Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Public

2. Year institution was founded: 1876

3. Special Affiliation? No

4. Coeducational? Yes

5. Total student enrollment (undergraduate and graduate combined) [using a full-time equivalency (FTE) basis]: 13774

6. Number of Faculty [using a full-time equivalency (FTE) basis]: 623

7. Highest level of academic degree offered: Doctorate

8. Institution's governing entity: Board of Regents

9. a. Regional accreditation agency: North Central Association of Colleges and Schools

9. b. Date of most recent regional accreditation self-study: 2010

9. c. Current accreditation status: Certified

Athletics Information

1. Subdivision status of athletics program (Academic Year 2011): I-FCS

2. Conference affiliation(s) or independent status (Academic Year 2011):

   - Football: Missouri Valley Football Conference
   - Men's Basketball: Missouri Valley Conference
   - Men's Cross Country: Missouri Valley Conference
   - Men's Golf: Missouri Valley Conference
   - Men's Track, Indoor: Missouri Valley Conference
   - Men's Track, Outdoor: Missouri Valley Conference
   - Men's Wrestling: Independent
   - Softball: Missouri Valley Conference
   - Women's Basketball: Missouri Valley Conference
   - Women's Cross Country: Missouri Valley Conference
   - Women's Golf: Missouri Valley Conference
   - Women's Soccer: Missouri Valley Conference
   - Women's Swimming: Missouri Valley Conference
   - Women's Tennis: Missouri Valley Conference
   - Women's Track, Indoor: Missouri Valley Conference
3. Athletics program structure ('X' all that apply):

   X  one combined athletics department.
   ___ separate men's and women's departments.
   ___ incorporated unit separate from institution.
   ___ department within a physical education division.

4. Date of NCAA major infractions case(s) (if any) since the institution's previous athletics certification self-study and impact (if any) on the areas of the certification program. If this is the institution's first time to complete a self-study, respond to the question based on the last 10 years.

   UNI did not have any major infractions case.

5. Other significant events (with dates) in the history of intercollegiate athletics program since previous athletics certification self-study. If this is the institution's first time to complete a self-study, respond to the question based on the last 10 years.

   McLeod Center opened in 2006, providing a competition venue for men's basketball, women's basketball and volleyball.
   Men's swimming and diving dropped as an intercollegiate sport in the spring of 2002.
   Men's tennis discontinued as an intercollegiate sport in the spring of 2002.
   Women's swimming and diving discontinued as an intercollegiate sport in the spring of 2002. It was re-instated in the summer of 2002.
   Women's tennis dropped as an intercollegiate sport in the spring of 2002. It was re-instated in the summer of 2002.
   Baseball was discontinued as an intercollegiate sport in the spring of 2009.
   The 33,000 square foot Richard O. Jacobson Human Performance Center (HPC) opened at the University of Northern Iowa (UNI) in January, 2008 as part of the physical education, recreation, and athletics complex. The complex includes: the Physical Education Center, completed in 1971; the UNI-Dome, completed in 1976; the Wellness and Recreation Center, completed in 1998, and, the McLeod Center, completed in 2006.

Previous Certification Self-Study

1. Date of Cycle 2 orientation and evaluation visit (if applicable):

   UNI's orientation visit during the Cycle 2 Certification process was January 23, 2001. The peer review team visited UNI's campus on April 8-11, 2003.

2. Cycle 2 certification-status decision and date rendered by the NCAA Division I Committee on Athletics Certification (if applicable):

   UNI's Cycle 2 certification decision was "Certified with Conditions" on October 24, 2003.

3. Subsequent actions or changes and date(s) in certification status (if any) made by the committee (if applicable):

   The Committee on Athletics Certification changed UNI's certification status to "Certified" on September 30, 2004.
4. Changes in key senior-level positions, institutional or athletics program, if any, since the institution's previous athletics certification self-study. If this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years:

A number of changes in senior leadership have occurred during the past decade. Robert Koob, who served as UNI's president since 1995, retired in 2006. That same year, the University's search for a new President resulted in the appointment of Benjamin Allen, UNI's current President. At the beginning of the decade, Aaron Podolefsky served as the Provost and Vice President for Academic Affairs, a position he left in 2005 to assume the Presidency at the University of Central Missouri. James Lubker, Dean of the College of Humanities and Fine Arts, served as the Interim Provost from 2005 to 2009 and then retired from the University. Gloria Gibson became the new Executive Vice President and Provost in July 2009. In addition, Thomas Schellhardt became the Vice President for Administration and Financial Services in 2002 and Terrance Hogan became the Vice President of Student Affairs in 2007.

Troy Dannen was selected as UNI's Director of Athletics in July of 2008.
Jean Berger was named UNI's Senior Associate Athletic Director/SWA in November 2008.
Dr. Anne Woodrick, Professor was named UNI's Faculty Athletics Representative in 2001. Dr. Lisa Jepsen, Associate Professor of Economics, will assume the FAR position in July of 2011.

5. Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program), since the institution's previous athletics certification self-study. If this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years:

In May, 2002, UNI dropped its men's and women's swimming and diving programs and the men's and women's tennis programs because of budget constraints. In late June, 2002, the women's swimming and diving program and the women's tennis program were reinstated by the university.

The Western Wrestling Conference was founded in 2006. Members are United States Air Force Academy, North Dakota State University, University of Northern Colorado, University of Northern Iowa, South Dakota State University, Utah Valley University and the University of Wyoming.

In February, 2009, UNI dropped its baseball program due primarily to reductions in state funding to the university but a decision that also helped to address issues related to the proportionality disparity in participation by men and women in UNI athletics.

UNI agreed to an exclusive, comprehensive multimedia rights agreement with Learfield Sports on May 6, 2008, effective with the 2009-10 academic year. As part of this agreement, UNI established "Panther Sports Properties" as the local entity working to manage and sell multimedia and sponsorship rights on behalf of UNI athletics.

In 2010-11, the Board of Regents, State of Iowa (Board) required the University of Northern Iowa (UNI) Department of Athletics to perform a comprehensive administrative review of the funding of its intercollegiate athletics program. Part of the purpose of the review was to analyze athletics funding, given the context at UNI (e.g., the broader financial situation at UNI, at other Regents institutions, and in the state of Iowa), and part of the purpose was to compare UNI athletics funding and budget to those items at similar NCAA institutions.

The President's office, along with the Director of Athletics and the Vice President for Administration and Financial Services, conducted the administrative review. They received input from the university cabinet; the leadership of the faculty; students; the UNI Alumni Association; the UNI Foundation; and, the Cedar Valley community. During the review, athletics department funding sources and budget were analyzed according to their position in the budgetary context at UNI (institutional mission; financial exigencies) and were compared to those items at UNI peer institutions and institutions within the Missouri Valley Conference.

In 2009, The Board of Regents, State of Iowa instituted the Regents Admissions Index (RAI): a new admissions policy for its Regents Institutions, including UNI. The RAI is used to determine admission for students entering UNI directly from high school. The RAI is based in four factors: standardized test score (by "American College Testing" = the ACT); high school grade point average (GPA); high school class rank; and, number of high school courses completed from a set of specified core subjects.
AN RAI score is calculated for each high school student applicant for admission to UNI using the following equation:

$$RAI = (2 \times ACT) + (1 \times \text{high school rank}) + (20 \times \text{high school GPA}) + (5 \times \text{number of high school courses completed in the core subject areas})$$

Applicants whose work earns a RAI score of 245 or higher, and who meet minimum high school course requirements required for graduation and/or admission to UNI, are guaranteed admission to UNI. Applicants whose work earns an RAI score of less than 245, but who meet the minimum high school course requirements for graduation/admission to UNI, will be considered for admission on a case-by-case basis. Applicants from high schools who do not provide class rank are considered for admission on an individual basis.

Certification Self-Study Information

1. Steering Committee Chair: Dr. Cliff Chancey

2. Chief report writer/editor of self-study report: John Burtis

3. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before findings and plans for improvement were formulated; and (b) review the self-study report after it was drafted.

UNI's NCAA Certification was reviewed for input and comment by a broad-based constituency on campus, including the following:

- Intercollegiate Athletic Advisory Committee (IAAC)
- Athletic Compliance Council
- President Ben Allen
- Vice President Tom Schellhardt
- Steering Committee Chair Dr. Cliff Chancey
- Faculty Senate
- UNI Athletics Compliance
- Athletic Department Senior Management
- Athletic Academic Advisors
- Student-Athlete Advisory Committee (SAAC)
- Panther Scholarship Club Board of Directors

Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports to members of the President's Cabinet and UNI Academic Affairs Council.

Drafts of the subcommittee reports and the final self-study report, along with information relative to the self-study process, reports, and meeting notices were posted on the University's NCAA Certification website for public review.

The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011.

4. Provide a copy of the institution's written plan for conducting the self-study. [Please use the file upload link contained within this question to submit a copy of the institution's written plan.]

UNI's written plan for conducting the self-study report is attached.

5. Please provide the institution's mission, philosophy and goals statement and the athletics program's mission, philosophy and goals statement. Also, indicate the dates of formal approval for the most recent versions.

The University of Northern Iowa Mission Statement (2009-10)

Vision Statement
The University of Northern Iowa will be nationally known for innovative education, preparing students for success in a rapidly changing, globally competitive, and culturally diverse world.
Mission Statement
The University of Northern Iowa provides transformative learning experiences that inspire students to embrace challenge, engage in critical inquiry and creative thought, and contribute to society.

Values
As a university community we are guided by the following core values:

Academic Freedom ? freedom of inquiry by students, faculty, and staff
Access? an affordable, inclusive educational environment
Accountability ? integrity, responsibility and the highest ethical standards of students, faculty and staff
Community? an ethical, caring, and safe community characterized by civility
Diversity ? a welcoming community that celebrates pluralism, multiculturalism, and the unique contributions of each person and group
Engagement ? characterized by challenge, transformation, and lifelong learning in a global society
Excellence ? in teaching and learning, scholarship and creative work, and service
Sustainability ? an attractive, well-maintained campus environment that enhances the living and learning experience with an emphasis on environmental stewardship.

The Department of Intercollegiate Athletics at the University of Northern Iowa is dedicated and committed to the highest level of competition with peer and sister institutions, institutions in the Missouri Valley Conference, the Missouri Valley Football Conference, and the Western Wrestling Conference, on a national basis in terms of athletic excellence and academic achievement of student-athletes.

We will offer compelling experience for the student-athlete and for our campus community and will provide a diverse environment steeped in integrity, values and vitality. We are committed to equitable opportunities for all students, student-athletes and athletic department staff including women and minorities. Our programming offerings, our recruitment of both students and staff, and our career enhancement opportunities for staff will reflect this commitment to equity and diversity. Further, we are totally committed to the NCAA principles of sportsmanship and ethical conduct and nothing short of complete and total adherence to the principles and guidelines subscribed to by the NCAA in these critical areas will be tolerated or accepted.

Teaching is our core, positive growth and development of student-athletes is our goal and the highest level of performance both in the classroom, in social settings, and on the field of play is our target outcome.
Operating Principle

1.1 Institutional Control, Presidential Authority and Shared Responsibilities.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to NCAA Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each condition, provide:
   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. Condition
   The University of Northern Iowa did not have any conditions for certification imposed from its Cycle 2 certification related to Operating Principle 1.1.

   Action

   Action Date

   Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each issue identified, provide:
   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goals;
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.
If the institution developed a plan for improvement for Operating Principle 1.1 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan.
- The institution has had personnel changes since the original development of the plan.
- The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial or noncompletion:

- The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

1. Original Plan

The University of Northern Iowa did not have plans for improvement or recommendations from the Cycle 2 certification process for Operating Principle 1.1.

Action

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<th>Action Date</th>
<th>Explanation for partial or non-completion</th>
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3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each additional plan, provide:

a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goals; and
c. The date(s) the step(s) was completed.

