relationship strengthens the compliance efforts of the department since the monitoring of financial aid is a compliance-related function rather than an academic services function.

All sports have assigned responsibility for documenting compliance forms to either the head coach, an assistant coach, or an administrative assistant. The Compliance Assistant is in charge of monitoring all recruiting activity.

The institution's chief financial aid officer along with the financial aid specialist for intercollegiate athletics together have the responsibility for insuring compliance with NCAA financial aid legislation and for maintaining all forms dealing with financial aid. Eligibility certification is handled by the Registrar with assistance from two athletic department officials—the Compliance Director and the Director of Academic Affairs.

FLOW CHART

A Faculty Athletics Representative (FAR) chairs the Compliance Committee of the Athletic Board, and both FAR's are members of the committee. The committee also includes, as members, the chair of the Personnel Committee of the Athletic Board (a faculty member), other Athletic Board members, and the Vice Chancellor for Legal and Executive Affairs. Thus the majority of the members are faculty and none are employed by the Division of Intercollegiate Athletics. The Compliance Committee has been, and continues to be, significantly involved in overseeing the monitoring and reporting functions of the compliance office.

In addition, we have invited Jennifer Heppel, Director of NCAA Legislative and Eligibility Services for the Big Ten Conference, to begin a three-year cycle of external audits of our compliance office. This cycle began with a preliminary visit during 1998-99 and now continues with annual visits to complete the external audit.

Finally, it should be noted that the incumbent Athletic Director is a member of the Big Ten Compliance Committee.

OP 1.3: SELF STUDY ITEM 3:

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

The following procedure is followed when there is a suspected or potential violation of NCAA, Big Ten Conference, or institutional rules:

- Compliance office learns of the potential violation.
- Compliance Director investigates to determine whether a violation occurred.
- If the Compliance Director confirms that a violation did occur and it appears to be secondary in nature, the following procedure is used:
 - The Compliance Director determines whether the eligibility of any involved student-athletes is affected. If so, the involved student-athlete(s) is immediately declared ineligible.
 - The Compliance Director determines the facts of the violation and shares that information with the appropriate sport administrator.
 - The Compliance Director searches the NCAA Secondary Infractions Database for penalties assessed for similar violations. This information is shared with the sport administrator. The appropriate penalty, if any, is established depending on the violation.
 - The Compliance Director produces and files the report directly with the NCAA or the Big Ten Conference depending on whether the violation appears on the NCAA Secondary Reporting Schedule.
 - The Compliance Director adds the case to the University of Wisconsin Infractions Database.
- If the Compliance Director confirms that violation likely did occur, and it appears that the violation could be major, or is of a sensitive or high profile nature, or should the Compliance Director feel the need to remove himself or herself from the investigation, the Compliance Director contacts the Vice Chancellor for Legal and Executive Affairs. At this point, the decision regarding how to proceed with the investigation is typically made by him or her, often after consulting with the Compliance Committee of the Athletic Board.

OP 1.3: SELF STUDY ITEM 4:

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

Rules education is the primary responsibility of the Compliance Director. The Associate/ Assistant Athletic Directors who administer each sport also assist in educating the coaches, staff, and booster organization representatives during meetings conducted throughout the year. The following paragraphs describe the university's compliance education program organized by group:

Student-Athletes

Every student-athlete who attends the University of Wisconsin-Madison is required to attend an orientation session at the start of each academic year. During these orientation sessions the compliance office reviews with all student-athletes: NCAA, Big Ten Conference, and institutional rules and regulations regarding eligibility, practice, and financial aid. This is also the time the student-athletes sign paperwork in order to certify their athletic eligibility. During these orientation sessions, the compliance office reviews newly adopted legislation that may affect the student-athletes and addresses issues that the institution may view as potential problem areas or trends that may have been discovered as a result of any recent violations.

The Compliance Director also meets with the Student-Athlete Advisory Board (SAAB) to provide updates regarding proposed legislation.

The NCAA Professional Sports Counseling Panel was created during the 1999-2000 academic year. The panel exists to advise identified student-athletes about athlete-agents and the draft in their particular sport. A handbook containing pertinent information (See **Attachment 9**) and NCAA-produced videotapes are provided to the student-athletes. Meetings are scheduled for the student-athletes and their parents or legal guardians as needed.

Coaching Staff

At the start of each academic year each coach is issued a compliance manual which has been prepared by the compliance office. The compliance manual is intended to assist the coaches in compliance matters regarding recruiting, playing and practice season, eligibility, transfers, complimentary admissions, sport camps, and financial aid information. The required forms that are used throughout the year are contained in this manual. The compliance office also provides each coach with a recruiting guide. The recruiting guide provides the coaches with valuable information about recruiting rules and recruiting calendars, as well as acts as their recruiting and telephone log for monitoring purposes. (See **Attachments 10 and 11**)

The Associate/ Assistant Athletic Directors hold monthly meetings with the coaches to discuss procedures and problems related to the coaches and their sports. During these meetings the compliance office has a segment dedicated to compliance-related issues for the coaches. The compliance office also issues updates and reminders to the coaches throughout the year via memoranda and e-mail, as needed. Multiple review sessions to prepare coaches for the annual NCAA Coaches Certification Exam are scheduled in the spring of each year.

All coaches and department heads receive copies of the NCAA Manual and the Big Ten Conference Handbook, as well as subscriptions to the NCAA News.

Support Personnel

Each year the compliance office also conducts educational programming for support personnel such as program assistants/secretaries, student-athlete trainers, athletic academic tutors, and athletic ticket office personnel. Each program assistant/secretary and all department heads are provided a compliance manual at the start of each academic year.

The educational programming for each area is designed with the content and detail judged to be required, based on the needs of the respective unit. Additional programming occurs throughout the year for the program assistants/secretaries to provide updates on issues. Such additional programming is also provided for all other departmental support areas as needed.

Other Institutional Staff Members

Currently there is no regularly planned educational programming for other institutional staff members (e.g., registrar, admissions, student financial services, etc.) unless a specific need arises as a result of a particular issue. However, the recent strategic planning process for the athletic department has identified the need for regular programming within these areas. This is now being addressed by the compliance office.

Booster Groups and Representatives of Athletics Interests

A “Booster Education Session” is conducted at the start of each academic year for representatives of each booster organization and for the coaching staffs. Attendance at this meeting, along with an annual application process, is required for a booster or support group to receive recognition as an official University of Wisconsin Booster Organization by the University of Wisconsin Athletic Board.

The appropriate Assistant/Associate Athletic Directors attend most of the regular booster organization meetings for their respective sports. In addition, the AAD’s are in regular contact with the Compliance Director and the Compliance Director frequently appears personally at booster group meetings. And compliance-related articles are included in the newsletters of the booster groups if requested.

The need for a new “Booster Guide” has been identified. Plans for producing a Booster Guide, which contains pertinent information about rules and regulations regarding recruiting and extra benefits issues, are underway, and will result in the production and issuance of such a guide to all identified UW boosters, season ticket holders, and other constituents as needed.

OP 1.3: SELF STUDY ITEM 5:

Describe the procedures used by the institution to monitor student-athlete employment in compliance with NCAA legislation.

All student-athletes who indicate an interest in employment are given a "Permission Form" (See *Attachment 12*) to complete and return to the Compliance Assistant. On this form, the student-athlete is asked various questions about his/her possible employment. The form also details the specific NCAA rules regarding employment, and explains that student-athletes on full athletic scholarship, may not begin employment until signing a "Student-Athlete/Employer Agreement."

Once filled out, the Permission Form is forwarded from the Compliance Assistant to the head coach for his/her signature. This is to notify the head coach that the student-athlete is planning to work during the academic year, and to provide details regarding that employment. If a coach has concerns about a particular student-athlete working, the coach must discuss it with the appropriate Assistant/Associate Athletic Director for the sport. After signing the permission form, the head coach returns it to the Compliance Assistant.

After return of the signed form, the Compliance Assistant then begins the "Compliance Checklist," which serves as verification of the student-athlete's eligibility for employment. If eligible, it will also state how much the student-athlete may earn. The income limit is determined based on information provided by the athletic financial aid contact in the Grants-in-Aid Office.

If approved, partial and non-scholarship athletes may begin their employment. For full scholarship athletes, the Compliance Assistant creates a Student-Athlete/Employer Agreement along with a cover letter. The Agreement and the cover letter explain to the employer the importance of cooperation in the department's efforts to comply with the NCAA legislation, and ask the employer to answer a list of questions regarding their employment of a student-athlete. The form also informs the employer of the income limit for that particular student-athlete. (See *Attachment 12*)

If not approved, notification is sent to the student-athlete and to the potential employer that the student-athlete is not eligible to work during the academic year other than during official vacation periods.

After the employer signs the agreement, the student-athlete is also asked to sign it to be certain he/she is aware of the dollar limit. It also grants a release of any pertinent information to authorized representatives of the university. Finally, it asks the student-athlete to notify the compliance office immediately if her/his employment status changes. Upon completion of this agreement, the student-athlete may begin employment.

Toward the end of the fall semester, the Compliance Assistant sends the employer a "Compliance Follow-up Form." In filling out this form, the employer is asked to certify the student-athlete's compliance with the NCAA employment regulations.

Finally, an "End of the Academic Year Report" is completed, following completion of the academic year. This requests similar information to the Compliance Follow-up Form, as well as a W-2 Form for confirmation.

OP 1.3: SELF STUDY ITEM 6:

Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria, and (d) philosophy statements and other applicable sections of policy manuals.

Rules compliance is taken seriously throughout the campus and is a central component of all personnel decisions by the Athletics Department. This commitment begins with the Chancellor who traditionally speaks at the first full staff meeting of the Athletic Department in the fall. At this meeting, attended by coaches and staff, the Chancellor's message typically revolves around how seriously the campus takes rules compliance and how seriously he, personally, takes rules compliance.

The emphasis on compliance begins with job searches, where its importance is articulated in position descriptions. This emphasis is also reflected in the position description for the Compliance Director, where the job is described as having the following requirement: "[To...identify, delegate, and monitor responsibilities of key administrators for implementing and supervising compliance systems." In other words, the Compliance Director assures that the Associate Athletic Directors with sport supervisory responsibilities treat rules compliance seriously in all interactions with their coaches.

This unqualified commitment to rules compliance is also illustrated by language included in the letters of appointment for coaches and administrators. The following paragraph is specifically included in all such appointment letters for coaches:

You agree to comply with the applicable rules, regulations, and academic policies of the University of Wisconsin-Madison, the NCAA, Big Ten Conference, and other organizations or athletic conferences of which the University of Wisconsin-Madison is a member. You also agree that you shall be subject to disciplinary action, including immediate dismissal, for (a) violations of these rules, regulations, or policies, and (b) for failure to report in writing to the Director of Intercollegiate Athletics any information of which you may become aware that a rule, regulation, or policy violation may have occurred, or may occur, or may be occurring. Further, if you are found in violation of NCAA regulations, you shall be subject to disciplinary or corrective action as set forth in the NCAA enforcement procedure, or you may be suspended for a period of time, without pay, or your employment may be terminated if you are found to be in deliberate or serious violation of NCAA regulations. The foregoing shall at all times be subject to the University's existing rights to discipline or terminate you.

The following paragraph is included in all other letters of appointment for new Athletic Department staff members:

The University of Wisconsin Division of Intercollegiate Athletics is governed by the National Collegiate Athletic Association, the Big Ten Conference, and other organizations. As an employee of the Division you are required to comply with the applicable rules, regulations, and academic policies of the University of Wisconsin-Madison, the NCAA, the Big Ten and other organizations or athletic conferences of which the University of Wisconsin-Madison is a member.

In addition, when performance reviews are conducted for athletics administrators and coaches, an assessment of each individual's rules compliance activities is included. For

example, in preparing each coach's annual performance evaluation, the sport administrator checks with the Compliance Director regarding any infractions or other compliance issues that may have surfaced in that sport during the past year. This assessment is included in the performance evaluation and, thus, is systematically reported to the Personnel Committee of the Athletic Board, and subsequently to the full Athletic Board.

Beginning with the 1999-2000 year, upon the determination of the Compliance Director and the Chair of the Compliance Committee of the Athletic Board, coaches who have multiple secondary infractions are summoned to appear in a closed session of the Compliance Committee to discuss the infractions prior to the time the season is completed and the annual performance review prepared. By following this procedure, compliance concerns can be addressed earlier than the annual review and the coaches receive formal early notice from the Athletic Board that their performance with respect to rules compliance is being closely scrutinized.

Although there is no formal statement regarding NCAA rules compliance in appointment letters for university personnel outside of intercollegiate athletics (e.g., those in the admissions office, the registrar's office, or the campus financial aids office), those individuals work closely with the Compliance Director, who is in a position to observe and assess any potential practices by these individuals that may result in NCAA or other rules violations. Finally, we have asked Vice Chancellor Paul Barrows, who oversees all student services on the campus, to consider adding an appropriate NCAA rules compliance phrase to the appointment letters of those critical campus personnel outside of intercollegiate athletics.

OP 1.3: SELF STUDY ITEM 7:

Provide step-by-step written policies and procedures that assign specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid, and monitoring recruiting (if not included elsewhere in this report).

We will address each of the identified areas in order.

Eligibility Certification

Certification of initial eligibility is handled via the NCAA Initial Eligibility Clearinghouse. Each University of Wisconsin-Madison Athletic Academic Counselor is responsible for confirmation of the initial eligibility of the prospective student-athletes for their respective sports.

Certification of eligibility for transfer and continuing student-athletes is covered under Operating Principle 2.1, Self Study Items 4. and 5., respectively.

Investigation and Self-Reporting of Rules Violations

This is covered under Operating Principle 1.2, Self Study Item 3.

Monitoring of Recruiting

The Compliance office monitors recruiting in the following areas (Explanation sheets accompany each attached form, if needed):

- Coaches off-campus recruiting activities
- Coaches telephone calls
- Official visits
- National Letters of Intent – facilitated by Grants-in-Aid office
- Record of football and men's and women's basketball official visits
- Record of football and men's and women's basketball official visits
- Record of football initial counters
- Transfer student-athletes

Monitoring Financial Aid

Three different areas are involved in monitoring student-athlete financial aid.

- a) The Grants-in-Aid office, which reports to the Compliance Director, is responsible for every facet of athletics grants-in-aid. This includes maintenance of the NCAA Compliance Assistant Database, athletic scholarship disbursements, and operation of the NCAA Special Assistance Fund Program.
- b) Institutional aid **not** based on athletics and all **outside** aid is monitored by the Student Financial Services Office on campus. The athletics Compliance office helps facilitate that process by requesting and collecting the information from the student-athlete and the funding sources for any outside scholarships

they are offered.

c) In addition, each sport is responsible for gathering the names and addresses of all new student-athletes for their upcoming season during the summer prior to their enrollment. An "Outside Aid Reporting Form" is sent to each new student-athlete either by the sport or by the Compliance Office. This form is returned to the Compliance Office, which places the information about the aid into the NCAA Compliance Assistant Software to verify the countable/non-countable status of each, presuming it includes sufficient information. If further information is needed, the Compliance Office sends out a scholarship verification form for completion by the funding source of the scholarship; when completed, the form is returned to the Compliance Office. A report is then sent to the Student Financial Services Office as to the determination on each type of aid requiring confirmation. Copies of this report are also sent to head coaches and to the Grants-in-Aid office.

Governance and Commitment to Rules Compliance

OP 1.1 Mission of the Athletics Program and the Institution				
Does the institution demonstrate that the mission and goals of the athletics program:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
(1) Relate clearly to the mission and goals of the institution?	X	5		
(2) Support the educational objectives, academic progress and general welfare of student-athletes?	X	7-8		
(3) Support equitable opportunities for all students and staff, including women?	X	7-8		
(4) Support equitable opportunities for all students and staff who are minorities?	X	7-8		
(5) Embrace the Association's principles of sportsmanship and ethical conduct?	X	7-8		
(6) Are widely circulated among the institution's external and external constituencies?		6	X	The Athletic Department has initiated action on all of the items discussed in the self-study report, and the mission and goals of the program are already posted on the Department's web page.
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with the Operating Principle 1.1 (Mission of the Athletics Program and the Institution)? Note: The institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or it has included a plan to address any "no" responses to any element(s) of the operating principle.			Yes/No YES	
Date Completed:				
Peer Review Team:		Yes/No	Comments, recommendations, suggestions:	
Is the institution in conformance with Operating Principle 1.1?				
Date Completed:				
Institution's reaction to Peer Review Team's comments.		Comments:		
Date Completed:				
Peer Review Team Chair's Response.				
Comments:				
Date Completed:				

OP 1.2 Institutional Control, Presidential Authority and Shared Responsibilities				
Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?	X	9		
b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	X	10		
c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies related to the conduct of the athletics program and to review periodically the implementation of such policies?	X	25-28		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with the Operating Principle 1.1 (Mission of the Athletics Program and the Institution)? Note: The institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or it has included a plan to address any "no" responses to any element(s) of the operating principle.				Yes/No YES
Date Completed:				
Peer Review Team:	Yes/No	Comments, recommendations, suggestions:		
Is the institution in conformance with Operating Principle 1.2?				
Date Completed:				
Institution's reaction to Peer Review Team's comments.		Comments:		
Date Completed:				
Peer Review Team Chair's Response.				
Comments:				
Date Completed:				

OP 1.3 Rules Compliance				
Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. It has in place a set of written policies and procedures that assign responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	X	15-16		
b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?	X	17-18		
c. Rules compliance is the subject of an ongoing educational effort?	X	20-21		
d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?	X	23-24		
e. At least once every three years, the rules-compliance program is the subject of evaluation by an authority outside of the athletics department	X	18		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 1.3?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments:				
Date Completed:				

Operating Principle 2.1: Academic Standards

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program be designed and maintained as a vital component of the university's educational system, and that student-athletes shall be considered an integral part of the student body. Through the following self-study items, the university's arrangements in this regard are described and appraised.

OP 2.1: SELF STUDY ITEM 1:

Describe the process by which student-athletes are admitted to your institution, and compare it to the process for admitting students generally. Give 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.

The admission/decision process at the University of Wisconsin-Madison begins with receipt of a student application, together with student academic records. An application may have been made available to the student through the athletic department, his/her high school or the University's Office of Admissions. At the time of receipt, the applications of athlete's are stamped with an abbreviation of the athlete's sport (e.g., WSOC for women's soccer).

After receipt of a completed student athlete's application, including academic records, the review process begins in the University Office of Admissions. If, in the course of this review, there are problems that prohibit admission of the student athlete, the Office of Admissions will notify the Athletic Department.

At that point, a variety of actions may be taken, including no further action. In the case where it is determined that an appeal may be in order, a review of the student's file is initiated by the Athletic Department on the student's behalf. If the Department decides that an appeal seems both feasible and desirable, an appeals procedure will be followed:

- 1) In all schools and colleges except the College of Letters and Science (L&S), the application is referred to the Dean's Office for his/her review. If it is determined by the Dean's Office that, even though the normal admission criteria have not been met, there is reasonable promise of academic success at UW-Madison, the Dean's Office may make an exception to the normal criteria, and grant admission.

- 2) In the College of Letters and Science (L&S), to which 80-90 percent of all students apply, there is a standing appeals committee of three Deans and one representative from the Office of Admissions. This Committee is convened when an appeal on behalf of a particular student is made. The committee determines if an exception to the regular admission criteria is in order; this decision to grant or deny the appeal is based on whether or not the applicant shows reasonable academic promise and likelihood of academic success at UW-Madison.

Apart from any action by the Department, any student can appeal his or her denial of admission to UW-Madison, and these same procedures would be followed.

In addition to this formal appeals process, there are a variety of standing and special admissions programs available to students in targeted outreach groups whose enrollment the university has encouraged, but whose admission would be denied using current criteria. These groups include members of historically discriminated against minorities, physically challenged students, students with learning disabilities, veterans, legacies, and returning adults as well as recruited athletes not meeting the minimum eligibility requirements for admission. For reasons of increased diversity, outside factors that may have affected academic performance, and potential contribution to the university, these students may be admitted by the Office of Admissions on the basis of stipulated minimum eligibility requirements, or through the appeals process just described.

These minimum admission requirements are shown on the following page:

Minimum Requirements for Admission to UW:

- 4 Units English
 - 3 Units Social Studies
 - 3 Units of Math to include:
 - 1 Unit Algebra
 - 1 Unit College Prep Plane and Solid Geometry
 - 1 Unit of Additional Math in Sequence Beyond Algebra and Geometry
 - 2 Units of a Single Foreign Language
 - 2 Units Natural Science
 - 2 Additional Units of Elective from the Aforementioned or Computer Science, Statistics, Fine Arts
- = 16 Units

The student must also submit official ACT/SAT scores. There are no institutional or legislated minimum score requirements for these achievement tests. The applicant must rank at or above the top half of his/her class. When rank in class is not available, the students' grades/GPA must reflect performance at this level.

In years when the University receives more applicants meeting these criteria than it can accommodate, the University enacts enrollment management/limitation policies taking the form of higher standards of admission for the regular applicant, which standards are not to be applied to targeted outreach groups.

OP 2.1: SELF STUDY ITEM 2:

Please provide the NCAA Division I Graduation-Rates supplemental form for the three most recent academic years. Compare and explain any differences between the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general.

The tables presented on the following page provide the admissions profiles for the entire freshman class for the most recent three years (1996, 1997, and 1998) together with their freshman year GPA, and the four-year average profile for these same years for student-athletes. The latter profile is from the NCAA Division I Graduation-Rates supplemental form.

In *Attachment 13*, we present NCAA forms indicating admissions profiles of student athletes and the general student body.

Incoming Freshman Class-Profile for ALL Students:

	HS GPA	SAT	ACT
1996	3.49	1214	26.3
1997	3.53	1217	26.5
1998	3.62	1242	26.8

Profile for Student-Athletes (Four-year average):

	HS GPA	SAT	ACT	
1996	2.80	865	21	Football
	3.00	972	20	M Basketball
	3.28	1114	24	M Track
	3.20	1006	22	M Other
	3.80	----	23	W Basketball
	3.62	950	24	W Track
	3.51	1027	24	W Other
	3.22	942.8	22.5	Overall Average
1997	2.80	875	20	Football
	3.10	972	19	M Basketball
	3.35	1100	24	M Track
	3.04	1039	21	M Other
	3.65	----	21	W Basketball
	3.67	1091	23	W Track
	3.53	1057	24	W Other
	3.20	1012	20.5	Overall Average
1998	2.94	898	20	Football
	3.28	1030	21	M Basketball
	3.41	1076	23	M Track
	3.20	1066	22	M Other
	3.28	----	20	W Basketball
	3.65	1092	24	W Track
	3.54	1070	24	W Other
	3.28	1030	22	Overall Average

A comparison of the admission profiles of all incoming freshman students with the NCAA Supplemental Form, four-year average profile for student-athletes on aid shows that on all indicators, the student-athletes score lower. The average High School Grade Point Average for student-athletes is about .3 lower than that of all incoming freshmen, although the differences exist only among males. A somewhat larger discrepancy is found when comparing the test scores for the two groups, and here differences exist for both men and women. These differences can in part be attributed to the higher proportion of traditionally under-represented groups in the student-athlete distribution. Under-represented groups compose 17 percent of the student-athlete group, but only about 2 percent of the student body. They may also reflect the special outreach efforts made by the Athletic Department to provide opportunities for targeted outreach groups (see above). Note that the GPA and test scores discrepancies are greatest for the student-athlete group in which the proportion of such students is highest, football.

OP 2.1: SELF STUDY ITEM 3:

Compare and explain any differences between the percentage of freshmen student-athletes receiving athletics aid who were admitted by special exception to the institution's standard or normal entrance requirements and the percentage of freshmen students generally who were so admitted by providing these data for the three most recent academic years. (Use attachment No. 1 to compile these data.)

A modified version of Self-Study Item 3: Academic Integrity; NCAA Attachment No. 1 is presented on the following page (The complete table is shown as *Attachment 14* of this report). This table indicates that the percentage of special admission students receiving athletics aid is substantially higher than for the remainder of the student body. It should be noted that the UW-Madison Athletic Department maintains detailed records of all special admissions cases (as required by the NCAA), while the Office of Admissions of the University is not covered by such a requirement. The Admissions Office has indicated that a number of students are admitted each year who do not meet all the published requirements but who are not recorded as such. This could happen if an applicant has high SAT/ACT scores but is missing a unit(s) or has a class rank lower than the current year's threshold. Such cases are handled by individual counselors who are not required to code these types of applicants as "special admits." On the basis of information from the Office of Admissions, the actual number of special admits in the general student population could therefore be 10-15 percent greater than the estimates in the modified version of Attachment No. 1.

Many of the student-athlete special admits are minority students (40 percent over the past 3 years). The University actively recruits minority students, in accord with an overall "design for diversity", but until now most of the successful minority student enrollment has been among student athletes. The modified Attachment No. 1 shows the percentage of all students, all students minus student-athletes on aid, and student-athletes on aid admitted by special circumstance over the three years, by sex and ethnicity. Only African-Americans and whites are included because no student-athletes on aid from any other group were classified as special admission students. The numbers of African-Americans involved are very small: no more than 6 men and 2 women student-athletes on aid were admitted on special circumstances in any of the three years. Thus very little can be concluded when comparing them with general student admissions. (Note that the percentage of all African-American students admitted on special circumstances has increased dramatically over the three years, during which more active recruitment of such students has been undertaken.)

While the academic profile of these students may be lower than that of the general student population, the University's commitment to minority recruitment and retention provides justification for the pattern in Modified Attachment No. 1. These specially admitted minority student athletes have graduated at rates well above those of similarly admitted minority students in the non-athlete minority population. The special admits who are student athletes also represent a greater percentage of out-of-state students, which adds another element of diversity to the general student population. Moreover, 10 percent of those student athletes admitted under special circumstances were international students, who often complete curricula that may not parallel that of a domestic student while still satisfying the requirements of the NCAA Clearinghouse.

Modified Self-Study Item 3: Academic Integrity; NCAA Attachment No. 1- Special Admissions Information

Percentage of Special Admissions for Students in General and for Student Athletes on Aid, by Gender and Ethnic Group (African-Americans and Whites only): 1996, 1997, and 1998

	All Students		All Students Minus Student-Athletes on Aid		Student Athletes on Aid	
	Male	Female	Male	Female	Male	Female
<u>1996</u>						
African American	3.6	0	1.8	0	9	0
White	1.2	.3	.6	.2	31	11
<u>1997</u>						
African American	14	8	7	7	38	25
White	.9	.4	.6	.4	20	0
<u>1998</u>						
African American	30	6	21	3	55	67
White	.6	.4	.4	.3	13	11

The number of white women student-athletes on aid in any year who are special admits is very small (no larger than 4 in any of the three years reported). The differences are thus the clearest for white males, where sample sizes are large. Note, however, that the percentages of white male student athletes who are special admits has fallen over the three years reported in Modified Attachment No. 1.

We do not believe that this discrepancy between student-athletes on aid and the general population is currently a serious problem. Note that we are operating within the context of the Big Ten Conference, a conference that has stricter rules than are required by the NCAA for progress on both quantitative (credits earned) and qualitative (GPA) criteria. Nevertheless, the number of our student athletes who are academically ineligible in any given semester is very small. One reason for the Department's success in this dimension and in maintaining high graduation rates is the substantial allocation of resources for academic support. As we describe below, the Fetzer Center provides an excellent atmosphere, with a computer lab and computer consultants, and with a low student-to-advisor ratio. In addition, the department has employed a number of reading specialists and experts in learning disabilities to work with the student-athletes who require these services.

Finally, note that the Academic Affairs Committee of the Athletic Board now requires periodic reports concerning the progress of all student-athletes admitted under special circumstances. Over the last year this issue has been the topic of several meetings, some of them with the coaches of those sports with the largest numbers of special admits. (See the attached minutes for the Academic Affairs Committee for 1998-99, designated as *Attachment 15*).

OP 2.1: SELF STUDY ITEM 4:

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 individual(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. The following information is provided on each student:

1. Release from the previous institution (if applicable)
2. UW-Madison evaluation of transfer credits
3. College transcript(s)
4. High school transcripts (if applicable)

The student athlete also completes a Transfer History Form. Copies of these materials are also provided to the Compliance Office. The Office of Academic Affairs and the Compliance Office confer as to the eligibility status and if they agree, contact is made with the Registrar's Office to confirm eligibility status. If there is no disagreement, the student is then asked to fill out the appropriate NCAA and Big Ten Forms, after which addition to the Eligibility List is possible.

Final Certification rests with the Registrars Office (Glenn Peterson) with consultation from the Office of Academic Affairs (Alan Zussman or his designee) and Compliance Office (Tim Bald or Katie Ahrens).

OP 2.1: SELF STUDY ITEM 5:

List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify student athlete's 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 credits, 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 listed on eligibility lists and squad lists are included on the Worksheet.

Academic Advisors in the Academic Affairs Office are responsible for reviewing the printout with individual coaches and comparing it to computer data to ensure the accuracy and to be certain that information is passed along to individual athletes. Academic Affairs personnel then confer with the Registrar's Office (Glenn Petersen) to concur on questions about continuing eligibility of individual student athletes. Most student athletes have clear cut continuing eligibility, but those that need individual attention are examined extensively before being cleared.

Final authority for certifying continuing eligibility rests with the Registrar's Office (Glenn Petersen) with consultation from the Office of Academic Affairs (Alan Zussman or his designee) and the Compliance Office (Tim Bald).

OP 2.1: SELF STUDY ITEM 6:

Please provide the institution's official NCAA graduation-rates report for the three most recent academic years for which this information is available.

The graduation rates reports for 1997, 1998, and 1999 are shown below.