The University of Northern Iowa has not developed any additional formal plans for improvement or recommendations since the Cycle 2 certification decision was rendered for Operating Principle 1.1.

4. Describe how the institution's chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the director of athletics to the chancellor or president.

The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.

University of Northern Iowa (UNI) President Benjamin Allen has clear oversight and control of the university's intercollegiate athletics program. The President is the Chief Executive Officer of the institution and reports directly to the Board of Regents, State of Iowa (Board). The Board is vested with ultimate authority over the three Iowa Regent
Institution Self-Study Instrument Report - University of Northern Iowa

Governance and Commitment to Rules Compliance

universities, pursuant to Iowa Statutes Chapter 262. Board authority is exercised through delegation of the necessary authority to appropriate senior level administrators on each state university campus. For UNI, the Board delegates authority to University President, Benjamin Allen. President Allen delegates responsibility for day-to-day oversight of the intercollegiate athletics program to the Vice President for Administration and Financial Services, Tom Scheelhardt, who reports directly to President Allen. President Allen delegates responsibility for day-to-day administration of the intercollegiate athletics program to the Director of Athletics, Troy Dannen, who (a) meets regularly to review athletic department issues with the President and the Vice President for Administration and Financial Services and (b) reports directly to the Vice President for Administration and Financial Services.

Although the President of UNI is actively engaged, and asserts ultimate control over the athletics program at UNI, the organizational structure for oversight is indirect: through the Vice President for Administration and Financial Services. In 2007, the external rules compliance evaluation of UNI athletics conducted by Bond, Schoeneck & King, PLLC of Overland Park, Kansas recommended: "Given the nature and placement of intercollegiate athletics programs in higher education generally, the University should consider whether a direct reporting relationship for the Director of Athletics to the President should be explored." Since that time, and upon review of the organizational reporting lines for athletic departments within the Missouri Valley Conference, Missouri Valley Football Conference, and UNI peer institutions, it is apparent that the majority of institutions reviewed have a direct reporting line between the Director of Athletics and the University President.

Consequently, in order to further enhance institutional control, the Governance and Commitment to Rules Compliance Subcommittee (of the UNI Self-Study Steering Committee for Cycle 3 NCAA Certification) recommends that UNI consider a change in its organizational structure: to create a direct reporting line from the Director of Athletics to the University President, while keeping the current day to day reporting relationship for the Director of Athletics to the Vice President of Administration and Financial Services. This recommendation is in the Governance and Commitment to Rules Compliance Plan for Improvement.

5. Since the institution's previous self-study, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

a. Chancellor or president;
b. Athletics board or committee;
c. Faculty senate (or other faculty governing body);
d. Student-athlete advisory committee;
e. Director of athletics;
f. Faculty athletics representative;
g. Senior woman administrator; and/or
h. Other individual(s) or campus constituencies.

Please note, if this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

The following is a brief, chronological summary of major decisions and activities related to intercollegiate athletics at the University of Northern Iowa (UNI) since its Cycle 2 certification in 2002. Included are key individuals involved with those decisions.

2002: Swimming and Tennis Program Changes ? In May, 2002, UNI dropped its men's and women's swimming and diving programs and the men's and women's tennis programs because of budget constraints. In late June, 2002, the women's swimming and diving program and the women's tennis program were reinstated by the university, to help address issues related to the disparity in proportionality of participation by men and women in UNI athletics (see section 3.1 of this self-study: gender equity report). Former Director of Athletics Rick Hartzell, former University President Robert Koob, former Senior Women's Administrator (SWA) Sandra Williamson, and former Associate Athletic Director (AD) Julie Bright were involved in these decisions.

2006: Construction of the McLeod Center ? The McLeod Center, a 6,500 seat arena that serves as home to the UNI Panthers volleyball and men's and women's basketball programs, was constructed. It opened in November, 2006. The center helps UNI address athletic programming needs in general as well as access issues for its female athletes in particular (see section 3.1 of this self-study: gender equity report). Former Director of Athletics Rick Hartzell, former University President Robert Koob, former Director of Athletics Rick Hartzell, the Board of Regents, State of Iowa, UNI institutional staff, UNI alumni, and many community members were involved in this new facility project.

2008: Construction of the Human Performance Center ? The 33,000 square foot Richard O. Jacobson Human Performance Center (HPC) was constructed. It opened in January, 2008 as part of the physical education,
recreation, and athletic complex at UNI. The HPC helps UNI address access issues and it supports strength and conditioning activities for all student-athletes in addition to providing medical and athletic training services. The HPC was a cooperative effort by the Department of Athletics at UNI and the School of Health, Physical Education, and Leisure Services at UNI. The HPC contains a medical complex, which is a partnership with the area community. Former UNI President Robert Koob, former Director of Athletics Rick Hartzell, the Board of Regents, State of Iowa, UNI institutional staff, UNI alumni, and community members were involved in this facility project (see item #2, goal #13 in section 3.1 of this self-study for additional details on the principals and processes involved).

Learfield Sports Contract ? UNI agreed to an exclusive, comprehensive multimedia rights agreement with Learfield Sports on May 6, 2008, effective with the 2009-10 academic year. As part of this agreement, UNI established “Panther Sports Properties” as the local entity working to manage and sell multimedia and sponsorship rights on behalf of UNI athletics. Former Director of Athletics Rick Hartzell, former Associate AD/External Operations Leon Costello, former Interim AD/current Head Football Coach Mark Farley, and Vice President Tom Schellhardt were involved in this decision.

Director of Athletics Hire ? Troy Dannen was hired as the new Director of Athletics for the University of Northern Iowa (UNI) on May 29, 2008. University President Benjamin Allen, Vice President for Administration & Financial Services Tom Schellhardt, and a broad-based campus search committee including athletic administrators, faculty, students, coaches, community members, and alumni were involved in the hiring process.

Senior Associate Athletic Director/Senior Woman Administrator Hire ? Director of Athletics Troy Dannen named Jean Berger as the new Senior Associate AD/SWA in October, 2008. A broad-based campus search committee including athletic administrators, faculty, students, and coaches was used in the hiring process.

2009: Elimination of Baseball ? In February, 2009, UNI dropped its baseball program due primarily to reductions in state funding to the university but a decision that also helped to address issues related to the proportionality disparity in participation by men and women in UNI athletics (see section 3.1 of this self-study: gender equity report). This decision was made by Director of Athletics Troy Dannen in consultation with Vice President for Administration & Financial Services Tom Schellhardt and University President Benjamin Allen.

2010: Department of Athletics Organizational Chart Restructure ? To standardize and clarify its chain-of-command for all those with responsibilities connected to “student services” for student-athletes, UNI reorganized the organizational chart in its athletics department. All such staff now share the same reporting lines: academic services, compliance, training, and all other services that impact students in athletics department programming. The new position of full-time athletics department compliance director, with no sport oversight assignment or additional management duties (which is not the case for other members of the senior management team for the athletics department), was hired in September, 2010. (A graduate assistant in compliance was also added to the staff in 2009.) The associate athletic director/compliance director was promoted to internal operations in spring, 2010. These changes led to a more a consistent and proactive approach to student services by the athletics department including more thorough review of each prospective student-athlete who visits campus.

6. Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board. Describe how the written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.

The institution must provide evidence that written communication (e.g., annual report, governance policies) is provided annually to its governing board with respect to athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The Board of Regents, State of Iowa (Board) oversees all University of Northern Iowa (UNI) intercollegiate athletics programs. What follows is a description of how that oversight plays out at UNI, including guiding principles; notification of rules violations; recruitment of student-athletes; and, annual reports to the Board.

Integrity in the administration of intercollegiate athletic programs is one of the highest priorities of the Board. (See,
Chapter 6.35 of the Board of Regents Academic Policies and Procedures for the following information, which supports the Board's claim that it places a highest priority on athletic program integrity.) In July, 1991, the Board adopted a "one plus three" concept of intercollegiate athletics. It asserts presidential control of athletics at state institutions, as well as academic integrity, financial integrity, and accountability through certification. To operationalize this concept of intercollegiate athletics, the Board developed a "Statement of Principles," to which all public universities in the state must adhere:
The Board of Regents is committed to a philosophy of firm institutional control of athletics, to the unquestioned academic and financial integrity of the athletics programs, and to the accountability of the athletics departments to the values and goals befitting higher education. In support of that commitment, the Board has adopted the following general principles consistent with the Knight Commission, as a guide to participation in intercollegiate athletics:
1. The educational values, practices and missions of the institutions determine the standards by which intercollegiate athletics programs are conducted.
2. The responsibility and authority for the administration of the athletics departments, including all basic policies, personnel and finances, are vested in the presidents.
3. The welfare, health and safety of student-athletes are primary concerns of athletics administration on the campuses. The institutions shall provide student-athletes with the opportunity for academic experiences as close as possible to the experiences of their non-athlete classmates.
4. Every student-athlete—male and female, majority and minority, in all sports—shall receive equitable and fair treatment.
5. The admission of student-athletes—including community college transfers—shall be based on their showing reasonable promise of being successful in a course of study leading to an academic degree. That judgment shall be made by admissions officials.
6. Continuing eligibility to participate in intercollegiate athletics shall be based on students being able to demonstrate each academic term that they will graduate within five years of their enrolling. Students who do not pass this test shall not play.
7. Student-athletes, in each sport, shall be graduated in at least the same proportion as non-athletes who have spent comparable time as full-time students.
8. All funds raised and spent in connection with intercollegiate athletics programs shall be channeled through the institutions' general treasury, not through independent groups, whether internal or external. The athletics department budgets shall be developed and monitored in accordance with general budgeting procedures on the campuses.
9. All athletics-related income from non-university sources for coaches and athletic administrators shall be reviewed and approved by the universities. In cases where the income involves the university's functions, facilities or name, contracts shall be negotiated with the institution.
10. Annual academic and fiscal audits of the athletics programs shall be conducted. Moreover, the universities shall seek NCAA certification that the athletics programs comply with the principles herein. The institutions shall promptly correct any deficiencies and shall conduct the athletics programs in a manner worthy of this distinction.
All violations of NCAA, conference, or University of Northern Iowa rules that could result in punitive, corrective, or disciplinary action shall be reported to the Board of Regents Office. Sanctions, including, but not limited to reprimand, suspension, and/or termination of employment (following due process) shall be given in response to significant violations. The procedure for reporting such potential violations is:
1. The Board Office shall be notified of all violations that could result in corrective, punitive, or disciplinary action by the NCAA, athletic conference, or institution. The Board Office shall be notified of the nature of the alleged violation; the NCAA, conference, or institutional rule involved; and the plan for investigating the allegation. The form of the notification shall be as follows:
a. If the NCAA has initiated an investigation, a copy of the letter from the NCAA and a letter of explanation shall be forwarded to the Board Office.
b. If the institution is self-reporting an alleged violation to the NCAA, a copy of the letter shall be forwarded to the Board Office.
c. If conference or institutional rules are at issue, the Board shall be notified as soon as a factual basis for the rule violation is known.
2. The Board shall be notified periodically of the status of the institution's investigation. The form of notification will be a letter to the Board Office from the institutional official charged with overseeing the investigation.
3. The Board Office shall be notified of the outcome of the University's investigation, including its factual conclusions and sanctions (if any). A summary of reports and documents submitted to the NCAA, athletic conference, or institutional officials shall be provided to the Board Office.
4. The Board Office shall be notified of the results of any investigation undertaken by NCAA, athletic conference, or institutional officials. This notification shall include the conclusions and sanctions (if any).
The Board of Regents, State of Iowa has adopted the following principles related to recruitment of prospective student-athletes. These principles are to ensure that all Regent institutions operate their recruiting activities within applicable NCAA, conference, and institutional guidelines.
1. The Regent institutions will develop a common statement of recruiting philosophy.
2. Each Regent institution will implement recruiting guidelines pursuant to NCAA guidelines.
3. Each Regent institution's recruiting activities will occur in a regulated environment governed by Board of Regents, NCAA, conference, and University rules.
4. Each Regent institution will establish and administer policies addressing entertainment of prospective student-athletes which will make clear that any use of gambling, drugs, alcohol or sex-related activities as a recruiting device is prohibited.
5. Each Regent institution will establish a method of pre-communicating recruiting guidelines to prospective student-athletes, parents or legal guardians.
6. Each Regent institution will insure that head coaches assume a vital role in the communication of and adherence to the institution's recruiting policies as a condition of the coach’s continued employment.
7. Each Regent institution will educate all student-athlete hosts that they are official representatives of the institution and that the hosting of prospective student-athletes must be conducted in a manner consistent with the institution's recruiting guidelines.
8. Each Regent institution will provide an opportunity for the prospective student to experience the educational offerings of the institution.
9. Each Regent institution will develop a system of regular auditing and enforcement of its recruiting practices.