Graduation Rates Report: 1997, 1998 and 1999

	<u>1997</u>	<u>1998</u>	<u>1999</u>
ALL STUDENTS	72%	73%	73%
STUDENT ATHLETES	56%	60%	68%
ALL STUDENTS - MEN	70%	71%	70%
STUDENT ATHLETES - MEN	48%	53%	62%
ALL STUDENTS - WOMEN	74%	76%	77%
STUDENT ATHLETES - WOMEN	78%	78%	83%
Football	63%	63%	55%
M Basketball	67%	67%	0%
M Track/CC	43%	50%	71%
M Other	43%*	43%*	71%
W Basketball	100%	100%	100%
W Track	25%	100%	100%
W Other	88%	88%	79%

*These years still include baseball players, most of whom transferred

OP 2.1: SELF STUDY ITEM 7:

Review the graduation rates for student-athletes who received athletics grants-in-aid, various student-athletes subgroups and for students generally during the last three years, and comment on any trends or significant changes.

Overall, the graduation rates for student athletes stand somewhat below those for all students. However, over the past three years, this gap has been substantially narrowed, and by 1999 the graduation rate for student athletes stood at 68 percent, compared to a 73 percent rate for all students.

In all three years, the graduation rate of female student-athletes on aid exceeds that of students in the general student body. Graduation rates for the male student-athletes have shown significant increases over the last three years. The 1997 data included the 1990-91 freshman class for baseball, which had a graduation rate of 0 percent that year due to the dropping of the sport in 1991 and subsequent transfers. This reduced the average for that 1997. In that year and the next, there were also significant numbers of hockey players leaving for the professional ranks. Men's student-athlete rates will probably continue to be below the rate for men in the general student population, in part because of the higher rates of leaving for the professional level prior to graduation associated with the increasing success of the football program. Note the graduation rates below for student-athletes exhausting their eligibility (below), which indicates graduation rates of nearly 90 percent.

	1997	1998	1999
Student-Athletes Exhausting Eligibility	88%	87%	87%

The discrepancy between the graduation rates of male student-athletes and all male students is heavily influenced by ethnic group (see table on following page). As noted above, a higher proportion of student-athletes on aid are minorities, and more minorities are admitted on special consideration; therefore somewhat lower rates of graduation are to be expected. Note that minority male athletes graduate at a higher rate than minority students in the general population.

Graduation Rates by Category and Ethnicity: Males

Graduation Year (Incoming Year)	1997 (1991)	1998 (1992)	1999 (1993)
All Students:			
African-America	52%	44%	26%
White	71%	71%	71%
Student-Athletes			
African-American	60%	60%	40%
White	43%*	50%	69%

*This figure includes all of the baseball players

OP 2.1: SELF STUDY ITEM 8:

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 population is made.

OP 2.1: SELF STUDY ITEM 9:

Please provide academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to 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. All students are expected to meet these requirements; no distinction is made between student-athletes and the general student population. Exceptions to the stated degree requirements are rarely made for any student. Degree requirements are widely published and publicized in the Undergraduate Catalog and Student Handbooks and on University websites. Students are encouraged (in some colleges, required) to meet with their academic advisors at regular intervals to make sure they are making satisfactory progress toward graduation.

There are no special courses, special majors, or special tracks for student-athletes at the University of Wisconsin-Madison. All degrees awarded to UW-Madison students require that students earn a minimum of 120 degree credits and achieve a minimum cumulative grade point average of 2.0 or 'C' on a 4.0 scale. Fulfillment of the requirements for the degree is certified by the Registrar's office.

Copies of specific requirements for each college are shown as *Attachment 16*.

Operating Principle 2.2: Academic Support

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program should be conducted in a manner designed to protect and enhance the educational welfare of student-athletes and to assure proper emphasis on educational objectives. In the following self-study items, the university's arrangements designed to achieve this objective are described and appraised.

OP 2.2: SELF STUDY ITEM 1:

Describe the academic support system available to student-athletes. Include: (a) the specific academic support services (e.g., academic advising services related to choice of majors for student-athletes, tutoring, post-eligibility 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 periodic review and approval by academic authorities outside athletics of these services, and (e) any means of analyzing, explaining and addressing special academic needs (e.g. missed class time) of student-athletes, if any are identified.

The Athletic Department and the university as a whole recognizes that Division I student-athletes must deal with a rigorous and demanding schedule of athletic practices and competitions as well as a highly challenging academic schedule. Therefore, the Academic Affairs Office strives to provide student athletes an enriching academic environment and the maximum opportunity for both academic and athletic achievement.

In March of 1997 the Fetzer Student Athlete Academic Center opened. This 15,000 sq. ft. learning center is home to the advising staff as well as tutorial, computer and study space for the U.W. Student Athletes. The center is located in the lower level of the McClain Indoor Practice Facility, which is used by soccer, football, and softball players, and the Shell, the indoor track facility. It is adjacent to the football stadium, which contains a weight room and many coach's and administrators' offices, and is near a student union, a library, and many student-athletes' residences. Thus it is convenient for most students to use as a main study facility.

The Fetzer Center has 11 study rooms, a lecture hall, xerox facilities, and a student computer lab. It also has open table study areas as well as quiet study carrel space. The center is open 69.5 hours a week. Monitored and treated like a library, it is a very quiet place to study and meet with tutors. This allows the students to maximize their available study time at a location that is both close to their practice and competition sites as well where they live. The center has a computer check in system that students use to log in their study time. Hours can then be checked by coaches and staff via a web-site.

Academic Affairs Advising staff have offices located in the Fetzer Center. These staff provide academic support and advising for all student athletes listed on any team roster. Specific support services include:

- Academic Advising
- DARS - Degree Audit/degree summary interpretation
- Major choice assistance
- Group and one-on-one tutorials
- Review groups prior to exams

- Financial aid information and referral
- Career Workshops
- Freshman Orientation
- Study Skills Class

The Academic Affairs Office provides academic services to over 700 student athletes on the Madison campus on a yearly basis. The services cover a wide range of activities, starting with initial eligibility and ending with graduation, the career search and/or post graduate enrollment.

Academic advising is available each semester to those students who wish to plan their academic schedules. Advisors can help with course selection, major requirements, and reading and understanding their degree audits. Some colleges and majors require students to see one of their campus advisors during this period; for others it is optional. During the sophomore year emphasis is placed on helping the student-athlete choose a major. By the onset of the student's fourth year a DARS (Degree Audit and Reporting System) report is run off and reviewed to make sure that the student is on track to graduate (completing all degree requirements) within five years of their matriculation.

The services offered by the Academic Affairs Office are available to any current student athlete. Students are notified of these services during team meetings, via their coach, notices on bulletin boards and via an email distribution list. The Learning Center staff set up study groups that meet throughout the semester, with additional review sessions provided prior to exam periods. There are also three Learning Specialists on staff who are assigned to student athletes who either have documented learning disabilities or have been identified through standardized tests, high school records or placement exams as high risk. A mentorship program is also available to student athletes who may not fall into the LD or high-risk categories, but may need additional learning/adjustment support throughout the semester.

In addition to in-house learning specialists, referrals are made to campus resources such as the Business School Learning Center, Math Tutorial, Writing Center, Chemistry Learning Center, McBurney Disability Resource Center or the Counseling and Consultation Center. 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 professionals on and off campus. Interaction with departmental advisors and college deans is commonplace and encouraged.

The Academic Affairs Office staff monitors and keeps statistics on the academic progress of the freshmen student athletes and selected upperclassmen who may have experienced academic problems. Freshmen mid-term grades are required to be reported by faculty in all courses for the entire student body, including, of course, student athletes. The Academic Affairs Office staff try to maintain contact with faculty and staff via email concerning any student athletes who show mid-term grade difficulty.

The Department of Counseling Psychology teaches an "Educational Effectiveness - Study Skills" course that is often selected by first year student athletes, although enrollment is by no means limited to student athletes.

Oversight of these services is provided by the Academic Affairs Committee, which is a faculty subcommittee of the U.W. Athletic Board. (A list of the members of the Academic Affairs Committee for the academic year 1998-99 is presented as *Attachment 17*.) Daily supervision is provided by the Director of the Academic Affairs Office (Alan Zussman), who

reports to one of the Associate Athletic Directors, Michael Moss.

The minutes of the Academic Affairs Committee for 1998-99 (*Attachment 15*) demonstrate the range of topics that are typically covered. There are competition schedules to approve at almost every meeting; these are monitored very carefully in an attempt to limit the number of class days missed to no more than 6 per semester. The topic of special admissions has been frequently discussed, as mentioned earlier, and will continue to receive close scrutiny. The Committee has discussed the level of resources available to the Academic Affairs Office, and has consulted with the Department in order to maintain and increase the quantity and quality of the advising staff. We have held discussions of academic standards and available services with several coaches. We regularly receive reports from the Student-Athlete Advisory Board and have met with them to ensure that their concerns are heard. The committee also hears appeals from individual student-athletes. Since these are confidential and are held in closed sessions, they do not appear in the minutes.

OP 2.2: SELF STUDY ITEM 2:

Identify, using an organizational or flow chart, how the institution is organized to provide academic support and advising services to student-athletes (i.e., reporting lines and identification of who does what).

The organizational structure is described in *Attachment 18*.

OP 2.2: SELF STUDY ITEM 3:

Please review and comment on the student-athlete degree program information from the institution's completed NCAA Graduation-Rates supplemental forms for the three most recent academic years, which indicates the number of student-athletes who received athletics aid (or those who were recruited if your institution does not award athletics aid) and graduated within six years, by school, college, or department from which student-athletes received baccalaureate degrees.

The following table summarizes the information requested regarding graduates of student-athletes receiving financial aid, by school and college.

Student-Athlete Graduates by College	1996	1997	1998
College of Agriculture and Life Sciences (CALS)	10	7	5
College of Letters and Science	25	29	26
School of Human Ecology (SOHE)	1	1	1
School of Education	2	6	7
School of Business	1	2	7
College of Engineering	1	0	2
Health professions – college not designated	4	3	4
Total Graduates	44	48	52

Most student-athletes graduate from the College of Letters and Science, because it is the largest college on campus and has the largest numbers of graduates in the general student population.

Operating Principle 2.3: Scheduling

The NCAA Operating Principle for this objective is designed to ensure that student-athletes have sufficient time for their academic programs. In the following self-study items, the arrangements designed to achieve this objective are described and appraised.

OP 2.3: SELF STUDY ITEM 1:

Describe the institution's policies related to the scheduling of intercollegiate athletics competitions and practices that minimize interference with class time and examination periods.

The following statements regarding schedule formulation are from a policy document adopted by the Athletic Board:

Associate Athletic Directors work with the coaches of the appropriate teams to formulate the competition schedules. Draft schedules are then submitted to the Academic Affairs Office for suggestions and recommendations with attention to possible conflicts. After Associate Athletic Directors approve the schedules for their sports; they are submitted to the Academic Affairs Committee of the Athletic Board for review and approval.

*Department regulations state that during the regular season, teams and/or individual student-athletes shall miss no more than six (6) class days per semester. However, some conference circumstances may require additional class days to be missed. These circumstances must be reviewed and approved by the Academic Affairs Committee **prior to travel**.*

Post-season competition is not included in these restrictions. "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. The dates of championships may appear on the schedules presented to the Academic Affairs Committee, but the class days are not counted as part of the six (6) days allowed..

The Academic Affairs Committee reviews all schedules before the beginning of each sport season to ensure that student-athletes do not miss more than six class days. If a schedule appears to violate this rule, it is remanded to the relevant coach for revision or justification. Exceptions beyond the six days may be allowed; however, in such cases, only students with a GPA of 2.5 (or better) entering the semester are allowed to travel beyond the six days. Coaches are aware of these rules, and can therefore plan to hold "at risk" students out of less critical competitions and "save" them for the most important matches.

Student-athletes are expected to take responsibility for dealing with material missed because of their participation in competition. They are instructed to contact each professor at the beginning of each semester to alert them to their student-athlete status and to arrange for rescheduling of examinations or taking them on the road when away competitions conflict with such academic exercises.

OP 2.3: SELF STUDY ITEM 2:

Describe the procedures used by the institution to monitor missed class time for student-athletes.

We interpret this question as requesting information regarding the monitoring of scheduled missed class time for travel and competition at away sites and in pre- and post-season tournaments.

In addition to the procedure described above, actual team schedules are also reviewed by the Associate Directors after the season is over to determine whether additional days were missed because of unanticipated travel delays or other factors. For individual competitors (e.g., golf, tennis) the number of days missed due to participation in invited competitions is also reviewed for its potential impact on grades.

OP 2.3: SELF STUDY ITEM 3:

Analyze, explain and address (if necessary, through specific plans for improvement) missed class time that has been determined by the institution to be significant or excessive for any sport(s).

Excessive or significant missed class time is rarely allowed. It has occurred in softball and women's volleyball. In both cases, the Academic Affairs Committee became aware of the situation during the review of the teams' submitted schedules. The Academic Affairs Committee reviewed these cases and determined that there were important programmatic reasons for the scheduled missed time. It was also the case that the team GPA's in both situations was greater than 2.5. In these situations, the Academic Affairs Committee requested that the Academic Affairs Office closely monitor student grades during the semester. The Office of Academic Affairs also notified student-athletes' professors of the missed class time. If it was determined that a student's semester GPA was below 2.5, that student was not to be allowed to travel or participate with the team beyond the allowable 6 missed class days.

In sum, significant missed class time is only allowed in circumstances where there is sufficient programmatic justification *and* individual academic performance is strong enough that there is some confidence that academic performance will not be compromised. In these circumstances it is also important to note that measures to insure sufficient monitoring of academic performance throughout the semester have been instituted.

Academic Integrity

OP 2.1 Academic Standards				
Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees?	X	30-32		
If the academic profile of entering student-athletes, as a whole, or for any student-athlete subgroup that is significantly lower than that of other student-athlete or comparable student-body groups, the contrast is analyzed and explained by appropriate institutional authorities?	X	33-38		
If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, this disparity is analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities?	X	41-44		
b. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever is higher?	X	45		
c. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally?	X	30-31		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 2.1 (Academic Standards)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/ No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 2.1?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 2.2 Academic Support

Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Adequate academic support services are available for student-athletes	X	46-48		
b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing?	X	47, 50		
c. When it is determined that student-athletes have special academic needs, these needs are addressed?	X	47		
d. The support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics?	X	47-49		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 2.2 (Academic Support)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 2.2?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed :				
Peer Review Team Chair's Response				
Comments:				
Date Completed:				

OP 2.3 Scheduling				
Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction

Written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12?	X	51-53		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 2.3 (Scheduling)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 2.3?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments:				
Date Completed:				

FISCAL INTEGRITY

Introduction

As background for all the answers that follow it is important to understand that basic policies and procedures have been in place for some time to help assure fiscal integrity of the operations of the Division of Intercollegiate Athletics at the University of Wisconsin-Madison. 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. Second, the Finance Committee of the Athletic Board reviews both the expenditure and income statements on a monthly basis to assess the extent to which the Division is “on budget” and making decisions consistent with Board directives and campus/state policy. Third, each year an outside audit is performed by an independent professional accounting firm to determine both policy compliance and the extent to which appropriate accounting standards and controls are in place and being utilized effectively. Finally, campus internal auditors, UW System auditors, and occasionally the State of Wisconsin Legislative Audit Bureau 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 Chancellor and frequently by the Finance Committee of the Athletic Board.

Operating Principle 3.1: Financial Practices

The NCAA Operating Principle for this objective indicates that the division's budget and expenditure audit must be approved by the UW-Madison chief operating officer (Chancellor), and that 1) the sources and uses of funds must be subject to institutionally-approved standards of review, documentation, and oversight, 2) expenditures on athletics from any source must be approved by university, 3) and that budget and audit procedures for athletics are consistent with those of the UW-Madison generally, and NCAA constitutional provisions. Through the following self-study items, the university's arrangements in this regard are described and appraised.

OP 3.1: SELF STUDY ITEM 1:

Prepare a list of all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution. Also, prepare a list of all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

To answer this question we have adopted the following definitions:

- Direct Accounting and Financial Control means that monies that are raised on behalf of the Athletic Department are maintained and administered by the Athletic Department.
- Indirect Accounting and Financial Control means monies that are raised on behalf of the Athletic Department are maintained and administered by organizations legally separate from the UW-Madison.

Direct Accounting and Financial Control

The following sources and uses of funds are under direct accounting and financial control of the Athletic Department.

- A. Internal Revenue Sources
 1. Ticket sales
 - a. Football
 - b. Men's Basketball
 - c. Men's Hockey
 - d. Women's Basketball
 - e. Varsity Sports
 2. Big Ten Distributions
 - a. Football T.V.
 - b. Football Bowls
 - c. Football Revenue Sharing
 - d. Basketball T.V.
 - e. Big Ten Tournament
 - f. NCAA Tournament
 - g. Basketball Revenue Sharing
 - h. Other (Academic Enhancement)

3. Concessions/Catering
4. Concerts/Special Events
5. Post Season Participation
6. Suite Rentals
7. Corporate Sponsorships
8. Parking
9. Radio Rights
10. Investment Income
11. Licensing
12. Guarantees
13. Merchandising/Programs

B. External Revenue Sources

1. Fundraising - University of Wisconsin Foundation:
(See *Attachment 19* for a list of Foundation accounts in which these funds are deposited and for actual expenditures out of these accounts in 1998-99).
 - a. Annual Fund (Football, Men=s, Women=s Basketball, Hockey)
 - b. Endowment Interest
 - c. Capital Gifts
 - d. Golf Outings/Special Events
2. State Appropriation

Indirect Accounting and Financial Control

There are two separate types of entities generating funds on behalf of the athletic program that are not under the direct control of the institution, although they are under institutional indirect control.

- 1 W-Club - a Letterwinners club which is a separate corporation that raises funds by sponsoring special events.
- 2 Sport Booster Groups - groups associated with particular sports that raise funds to conduct operational meetings and functions for each booster group and to support sports teams.

Both the W Club and Sports Booster Groups have their own checking accounts. However, effective, April 1, 1999, the Booster group Policy and Guidelines (*Attachment 20*)

have been amended by the Athletic Board to require all booster groups and the W Club to 1) have all expenditures made from their booster checking accounts pre-approved in writing by the athletic department prior to issuing checks; and 2) submit their bank statements to the athletic business office quarterly for review and reconciliation to the authorized expenses.

OP 3.1: SELF STUDY ITEM 2:

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 under the institution's direct control and another for revenue sources not under the institution's direct control.

Budget Process for Items Under Direct Accounting and Financial Control

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 remainder of the University.

The steps in the budget development process are as follows:

1. The budgeting process within the Athletic Department begins in November and concludes in April 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/administration department for travel, recruiting, equipment and several other variable expenses.
 - c. The business office establishes budgets for each individual unit non-variable expenses (salaries, benefits, phone, postage, etc.).
 - d. All unit budgets are reviewed by the appropriate Associate Athletic Director prior to submission to the Budget and Finance Office.
 - e. The Budget and Finance Office consolidates all budget information into an overall divisional budget in January.
 - f. 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).
 - g. The final management team budget is compiled and submitted to the Finance Committee and the Planning and Equity Committee of the Athletic Board for their review at a joint February meeting of the two committees.
 - h. The final Finance Committee budget is compiled and submitted to the full Athletic Board for their review at their February meeting.
 - i. After approval of the budget by the Athletic Board, the budget is submitted to the

Chancellor of the UW-Madison and to the Office of Budget, Planning and Analysis.

2. After review, the budget is submitted by the Chancellor of UW-Madison to the President of the University of Wisconsin System.
3. The System President receives and reviews the budget and makes a recommendation to the Board of Regents.
4. The Board of Regents receives, reviews, and approves the budget as part of the annual budget of the UW System.
5. 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.

Budget Process for Items Under Indirect Accounting and Financial Control

With regard to outside sources of revenue (Foundation/Booster Groups/Other), there are two processes that are followed. First, some expenditures and corresponding funding are included in the regular University budgeting process. These are handled as discussed in the previous paragraph and the funding (revenue) source is reported as Gifts and Grants. Second, for the limited number of items handled outside the University budgeting process, approvals depend on the funding source:

For Expenditures From Booster Checking Accounts

The booster group must submit a check authorization form along with the checks (and documents supporting the expenditure) to the Sports Administrator in charge of that sport. If approved, the Sports Administrator signs the authorization form and authorizes payment. The authorization is then reviewed by the Compliance Director and Business Office. To help ensure the integrity of the authorization process, booster groups must also submit a copy of their bank statements quarterly to the Athletic Business Office for verification and audit.

For Expenditures From a UW-Foundation Account

Expenditures from Foundation accounts must be approved in advance by the Athletic Department's Chief Financial Officer. Authorization is granted only if a) the item purchased cannot be purchased through the University (e.g. alcohol), or b) the item is needed quickly and cannot be purchased in a timely manner through standard university procedures.

OP 3.1: SELF STUDY ITEM 3:

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 uses the Request for Proposals (RFP) process adopted in 1992 to select the current 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 1992 process resulted in the University contracting with Virchow Krause & Co. Virchow Krause's contract was renewed/extended for a period of two years in 1998. The Audit Reports are contained in *Attachment 21*, and the Management Letters in *Attachment 22*.

In the following description, direct quotes from the reports are italicized.

1997-98 Audit**A. Findings****Fixed Asset Disposal**

The Athletic Department keeps a record of its general fixed assets as required by generally accepted accounting principles. Each year, additions are made to the prior year's records to provide an updated list of assets at the end of the current year. Presently, fixed asset deletions are not being identified and recorded.

We suggest that the Athletic Department develop a fixed asset form to be filled out by departments when an asset is traded in, sold or junked. In addition, a periodic physical inventory should be taken to validate the fixed asset record. (Management Letter, October 15, 1998, p. 1).

Documentation for Pay Rates

During our tests of controls over the payroll process, we could not find documentation for certain employee pay rates. Lack of documentation of authorized pay rates makes it difficult to determine that personnel are being paid proper amounts. We recommend that the authorized pay rate documentation should be maintained for all personnel. This can be accomplished by:

- *Approving an annual salary listing the pay rates or pay ranges for all positions and/or employees.*
- *Including the authorized pay rates as a supporting schedule of the annual operating*

budget, and having the pay rates approved as part of the annual budget.

- *Maintaining a historical schedule of the pay history for each individual and position. (ibid., p.1).*

B. Corrective Actions

The Athletic Department is continuing to work with the University's property control officer to address the fixed asset disposal and pay rate documentation issue, which is also an issue for the campus as a whole. The Athletic Department is currently participating in the University's campus-wide physical inventory project that is geared to address the issue of old outdated inventory remaining on the University's books. This process includes taking a periodic inventory of equipment. The Athletic Department does not document pay rates or maintain a historical schedule because documentation of pay rates is done at the campus level and is readily available in the campus "Red Book" budget. All raises for all Athletic Department employees must be approved at the campus level.

1996-97 Audit

A. Findings

Monitoring Merchandise Ordered and Received under the Reebok Contract.

For the fiscal year July 1, 1996 through June 30, 1997, the Athletic Department was not monitoring merchandise being ordered by the respective sports departments. Controls to safeguard against the risk of ordering merchandise above the sports' or departments' allotted amount was not in place. The Athletic Department was not able to determine the value of merchandise received during the year. In addition, according to generally accepted accounting principles, all merchandise received under such a contract should be recorded as an expense with a corresponding revenue to reflect the value of the merchandise being received. (Management Letter, November 7, 1997, p.2).

B. Corrective Actions

In 1997-98, the Athletic Department developed procedures to monitor activity with respect to the Reebok contract. These procedures include using equipment restrictions and specifying the amount of merchandise that each sport or department can order. In addition, a new equipment room manager was hired. The Athletic Department was able to determine the value of merchandise received during the year. Merchandise received was recorded as an expense with corresponding revenue in 1997-98.

1995-96 Audit

A. Findings

Ticket Sale Reconciliations

Basketball ticket sales for away games were not reconciled between the ticket office and the business office prior to our audit. The reconciliations were a standard operational procedure performed by the ticket office

staff in prior years. With the recent turnover of employees in this area, the reconciliations were overlooked. We recommend that all ticket sales reconciliations be done on a timely basis to ensure proper internal controls over ticket sales. (Management Letter, November 13, 1996, p.2).

B. Corrective Actions

Not only have we addressed the auditors findings from 1995-96, but we have implemented a comprehensive reconciliation process using the automated ticketing system that accounts for all ticket stock on a weekly basis. Reports are issued to account for sold, voided, scrapped, and unused ticket stock and those totals are reconciled to game settlement reports from the ticketing system. In addition, we audit total deposits made for ticket sales to the sales reports from the ticketing system. This two step process allows us to insure all ticket stock is accounted for and all sales are deposited.

OP 3.1: SELF STUDY ITEM 4:

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).

Institutional oversight and approval of all expenditures, except those identified and discussed in the second part of question 2, is exactly the same as for 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 oversight and expenditure approval process has four basic elements:

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--program revenue, state tax support, and expenditure of gifts/donations. In other words, the Athletic Board, the UW-Madison, the UW System Board of Regents, the Governor and the Legislature approve not only the total budget, expenditures and positions for the Division, but the budget, expenditures and position level for each of the sources listed above.
3. The budget and position level, as approved in items 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 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 approval by the Board of Regents and/or legislature. This requirement applies to all units on the UW-Madison campus.

Expenditures from outside sources are approved as described in the subsection entitled "Budget Process for Items Under Indirect Accounting and Financial Control" of the answer to Self-Study Question 2. Some of these expenditures fall under our Special Account Policy and are handled in the following way:

The Division of Intercollegiate Athletics, with the approval of the Athletic Board and the Chancellor, has established an appropriate Special Account(s) funded by designated outside entities, for the use of certain selected administrators and coaches of the Division in the general areas of public relations and fund raising, and to provide certain employee business expense reimbursements that the State cannot cover. Access to the Special Account(s) is under the control of the Chancellor's designee, who is currently the Vice Chancellor for Legal Affairs (Melany Newby). The intent of establishing this Special Account(s) is to enable an outside source to provide advance approval for certain benefits and perquisites as required by the NCAA and ethics law. The Special Accounts Policy limits the type of expenditure that is "pre-approved" under the policy. The complete Special Accounts Policy is presented in *Attachment 6*.

OP 3.1: SELF STUDY ITEM 5:

Please provide copies of the management letters (or executive or management summaries) of the institution=s three most recent external (those used to satisfy the annual independent financial audit requirement in Constitution 6.2.3.1) and internal (if any) financial audits for Intercollegiate Athletics.

These documents are presented in *Attachment 22*.

Operating Principle 3.2: Fiscal Management and Stability

In this Operating Principle, the NCAA seeks to ensure that institutions apply prudent management and fiscal practices in the administration of its intercollegiate athletics program. To demonstrate the use of such practices the institution will provide evidence that its practices assure the necessary financial stability to provide all student-athletes with relatively full and stable opportunities for participation. In the following self-study items, the university's arrangements in this regard are described and appraised.

OP 3.2: SELF STUDY ITEM 1:

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 at the National level and within the Big Ten Conference. In addition, similar to all University Auxiliary units, the department is required to be self-supporting from revenues generated by the athletic program, gifts and donations to the program (Note: total state support is approximately 1.5 percent of the Division's budget). Finally, the oversight of funding and expenditures will be such as to ensure institutional control and compliance with all University, State, Conference and NCAA guidelines.

OP 3.2: SELF STUDY ITEM 2:

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. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. Prepare a separate list for revenues under the institution's direct control and another for revenues not under the institution's direct control.

In fiscal year 1998/99, the Athletic Department adopted a new budget format. Consequently, there are no projected revenue and expenditure budgets available using the new budget format for years prior to 1998/99. *Attachment 23* includes 1) projected and actual revenues and expenditures for fiscal year 1998/99 using the new format and, 2) actual revenues and expenditures for the past four fiscal years along with projected revenues and expenditures for 1999/2000 using the new format. Projected and actual revenues and expenditures for the last three years using the old budget format are public record, and are available upon request.

The last page of *Attachment 23* displays expenditures for booster group activities and for the different sports made through the Athletic Department from sources not under the direct control of the Athletic Department. This list does not include expenditures made directly by booster groups on behalf of UW-Madison athletics (i.e. where a booster group writes its own check to purchase something for the athletic program). Since April 1, 1999 this type of booster expenditure requires approval by Athletic Department Officials before the purchase is made (see *Attachment 6*).

OP 3.2: SELF STUDY ITEM 3:

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 deficit 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. These statutes assure that athletic deficits are taken seriously and addressed appropriately.

In the recent past, there have been two examples of a deficit in the UW-Madison Division of Intercollegiate Athletics. These occurred in 1989 and 1999. In the following paragraphs, the operation of these procedures is described.

Fiscal Year 1989

In the fiscal year ending June 30, 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, including:

1. Refinancing debt on athletic facilities through state bonds
2. Diversifying and enhancing revenues through developments 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. Once the deficit was eliminated, the student fee was rescinded and no more parking revenue was diverted to the Division.

Fiscal Year 1999

The second example was the Athletic Department deficit for the fiscal year ending June 30, 1999. The Division registered a deficit of \$1.1 million in fiscal year 1999 and budgeted a \$600,000 deficit in fiscal year 2000. The cause of the 1999 deficit was largely attributable to unexpected capital expenditures, rather than to increases in operating expenses or revenue shortfalls. To address this, the Athletic Department budget office and Athletic Board Finance Committee prepared a five year financial plan (*Attachment 24*). Separately, the Legislative

Audit Bureau completed an audit of the Athletic Department to determine causes of the current deficit situation. (*Attachment 25*). The report of the Audit Bureau acknowledged the capital spending source of the 1999 deficit. The Division now estimates a surplus not a deficit for this fiscal year. The Department has made a number of program and budgetary changes, including: a) consolidating resources within the Department and b) obtaining additional sponsorship revenue. In addition, there has been an increased distribution from the Big Ten Conference as a result of an additional Big Ten team in the Bowl Championship Series. As a result, (as of April 1) the Department is projecting a healthy surplus for fiscal year 2000.

OP 3.2: SELF STUDY ITEM 4:

Outline the sources, uses and amounts of subsidization of the intercollegiate athletics program from non-athletic department and/or non-institutional sources.