On an annual basis, the University of Northern Iowa Department of Athletics provides a written report of relevant information to the Board of Regents, State of Iowa (e.g. a summary of NCAA infraction reports and any other information requested by the Board).

7. Since the institution’s previous self-study, list the decisions related to intercollegiate athletics in which the institution’s governing board or individual board members have been involved and describe the extent of the governing board’s involvement with those decisions.

Please note, if this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

The institution must demonstrate, through examples since the institution’s previous self-study, that its governing board's oversight and policy formulation for athletics is consistent with its policies and stated responsibilities for other units of the institution (e.g., personnel, budget, facilities).

At the University of Northern Iowa (UNI), the Board of Regents, State of Iowa (Board) has exercised yearly oversight over UNI budgeting (a process that includes athletic department budgets); been involved in approval of major projects; and, required a comprehensive administrative review of all UNI Department of Athletics funding relative to funding at UNI in general and at other NCAA institutions as well. The Board conducts an annual budget review of the UNI budget, which includes the athletic department budget as well as those of all colleges, programs, and departments at UNI. Board approval is required for budget implementation.

At UNI, the Board has approval discretion over all major projects and use of capital funds. Projects costing less than $250,000 only require approval by the institution. Projects costing between $250,000 and $999,999 only require approval by the Board Office Staff. Projects costing between $1,000,000 and $1,999,999 only require Board Office Staff approval unless a new facility is involved, in which case Board approval is required. Projects costing $2,000,000 or more must be approved by the Board. This approval process applies to every major on-campus unit at UNI, including any athletics department projects.

Since the previous NCAA Cycle 2 self-study at UNI in 2002, the Board has approved the following projects proposed by the UNI Department of Athletics.

Projects reviewed & approved by Board of Regents, State of Iowa (FY 2002-Present)

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<tr>
<th>Project</th>
<th>Funding Source</th>
<th>Actual Cost of Project</th>
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<tr>
<td>UNI-Dome Roof Replacement/Improvements</td>
<td>Fieldhouse Enterprise Bonding/Surplus Fund</td>
<td>$7,940,830</td>
</tr>
<tr>
<td>Construction of McLeod Center</td>
<td>UNI Foundation (Private Funding), Fieldhouse Enterprise Bonding/Surplus Fund, Sale of Land, Loans, Interest Income</td>
<td></td>
</tr>
</tbody>
</table>
Recently, the Board of Regents, State of Iowa (Board) required the University of Northern Iowa (UNI) Department of Athletics to perform a comprehensive administrative review of the funding of its intercollegiate athletics program. Part of the purpose of the review was to analyze athletics funding, given the context at UNI (e.g., the broader financial situation at UNI, at other Regents institutions, and in the state of Iowa), and part of the purpose was to compare UNI athletics funding and budget to those items at similar NCAA institutions. The President's office, along with the Director of Athletics and the Vice President for Administration and Financial Services, conducted the administrative review. They received input from the university cabinet; the leadership of the faculty; students; the UNI Alumni Association; the UNI Foundation; and, the Cedar Valley community. During the review, athletics department funding sources and budget were analyzed according to their position in the budgetary context at UNI (institutional mission; financial exigencies) and were compared to those items at UNI peer institutions and institutions within the Missouri Valley Conference.

8. Describe how the institution's governing board decisions regarding the athletics program are consistent with those of other on-campus units.

All major plans and projects for any University of Northern Iowa (UNI) program, department, or college, including the athletics program, must be approved by the Board of Regents, State of Iowa (Board). This includes: yearly budget, building, and staffing plans; on-going curriculum and program proposals and reviews; and, strategic planning. For example, the university must submit annual governance reports for all on-campus units and for the institution as a whole to the Board. Another example, the Board requires UNI to present an updated campus master plan, including land use plan, to the Board at least once every four years (or if UNI proposes changes in land use; or at the request of the Board). The Board must also approve annual capital plans, any capital appropriation requests, financing for capital projects, and a five-year state-funded building program.

9. For each of the following individuals or groups:

a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;

b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of department of athletics policies (e.g., review admissions data, review academic performance data, receive periodic reports from department of athletics); and

c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.

1. Athletics board or committee;
2. Faculty senate (or other faculty governing body);
3. Faculty athletics representative;
4. NCAA Division I Student-athlete advisory committee (SAAC); and/or
5. Other individual(s) or campus group(s).

The institution must identify involved individuals or groups external to the department of athletics (e.g., faculty senate, athletics advisory group, student-athlete advisory committee) and explain how they have opportunities to provide meaningful input into the formulation of policies and how they periodically review policy implementation related to the conduct of the athletics program.

Intercollegiate Athletics Advisory Council (IAAC)
The mission of the Intercollegiate Athletics Advisory Council (IAAC) at the University of Northern Iowa (UNI) is to:
oversee aspects of the UNI athletics program that relate “to the academic quality and integrity of the institution; support the development and maintenance of a competitive intercollegiate athletics program, which reflects favorably upon the university; monitor policies and activities related to the welfare of student athletes; and, formulate and recommend to the Provost and/or Vice President for Administration and Financial Services, and/or University Faculty Senate, new policies regarding athletics and student athletes.” For example, IAAC members serve as committee members for athletics department personnel hires (including coaches) and for NCAA certification processes.

In recent years, the IAAC has reviewed and analyzed external audit reports (e.g. Title IX Report), new athletics department policies (e.g., Practice and Competition Scheduling Policies; Student Athlete Appeals Policy), academic issues related to student-athletes (e.g. Grade Point Averages; Academic Progress Rates; graduation rates), special admission data for student-athletes, and other reports/summaries generated by the athletics department, Faculty Athletics Representative (FAR), UNI Athletics Compliance Council, NCAA, and Missouri Valley Conference.

The IAAC consists of campus and community members. Voting representatives come from the UNI faculty, staff, student government, students in UNI athletics programs, and from the broader Cedar Valley community. Non-voting members include the Director of Athletics, the Assistant Registrar, the Faculty Athletics Representative, the Senior Associate Athletic Director (AD) --who is currently also the Senior Woman Administrator (SWA), the Director of Athletics Compliance, and the Director of the School of Health, Physical Education, and Leisure Services.

The Director of Athletics, Senior Associate AD/SWA, Director of Athletic Compliance, and FAR provide monthly updates and reports to the IAAC. New athletics department policies and Compliance Council recommendations require the approval of the IAAC prior to implementation. The IAAC may request information about the athletics program at any time from the individuals listed above.

University Faculty Senate

The relationship between the University of Northern Iowa (UNI) Department of Athletics and the UNI Faculty Senate (Senate) has been evolving over the last three years. The Senate does not have a policy requiring annual reports and/or presentations from the Department of Athletics. However, the current Director of Athletics presents a report to the Senate each spring. Prior to 2008, the former Director of Athletics occasionally, upon request, provided an overview of athletics department accomplishments and challenges to the Senate.

The Senate may make suggestions to the UNI administration about Department of Athletics policies, but the Senate has no direct authority to mandate policy changes. The Senate has been particularly concerned in recent years with the appropriation of general university funds to the athletics department. As one consequence, the Director of Athletics now includes detailed explanations of athletics department expenditures and funding sources in his reports to the Senate each spring. Beginning in the summer of 2010, the Faculty Athletics Representative (FAR) also began sending a copy of her annual report to the Senate. The Chair of the Senate posted the 2010 FAR report for review by all senators.

Although the Senate has been informed about recent Department of Athletics policies, budgets, and academic data, the Senate is not active in the formation of athletics reports or in reviewing athletics policy implementation. The Senate has not been requesting specific information from UNI athletics other than, recently, Department of Athletics financial data.

At the end of the Fall, 2010 semester, as part of this NCAA self-study process, the FAR and the Chair of the Intercollegiate Athletics Advisory Council (IAAC) discussed with the Senate their roles with respect to the Department of Athletics. A more formal presentation by the FAR and IAAC chair to the Senate is planned for Fall, 2011.

Faculty Athletics Representative (FAR)

The University of Northern Iowa (UNI) Faculty Athletics Representative (FAR) is authorized to monitor all aspects of the UNI athletics program and is involved with all major issues related to student-athlete well-being (e.g., eligibility reports, waivers, academic performance, financial aid, code of conduct violations, etc). For example, as Chair of the Athletics Compliance Council, the FAR oversees the review and implementation of new and modified athletics department policies. The FAR typically serves on search committees for hiring Department of Athletics administrators and head coaches, providing input into the decision-making process. The FAR administers the annual NCAA coaches recruiting exam, and meets periodically with athletics teams, the Student-Athlete Advisory Committee (SAAC), and athletics administrators about university, NCAA, and conference policies and procedures.

In sum, the FAR is actively involved in the formation, review, and implementation of athletics department policies and in monitoring all aspects of the UNI athletics program related to student-athlete well-being. The FAR is appointed by the President of UNI to a five year term, with an additional five year term possible. A formal job description for the FAR was approved in Fall, 2007 and was updated July, 2010. The FAR reports directly to the President, and as necessary, can take any issue directly to the President for consultation and/or his review. The FAR participates in the mandatory staff meeting held by the Department of Athletics each fall. The FAR has direct access to all senior athletics administrators, including the Director of Athletics, the Senior Associate Athletic Director/Senior Women's Administrator, and the Director of Athletic Compliance. The FAR communicates frequently with all of these administrators.

The FAR generates an annual report that is submitted to the UNI President, Director of Athletics, and Vice-
President for Administration and Financial Services. The 2010 FAR annual report was also sent to the Provost, the Chair of Intercollegiate Athletics Advisory Council, and the Chair of the UNI Faculty Senate.

Student-Athlete Advisory Committee (SAAC)
The role of the University of Northern Iowa (UNI) Student-Athlete Advisory Committee (SAAC) is to enhance communication, to increase cooperation, and to maintain the individual rights and welfare of all student-athletes involved with UNI Department of Athletics programs. (Kara Park, an Athletic Academic Advisor, serves as the Athletic Department liaison to SAAC.) SAAC serves as an important liaison between UNI student-athletes and their coaches, athletic administrators, the Missouri Valley Conference (MVC), and the NCAA on issues affecting the life of the UNI student-athlete. SAAC also participates in numerous community service events throughout the year.

SAAC at UNI provides a voice for student-athletes and an organization where student-athletes can present or discuss concerns or questions regarding fair practices, NCAA legislation, gender equity, or student-athlete wellbeing at UNI. For example, in many cases, when the UNI Department of Athletics changes policies directly related to student-athletes, SAAC will meet with the athletics department administration and provide feedback from the student-athletes' point-of-view. SAAC also provides feedback to and from UNI student-athletes on NCAA issues and legislation during the two yearly MVC meetings and through various conference calls each year with the MVC. SAAC has a constitution that ensures it represents all athletics department programs. The head coach of each team nominates two or three representatives (teams with 1-45 student-athletes are allocated 2 SAAC representatives; teams with rosters larger than 45 get 3 SAAC representatives). Each team votes on the coach's nominations. (Voting for team reps must be completed by the second meeting of SAAC in the fall semester.) During the current academic year (2010-11), SAAC has 31 members. More often than not, representatives, if they have not graduated, will be re-elected each year, ensuring some continuity for SAAC. Officers are elected each year. To become an officer, a student-athlete must have been on SAAC at least one year and have participated a minimum of two years on a UNI varsity team. There are five student-athletes on the SAAC executive board: male and female co-presidents; and a secretary. SAAC members vote each April for SAAC officers for the coming year. Each fall, the members of SAAC organize and conduct a "welcome back" event for all UNI student-athletes, during which they explain the mission of SAAC and introduce SAAC representatives for the academic year.

Other Campus Groups -- Athletic Compliance Council
The University of Northern Iowa (UNI) Athletics Compliance Council (ACC) reviews all policies generated by either the Department of Athletics or by the UNI administration regarding NCAA, conference, or institutional rules related to athletics. ACC monitors and reviews key data and information such as: Academic Progress Rates; Graduation Success Rates and Federal Graduation Rates; student-athlete academic success; processes involving student-athletes who are transferring; special admits for prospective student-athletes; student-athlete financial aid processes; NCAA violations, waivers, and appeals; and, proportionality of participation opportunities and issues related to roster management for gender equity. ACC also reviews UNI Department of Athletics external audit reports; providing feedback to the UNI Director of Athletics. ACC is critical to the oversight provided for many aspects of UNI athletics.

The UNI ACC is chaired by the Faculty Athletics Representative (FAR). ACC membership is also comprised by the Senior Assistant Director of Admissions, Assistant Director of Financial Aid, Scholarship Specialist for Financial Aid, Director for Athletics Compliance, Senior Associate Athletic Director/Senior Woman Administrator, Assistant Registrar, Athletic Academic Advisors (2), and the graduate assistant in the Office of Compliance who is assigned to work with UNI athletics.

Communication is strong and improving between ACC and others involved in institutional oversight of athletics department programming at UNI. The UNI FAR regularly reports recent ACC actions and findings to the UNI Intercollegiate Athletics Advisory Council (IAAC). The Director of Athletics receives monthly reports of ACC agendas and notes. All recommendations made by the ACC, for changes in Department of Athletics policies and/or in UNI policies related to student-athletes, are forwarded to the Director of Athletics and to the IAAC for review and further action or approval.

Since the Cycle 2 NCAA certification in 2002, ACC has improved its organization and processes, becoming both more efficient and pro-active in the review of data relevant to UNI maintaining institutional control of its athletics program. Monthly meetings allow for managing any ad-hoc issues that need immediate attention and they allow input from all university personnel responsible for rules compliance. Monthly notes, recorded and distributed by the FAR, are action-oriented. When key positions--in the processes of maintaining institutional control of UNI athletics--have been vacant at times since Cycle 2 (athletics department director of compliance, SWA, athletics academic advisor), members of ACC have taken on additional administrative responsibilities to compensate.

ACC meets once a month except in May (when council members attend NCAA Regional Rules seminar, usually as a group) and in June when ACC members participate instead in a day long retreat. ACC also meets as needed to address compliance issues requiring immediate attention.
10. 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 University of Northern Iowa (UNI) maintains institutional control of booster and related support group activities by including institutional personnel in key service positions in each group and through control and/or monitoring of the accounts of the groups. UNI recognizes three organizations that provide athletics support activities: the Panther Scholarship Club, the Varsity Club, and the Panther Wrestling Club. All three organizations are committed to UNI maintaining institutional control. The accounts of the Panther Scholarship Club and of the Varsity Club are under the jurisdiction of the UNI Foundation. The Panther Wrestling Club is a non-profit, private organization that operates outside of the UNI Foundation.

(Each UNI sport program is also permitted to have informal support groups for social and communications purposes (e.g. the "Dugout Club" for UNI softball) established under the direction of each sport program's head coach. Any sport-specific fundraising activities contemplated by these groups must be reviewed and approved by the Senior Associate AD for Development and Administration. All revenues and expenses for these groups are processed through the UNI Athletics Department Business Office.)

The purpose of the Panther Scholarship Club is to promote, stimulate, and enhance UNI athletics through generation of private support for athletics scholarships for student-athletes. It is a volunteer organization controlled and managed by a 15 member Board of Directors and directed by an Executive Committee, composed of five members designated by the UNI Director of Athletics. The Director of Athletics serves as Executive Director of the Board.

The purpose of the Varsity Club is maintaining engagement with former UNI student-athletes. It is a volunteer organization, with all financial proceeds from membership dues used to benefit current UNI student-athletes and UNI athletics programs. The Panther Scholarship Club keeps track of each Varsity Club member.

All activities and expenditures of the Panther Scholarship Club and of the Varsity Club are reviewed and approved by the UNI athletics department administration. Senior Associate Athletic Director (AD) for Development and Administration, Steve Gearhart, is responsible for managing all athletics department fundraising activities. Gearhart and/or reports directly to the UNI Foundation and to the UNI Director of Athletics. He meets regularly with both, keeping them informed of athletics department development activities. The Director of the Panther Scholarship Club, Matt Lyons, reports to the Senior Associate AD. Lyons manages the day-to-day operations for the Panther Scholarship Club, serves as a member of its Executive Committee, and attends all Panther Scholarship Club meetings and events.

The Panther Wrestling Club is a non-profit, private organization (not operating under the UNI Foundation) with the purpose of promoting and developing support for participation in UNI wrestling competitions at the local, state, national, and international levels. It has a constitution and officers. Most proceeds from the Panther Wrestling Club are allocated to the Volunteer Assistant Coach of the UNI wrestling team.

The UNI Department of Athletics requires the Panther Wrestling Club to submit an annual financial statement of revenues and expenses for review by the UNI Compliance Office and by the Assistant AD/Business Operations, Greg Davies. UNI Head Wrestling Coach Doug Schwab, and assistant wrestling coaches are regularly involved in Panther Wrestling Club meetings and activities. The sport supervisor (see item #8 in section 1.2 of this self-study) for wrestling has attended various Panther Wrestling Club meetings to review club activities. In the summer of 2010, Steve Schofield, Associate AD/Compliance, met with the Panther Wrestling Club President to review appropriate club activities and the importance of institutional control.

In spite of such integrations and efforts, as currently operated, the Panther Wrestling Club is concurrently performing athletic booster organization activities (e.g. social functions, selling club memberships, producing a newsletter, etc.) and "local sports club" related activities (see item #2, goals #1&2 in section 1.2 of this self-study). As a result of this combination of activities and because the club's revenues and expenses are outside the direct control of UNI, the Department of Athletics has recognized a concern with institutional control of the Panther Wrestling Club.

The Plan for Improvement developed by UNI during its Cycle 2 certification process addressed this issue (see item #2, goal #2 in section 1.2 of this self-study). The Governance and Commitment to Rules Compliance Plan for Improvement developed during the current Cycle 3 certification self-study also addresses this issue. Implementation is ongoing and is being immediately addressed.

11. Provide the composition of the athletics board or committee (including titles and positions).

The Intercollegiate Athletics Advisory Council (IAAC) at the University of Northern Iowa monitors the intercollegiate athletic program as it relates to the academic quality and integrity of the institution. The IAAC supports the
development and maintenance of a competitive intercollegiate athletic program, formulates and recommends new policies regarding athletics and student athletes, and serves in an advisory capacity to the intercollegiate athletic program.

Intercollegiate Athletics Advisory Council (IAAC) Composition: 2010-11

Voting Members

Joel Haack = Dean, College of Arts and Natural Sciences; Administrative Representative (Presidential Appointment: June 2009-May 2012)
Robert Decker = Professor of Educational Leadership; College of Education Representative (elected: June 2007-May 2010)
Lisa Jepsen = Associate Professor of Economics; College of Business Administration Representative (elected: June 2008-May 2011)
Eugene Wallingford = Associate Professor and head of Computer Science; Chair of IAAC; College of Natural Sciences Representative (elected: June 2008-May 2011)
Ronnie Bankston = Associate Professor of Communication Studies; College of Humanities & Fine Arts Representative (elected: June 2010-May 2013)
Kay Weller = Associate Professor of Geography; College of Social & Behavioral Sciences Representative (elected: June 2008-May 2011)
Jess Nissen = Assistant Marketing Specialist; University Relations (appointed: June 2009-May 2012)
Pat Whitt = Information Technology Training and Support; Professional & Scientific Council Representative (appointed: June 2009-May 2012)
Lisa Krausman = Dining Unit Manager; Professional & Scientific Council Representative (appointed: June 2008-May 2011)
Mark Jacobson = Mathematics Program Assistant; Non-voting faculty representative (elected: June 2007-May 2010, June 2010-May 2013)
Ben Bonar = UNI student; Northern Iowa Student Government Representative (appointed: June 2010-May 2011)
Felly Phommalinh = UNI student; Northern Iowa Student Government Representative (appointed: June 2010-May 2011)
Jacqui Kalin = women's basketball; Student Athletic Advisory Council representative (appointed: June 2010-May 2011)
Jamar Thompson = football; Student Athletic Advisory Council representative (appointed: June 2010-May 2011)

Ex-officio Members

Sue Mattison = Director of the School of Health, Physical Education and Leisure Services
Troy Dannen = Director of Athletics
Jean Berger = Senior Associate Athletic Director/Senior Woman Administrator
Diane Wallace = Assistant Registrar
Anne Woodrick = Professor of Sociology, Anthropology & Criminology; NCAA Faculty Athletics Representative
Daren Koudele = Director of Athletic Compliance

12. Describe how the institution's chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:

1. Budget, including all sources of funding;
2. Accounting;
3. Purchasing; and
4. Debt management.

In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

Authority over the University of Northern Iowa's (UNI) Department of Athletics financial activity is vested in UNI President, Benjamin Allen. The President delegates responsibility for managing the athletics department to the
Vice-President for Administration and Financial Services, Tom Schellhardt and to the Director of Athletics, Troy Dannen. The athletics director and Assistant Athletic Director for Business Services, Greg Davies, provide day-to-day management of the athletics department's financial operations. Under their oversight, all financial activities of the athletics department at UNI are regularly monitored and audited (e.g., budgeting; accounting; purchasing; debt management).

The UNI athletics department's business operations receive periodic review: (a) by internal auditors at UNI; (b) by an external auditing firm, which performs agreed upon procedures in accordance with NCAA requirements; and, (c) by the Auditor of State of the State of Iowa, David Vaudt, CPA—who provides an annual audit of the UNI's Comprehensive Annual Financial Report. (Statements of Net Assets, Statements of Revenue Expenditures and Changes in Net Assets, and Statements of Cash Flows for each of the bonded facilities, which include athletic facilities, are contained in the Segment Information note in the Notes to Financial Statements.)

All financial operations of the athletics department are conducted in a manner consistent with such activities in other UNI programs, departments, or colleges. Specifically, athletics department budget processes mirror those for similar auxiliary enterprises (e.g., Maucker Union; Performing Arts Center). For example: UNI Controller, Gary Shontz, who oversees debt management for all UNI facilities, also provides debt management for athletics facilities. In addition, all applicable UNI, Board of Regents, State of Iowa, and NCAA rules are followed, as are applicable state and federal laws. The UNI Director of Athletics, Vice President for Administration and Financial Services, and President review and approve financial information provided annually to the U.S. Department of Education and the NCAA.

13. Describe how the institution's chancellor or president and his or her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president's cabinet, finance committee) designated with this responsibility.

**Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.**

The budget process for the Department of Athletics at the University of Northern Iowa (UNI) is consistent with budgetary processes for other UNI programs, departments, or colleges. Specifically, athletics department budgetary processes mirror those of similar auxiliary enterprises (e.g., Department of Residence; Student Health Center). Authority over athletics department financial activity at UNI, including its budget, is vested in University President, Benjamin Allen. The President delegates responsibility for managing the athletic department and its budget to the Vice-President for Administration and Financial Services, Tom Schellhardt, and to the Director of Athletics, Troy Dannen.

The UNI athletic department develops an annual operating budget, which is reviewed by the Director of Athletics and by the Assistant Athletic Director for Business Services, Greg Davies. After their review, the athletic director submits the proposed budget to the Vice-President for Administration and Financial Services and to the University Budget Office for their review. Upon successful review, the budget is incorporated into the overall UNI budget, which the President and his Cabinet review prior to submitting it to the Board of Regents, State of Iowa for consideration and final approval.

14. Describe the process by which the institution's chancellor or president or his or her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review.

**Institutions must demonstrate that an administrative review of NCAA comparative data (i.e., dashboard indicators) has occurred on an annual basis by the chancellor or president or his/her designee(s). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.**

NCAA dashboard indicator data at the University of Northern Iowa (UNI) are reviewed as needed by the Director of Athletics and the Vice President for Administration and Financial Services. For example, in 2008, UNI received a presentation analyzing NCAA comparative data and the NCAA dashboard indicators for FY2006 from leading
NCAA financial research consultant, Dr. Dan Fulks, an accounting professor at Transylvania University. In 2010, at the request of the Board of Regents, State of Iowa, the UNI Department of Athletics performed a comprehensive administrative review of the funding of its intercollegiate athletics program and compared it to other NCAA institutions. The President's office, along with the Director of Athletics and the Vice President for Administration and Financial Services, conducted the administrative review. They received input from the university cabinet; the leadership of the faculty; students; the UNI Alumni Association; the UNI Foundation; and, the Cedar Valley community. During the review, athletics department funding sources and budget were analyzed according to their position in the budgetary context at UNI (institutional mission; financial exigencies) and were compared to those items at UNI peer institutions and institutions within the Missouri Valley Conference. There is no formal annual schedule for review of NCAA comparative data at UNI. This is addressed in the Governance and Commitment to Rules Compliance Plan for Improvement developed during the current, NCAA Cycle 3 certification self-study process.

15. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.1, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

The University of Northern Iowa (UNI), during the current NCAA self-study recertification process, developed a Governance and Commitment to Rules Compliance Plan for Improvement, which is included with this report. The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Governance and Commitment to Rules Compliance subcommittee; Steering Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletic department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports, which included the Governance and Commitment to Rules improvement plan, to members of the President's Cabinet and UNI Academic Affairs Council. President's Cabinet:

Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI Foundation
James O'Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer
UNI's Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
Christy Twalt Assistant Provost for Sponsored Programs
Michael Licari Associate Provost for Academic Affairs/Dean, Graduate College
Virginia Arthur Associate Provost for Faculty Affairs
Kurt Meredith Interim Assistant Provost for International Affairs
Farzad Moussavi Dean, College of Business Administration
Dwight Watson Dean, College of Education
Joel Haack Dean, College of Humanities & Fine Arts and
Joel Haack Dean, College of Natural Sciences
Philip Mauceri Dean, College of Social & Behavioral Sciences
Kent Johnson Interim Dean, Continuing Education and Special Programs
Marilyn Mercado Dean, Rod Library
Patricia Woelber Administrative Assistant to Executive VP & Provost

The Governance and Commitment to Rules Compliance Plan of Improvement along with information relative to the self-study process, reports, and meeting notices were posted on the University’s NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011. After review, the plan of improvement was ultimately approved by President Ben Allen.
<table>
<thead>
<tr>
<th>Elements</th>
<th>Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
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<tbody>
<tr>
<td>Issues in the Self-Study</td>
<td>Measurable Goals</td>
<td>Steps to Achieve Goals</td>
<td>Individuals/Officers Responsible for Implementation</td>
<td>Specific Timetable for Completing the Work</td>
</tr>
<tr>
<td>The University President</td>
<td>The Director of Athletics reports directly to the University President.</td>
<td>The FAR reviews the issue with the President, AD, and VPAFS; The President meets with the AD and VPAFS to review the change; The President implements the organizational structure change</td>
<td>President</td>
<td>At the President's discretion</td>
</tr>
<tr>
<td>The Panther Wrestling Club performs athletic booster organization activities utilizing financial accounts outside the control of the institution</td>
<td>The Panther Wrestling Club is comprised of two distinct groups which are both operated in full compliance with institutional control and all applicable NCAA regulations.</td>
<td>Athletic administration meets with PWC President about restructuring; PWC is apportioned into two distinct groups; All fundraising activities and booster functions of group are directly overseen by athletic department; All fundraising booster proceeds are processed by group through athletic business office and UNI Foundation; All &quot;local sports club&quot; group functions, including fundraising, and activities are reviewed annually for compliance with NCAA rules</td>
<td>Athletic Director, Associate AD/Internal Operations (Sport Administrator), Head Wrestling Coach</td>
<td>Begin May 2011 with completion by May 2012.</td>
</tr>
<tr>
<td>IAAC is not actively involved in the review and oversight of athletic compliance issues.</td>
<td>A faculty member of IAAC serves as a member of the Compliance Council and regularly reports to IAAC on the athletic department's compliance activities.</td>
<td>IAAC nominates and approves a faculty member to serve on the Compliance Council. The faculty member begins attending Compliance Council meetings as IAAC representative and reports back to full group.</td>
<td>Intercollegiate Athletic Advisory Council (IAAC)</td>
<td>Begin September 2011</td>
</tr>
<tr>
<td>Information from the IAAC is not formally shared with Faculty Senate.</td>
<td>The Chair of the IAAC annually provides a report to the Faculty Senate</td>
<td>IAAC requests Faculty Senate to select faculty representative to IAAC; Chair of IAAC works with Faculty Senate President on format of report and annually report date to the Senate</td>
<td>IAAC chair/Faculty Senate leadership</td>
<td>Begin September 2011 and continue on an annual basis.</td>
</tr>
<tr>
<td>No formal schedule for President or his designee to annually review NCAA comparative data (e.g. dashboard indicators)</td>
<td>On an annual basis, the President or designee reviews NCAA comparative data (e.g. dashboard indicators)</td>
<td>NCAA Comparative data is compiled by athletic business office and submitted to the Athletic Director; the Athletic Director submits the data to the IAAC for evaluation annually. IAAC shares with Faculty Senate. AD provides report to President.</td>
<td>Assistant Athletic Director/Business; Intercollegiate Athletic Advisory Council (IAAC); AD</td>
<td>Begin Fall 2011, Annually thereafter.</td>
</tr>
<tr>
<td>Elements</td>
<td>Goals</td>
<td>Steps to Achieve Goals</td>
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<tr>
<td>Issues in the Self-Study</td>
<td>Measurable Goals</td>
<td>The Director of Athletic Compliance and the Athletic Academic Advisors have direct reporting lines to the Director of Athletics or designee with additional reporting lines to the University General Counsel for compliance and to the Provost (or designee) for the academic advisors.</td>
<td>IAAC recommends change; AD discusses issue with University General Counsel and Provost; Athletic department organizational chart is revised to include these indirect &quot;dotted&quot; reporting lines</td>
<td>Athletic Director, University General Counsel, Provost, Intercollegiate Athletic Advisory Council (IAAC)</td>
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Operating Principle

1.2 Rules Compliance.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). For each condition, provide:
   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. **Condition**

The University of Northern Iowa (UNI) must show clear evidence in department manuals and handbooks indicating the assignment of direct accountability for the rules compliance program to the Director of Athletics, as assigned by the University President.

**Action**

The University of Northern Iowa (UNI) Department of Athletics Staff Handbook and the UNI Compliance Manual (formerly, the UNI Guide for Rules Compliance) were updated to specifically and clearly note the assignment of direct accountability for the overall rules compliance program to the Director of Athletics, as designated by the University President. The Director of Athletics reports directly to the Vice President for Administration and Financial Services.

**Action Date**

The Staff Handbook and Compliance Manual were updated as directed in 2003.

**Explanation for partial or non-completion**

Completed.

2. **Condition**

The University of Northern Iowa (UNI) must demonstrate the on-going educational effort for rules compliance, including specifically educational efforts focused on continuing eligibility training for faculty and staff who serve as academic advisors to your student-athletes.

**Action**
Institution Self-Study Instrument Report - University of Northern Iowa

Governance and Commitment to Rules Compliance

The University of Northern Iowa (UNI) submitted a plan for accomplishing its rules education efforts. The UNI rules education plan, designed for the university community in general, and specifically, for academic advisors and other staff directly involved with UNI athletics, was accomplished through communication by key athletic department staff as follows:

- Interaction on a monthly basis with the Intercollegiate Athletic Advisory Council (IAAC), made up of students, faculty, staff, and community members;
- Regular interaction with the NCAA Faculty Athletics Representative;
- Orientation meetings with Athletic Academic Advising Services personnel;
- Regular rules education newsletters to the faculty and staff;
- An annual joint presentation by the IAAC and the Athletic Compliance Office to the Faculty Senate;
- Annual meeting with all academic department heads and the Director of Athletics;
- Annual report by the Director of Athletics to the Faculty Senate.

Action Date

August 20, 2003: UNI Submitted its rules education plan to the NCAA.
September, 2004: UNI was re-classified as Certified by the NCAA Division I CAC.
2003-06: UNI implemented and further developed its rules education plan.
2006-present: Rules education has been on-going at UNI. Regular monthly meetings and a plethora of both formally scheduled and informal interactions, the timely dissemination of pertinent information (e.g., via the UNI Department of Athletics website), and regular sessions focused on rules compliance issues are key aspects of plan implementation: described in details in several of the sections that follow.

Explanation for partial or non-completion

Completed.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.2 (Rules Compliance). For each issue identified, provide:

   a. The original goal;
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.
If the institution developed a plan for improvement for Operating Principle 1.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan.
- The institution has had personnel changes since the original development of the plan.
- The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial or noncompletion:

- The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 plan.

1. Original Plan

The University of Northern Iowa (UNI) will review the Composition of the "Panther Varsity Club."

Action

Each sport program is permitted to have informal support groups (e.g. the "Dugout Club" for softball) established under each sport program's head coach, for social and communications purposes. These informal support groups are known as "Panther Varsity Clubs" for UNI Foundation accounting purposes. Any sport-specific fundraising activities contemplated by these informal support groups must be reviewed and approved by the Senior Associate Athletic Director for Development and Administration Steve Gearhart, or by the Panther Scholarship Club Director Matt Lyons (see item #10 in section 1.1 of this self-study).

All revenues and expenses for these groups are now formally processed through the UNI Athletic Department Business Office. A list of donors for each "Panther Varsity Club" support group is maintained. The "Varsity Club" is a volunteer organization with the purpose of maintaining engagement with former UNI student-athletes. All financial proceeds from membership dues are utilized to benefit current student-athletes and athletic programs. The Panther Scholarship Club keeps track of each "Varsity Club" member (see item #10 in section 1.1 of this self-study).

Action Date

Fall, 2003

Explanation for partial or non-completion

Completed.

2. Original Plan

University of Northern Iowa (UNI) will review the Constitution & Activities of the Panther Wrestling Club (formerly known as the "Cat Wrestling Club").

Action
The University of Northern Iowa (UNI) Panther Wrestling Club is a non-profit, private organization (not operating under the UNI Foundation) with the purpose of promoting and developing support for participation in UNI wrestling competitions at the local, state, national, and international levels. It has a constitution and officers. Most proceeds from the Panther Wrestling Club are allocated to the Volunteer Assistant Coach of the UNI wrestling team.