In the subsection of Self Study Item 2 (above), financial statements documenting the amount of funds from institutional sources (tuition waivers and State appropriation*) and booster organizations are provided. In addition, the Athletic Program received assistance from the following sources in the fiscal year ending June 30, 1999:

Type	Amount	Sources
- Utilities	\$1,285,000	Institution
- Maintenance (**)	\$1,250,000	State

* The State provides the athletic program annual funding to help offset the costs associated with the Women's Sports program. The appropriation is around \$600,000 which is about 1.5 percent of the Athletic Department Annual Operating Budget.

** The State funds 70 percent of certain major maintenance projects. The only two projects that the State has helped fund in the last ten years were the two turf replacements in Camp Randall Stadium.

OP 3.2: SELF STUDY ITEM 5:

Identify the sources, uses and amounts of athletics department surplus and/or reserve funds.

Athletic Department reserves are generated internally by net income surpluses. Athletic Program reserves are designated for use by the Athletic Department under a separate appropriation from the State of Wisconsin. Reserves are used to fund Athletic Department operations and capital projects in periods where net operating income is insufficient to cover total expenditures. During the past five years, the Department's reserves have increased or decreased as follows:

	Beginning Reserve as of 7/1/year	Net Income (Loss)	Ending Reserve Balance as of 6/30/year
1994-95	\$708,938	\$1,866,839	\$2,575,777
1995-96	\$2,575,777	\$79,979	\$2,655,756
1996-97	\$2,655,756	\$511,528	\$3,167,284
1997-98	\$3,167,284	\$748,508	\$3,915,792
1998-99	\$3,915,792	(\$1,093,273)	\$2,822,519

The 1998-99 reduction was the result of several major capital expenditures that could not be funded from annual operating and gift revenues.

OP 3.2: SELF STUDY ITEM 6:

Describe how the university will accommodate future financing needs of the intercollegiate athletics program or plans to respond to changing conditions based upon the institution's future financing projections.

The Athletic Department has recently undertaken a five year planning exercise. The full Five Year Plan is presented in *Attachment 24*. The University has been a full partner in the planning process; the plan was approved by the Chancellor and Athletic Board.

OP 3.2: SELF STUDY ITEM 7:

After reviewing the institution's Equity in Athletics Disclosure Act survey forms for the three most recent years for which the information is available, comment on the institution's provision of full and stable opportunities to student-athletes. In particular, provide comment, sport-by-sport, on per diem, transportation, equipment, percentage of sport budget that has to be obtained via fund-raising and other applicable comparisons. Analyze, explain and address (if necessary, through specific plans for improvement) any significant discrepancies.

There are two dimensions to "full and stable opportunities for student-athletes." The first is financial. The Athletic Department's Five Year Plan is based on the assumption that all sports that are currently part of the Athletic program will be funded in the future at levels necessary for them to compete nationally. The Five Year Plan, therefore, makes the financial commitment of the Athletic Department and the university to stable opportunities for athletes.

The second dimension is equity in opportunity across sports and gender. This dimension is addressed annually in the Athletic Board's Planning and Equity Committee's Gender Equity Report. The report examines many dimensions of equity including participation, scholarships, facilities, recruiting budgets, etc. The Committee then makes recommendations as part of the Budget Process to help ensure that gender equity concerns are addressed. The most recent Gender Equity Reports, including recommendations, are included as **Attachment 33**.

The UW-Madison Athletics department has very little reliance on fund-raising to support our sports. The last page of **Attachment 23** displays booster funds and other donated funds used to support UW-Athletics. As was discussed in Self Study Item 2 (above), this list does not include purchases made by booster groups directly out of their own checking accounts. The amount of such purchases is small, and as described above in the statement of booster group policies (**Attachment 20**), all direct expenditures by booster groups require prior approval.

OP 3.2: SELF STUDY ITEM 8:

Please provide a copy of the institution's completed forms attesting to compliance with the Division I membership requirements related to minimum financial aid awards (i.e., Part II of the NCAA Sports Sponsorship Report, Form No. 98-7) for the three most recent academic years.

The forms are included as *Attachment 26*.

Operating Principle 3.3: Established Fiscal Policies and Procedures

The Operating Principle for this objective indicates that the institution must monitor its programs to assure compliance with NCAA rules and regulations. The demonstration of adequate monitoring requires that fiscal policies and standard operating procedures be in place to ensure that prospective student-athletes are not provided recruiting inducements that are not permitted, that enrolled student-athletes are not provided benefits prohibited by NCAA legislation, and that all expenditures are consistent with NCAA, conference, and institution rules. Through the following self-study items, the university's arrangements in this regard are described and appraised.

OP 3.3: SELF STUDY ITEM 1:

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

Principles/Philosophies of Athletics:

1. By virtue of its membership in the Big Ten Conference, the UW-Madison has adopted the following Big Ten Conference Principles which are contained in *Big Ten Conference Handbook 1999-2000*. (Quotes italicized).

Institutional Responsibility (p. 52)

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

Presidential Authority and Faculty Control (p.53)

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 fourth 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 UW-Madison in all matters relating to Intercollegiate Athletics, adopted a set of guiding principles in September 1991 (*Attachment 27*) for the operation of the Division.. The Board monitors every aspect of Division operations to ensure the Principles are adhered to.

Two of the most relevant principles are as follows:

- 1. 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.
 - 2. 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. In June, 1998, the Athletic Board adopted the Division's Strategic Plan which identified the following seven objectives:
- A. Academic Achievement
 - B. Competitive Success
 - C. Effective Financial Management
 - D. Compliance with NCAA Rules
 - E. Equity
 - F. Building Bridges to Campus

G. Great Place to Be

Goals C and D speak directly to financial compliance. Each year all seven 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.

Policies:

1. UW-Madison Faculty Policies and Procedures (FP&P) establish an Athletic Board to represent the faculty and oversee operations of the Division of Intercollegiate Athletics. (The part of FP&P that applies to athletic oversight is displayed in *Attachment 1*.) Functions 8 through 12 clearly define the Board's role in monitoring Athletic fiscal operations and ensuring those operations comply with NCAA regulations.
2. The Division of Intercollegiate Athletics has established a policy 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 (see *Attachment 28*). 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.
3. The Athletic Board adopted booster group policies (*Attachment 20*) to ensure booster group compliance with NCAA rules and regulations.

Standard Operating Procedures/Guidelines:

Operating procedures and guidelines are in place to assure that all Division expenditures are consistent with State Statute, NCAA regulations and the philosophy/goals of intercollegiate athletics described above.

1. As mentioned under "Policies" above, the Athletic Board has established a policy regarding the establishment and operation of booster organizations. The policy is included in *Attachment 20*. The policy speaks to many issues including compliance with Federal Tax Code and State Statute. More importantly, 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 6*). These guidelines mandate, among other things, prior approval by an athletic administrator and by the Chief Financial Officer of any expenditure on behalf of Intercollegiate Athletics.

In addition to the above, the University has successfully established and implemented an annual educational session covering, among other things, permissible financial support of athletic programs. Attendance is required for a club to be officially recognized as a booster organization.

2. As a matter of standard operating procedure, the fiscal operations of the Division of Intercollegiate Athletics are monitored as follows:
 - A. Each month, the Finance Committee of the Athletic Board reviews the year-to-date financial statement, and discusses all significant budget variances. Historically, variances in excess of \$50,000 require prior approval of the Finance Committee. All significant variances are reported to the entire Athletic Board.
 - B. The Finance Committee regularly reviews changes in fund balance to Foundation Accounts made by Booster organizations and others.
 - C. Each year the Finance Committee reviews the proposed budget for the next fiscal year. The budget is reviewed in great detail with considerable attention paid to compliance and progress toward achieving the seven goals set by the Athletic Board (see Principles/Philosophies above) for the Division. The Athletic Board's Planning and Equity Committee's Report on Gender Equity is shared with the Finance Committee prior to its budget deliberation.
 - 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.

OP 3.3: SELF STUDY ITEM 2:

Describe or provide a copy of the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements and enrolled student-athletes do not receive extra benefits contrary to NCAA, conference and institutional rules, including (a) identification of person(s) responsible for these areas (b) means of monitoring compliance with these rules and, (c) means of ensuring that only institutional or athletics department funds are expended in these areas.

(Note: Many of the issues discussed in this self-study item are addressed more completely in the section of the report on Governance and Commitment to Rules Compliance, above.)

Membership in the Big Ten Conference commits the institution to NCAA Compliance. In addition, compliance is one of the goals set by the Athletic Board for the Division.

Compliance is a shared effort. Many individuals throughout the department play a role in the commitment to adherence of the rules and regulations. However, the overall monitoring program is the responsibility of the compliance office. A system of checks and balances is in place for the necessary individuals (i.e. sport administrators, compliance officers, business office staff, Chancellor=s Office) to have oversight of all departmental expenditures.

The Division has procedures in place to educate and monitor parties involved in athletics. These procedures differ depending on the constituency, and are as follows:

Prospective Student-Athletes (PSA's)

The coaches have a clear understanding of what are permissible and impermissible activities regarding PSA's, through Chapter 13, "Recruiting," in the NCAA Manual. This information is emphasized on an annual basis via the NCAA Coaches Certification Examination. The bulk of the questions in this examination are from Chapter 13 and this chapter receives a thorough review by the coaches. If there is any new legislation in this area, an increase in incidents regarding self-reports, or an inordinate number of questions regarding this topic, the Compliance Office attempts to educate the relevant programs by either utilizing a portion of the time allotted to compliance during the mandatory monthly coaches meeting or through written correspondence, or both.

Enrolled Student-Athletes

NCAA Bylaw 16.02.3, "Extra Benefits," is the basic rule as regards this topic. The basic concept that is applied here is that any benefit that is not permitted by NCAA rules or is not available to the UW-Madison student body in general is regarded as an extra benefit, and is not permissible. There are a number of ways in which this information is relayed to the constituencies.

Student-Athletes:

Annual team meetings are held at the start of each academic year for the student-athletes. At these meetings, student-athletes are briefed on NCAA Rules and Regulations, and each student-athlete is given the Student-Athlete Handbook (*Attachment 29*) which describes

NCAA Rules and Regulations.

Ticket Office:

An in-service training session is held annually with ticket office personnel and the teams to cover compliance issues and describe how complimentary tickets must be handled in order to comply with NCAA regulations regarding extra benefits for student athletes. Student Athletes are asked to sign a form (*Attachment 30*) confirming their understanding of the extra benefit rules as it pertains to complimentary tickets.

Student Athletic Trainers:

In-service training sessions are held annually with the student trainers to discuss the topic of extra benefits and the proper role the student trainer should play in regards to the student-athlete. (The topics covered are displayed in *Attachment 31*)

Tutors:

The Compliance Coordinator meets with tutors hired by the Athletic Department to work with our student-athletes, and with the campus Student Services Office. The topic of extra benefits is explained carefully so as to avoid violation of the extra benefits regulation.

Boosters/Alumni/Friends:

A “booster education session” is held at the start of each academic year for our booster/support organizations to educate them about their organizations role in supporting their respective sport in adherence of the NCAA, Big Ten and institutional policies. A manual is presented to each support group which contains information on compliance issues. The manual is entitled, *A Guide to Rules and Regulations for Alumni and Friends of Badger Athletics*, and is shown as *Attachment 32*).

Coaches:

The coaches have a clear understanding of the “extra benefit” legislation. Specific examples and issues involving extra benefits to student-athletes are relayed to the coaches through the monthly coaches meetings and/or written correspondence.

Fiscal Integrity

OP 3.1 Financial Practices				
Does the institution demonstrate that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. All funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight?	X	60-61		
b. All expenditures from any source for athletics are approved by the institution?		65		
c. Budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2?	X	60-66		
The institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department	X	60, 65		
An annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department?	X	62		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 3.1 (Financial Practices)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 3.1?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 3.2 Fiscal Management and Stability				
Does the institution provide:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
Evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation?	X	73		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 3.2 (Fiscal Management and Stability)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 3.2?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 3.3 Established Fiscal Policies and Procedures				
Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Prospective student-athletes are not provided for impermissible recruiting inducements?	X	79-80		
b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation?	X	79-80		
c. All expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules?	X	73-80		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 3.3 (Established Fiscal Policies and Procedures)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Peer Review Team	Yes/ No	Comments/recommendations/suggestions		
Is the institution in conformance with Operating Principle 3.3?				
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

EQUITY, WELFARE AND SPORTSMANSHIP***Operating Principle 4.1: Gender Issues:***

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program be operated so as to assure gender equity, consistent with the NCAA's principle. This requires that the institution shall have implemented its approved gender equity plan from the prior self-study, and has adopted a written plan (including a statement of goals, steps to attain the goals, and persons responsible and timetable for attainment of the goals). Through the following self-study items, the university's arrangements in this regard are described and appraised.

PREFATORY STATEMENT:

The University of Wisconsin-Madison has a proud and continuing commitment to gender equity in its intercollegiate athletic program. Even during periods of budget cutbacks and fiscal limitations, the University has steadily increased opportunities for women student-athletes, both in quantity and in quality.

Women began intercollegiate athletic competition at the University in 1974-75 when the full complement of women's club teams that existed on campus were converted to intercollegiate sports programs. These teams included 109 student-athletes who competed in badminton, basketball, crew, cross country, fencing, field hockey, golf, gymnastics, swimming and diving, tennis, track, and volleyball. In response to student interests and to competitive opportunities, adjustments have been made in the array of sports for women, but ongoing support for competition and development opportunities has been firm.

The number of women student athletes has risen from 109 in 1974-75 to 307 in 1998-99. Initially, there was no money available for recruiting women student-athletes and the combined budget for team travel for all teams was \$15,400. Equipment was minimal. Members of the track team, for example, had to share shoes.

By 1979-80, the travel budget had increased to \$77,000 and there was a recruitment budget of \$3,700. Those allocations increased every year, even when there were overall budget cutbacks. By 1998-99, the travel budget was at \$1,359,567 and the recruitment budget was \$736,489. In response to a survey, coaches of every woman's team reported that they were given all the resources that they requested to recruit the highest level of talent available within the United States.

The University has developed and provided excellent facilities for women student-athletes to train and to compete. These facilities include a new softball complex and basketball arena, as well as a refurbished volleyball court. Tennis, soccer, and track have state-of-the-art facilities. There are plans for a new boathouse, support areas for the rowing teams, and a new swimming pool.

These investments have paid off. Wisconsin has consistently ranked 1 or 2 in the Big Ten in the composite score of the results of competition by women's teams. The University is ranked among the top schools in the country as a place for women student-athletes to participate in athletics and to get an education. Fan attendance at Wisconsin for women's basketball and volleyball has ranked among the top three universities in the country. The opening night attendance for our new women's hockey team was the second highest ever in the NCAA.

Our self-study is set within this tradition of pride and accomplishment. Part of that tradition is a continued effort to improve and to excel. Any concerns expressed should be considered in the context of both our pride and our desire to improve.

OP 4.1: SELF STUDY ITEM 1:

Explain how the institution is organized to further its efforts related to the gender issues operating principle ... for both staff and students and provide evidence that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.