The UNI Department of Athletics requires the Panther Wrestling Club to submit an annual financial statement of revenues and expenses for review by the UNI Compliance Office and by the Assistant Athletic Director (AD)/Business Operations. The sport supervisor (see item #8 in section 1.2 of this self-study) for wrestling has attended various Panther Wrestling Club meetings to review club activities. The Head Wrestling Coach at UNI and assistant wrestling coaches are regularly involved in Panther Wrestling Club meetings and activities. In summer, 2010, the UNI Director of Athletics and the Associate AD/Compliance met with the Panther Wrestling Club President to review appropriate club activities and the importance of institutional control.

Action Date

Fall, 2008: The new Director of Athletics at UNI and the athletic department began reviewing Panther Wrestling Club financial statements and activities.
2008-present: On-going assessment and modification of the processes of institutional control and rules compliance are still unfolding.

Explanation for partial or non-completion

As currently operated, the Panther Wrestling Club is concurrently performing athletic booster organization activities (e.g. social functions, selling club memberships, producing a newsletter, etc.) and "local sports club" related activities (see goal #1 above). Specifically, the Panther Wrestling Club annually conducts a local junior wrestling tournament each year to further the sport of wrestling. As a result of the combination of activities and because the club's revenues and expenses are outside the direct control of UNI, the Department of Athletics has recognized a concern with institutional control of the Panther Wrestling Club.

Additional Steps now under way to Achieve the Goal

The UNI Department of Athletics is planning a comprehensive evaluation of the Panther Wrestling Club by May of 2011 to implement restructuring. (This evaluation is recommended in the most recent external compliance review.) The Director of Athletics, Senior Associate Athletic Director (AD)/Development, Associate AD/Internal Operations (as sport supervisor for the wrestling program), and Head Wrestling Coach will meet with the Panther Wrestling Club President to discuss restructuring the organization.

The current Panther Wrestling Club will be required to be apportioned into two distinct and separate groups. The new group that performs all fundraising and booster support activities for wrestling will be under the direct control of the Senior Associate AD/Development. All fundraising activities will be required to be pre-approved and all revenue and expenses for this new group will flow through the athletic department business office. Funds will be held in the UNI Foundation "Panther Varsity Club" account. The second group will continue to be an outside, non-profit private organization and will only conduct "local sports club" activities (see goal #1 above) in accordance with NCAA rules. The "local sports club" group will only perform activities, including fundraising, directly related to the purpose of the local sports club. The Associate AD/Internal Operations (as sport supervisor; see #8 in section 1.2 of this self-study) will serve as an ex-officio advisory representative to the "local sports club" group. The UNI Compliance Office will review guidelines for UNI coaches and student-athletes who are involved with the "local sports club" group in accordance with NCAA rules.

All of these "additional steps" are in the Governance and Commitment to Rules Compliance Plan for Improvement developed during the current Cycle 3 certification self-study. Implementation is ongoing and being immediately addressed. (Also see item #10 in section 1.1 of this self-study).

3. Original Plan
The University of Northern Iowa (UNI) will provide education specific to eligibility, playing and practice season information, and recruiting.

**Action**

The University of Northern Iowa (UNI) Director of Athletic Compliance and the former Associate AD/Compliance implemented monthly rules compliance education sessions during each academic year for all athletic department and coaching staff at UNI. In addition, members of the UNI Athletic Compliance Council and pertinent staff with compliance responsibilities from outside the athletic department attend these sessions. These educational sessions cover compliance topics including recruiting, eligibility, amateurism, financial aid, eligibility, playing and practice seasons, etc.

The information provided at monthly rules compliance education sessions and other NCAA compliance forms and educational resources are made available in the athletics compliance subsection of the athletic department website.

The Director of Athletic Compliance meets regularly with the Athletic Compliance Council and the Intercollegiate Athletic Advisory Committee to review compliance issues.

The majority of the Athletic Compliance Council, including both of the athletic academic advisors, the Faculty Athletic Representative, and the Director of Athletic Compliance, attend annual NCAA Regional Rules compliance education seminars.

**Action Date**

September 2006: This goal was completed and continues as an on-going effort within the Department of Athletics at UNI.

2006-present: Rules education has been on-going at UNI. Regular monthly meetings and a plethora of both formally scheduled and informal interactions, the timely dissemination of pertinent information (e.g., via the UNI Department of Athletics website), and regular sessions focused on rules compliance issues are key aspects of plan implementation: described in details in several of the sections that follow.

**Explanation for partial or non-completion**

Completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance). For each additional plan, provide:

   a. The additional goal(s);

   b. The step(s) taken by the institution to achieve the goal(s); and

   c. The date(s) the step(s) was completed.

**Additional Goals**

<table>
<thead>
<tr>
<th>Actions taken by UNI</th>
<th>Date completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Develop &amp; implement a schedule for external compliance reviews every four years.</td>
<td>2014-2015</td>
</tr>
<tr>
<td>UNI conducted an external compliance audit in 2007-08 and 2010-11. The next external audit will be scheduled for 2014-2015.</td>
<td>9/7/07 and ongoing.</td>
</tr>
<tr>
<td>2) Increase compliance office support staff (add a graduate assistant).</td>
<td>2008 &amp; 2009</td>
</tr>
<tr>
<td>Graduate assistant added to compliance staff (August, 2008); second academic advisor added (August, 2009).</td>
<td>2008 &amp; 2009</td>
</tr>
<tr>
<td>3) Restructure Director of Athletic Compliance position with no oversight duties for sports or academic advisors.</td>
<td>2010</td>
</tr>
<tr>
<td>The Director of Athletic Compliance job description was adjusted when the current director was hired &amp; previous director promoted to Associate Athletic Director/ Internal Operations.</td>
<td>August, 2010</td>
</tr>
<tr>
<td>4) Develop a presidentially approved, written job description for the Faculty Athletics Representative (FAR).</td>
<td>2010</td>
</tr>
<tr>
<td>UNI President Ben Allen approved the new job description for the UNI FAR, which was then utilized during the</td>
<td></td>
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</tbody>
</table>
selection process for the in-coming FAR, Dr. Lisa Jepsen.  
July, 2010: approved by President & employed  
4) Develop and conduct monthly rules education seminar schedule for all staff members.  
Monthly rules education meetings have taken place at UNI since 2006, but have been expanded to now include  
rules education for all pertinent staff members, including staff outside of athletics with compliance responsibilities.  
2006 and ongoing  
5) Develop a Tutor Handbook with references to NCAA rules.  
The handbook for tutors now includes NCAA rules: all tutors are required to sign a form acknowledging the  
requirements.  
2010: new handbook completed  
6) Utilize Compliance Assistant Internet (CAi) for financial aid/squad list monitoring.  
University financial aid records for student-athletes are downloaded on an on-going basis into the CAi for monitoring  
purposes.  
2006-07 and ongoing.  
7) Share NCAA rules violations with IAAC.  
NCAA rules violations reports are shared with the IAAC annually by the Director of Athletic Compliance.  
2006 and ongoing

4. Describe how the institution ensures that rules compliance is a central element in personnel matters for  
individuals within the department of athletics. Specifically, the institution must provide written evidence  
that all individuals inside the department of athletics (e.g., coaches, staff) have statements regarding the  
importance of rules compliance in all of the following documents:

   a. Contracts or letters of appointment;  
   b. Job descriptions; and  
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an  
explanation.

The institution must provide written evidence that all individuals inside the department of athletics (e.g.,  
staff, coaches) have statements regarding the importance of rules compliance in all of the following  
documents: contracts or letters of appointment, job descriptions and performance evaluations. If the  
institution is in the process of revising one or more of the documents noted above due to it obligation to  
seek approval from an outside entity (e.g., union), the institution must provide written evidence  
supporting the planned revision. Please note, if an institution develops a plan for improvement in this  
area, the plan must be implemented prior to the completion of the certification process.

1.  
   a. Rules Compliance Language in Contracts/Letters of Appointment  

At the University of Northern Iowa (UNI), rules compliance is an important component in a variety of  
processes and personnel matters both inside and outside of the Department of Athletics. The Director of  
Athletics at UNI emphasizes the importance of compliance with all NCAA, Missouri Valley Conference, and  
institutional rules and regulations at the mandatory all-staff orientation meeting each fall. All UNI athletic  
department staff sign the NCAA "Certification of Compliance" form at this meeting. Rules compliance is  
also specifically addressed in the UNI Department of Athletics Staff Handbook that is provided to all  
coaches and other athletic department staff.  
The UNI Director of Athletics' employment contract emphasizes the importance of rules compliance. That  
employment contract makes it explicit that the Director of Athletics is responsible for ensuring "education  
and enforcement" of rules and regulations with coaches, athletic department staff, boosters, and other  
related groups and individuals.  
Rules compliance is an issue that is raised during UNI job searches and in interviews for coaching staff. It  
is also emphasized in employment contracts. Prior to an on-campus interview, reference checks and an  
NCAA background check for rules violations is usually completed for each coaching staff candidate.
Currently, other athletic department staff are not issued formal letters of appointment that emphasize the importance of rules compliance: this is also to be rectified by August, 2011 according to the Plan for Improvement.

Generally, all full-time, non-temporary head coaches, assistant coaches, and sport-specific support personnel at UNI have standard employment contracts. The following is an example of the pertinent parts of the athletic department's standard employment agreement—the rules compliance language for these coaching staff members:

3. The appointee shall use best and good faith efforts to recognize and comply with the rules and regulations that currently and at any time in the future apply to the University or its athletic department, including those of the State of Iowa, Board of Regents, State of Iowa, University itself, National Collegiate Athletic Association, and applicable athletic conference.

4. It is understood that assistant coaches are directly responsible to the head coach, who is responsible for assigning and overseeing their activities relating to the athletic interests of the University. Although the head coach supervises and assigns the duties of assistant coaches, the assistant coach is responsible to the Director of Athletics.

6. The appointee shall report annually to the Director of Athletics all athletically related income and benefits from sources outside the University, such as income from annuities, sports camps, housing benefits, complimentary-ticket sales, and endorsement or consultant contracts with athletic shoe, apparel or equipment manufacturers. The Director of Athletics shall then report this information to the University President.

Furthermore, if the appointee is found in violation of significant (major) NCAA regulations or of repetitive violation of secondary NCAA regulations, then the appointee shall be subject to disciplinary or corrective action as set forth in the provisions of the NCAA enforcement procedures and/or Board of Regents Policy on Athletics, including suspension without pay or termination of employment. This does not eliminate the ability of the University to take disciplinary action for secondary violations of NCAA regulations, such action reasonable in type and severity in relation to the secondary violation.

b. Rules Compliance Language in Job Descriptions

Some job descriptions for coaches and other athletic department staff include general references to complying with applicable rules and regulations but this practice is inconsistent and needs to be improved. A recommendation that is part of the Governance and Commitment to Rules Compliance Plan for Improvement developed as part of this Cycle 3 certification self-study. That Plan for Improvement specifies that job descriptions for all coaching and athletic department staff will be reviewed and revised (by August, 2011) to include clear and consistent language regarding the importance of rules compliance.

c. Rules Compliance Language in Performance Evaluations

Finally, the Director of Athletics (or his sport supervisor designee; see item #8 in section 2.1 of this self-study) is expected to formally conduct annual performance evaluations of each head coach. Head coaches are informally expected to evaluate the performance of each assistant coach and to report the results of that evaluation to the Director of Athletics. Annual performance evaluations have typically been done either using the UNI "short form" for all UNI Professional and Scientific (P&S) Staff or by providing a written narrative. The standard UNI P&S form does not specifically address rules compliance activities and in recent years, performance evaluations have been inconsistent in their content and not completed reliably for all athletic department administrative staff. Consequently, the Plan for Improvement also requires the development and implementation of a comprehensive new performance evaluation process for all coaches and athletic department administrative staff. An emphasis on important rules compliance tasks will be included. A new performance appraisal tool has recently been developed by UNI's Human Resources and will serve as a basis for the evaluation tool that will be developed by UNI athletics.
5. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the department of athletics who are involved in rules-compliance activities. Specifically, the institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:
   a. Contracts or letters of appointment;
   b. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

The institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due to its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

1. Rules Compliance Language in Contracts/Letters of Appointment

   Rules compliance is an important element in personnel matters at the University of Northern Iowa (UNI) both inside the Department of Athletics (see item #4 above) and for pertinent staff in the broader UNI administration.

   The UNI Director of Athletics' employment contract makes it explicit that the Director of Athletics is responsible for ensuring "education and enforcement" of rules and regulations with coaches, athletic department staff, boosters, and other related groups and individuals.

2. Rules Compliance Language in Job Descriptions

   Job descriptions for staff members outside of the athletic department, who are involved in rules compliance activities (e.g. the Registrar's Office, Admissions Office, Faculty Athletic Representative, and the Office of Financial Aid), include specific statements related to their rules compliance responsibilities.

   For example, the Senior Assistant Director of Admissions has the following rules compliance language in his job description:

   Serves on University's NCAA Compliance Council; ensures compliance with NCAA rules and regulations as they pertain to initial eligibility; serves as primary admissions contact for Intercollegiate Athletics personnel; communicates with coaches, students, parents, and high school officials regarding University admission policies, NCAA rules, and NCAA initial eligibility status; meets with prospective student athletes; conducts large and small group presentations to prospective student-athletes; makes decisions regarding admission of freshmen and transfer student athletes; and, monitors admissions exceptions processes and decisions for compliance.

   The Assistant Registrar has the following rules compliance language in her job description:

   Compiles, determines, and certifies athletic eligibility to the NCAA and athletic conferences; interprets
NCAA regulations and advises Associate Athletic Director, student-athlete academic advisors, coaches, athletes, faculty, and administrators regarding initial and continuing eligibility; monitors enrollment status and academic progress of student-athletes; and, compiles, analyzes, and reports all aspects of the Academic Performance Program (APP) data collection and graduation rate information to the NCAA, Board of Regents, and other agencies.

The Assistant Director of Financial Aid and the Faculty Athletics Representative also have rules compliance language in their job descriptions.

c. Rules Compliance Language in Performance Evaluations

None of these administrative staff members with compliance related responsibilities outside of the athletic department currently receive letters of appointment or formal contracts. Each of these staff members is evaluated by their supervisor outside of the athletic department using the appropriate UNI human resources performance evaluation form for their position. Any issues related to rules compliance performance activities is communicated to the appropriate supervisor. Copies of the specific job descriptions will be available for review during the peer review team visit.

6. Provide the name(s) and title(s) of the institutional staff member outside the department of athletics who has ultimate responsibility in determining student-athlete's admission to the institution, certification of academic standing, and conferment of academic degrees.

The institution must demonstrate that the responsibility for admission, certification of academic standing and conferment of academic degrees of student-athletes is vested in the same agencies that have authority in these matters for students in general.

The Director of Admissions at the University of Northern Iowa, Christie Kangas, has ultimate responsibility for allowing the admission of each student to the university, including each student-athlete. She delegates the day-to-day oversight of admissions decisions to the Senior Assistant Director of Admissions, Dan Schofield.

The University Registrar, Philip Patton, has ultimate responsibility for certifying the academic standing of students at the university, including any student-athletes. The Registrar also certifies the conferment of academic degrees for all students at the university who qualify, including those involved with athletics. He delegates the day-to-day oversight of responsibilities for student-athlete eligibility to Assistant Registrar, Diane Wallace.

7. Provide the name(s) and title(s) of the individual(s) (other than the institution's compliance officer/director) who the chancellor or president designates as having final authority for the institution's rules compliance (e.g., athletics director, vice president for athletics).

The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns final authority for the athletics program (e.g., director of athletics, vice president for athletics).

University of Northern Iowa (UNI) President, Benjamin Allen, delegates authority for day-to-day oversight of the intercollegiate athletic program at UNI to the Vice President for Administration and Financial Services, Tom Schellhardt. President Allen delegates responsibility for day-to-day administration of the intercollegiate athletic program, including all compliance issues, to the Director of Athletics, Troy Dannen. The Director of Athletics exercises final authority, on behalf of the university, for its rules compliance program. If legal issues arise, the Director of Athletics consults with the University General Counsel, Timothy McKenna, the Vice President for Administration and Financial Services, and the President of the university.
8. Identify the individuals inside and outside the department of athletics who have rules compliance responsibilities. Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:

   a. Faculty athletics representative;
   b. Director of athletics;
   c. Compliance officer/director;
   d. Coaches; and
   e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:

      1. Eligibility certification;
      2. Investigation and self-reporting of violations;
      3. Monitoring of financial aid; and
      4. NCAA Division I Academic Performance Program (APP).

The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.

The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and APP.

University President, Benjamin Allen, delegates authority for day-to-day oversight of the intercollegiate athletics program at the University of Northern Iowa to the Vice President for Administration and Financial Services, Tom Schellhardt. President Allen delegates responsibility for day-to-day administration of the athletic program, including all rules compliance issues, to the Director of Athletics, Troy Dannen, who is ultimately responsible for rules compliance. The President, Vice President for Administration and Financial Services, and Director of Athletics delegate responsibility to several university staff members to implement and provide oversight for UNI’s rules compliance program. Three specified athletic program staff members, as well as all members of the coaching staff, work rules compliance issues from within the athletic program. Several additional staff members, from outside of the athletic department, also serve primary roles in UNI’s comprehensive rules compliance program.

Within the athletic department, key roles in the rules compliance program are played by the Senior Associate Athletic Director (SAAD), the Senior Woman Administrator (SWA), the Director of Athletic Compliance, and all head coaches and coaching staff. Jean Berger serves both as the SAAD and SWA for the athletic department. She reports directly to the Director of Athletics, is a senior staff member in the athletic department’s management team, and has responsibilities that include oversight of student services for athletes (involving issues of both compliance and academics). She serves on the Athletic Compliance Council and as an ex-officio representative to the Intercollegiate Athletic Advisory Council (IAAC).

Daren Koudele, Director of Athletic Compliance for the athletic department, reports directly to the SAAD/SWA. He is responsible for the day-to-day operations and management of the compliance program from within the athletic department. His rules compliance work includes rules education for coaches, pertinent staff, and student-athletes; coordinating student-athlete eligibility and financial aid; maintaining student-athlete records including monitoring each student-athlete’s progress-toward-degree; monitoring progress-toward-degree regulations; monitoring and auditing all athletic department records pertaining to rules compliance; investigating and processing violations of NCAA rules; and, implementing all policies and procedures made necessary by NCAA and/or Missouri Valley Conference (MVC) regulations.

All coaches and coaching staff members are required (a) to perform each of their job duties in accordance with University, NCAA, and MVC rules. Their responsibilities include the obligation (b) to initiate a self-report of any violations of University, NCAA, and MVC rules. For example, coaches are responsible for maintaining rules
Governance and Commitment to Rules Compliance

compliance in recruiting, eligibility, amateurism, ethical conduct, financial aid, awards and benefits, playing and practice season regulations, and personnel. Coaches and coaching staff members are required (c) to verify, through monitoring, the application of NCAA rules. Coaches and coaching staff members are required (d) to submit rules compliance documentation periodically to the Director of Compliance.

Chain of command among coaches and coaching staff members is as follows. Assistant coaches report to the head coach for their sport. Head coaches report to the senior staff member assigned to oversee their sport (their "sport supervisor"). The Director of Athletics oversees (serves as the sport supervisor for) men's basketball and football. The SAAD/SWA oversees softball, volleyball, and women's basketball. The Associate Athletic Director/Internal Operations oversees golf, wrestling, tennis, cross country, track and field, and swimming and diving. Any rules compliance issue reported to a sport supervisor or other athletics department administrator is taken to the Director of Athletics and/or Director of Athletic Compliance for review. Whenever that happens, the issue is then brought to the attention of the University Counsel and/or the Vice President for Administration and Financial Services and/or the University President. Any coach or coaching staff member can also bring notice of a possible rule compliance issue directly to the attention of the Director of Athletic Compliance or the Director of Athletics.

Involved with athletic program rules compliance, but working outside the University of Northern Iowa Athletic Department, are additional key figures: the Faculty Athletics Representative (FAR), the Senior Assistant Director of Admissions, the Assistant Registrar, and two co-Assistant Directors of Financial Aid including the Assistant Director of Gift Aid and Multicultural Relations.

The Faculty Athletics Representative (FAR) helps integrate athletics rules compliance processes with other academic and institutional concerns regarding athletes and athletics. The University of Northern Iowa President appoints the FAR for a term of five years (with two terms the maximum length of continuous service). The FAR position is currently held by Dr. Anne Woodrick, Professor of Sociology, Anthropology & Criminology in the College of Social and Behavioral Sciences. Dr. Lisa Jepsen, Associate Professor of Economics in the College of Business Administration, has been appointed to serve as the next FAR (from 2011-2016). FAR responsibilities include: administering the annual NCAA rules exam to all staff and students active in the athletic program; reviewing allegations and reports of rules violations; completing NCAA and MVC scholarship nomination forms; reviewing and signing any requests for waivers of NCAA and MVC rules; approving appropriate compliance processes to ensure student-athletes meet all regulations for eligibility, financial aid, and practice/competition limits; meeting periodically with the Student-Athlete Advisory Council; and, reviewing issues related to student-athlete welfare. In addition, the FAR represents the institution at all NCAA, Missouri Valley Conference, and Faculty Athletics Representative Association meetings. The FAR serves as the Chair of the Athletic Compliance Council, as an ex-officio member of the Intercollegiate Athletic Advisory Council (IAAC), as the Chair of the Student-Athlete Appeals Committee, and as a member of search committees for athletic department coaches and administrators. The FAR offers an annual report to the Faculty Senate, meets with the University President on a quarterly basis to review issues pertaining to intercollegiate athletics and UNI student-athletes, and submits an annual report to the University President and to the Provost summarizing FAR activities.

Dan Schofield, Senior Assistant Director of Admissions serves as the liaison to the athletic department from the Office of Admissions. Mr. Schofield is responsible for making admissions decisions regarding prospective student-athletes in accordance with UNI admissions standards and he serves on the Athletic Compliance Council. He reports to Christie Kangas, the Director of Admissions, who reports to the Vice President for Student Affairs, Terrence Hogan, who reports to the UNI President.

Diane Wallace, Assistant Registrar, is the certification officer for determining academic eligibility for athletes: she is responsible for making all such decisions in accordance with UNI, NCAA, and MVC rules. Ms. Wallace oversees the annual completion of the University of Northern Iowa NCAA Division I Academic Performance Program (APP) and compiles the NCAA Graduation Rates report for the university. She is a member of the Athletic Compliance Council and an ex-officio member of the Intercollegiate Athletic Advisory Council. She reports to Philip Patton, the University Registrar, who reports to the Vice President for Student Affairs, who reports to the University President.