The Division of Intercollegiate Athletics is organized so as to encourage all sports administrators to incorporate gender equity principles and concerns in making both general policies and implementation decisions. Because of this organizational arrangement, each sports administrator has responsibility for both men's and women's sports. There are no separate units for men's on the one hand and women's sports on the other. Similarly, there is no single individual within the division whose job it is to monitor, and enforce, gender equity policies. In 1998-99 (continuing through 1999-2000) the organization of sports administrators was as follows:

Cheryl Marra -- Men's basketball, Women's basketball, Women's volleyball, Men's swimming, Women's swimming, Men's golf, Women's golf

Michael Moss - Wrestling, Softball, Men's hockey, Women's hockey, Men's cross country, Women's cross country, Men's track, Women's track

Alan Fish - Football, Men's rowing, Women's rowing—open and lightweight

Terry Gawlik -- Men's soccer, Women's soccer, Men's tennis, Women's tennis

The intent of the above structure is two-fold: to avoid intradepartmental conflict between men's and women's sports and to integrate a firm and high commitment to gender equity in decision-making throughout the Division. In order to ensure that this structure does not lead to invisibility instead of integration for gender equity concerns, the Athletic Director has assigned responsibility for monitoring adherence to gender equity principles and practices to the Senior Women's Administrator on the management team (Cheryl Marra for the period under review). When necessary, she is to be the in-house advocate for gender equity concerns.

The Athletic Board is organized to provide special responsibility for monitoring and evaluating gender equity on a continuing basis and, when needed, proposing changes in policies and procedures. The Planning and Equity Committee of the Board has these responsibilities. The Committee conducts an annual review, using the 13 criteria of concern to the NCAA and the Office for Civil Rights, and reports the result of this review to the full Athletic Board. The Committee reviews annual budgets for their implications on gender equity and meets with the Finance Committee of the Board to discuss these concerns. In addition, the Planning and Equity Committee has responsibility for considering any special issues or concerns regarding gender equity affecting either students or staff.

The annual gender equity reviews prepared by the Planning and Equity Committee raise a concern about the effectiveness of current organization and accountability within the Division regarding gender equity. (*Attachment 33* includes these reports for years 1997, 1998, and 1999.) The 1999 report in particular notes problems in three areas (facilities, administrative support, and marketing and promotion) that have emerged, despite general patterns of progress in others. (See pages 9-15 and the summary on page 18 of the report.)

It should be noted that in a number of instances where inequities have emerged, booster clubs have played, at least indirectly, a major role. In prior years, the availability of funds from the booster club of a particular sport has provided advantages to that sport that were not enjoyed by others, leading to potential gender inequities. In recognition of this potential, the Department has recently initiated additional measures to insure accountability and control over booster club spending. These changes are described in the Fiscal Integrity section of the self-study. It is expected that these changes will minimize the possibility of future gender inequities due to differing capacities of booster clubs to generate revenue for a particular sport.

OP 4.1: SELF STUDY ITEM 2:

For the three most recent academic years for which the information is available, provide a copy of the institution's completed Equity in Athletics Disclosure Act survey form and worksheets. Analyze, explain and address (if necessary, through specific plans for improvement) discrepancies in the data between male and female student-athletes. Comment on any trends or significant changes.

We have included as *Attachment 34* the requested survey forms for the UW-Madison. The fundamental challenge that the University faces, despite its progress, is the continuing gap between the percentage of women in the general student body and the percentage of women who are student-athletes. Important steps toward closing this gap have been taken in the Department's roster management plan for achieving gender equity (see below).

Not surprisingly, expenditures in financial aid, recruitment, and equipment favor men's sports. The coaches of women's teams, on the other hand, generally fare better than their counterparts in men's sports. (Football does not have a counterpart in women's sports and thus is not included in this calculation.) When the costs are for a team rather than linked to individual student-athletes, there is no significant gender equity problem.

Participation rates drive many of the expenses in the Division's athletic program. Thus, we expect that some of the inequities reported in allocations and expenditures will narrow as the Division moves towards its goal of equal representation of men and women student-athletes. Moreover, there are legitimate, nondiscriminatory reasons for some of the differences in expenditures. Teams vary—regardless of the gender of the student-athletes—in the cost of equipment they require. For example, football recruiting has been very competitive and has required the University to bring more recruits to campus per scholarship offered and accepted than occurs in other sports.

The annual gender equity reports of the Planning and Equity Committee (See *Attachment 33*) note the apparent gaps and provide explanations. The 1999 report also noted some discrepancies. These have been addressed in the 2000-2001 budget.

OP 4.1: SELF STUDY ITEM 3:

Report on the institution's implementation of its plan to address gender-equity issues from its previous certification self-study. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the actions, (d) action(s) not taken or not completed, and (e) explanations for the partial completion.

(a) The Original Plan

The Plan to address gender-equity issues presented in the prior certification self-study is included in this report as **Attachment 35**. That plan consisted of two main elements, namely:

- the addition of two new sports for women
- reach equality of the ratio of men to women in the general student population and the ratio of men to women student-athletes (termed “substantial proportionality,” with an interim goal of demonstrating to the Office for Civil Rights that UW-Madison complies with the standard of demonstrating historic and ongoing commitment to gender equity

(b) Actions taken by UW-Madison to implement the Plan

During the period since the last certification of the program (Cycle 1, completed in 1997), the University has taken several actions consistent with our commitment to gender equity and designed to achieve substantial proportionality and implementation of the Plan. These actions include:

- the addition of three new sports for women
- substantial improvement in the student athlete gender participation ratios—from 65 percent men and 34.8 percent women in 1994-95 to 57.8 percent men and 42.2 percent women in 1997-98
- the adoption of a policy of managing roster sizes in order to reach proportionality

(c) The date(s) of the action(s) taken

Numerous decisions were taken by the University designed to achieve substantial proportionality and implementation of the plan. These separate decisions have secured attainment of outcomes described in (b), above, and include:

- addition of softball in 1993-94, to begin competition in 1995-96
- adoption by the Athletic Board of the goal of providing opportunities for women to participate in intercollegiate athletics proportionate to their representation in the undergraduate student body in April, 1995
- addition of lightweight crew for women in 1994-95, to begin competition in 1996-

97

- adoption by the Athletic Board of a policy of managing rosters in order to reach gender proportionality implemented in 1999-2000

(d) Action(s) not taken or not completed and (e) explanation(s) for partial completion:

In 1997-98, the University petitioned the Office for Civil Rights to be found in compliance with the standard of historic and ongoing commitment to gender equity was denied by OCR. The OCR found the University ineligible because it dropped women's badminton in 1981-82 and gymnastics and fencing in 1991-92.

OP 4.1: SELF STUDY ITEM 4:

Please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

The annual Gender Equity Reviews undertaken by the Athletic Board provide the institution's ongoing plans for addressing gender equity, and include measurable goals, the steps taken or to be taken, the persons responsible and timetables. We have included these Reviews as *Attachment 33*.

OP 4.1: SELF STUDY ITEM 5:

Using the program area checklist for gender issues, provided as Attachment No. 3, please: (a) describe how the institution has ensured a complete study of each of these areas, (b) provide data demonstrating the institution's status/commitment across each of the areas, and (c) explain how the institution's future plan for gender issues addresses each of the areas.

See annual Gender Equity Reviews, presented as *Attachment 33*.

OP 4.1: SELF STUDY ITEM 6:

Describe the current policy, organization and resource allocation related to student-athlete or athletics support services (e.g., sports 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.

The attached Gender Equity Review for 1999 (*Attachment 33*) presents the requested description of current policy, organization and resource allocation related to student-athlete or athletics support services. As described in that Review:

- The Division maintains separate Sports Information, Marketing and Promotions units for men's and women's sports.
- (The Review raised a concern about the allocation of staff resources, which appeared to favor men's sports relative to women's sports. Subsequent to the completion of the Review, the Division took steps to correct that inequity.)
- Sports medicine, strength and conditioning, training room, sports equipment, travel and per diem expenditures are driven by the needs of individual student-athletes, regardless of gender. The Division has central units that provide these services to all teams and to all student-athletes. Resources are allocated to these units based on

the pattern of previous years and projections of how many athletes, men and women, will be served in a given year.

- Facilities are generally very good for all of the teams. Differences are primarily a function of history. The inequities that do exist tend to affect new sports – and that means women's sports. The Board and the Division have developed plans that address the relative needs of the coaches and student-athletes of these new sports. A new facility for softball was completed for the 1998-99 season. Plans have been approved for major remodeling of the boathouse to meet the needs of women's rowing and plans are being developed for a new swimming pool and facilities for women's hockey.

Operating Principle 4.2: Minority Issues

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program be operated so as to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination. The Principle requests discussion of the implementation of the plan from the prior self-study and presentation of a written plan for future operation of the Division consistent with the Principle. Through the following self-study items, these plans and actions are described and appraised.

OP 4.2: SELF STUDY ITEM 1:

Explain how the institution is organized to further its efforts related to the minority-issues operating principle above for both staff and students and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.

The University has articulated its goals and strategies to achieve equity through a comprehensive affirmative action program. This program is described in Plan 2008: A Blueprint to Enhance Campus Diversity, which is shown as *Attachment 36*. This program identifies a set of specific and result-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 has honored its stated policy designed to ensure respect for American Indians and their culture. With one inadvertent exception, home competitions have not taken place with teams that have Indian nicknames, mascots or logos. During this period, at least one coach negotiated to play against such a team, but when reminded of the policy, was able to extricate the university from the contract. We did play one game (in 1997) against the Utah Utes at the Copper Bowl, but this was a post season game against a competitor we could not choose. And, we did play a women's tennis match versus Miami (Ohio) at the time that they were the 'Redskins.'

The Personnel Committee of the Athletic Board receives regular reports on minority presence in Division staffing. These reports are evaluated by the Personnel Committee for progress in achieving racial equity. In addition, the Personnel Committee reviews administration evaluations of coaches in all sports every year. One of the criteria used for these evaluations is attention to squad diversity. Within the last four years, all coaches have been required to submit a diversity plan to their sports administrator, and their commitment to this plan is part of the yearly evaluation of their performance.

OP 4.2: SELF STUDY ITEM 2:

For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members, other full- and part-time professional athletics department staff members, full- and part-time head coaches, full- and part-time assistant coaches, faculty-based athletics board or committee members, and other advisory or policy-making group (if any).

The requested racial/ethnic composition data are presented in Part A (Athletics and Selected Institutional Personnel) of *Attachment 37* on Racial and Ethnic Composition.

These data suggest that the senior staff and coaching staff are more diverse than other professional department staff. Although ethnic diversity remains low, the figures in this table show that minorities are represented at all levels of Athletics Department Staff, especially at the highest levels. In particular, minorities are 14 percent of senior administrative staff. Moreover, the Athletic Department has sought to recruit minority coaches, with some success (e.g., the hiring of Stu Jackson as men's basketball coach).

Overall diversity across all Division personnel is less satisfactory. Overall, 9 percent of Division personnel are minorities, which is similar to that of the remainder of the university, where 89.6 percent of faculty, 89.7 percent of senior administrators, 91.7 percent of academic staff, and 94.7 percent of classified staff are Caucasian. (The source of these data is: Plan 2008: A Blueprint to Enhance Campus Diversity; see *Attachment 36*.)

Although the 9 percent overall figure seems low, it represents a substantial improvement from the 6 percent minority representation figure shown in the Cycle I self-study. This improvement is largely explained by increased diversity in other professional Athletic Department staff.

The Athletic Board, which includes a 14 percent minority representation (similar to that from 1991-94 reported in the prior self-study), is more diverse than Division staff. However, an advisory panel to the Director of 45 persons whose composition is determined by patterns of support provided to the athletic program is less diverse, containing one minority member; plans to diversify and perhaps to expand this panel are under consideration.

OP 4.2: SELF STUDY ITEM 3:

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

Part B (Students Generally and Student-Athletes on Athletics Aid) of *Attachment 37* on Racial and Ethnic Composition shows the racial or ethnic backgrounds of students generally and of student athletes who received athletics aid. The total number of student athletes is fairly stable over the three years and consistently diverse. Over the three years, approximately 16 percent of student athletes are from racial or ethnic backgrounds other than Caucasian. This is a decrease in diversity from 1991-94, when 21 percent of student-athletes were nonwhite. Nevertheless, this proportion is far greater than the proportion of minorities in the general student population, which has ranged from 9.2 to 9.3 percent of all students during the 1996-97 to 1998-99 period. We should note that international students, who bring their own diverse cultural perspectives, are not counted as minorities.

OP 4.2: SELF STUDY ITEM 4:

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.

Part C (Men's and Women's Sports Teams) of *Attachment 37* on Racial and Ethnic Composition shows the racial or ethnic backgrounds of student athletes who received athletics aid by sport groups.

UW-Madison does not have baseball program, so no athletes are listed for that row. Men's basketball and football are most diverse, men's other sports and women's track/cross country are least diverse. Since 1991-1994, these women's and men's sports have become less diverse (16 percent, down from 21 percent). Countering a general trend toward a slight decrease in diversity, women's track has increased its minority representation from 5 percent to 9 percent and men's other sports have increased minority representation from 3 percent to 5 percent.

OP 4.2: SELF STUDY ITEM 5:

Report on the institution's implementation of its plan to address minority issues from its previous certification self-study. Specifically include: (a) the original plan, (b) the actions taken by the institution, (c) the dates of action, (d) actions not taken or not completed, and (e) explanations for partial completion.

In our prior self-study report undertaken during Cycle I (*Attachment 35*), we found that the activities of the athletics program are consistent with the mission and purpose of the University of Wisconsin-Madison and that the institution was in substantial conformity with the operating principles.

However, we were not satisfied and identified a need for further diversification. Specifically, we noted the need for more minorities at all ranks of the coaching and administrative staff and more minorities in the varsity sports. We identified two ways to translate our commitment to diversity into action: (1) Annual performance reviews of coaches and administrators were to include a review of their efforts to achieve more racial diversity; and (2) the Planning and Equity Committee of the Athletic Board was charged with developing a detailed affirmative action program that would be built into the Athletic Department's strategic plan.

Both of these actions were implemented soon after completion of the Cycle I accreditation. Annual performance evaluations of administrators and coaches have included a review of their efforts to achieve racial diversity since 1995. The Planning and Equity Committee of the Athletic Board developed a detailed affirmative action program in 1995 (*Attachment 38*). This plan has been part of the Athletic Department's Strategic Plan since 1995. The Department achieved some success in the hiring of minority coaches. The hiring of Stu Jackson as men's basketball coach was an important result of this effort. The current men's soccer coach is also a racial minority.

The new Strategic Plan for 1999-2000 (See *Attachment 39*) includes a specific goal to increase the percentage of minority and disadvantaged employees at all levels. Specifically, the plan will analyze retention rates, increase candidate pools by modifying the hiring process to reach more minorities, improve record keeping to better track annual hiring results, and expand and monitor recruiting efforts.

Although our efforts over the last five years have improved diversity among Athletic Department personnel (although not among coaches), we have suffered a slight decrease in diversity among student athletes. Efforts to attain our diversity objectives must be strengthened. Administrators and the Athletic Board need to consider mechanisms that can be put into regular practice that will remind coaches of their responsibility to ensure diversity on their teams. For example, the diversity plans of most coaches are now 4 years old. These plans should be reviewed and refreshed. In addition, although sports administrators always consider team diversity when reviewing coaches, a diversity item is not on the standard coach evaluation form. This should be added. In general, the Division needs to be creative and proactive in developing other approaches to improve our performance in this dimension. These include a recommitment to increasing diversity among coaches and assistant coaches, as diversity among our coaches is important for increasing diversity among our student athletes (while diversity in this category did not decrease over the last five years, neither did it increase). And, as indicated above, plans to diversify and perhaps to expand the 45 member advisory panel to the Director (composed of persons who have provided substantial support to the athletic program) are under consideration.

OP 4.2: SELF STUDY ITEM 6:

Please provide a written, stand-alone institutional plan for addressing minority opportunities for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

In 1995, the Department adopted an affirmative action plan, which is shown as *Attachment 38*. That plan is part of the Department's Strategic Plan (*Attachment 39*), which plan indicates the institution's on-going efforts for addressing minority issues, including goals and actions to attain them.

OP 4.2: SELF STUDY ITEM 7:

Using the program area checklist for minority issues, provided as Attachment No. 4, please: (a) describe how the institution has ensured a complete study of each of these areas, (b) provide data demonstrating the institution's status/commitment across each of the areas, and (c) explain how the institution's future plan for minority issues addresses each of the areas.

The University of Wisconsin-Madison has adopted a comprehensive plan for achieving campus diversity. This plan is entitled Plan 2008: A Blueprint to Enhance Campus Diversity, and is shown as **Attachment 36**. As described above, the Planning and Equity Committee of the Athletic Board receives an annual report from each of the Associate Athletic Directors on progress and issues related to ethnic diversification. The AADs in charge of sports report on how each of their coaches have worked to diversify their teams. The AAD in charge of the spirit squad reports on ethnic diversity among the cheerleaders and dance team members. The AAD in charge of personnel reports on ethnic patterns of retentions and new hires throughout the athletic program. The progress of the institution in attaining these goals is shown in the tables documenting ethnic diversification, and shown as **Attachment 37**. The Planning and Equity Committee will continue to monitor efforts and results to address minority diversification and to report to the full Athletic Board for appropriate action.

Operating Principle 4.3: Student-Athlete Welfare

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program be operated so as to protect and enhance the physical and education welfare of student-athletes. The Principle requests demonstration of a commitment to the fair treatment of student-athletes (especially in their academic roles), evidence that this commitment is being monitored, evaluated and addressed (including the establishment of appropriate grievance/appeal procedures), and evidence that programs to protect the health/safety of student-athletes are in place. Through the following self-study items, these plans and actions are described and appraised.

INTRODUCTION:

The University of Wisconsin-Madison has developed and implemented a wide variety of programs and policies to support student-athletes. The Division of Intercollegiate Athletics has as its primary focus the welfare of student-athletes. Our programs provide structure and support for over 700 men and women students each year as they attempt to balance their academic and athletic responsibilities. While some of our programs are available only to students on one of our 23 teams, we also use many campus programs and services offered to all students. In this way, we avoid duplication and involve our athletes with other students on campus.

OP 4.3: SELF STUDY ITEM 1:

Explain how the institution is organized to further its efforts related to the student-athlete welfare operating principle above and provide evidence that matters concerning student-athlete welfare are monitored, evaluated and addressed on a continuing basis.

Student-athlete welfare is monitored on many levels within the Division. A principle point of contact is with coaches on a daily basis. Other staff that have regular contact with athletes include: sports medicine staff (trainers and doctors), equipment staff, team managers, their sport associate athletic director, academic counselors, and their fellow athletes. All of these people are trained to identify and respond to the wide variety of issues that present challenges for student-athletes. The types of issues to be addressed are comprehensive, including:

- Sport-specific coaching and instruction
- Academic evaluation and support services
- Injury prevention and rehabilitation
- Equipment sizing and selection
- Assistance with media requests
- Access to personal and crisis counseling
- Life skills development
- Nutrition education
- Job placement assistance during summers and after graduation
- NCAA and conference rules education and services

These student services are located throughout the Division's organization under the overall supervision of the Director of Athletics, Pat Richter. Four sports administrators supervise the 23 sports: Cheryl Marra (Senior Women's Administrator), Mike Moss, Alan Fish, and Terry Gawlik. Support services are coordinated by a management team consisting of: Director Pat Richter, Associate Athletic Directors Cheryl Marra, Alan Fish, and Mike Moss, Chief Financial Officer Jamie Pollard, and Associate Athletic Director for External Relations Vince Sweeney. (See *Attachment 5*)

Each team has an orientation meeting at the beginning of the year where coaches, administrators and support services staff have each athlete fill out NCAA and institutional forms and receive information about how to access services provided by Intercollegiate Athletics and the campus. Areas of emphasis at this required meeting always include: academic services, medical services, housing and scholarship issues. Special topics are also addressed which may change from year to year. Past sessions have provided information and advice on: sexual harassment and gender issues, gambling, sports agents, changes in NCAA/conference rules, travel policies, and schedules and facility plans. (*Attachment 40*)

Individual sports also provide specific policies that supplement division-wide guidelines. Examples of several sport manuals are provided as an attachment to this section.

As our primary contact with student-athletes, coaches are a critical component of efforts to identify and address their issues. When new coaches are recruited and hired, team members are involved in the process. Criteria in the hiring process are the coach's record of training, and supporting and shaping the overall collegiate experience of their teams in previous jobs. Once hired, monthly meetings between coaches and administrators address issues that directly affect

the teams. Regular meetings between individual sports administrators and coaches and observations at practice, home and away games provide opportunities to evaluate and address individual and team issues.

By assigning four sport administrators to the 23 sports, more attention is given to individual team issues than the previous organizational structure, which used only two sport administrators. Since this reorganization two years ago, sport issues have received more detailed attention in all areas. Administrators can be more involved with each sport, the coaching staff and team members. This attention translates into a higher intensity and quality of oversight and intervention on a continuing basis.

A student-athlete advisory council is organized each year to serve as a platform to raise issues and plan events for team members from all sports. (*Attachment 41*) At monthly meetings attended by two administrative staff, students identify problems to be raised or new initiatives for action by the Division or the university. The advisory council has engaged a wide variety of issues, including: coordination with campus housing and food service, community service projects, hours and services offered in the new academic affairs facility, the quality of training table menus, and developing job fairs and other job placement support programs. The standing committees are community service, social, and outreach.

The council also appoints two members to the Athletic Board to directly represent the perspective of student-athletes and to participate in budgeting, personnel, facility planning and other policy development issues. The president of the council serves with ten other counterparts representing all the schools in the Big Ten Conference to provide a sounding board for policy makers at that level. In the past, the president of the council has not necessarily served on the Athletic Board. As a result of this review, it may be advisable to have the president serve both on the Athletic Board and the conference student-athlete advisory committee. While the workload would be expanded, there are significant overlapping discussions on campus and conference policies that could benefit from the continuity offered by a single representative from Wisconsin.

Within each sport, the captain or captains are given responsibility by the coach to provide regular communications. Some coaches have established formal meetings, while others discuss issues as they arise. On every team, this structure provides another opportunity to identify and address team or individual issues.

We emphasize the benefits of these multiple channels to bring forward issues and problems facing our student-athletes and have them addressed or resolved. The expectation for all our staff is to treat this as a significant priority. This is reflected in our annual coach and staff evaluations, our organizational structure, and our education and training priorities.

OP 4.3: SELF STUDY ITEM 2:

Describe the institution's education enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; academic skills enhancement) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

Our academic services are thoroughly described in the Academic Integrity section of the Self-Study. We have a comprehensive academic support program within Intercollegiate Athletics which provides assistance in admissions, course selection and advising, evaluating individual academic needs, specific class study groups/tutors, access to a dedicated computer lab, programs to address specific learning disabilities, major selection, life skills training, grant-in-aid assistance, and recognition of academic achievements.

Within the context of this program, career guidance counseling occurs from the beginning of the admissions process. For those who come to the university with a specific career goal in mind, our counselors help assess the different major paths to the goal. For those who are exploring alternate career goals, we help assess their interests and strengths. In addition, a campus advisor is also assigned to every undergraduate. Both the Division and the campus sponsor numerous career fairs and job fairs to expose students to public and private sector career options.

Confidential personal counseling offered in a multifaceted approach in an attempt to offer a comfortable access when situations occur that are difficult for student-athletes to acknowledge. Local private psychologists and therapists in a professional practice under contract with Intercollegiate Athletics provide counseling. The private practice provides a more rapid response in crisis situations than would be available through Student Health Services. It is coordinated through the sports medicine program, team physicians and trainers. The vast majority of referrals are for counseling for individuals. The issues to address include family and relationship problems, drug/alcohol abuse, and depression, stress and eating disorders.

In addition, we refer some cases to the campus counseling programs available to all students. There have been occasions where group counseling is provided. We have offered this service when an athlete or coach passes away to help with grieving.

Access to multiple professionals, both male and female, makes it easier to establish a functional relationship. All of our staff and students are educated about how to encourage referrals when difficulties arise. This is a topic at all preseason orientation sessions.

Health and safety services are also a partnership between Intercollegiate Athletics and campus services. Our comprehensive sports medicine program is linked with the Kinesiology Program, UW Hospital and Clinics, and Sports Medicine Clinic on campus. Our modern central training room is staffed with nine certified trainers, an insurance coordinator, nutritionists, six physicians, and over 30 student trainers. Both prevention and rehabilitation services are offered as well as regular clinics for doctor visits on-site, dental, eye and physiological testing programs. Our facilities are state of the art, with multiple treatment stations, hydrotherapy, steam room, sauna, attached rehabilitation pool, and taping room. Auxiliary training rooms are available in the Kohl Center and Natatorium. Our staffing and programs are summarized in the attached Sports Medicine Informational Guide (*Attachment 42*) and Sports Medicine Policy and Procedures manual (*Attachment 43*). A random drug

testing program is administered within the Division. (*Attachment 44*) All of our health services are organized and directed by a Medical Board. (*Attachment 45*) University Student Health Services provides a back-up service in some instances, but the majority of health services are provided directly through the sports medicine program.

Sports safety issues involve medical staff evaluating practices, facilities and trends in injury risks. Our certified equipment staff custom fit all practice/game uniforms, shoes and specialized sports equipment. Our equipment staff of five serves assigned sports by ordering, fitting and maintaining all of the equipment used by athletes.

The campus Dean of Students Office offers a wide variety of safety/security programs. In addition, individual self-defense classes for women and a safe ride night transportation program are also provided by campus.

Academic skills enhancement programs are provided with three certified learning specialists within the academic affairs program who are assigned to students by the director of academic services. This individual attention is supplemented by a development Champs/Life Skills Program for larger groups. In order to expand this program, a proposal is being developed to find a full-time position to coordinate and expand the program in the 2000-2001 season.

We are fortunate to have access to programs and services offered by the McBurney Disability Resource Center on campus. The center provides specialists who evaluate and develop individual programs involving reading, writing, oral language, math organization, study, social, attention and concentration skills.

OP 4.3: SELF STUDY ITEM 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.

Each of the four sport administrators conducts a comprehensive evaluation of each head coach at the end of each season and reports to the Athletic Board through the Personnel Committee. As part of that evaluation, the entire team is surveyed. During the same period, senior athletes who have exhausted their eligibility are requested to meet with their sport administrator for an exit interview. A more extensive questionnaire is filled out by the student-athlete before the meeting and the questionnaire is discussed during the course of the exit interview. (*Attachment 46*) The surveys and the administrator's direct experiences with the coaches, team and support services are the basis for the annual evaluation. Goals for the year are reviewed and evaluated. The decision to recommend contract renewal is made and, if renewed, goals for the upcoming year are established. This process effectively integrates both continuing and graduating student-athlete information and opinions into the coach's evaluation process conducted by the administration.

Many other avenues for student-athlete input exist, as described in previous sections.

OP 4.3: SELF STUDY ITEM 4:

Describe and provide a copy of the institution's grievance or appeals procedures available to student-athletes.

The foundation of this process is the Division's Code of Conduct, as described on Page 20 of the Student-Athlete Handbook (See *Attachment 29*). A series of misconduct examples are listed and the appeal process is described. The process is straightforward, focusing on a good faith effort to resolve disputes between the student-athlete and coach or staff person directly. In the case of no resolution, an appeal may be requested of the athletic director in writing. The two faculty representatives constitute the appeal board and they may choose to include others on an appeal board specifically formed to review each appeal within 30 days. Their findings are final. (*Attachment 47*)

OP 4.3: SELF STUDY ITEM 5:

Describe the institution's education activities/programs in the area of student-athlete violence, abuse and harassment.

Examples of misconduct including participating or condoning violence, abuse or harassment, are included in the Student-Athlete Handbook (*Attachment 29*) distributed to each team member on every team. Coaches and administrators include in preseason orientation discussions our expectations for appropriate behavior as a representative of the university and the Division.

Three staff members have been trained as harassment contacts within the Division. Terry Gawlik, Assistant Athletic Director, Mary Weaver-Klees, Academic Affairs, and Kip Marvin, Personnel, are formally designated to receive, evaluate and act on harassment complaints within the context of a campus-wide network to receive complaints and gather appropriate resources to investigate, support and resolve harassment cases. Information about these victims' contacts is posted and regularly included in internal newsletters. (*Attachment 18*)

This year, the campus coordinator for abuse and harassment complaints from the Equity and Diversity Resource Center presented an education session to our monthly meeting with all coaches on identifying and addressing incidents. We intend to continue and expand this effort annually.

OP 4.3: SELF STUDY ITEM 6:

Identify the administrator who is responsible for the institutional awareness of health, safety and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department.

Associate Athletic Director Mike Moss is responsible for these areas. His supervisory assignments include sports medicine and academic affairs, as well as eight sports (men's and women's hockey, men's and women's track and cross country, wrestling and softball). In addition, he coordinates connections with other campus programs, i.e., housing, student health, and diversity.

The policies are disseminated in handbooks, at freshman orientation meetings, to potential recruits and their families, and at team-specific meetings at the beginning of each new season.

OP 4.3: SELF STUDY ITEM 7:

Describe or provide a copy of the institution's emergency medical plan for practices and games, including its written emergency plan for the athletics program and specify coverage for out-of-season practices, strength training and skills sessions.

Attached is the emergency policy, a venue-specific protocol for each sport, emergency contact cards distributed to all coaches and sports medicine staff, and individual student-athlete forms to identify/confirm insurance coverage, complete medical histories, clarify liability responsibilities and manage other health care information. (*Attachment 48*)

OP 4.3: SELF STUDY ITEM 8:

Using Item Nos. 2, 3, 7, and 9 in Program Areas to be Reviewed for Minority Issues, provided as Attachment No. 4, and substituting student-athlete welfare for the minority and diversity issues in those items, please:

- a. Describe how the institution studies these topics as they apply to all student-athletes;*
- b. Provide data demonstrating the institution's commitment to these issues for all student-athletes; and*
- c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.*

Evaluation

A regular review of our student-athlete welfare activities occurs on multiple levels: feedback from coach-athlete interaction supplemented by captain's meetings with coaches, communication from the Student Athlete Advisory Board, regular access to sports administrators during the year, participation on the Athletic Board and Conference Advisory Board, annual coaching evaluation surveys, and senior exit interviews. All provide opportunities for the Division to identify issues and plan responses in policies, procedures or budget changes, either in individual sports, specific support services, or division-wide improvements.

Organization and Structure

As described in previous sections, our organization has been structured to monitor and proactively initiate improvements to support student-athletes. Coach education and training sessions, preseason team-specific orientation meetings, membership on advisory and decision-making boards, access to sports administrators, and formal coach and support service evaluations all contribute to a culture where student issues are a focus for administrative decisions.

Participation in Governance and Decision Making

Each team's coaching staff involves athletes, and particularly captains, in regular reviews that lead to operating decisions directly effecting student-athletes. The Student Athlete Advisory Board provides a formal forum to identify and resolve issues. Membership of a male and female student-athlete on the Athletic Board and its operating committees provides an opportunity for their perspectives and positions to be included in policy decisions ranging from budgets, compliance, facility use and personnel.

Programs and Activities

This chapter and most of our entire certification report have described the comprehensive scope of programming offered to student-athletes by the Division of Intercollegiate Athletics. Many of our investments in the past five years were focused on improving support. These include facilities, travel budgets, equipment, sports medicine,

academics, computers, locker rooms, organized opportunities for community service, personnel changes, and improved coordination with campus-wide services. Our five-year plan provides both direction and resources to continue these investments and attention to continue improving the student-athlete experience at the University of Wisconsin.

OP 4.3: SELF STUDY ITEM 9:

Please provide the institution's student-athlete handbook.

The student-athlete handbook is provided as *Attachment 29*.

OP 4.3: SELF STUDY ITEM 10:

Please provide written materials (e.g., forms) used to document student-athlete exit interviews.

Please see *Attachment 46*.

Operating Principle 4.4: Sportsmanship and Ethical Conduct

The NCAA Operating Principle for this objective indicates that the intercollegiate athletics program and those associated with it adhere to fundamental values such as respect, fairness, civility, honesty and responsibility. The Principle requests demonstration of the commitment to sportsmanship and ethical conduct values through the establishment of a set of written policies and procedures, demonstration that educational efforts to secure this commitment are in place, and evidence that this commitment is being monitored, evaluated and addressed on a continuing basis. Through the following self-study items, these plans and actions are described and appraised.

INTRODUCTION:

Intercollegiate Athletics exists within the context of higher education and is an integral part of the overall mission of the university. As such, athletics are provided to enhance the overall educational experience for student-athletes. We are committed to continuing our promotion of a healthy athletic environment with a foundation of fair play and ethical conduct. We consider it of utmost importance to create a positive atmosphere throughout our program so that student-athletes have the opportunity to excel in their sport and also learn important life lessons about teamwork and sportsmanship. All staff within our organization must be committed to fostering a competitive environment that is fair, safe and respectful for all concerned.

These goals can be difficult to achieve amidst the money, pressure and visibility that accompany Division I athletics. Nevertheless, they are a foundation for all decision-making within the division.

OP 4.4: SELF STUDY ITEM 1:

Explain how the institution is organized to further its efforts related to the sportsmanship and ethical conduct operating principle on the previous page and provide evidence that matters concerning sportsmanship and ethical conduct are monitored, evaluated and addressed on a continuing basis.

"Sportsmanship" is a set of behaviors exhibited by student-athletes, coaches, game officials, administrators and fans in athletics competition. These behaviors are based upon values, including respect, civility, fairness, honesty and responsibility.

"Ethical conduct" is a set of guiding principles with which each person follows the letter and spirit of the rules. Such conduct reflects a higher standard than law because it includes among other principles, fundamental values that define sportsmanship.

Sportsmanship and ethical conduct are emphasized in preseason meetings between sports administrators and coaches and between coaches and their teams. Expectations for behavior are established and consequences for failing to meet these expectations are reviewed in the student-athlete handbook, coaches' employment contracts and Big Ten Conference policies. Coaches monitor student-athlete behavior during every contest and provide direction and/or correction immediately. Sports administrators monitor coaches' actions at all home games and respond to concerns about actions at away games once the team returns in cases where they are not accompanying the team. A packet of information that clarifies conduct expectations is given to every incoming student-athlete at a preseason meeting. (*Attachment 49*)

Fan behavior is monitored by both sports administrators and facility event managers during each game. Facility and security staff are trained to prevent possible breaches of sportsmanship and/or safety by screening fans as they enter games, not allowing signs, objects which could be thrown or other disruptive possibilities. Fans that arrive clearly intoxicated as determined by police are not admitted. Unruly fans are ejected and sometimes arrested. A complete evaluation of fan behavior and prevention tactics occurs every two weeks at an event managers meeting with facility and security staff.

OP 4.4: SELF STUDY ITEM 2:

Describe and provide a copy of the institution's written policies and procedures on sportsmanship and ethical conduct, including sanctions that may be levied for inappropriate behavior.

In addition to the division's code of conduct (*Attachment 50*), individual teams provide written rules and the Big Ten Conference has rules and sanctions. A sample of team rules is attached. They address a wide variety of situations from legal problems outside athletics to expected behaviors when traveling with the team, and academic effort and performance. (*Attachment 51*)

The Big-10 conference code of conduct addresses acts of unsportslike conduct by any staff or team member representing the institution. The policy includes procedures for investigating, determining sanctions, appeals and reinstatement. (*Attachment 52*)

OP 4.4: SELF STUDY ITEM 3:

Describe educational activities related to sportsmanship and ethical conduct for student-athletes, coaches, support groups and all others associated with the intercollegiate athletics program.

In addition to actions described in Self-Study Item 1 in this section, all booster clubs are briefed on rules and expectations at an annual meeting with the athletic director and staff. Fans coming to games are educated about general or game-specific concerns by letters/articles in local media, notices in game programs, public address announcements and scoreboard announcements.

The athletics staff participates in campus-wide efforts which have an effect on fan behavior, including student government issues and initiatives to address specific problems. For example, our facilities/events administrator is on the Robert Wood Johnson sponsored campus steering committee to educate, regulate and provide alternatives to address alcohol abuse issues among students.

OP 4.4: SELF STUDY ITEM 4:

Describe mechanisms the institution has in place to review and monitor the effectiveness of its sportsmanship and ethical conduct policies and procedures. Also, provide a brief description of incidents that have been reviewed through these mechanisms in the last three years.

In 1998-99, the Athletic Board Compliance Committee and the sports administrators comprehensively reviewed the division's code of conduct policy. Coaches and the Student-Athlete Advisory Board were consulted. Individual team rules were reviewed along with conference policy. It was determined that the combination of team-specific rules established by coaches and their administrators, supported by a broader overall code of conduct for the entire division, was the most effective, flexible and responsible system to maximize the impact on student-athletes, staff and fans. The availability of conference standards and NCAA standards in Bylaw 2.4, Article 10, and Bylaw 11.1 provide a framework to apply specific expectations consistent with those regulations.

In addition to that specific review, each year the management team or the sports administrators group reviews individual instances where problems occurred and were addressed to insure consistency across sports within the division.

Facilities and events staff meet to plan each sports home events season and review issues that arose during the season after its completion. As a result of these reviews, the division has:

- Changed from general admission seating to reserved seats in student sections to improve crowd control and avoid congestion.
- Removed heavy souvenir plastic cups from student sections at football games to reduce the threat of thrown objects.
- Began screening bags at event entries to remove alcohol and objects that could be thrown.
- Established a program where students who sit in student sections formally give feedback on issues/problems/opportunities that could make their experience safer, more exciting or organized.
- Supported the formation of the Badger Student Fan Club, which is committed to the principles of sportsmanship and responsible conduct.

OP 4.4: SELF STUDY ITEM 5:

Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sportsmanship and ethical conduct.

Like all institutions, we have examples of inappropriate individual behaviors that have resulted in a wide variety of sanctions, both internal to athletics and external as part of the criminal justice system. A difficulty always is the time lag between the incident, the investigation and resolution that occur concurrently at the university and with local authorities.

In cases where the incident is acknowledged or proven, institutional suspensions have been applied before the legal process is concluded. When charges are in doubt or disputed, institutional actions before legal conclusions are reached can be difficult. We have had a case where a student-athlete is arrested for possession of crack cocaine that resulted in immediate and permanent suspension from the team. Several assault charges have not resulted in suspensions since the facts were in question and eventually charges were dropped. An arrest for driving while intoxicated did not result in a suspension since it was a first offense and was used as an object lesson to all athletes; a staff person who was in the same car was issued a formal letter of reprimand.

Recently, assault charges to a number of players on one team led to civil fines for underage drinking and use of false identification. Sanctions for these players are currently being reviewed by the coaches and administrator. Since the team completed its season in the fall, game suspensions will have to be considered and applied next year. Other disciplinary actions are being reviewed.

No sanctions have been applied to Wisconsin athletes or staff under conference or NCAA standards relating to code of conduct regulations in the last three years. While the problems of high profile athletes are regularly and visibly noted in the media, the many positive contributions are harder to notice. Nevertheless, we witness regular actions from student-athletes that define them as true role models. These include:

A weekly trip to the children's ward at University Hospital by six to eight different athletes.

Community service activities organized by the division or individual teams to help and promote the Humane Society, Habitat for Humanity, United Neighborhood Centers, Madison Literacy Council, and other organizations.

Regular appearances at local elementary schools to promote academics as a prerequisite to college admission and scholarship.

Participation in DARE programs to educate youth on drug and alcohol abuse prevention.

Finally, our institution is noted for a long-standing tradition of the intrinsic value of ethical conduct. The people on the athletics staff, the institution's staff, our alumni and fans all share the expectation that fair play and quality behavior are a critical component of student and staff experience at Wisconsin. This tradition and the people involved in the operation provide the foundation for the institution's commitment to the values of sportsmanship and ethical

conduct.

Equity, Welfare and Sportsmanship

OP 4.1 Gender Issues				
Has the institution:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Implemented its approved gender-equity plan from the previous self-study?	X	98; Att. 38		
b. Provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out?				NA
c. Demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel?	X	94-100		
d. Formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders?	X	Att. 38		
e. Developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables?	X	Atts. 38-39		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 4.1 (Gender Issues)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 4.2 Minority Issues				
Has the institution:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Implemented its approved minority-opportunities plan from the previous self-study?	X	98; Att. 38		
b. Provided an explanation from appropriate institutional authorities if its minority opportunities plan was modified or not fully carried out?	X	NA		
c. Demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of all minority student-athletes and athletics department personnel?	X	94-100		
d. Formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel?	X	Att. 38		
e. Developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables?	X	Atts. 38-39		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 4.2 (Minority Issues)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 4.3 Student-Athlete Welfare				
Does the institution:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students?	X	101 103		
b. Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis?	X	102 103 106 107 109		
c. Have established grievance or appeal procedures available to student-athletes in appropriate areas?	X	107; Atts. 29; 47		
d. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes?	X	104 105 110 Att. 48		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 4.3 (Student-Athlete Welfare)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

OP 4.4 Sportsmanship and Ethical Conduct				
Does the institution:	Yes	Found on Page(s)	No	Indicate specific plan for improvement as outlined in the introduction
a. Demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sportsmanship and ethical conduct?	X	114 119		
b. Have established a set of written policies and procedures for this area?	X	116; Atts. 50,51,52		
c. Demonstrate that educational activities related to sportsmanship and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience?	X	117		
d. Provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis?	X	118		
On the basis of the yes/no answers and plans for correcting deficiencies above, is the institution in substantial conformity with Operating Principle 4.4 (Sportsmanship and Ethical Conduct)? [Note: the institution should not indicate "yes" regarding conformity with the operating principles as a whole unless it has indicated "yes" for each element of the operating principle or has included a plan to address any "no" responses to any element(s) of the operating principle.]				Yes/No YES
Date Completed:				
Institution's Reaction to Peer Review Team's Comments.				
Comments:				
Date Completed:				
Peer Review Team Chair's Response				
Comments :				
Date Completed:				

List of Attachments

Governance and Commitment to Rules Compliance Attachments:

1. Faculty Policies and Procedures 6.26–Athletic Board
2. Board of Regents Minutes–Athletics Issues
3. Board of Regents Agenda Materials for Capital Projects
4. Grid of Athletic Board Committee Membership
5. Athletic Department and Compliance Organization Flow Charts
6. Special Accounts Policy
7. First annual Progress Report to the NCAA Infractions Committee
8. Booster Club Audit (Charles Smrt)
9. Professional Sports Counseling Handbook
10. Compliance Manual
11. Recruiting Guide
12. Student-Athlete Employment Policies and Forms

Academic Integrity Attachments:

13. NCAA Forms on Standardized Test Scores for Freshman Student-Athletes and Students
14. Special Admissions Information (Operating Principle 2.3, Self-Study Item 3: Academic Integrity; NCAA Attachment No. 1)
15. Minutes of the Academic Affairs Committee for 1998-1999
16. Specific Requirements for Each College of the University
17. Academic Affairs Committee Membership: 1998-1999
18. Organization Flow Chart for Academic Support

Fiscal Integrity Attachments:

19. List of Athletics Foundation Accounts
20. Athletic Board Booster Group Policy and Guidelines
21. Virchow, Krause and Co. Audit Reports–1996-1998
22. Virchow, Krause and Co. Management Letters–1996-1998
23. Financial Statements–1995-1999
24. Five year Strategic Financial Plan
25. 1999 Legislative Audit Bureau Report
26. Minimum Financial Aid Award Compliance
27. 1991 Athletic Board Guiding Principles
28. Policies Governing Outside Athletically Related Income and Benefits
29. Student Athlete Handbook.
30. Ticket Benefits for Student Athletes Form
31. Student Athletic Trainers and Extra Benefits Information
32. A Guide to Rules and Regulations for Alumni and Friends of Badger Athletics

Equity, Welfare and Sportsmanship Attachments:

33. Annual Gender Equity Reviews--1997-1999
34. Equity in Athletics Disclosure Form and Worksheets–1997-1999
35. Cycle I Certification Report on Commitment to Equity
36. Plan 2008: A Blueprint to Enhance Campus Diversity
37. Racial or Ethnic Composition Forms (Operating Principle 4.2; Self-Study Items 2, 3, and 4: Equity, Welfare and Sportsmanship; NCAA Attachment No. 2)
38. Department's Affirmative Action Plan (1995)
39. Department's Inter-Collegiate Athletics Strategic Plan for 1999-2000
40. New Student-Athlete Orientation Guide
41. Student-Athlete Advisory Committee

42. Sports Medicine Informational Guide
43. Sports Medicine Policies and Procedures Guide
44. Screening Program for Substance Use
45. Medical Board
46. Student-Athlete Exit Interview
47. Appeal and Hearing Process
48. Athletic Department Emergency Policy
49. Information Packet for Entering Student-Athletes regarding Sportsmanship/Ethical Conduct
50. Athletic Department Code of Conduct
51. Team Rules Regarding Sportsmanship/Ethical Conduct
52. Big-10 Conference Policy on Sportsmanlike Conduct

Note: The attachments referred to in this publication are not included in this document.