Denise Parks, co-Assistant Director of Financial Aid, and Juanita Wright, co-Assistant Director of Financial Aid and Assistant Director of Gift Aid and Multicultural Relations, are specified liaisons from the Office of Financial Aid to the Department of Athletics. They are responsible for the certification of each student-athlete’s eligibility for financial aid and for monitoring eligibility of each student-athlete for continuing to receive financial aid. Ms. Wright and Ms. Parks work with the Director of Compliance to ensure that financial aid awards comply with NCAA rules such as: approving initial and renewing athletic scholarships; monitoring student-athlete awards for staying within individual and team scholarship limits; evaluating the impact on the athletic program processes of any non-athletic program scholarships earned by student-athletes; reviewing Compliance Assistant Internet (CAI) content and program accuracy, timeliness, and consistency; and, directing the processes involved whenever there is reduction and/or non-renewal in athletic scholarships. Both Ms. Wright and Ms. Parks are members of the Athletic Compliance Council and of the Financial Aid Appeals Committee. Ms. Parks reports to Ms. Wright who reports to Joyce Morrow, Director of Financial Aid, who reports to the Vice President for Student Affairs, who reports to the University President.
9. Indicate by clicking "yes" or "no" in the Athletics Certification System (ACS), whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance. Please note, all policies and procedures must be available during the evaluation visit. If an institution indicates a specific written policy and step-by-step procedure is not applicable (N/A), the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:

- a. Initial-eligibility certification;
- b. Continuing-eligibility certification;
- c. Transfer-eligibility certification;
- d. NCAA Division I Academic performance program (APP) (e.g., data collection process, penalty implementation process);
- e. Financial aid administration, including individual and team limits;
- f. Recruiting (e.g., official and unofficial visits, hosts entertainment, contacts phone call);
- g. Camps and clinics;
- h. Investigations and self-reporting rules violations;
- i. Rules education;
- j. Extra benefits;
- k. Playing and practice seasons;
- l. Student-athlete employment; and
- m. Amateurism.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tbody>
<tr>
<td>Initial eligibility.</td>
<td>X</td>
<td></td>
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<tr>
<td>Continuing-eligibility certification.</td>
<td>X</td>
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<tr>
<td>Transfer-eligibility certification.</td>
<td>X</td>
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<tr>
<td>APP.</td>
<td>X</td>
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<tr>
<td>Financial aid administration.</td>
<td>X</td>
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<tr>
<td>Recruiting.</td>
<td>X</td>
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<tr>
<td>Camps and clinics.</td>
<td>X</td>
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<tr>
<td>Investigations and self-reporting of rules violations.</td>
<td>X</td>
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<tr>
<td>Rules education.</td>
<td>X</td>
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<td>Extra benefits.</td>
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<td>Playing and practice seasons.</td>
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<td>Student-athlete employment.</td>
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<td>Amateurism.</td>
<td>X</td>
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List of attachments
10. Describe how the institution's written compliance policies and procedures are communicated on an annual basis to athletics department staff and individuals outside the athletics department with rules compliance responsibilities.

The institution must demonstrate that its compliance policies and procedures are directly communicated in writing (e.g., provide hard copy of document, provide weblink via e-mail) on an annual basis to department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The University of Northern Iowa (UNI) communicates its written compliance policies and procedures to Department of Athletics staff members and to individuals outside the department with compliance responsibilities annually and on an on-going basis. The Director of Athletics, Troy Dannen, exercises final authority at UNI, for rules compliance. As part of the UNI rules compliance program, various staff members are charged with communicating rules compliance policies and procedures to Department of Athletics coaches and coaching staff members, student-athletes, and pertinent individuals inside and outside the athletic department: to apprise pertinent parties of rules compliance policies, responsibilities, and issues on an on-going basis.

For example, the UNI Director of Athletic Compliance, Daren Koudele, (a) oversees the collection and dissemination of all rules compliance policies and procedures; (b) presents pertinent compliance information and forms to coaches and coaching staff and any other pertinent Department of Athletics personnel during monthly sessions that include education on compliance rules; (c) provides pertinent rules compliance information to other pertinent UNI personnel and to athletic program boosters; and, (d) posts up-to-date information on all current compliance policy, procedure, and activity (see "Compliance" subsection of UNI athletic department website).

Written compliance policies and procedures are in the UNI Department of Athletics Staff Handbook and in the UNI Compliance Manual (formerly called the UNI Guide for Rules Compliance). These written compliance policies and procedures were updated in 2011.

11. Describe the institution's rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:

- Boosters;
- Student-athletes;
- Department of athletics staff;
- Coaches;
- Faculty; and
- Institutional staff outside the department of athletics.

The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, department of athletics staff, coaches, and directly involved faculty and institutional staff outside the department of athletics.

The University of Northern Iowa (UNI) has a comprehensive, continuous rules compliance education program. This is the mechanism by which rules compliance information is provided to Department of Athletics boosters, student-athletes, and staff (including coaches and coaching staff), as well as to non-athletics department university staff who are involved with rules compliance and those UNI faculty and academic advisors who are not. Daren Koudele, Director of Athletic Compliance, oversees implementation of the program as the designee of Director of Athletics, Troy Dannen, who exercises final authority at UNI, for rules compliance.

BOOSTERS: (a) The Director of Athletic Compliance meets with the Panther Scholarship Club Board of Directors at least annually to review NCAA rules. (b) Boosters of any UNI athletic programs are sent an educational brochure...
entitled "NCAA Rules for Alumni, Fans, & Friends of Panther Athletics." Among other topics, this educational
resource explains rules about interacting with and/or employing current or prospective UNI student-athletes, hosting
meals for UNI athletic teams or their student members, and, providing extra benefits to UNI student-athletes. For
example, key rule phrases are explained and definitions of terminology are provided, such as for "extra benefits"
and "representative of athletics interests." (c) Similar rules compliance information is printed in game programs to
insure that all UNI fans and supporters are aware of current NCAA rules and are informed about the importance of
rules compliance.

ATHLETES: (a) Rules compliance information is included in the UNI Student-Athlete Handbook, which is (a-i)
provided to each student-athlete each fall, (a-ii) discussed at a team meeting for each sport each fall, and (a-iii)
available on the Department of Athletics website. (b) All student-athletes are required to attend in-person rules
compliance education sessions with the Director of Athletic Compliance during each team's pre-season mandatory
meeting each fall. (Student-athletes are not allowed to practice or receive athletics aid until they attend the
meeting.) These meetings cover: recruiting, initial and continuing eligibility, complimentary admissions, financial aid,
playing and practice season limits including seasons of competition, extra benefits, employment, ethical conduct,
amateurism, outside competition, drug testing and the NCAA Banned Drug List, gambling, and transfer issues. (c)
Special reminders are also provided for pertinent processes or at salient times during the year. For example, each
student-athlete serving as a host for a prospective student-athlete who is making an official visit to the UNI campus
(a recruiting trip) is given guidelines for maintaining rules compliance while serving as a host. Gambling rules
compliance reminders are sent to student-athletes at temporarily-sensitive times, such as prior to the NCAA
Basketball Tournament. (d) Athletics rules materials are posted each month by the Director of Athletics Compliance
on the Department of Athletics website. The compliance section of that website includes information for current and
prospective student-athletes, such as the "NCAA Guide for the College Bound Student-Athlete," the "NCAA Transfer
Guide," and "frequently asked questions" about the National Letter of Intent. (e) On an as-needed basis, a
representative from the Compliance Office reports rules compliance policies, procedures, or issues to the Student-
Athlete Advisory Committee.

DEPARTMENT OF ATHLETICS STAFF/COACHES: (a) Each coach and coaching staff member receives a copy of
the NCAA manual each year and the NCAA recruiting calendar (as applicable) for their sport. In addition, each
coach and coaching staff member is given "quick reference" educational materials throughout the year on various
rules compliance topics (e.g., recruiting rules compliance). (b) Each sport/program is required by Department of
Athletics policy to have one or more staff members attend each rules compliance education session conducted by
the Director of Athletics Compliance every month. Recent topics include new NCAA legislation, medical hardship
waivers, recruiting materials, official visits, National Letter of Intent protocol, student-athlete employment, team
entertainment, occasional meals, promotional activities, camps and clinics, and duties of support personnel. Beyond
the stipulated, required attendance, all Department of Athletics staff members, including all coaches and coaching
staff, are encouraged to attend any rules compliance session germane to their sport/situation. (c) All athletic rules
compliance educational session materials are posted each month on the Department of Athletics website. The
compliance section of that site also includes compliance forms for coaches and important information for
prospective and current student-athletes.

UNIVERSITY STAFF WITH RULES COMPLIANCE RESPONSIBILITIES: Institutional staff members outside the
athletic department who have rules compliance responsibilities meet regularly as the Athletic Compliance Council.
They review and discuss rules compliance and academic services issues. (The Senior Associate Athletic Director/
Senior Woman Administrator, the Director of Athletic Compliance, and the Athletic Academic Advisors who work
with student-athletes represent the Department of Athletics on the Compliance Council.) All members of the council
attend an NCAA regional rules compliance seminar each year. Council members are also encouraged to attend
monthly rules education sessions conducted by the Director of Athletic Compliance that are germane to their
particular duties/situation.

NON-ATHLETICS DEPARTMENT ACADEMIC ADVISORS & FACULTY: The UNI Faculty Athletics Representative
(FAR) and the Director of Athletic Compliance periodically provide compliance education information to the
Intercollegiate Athletics Advisory Council (IAAC) at regular meetings. For example, at a recent IAAC meeting, the
FAR presented information regarding proposed changes to the 2-4 transfer legislation. The IAAC consists of
campus and community members and representatives come from the UNI faculty, staff, student government,
students in UNI athletics programs, and from the broader Cedar Valley community.

In addition, the Governance and Commitment to Rules Compliance Plan for Improvement, developed as part of this
NCAA Cycle 3 certification self-study, stipulates that: (a) The UNI Department of Athletics will disseminate an
informational brochure in September, 2011 to all UNI faculty and academic advisors. The brochure will include an
overview of continuing eligibility requirements, extra benefits, missed class time, and contact information for the
Director of Athletic Compliance, the Athletic Academic Advisors, and the Faculty Athletics Representative. (b) This
brochure will also be given to Intercollegiate Athletic Advisory Council (IAAC) members.
12. In regard to the institution's most recent rules-compliance evaluation:

a. Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules-compliance evaluation;

b. Describe the process used in selecting this authority outside the athletics department to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution's department of athletics and is knowledgeable of NCAA legislation and rules compliance practices; and

c. Provide the date of the institution's most recent rules compliance evaluation.

The institution must demonstrate that its rules-compliance program is subject to a comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

Christopher D. Schoemann, Director of Compliance Services at Bond, Schoeneck & King, PLLC (BS&K) of Overland Park, Kansas conducted an on-campus rules compliance program evaluation of the University of Northern Iowa (UNI) Department of Athletics on November 30 – December 2, 2010 (and a previous rules compliance program evaluation for UNI in April, 2007). Mr. Schoemann is an expert in NCAA rules and compliance practices with 18+ years of experience. He previously served as a member of the NCAA national office staff and as an athletic administrator at an NCAA Division IA institution (where his primary responsibility was athletic rules compliance). Mr. Schoemann's work was overseen by attorney, Steve Morgan, a partner with BS&K's Collegiate Sports Practice Group and himself a nationally recognized expert in NCAA rules compliance and infractions.
13. The rules compliance evaluation must determine that the institution's compliance practices are engaged and functioning and must include the required areas listed below. Indicate by clicking "yes" or "no" in the ACS which areas were included in the institution's most recent rules compliance evaluation. If the institution indicates a specific area is not applicable (N/A), the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at minimum, the following areas:

a. Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);
b. Initial-eligibility certification;
c. Continuing-eligibility certification;
d. Transfer-eligibility certification;
e. APP;
f. Financial aid administration, including individual and team limits;
g. Recruiting (e.g., official and unofficial visits, hosts entertainment, contacts, phone calls);
h. Camps and clinics;
i. Investigations and self-reporting rules violations;
j. Rules education;
k. Extra benefits;
l. Playing and practice seasons;
m. Student-athlete employment;
n. Amateurism; and
o. Commitment of personnel to rules-compliance activities.

All rules compliance evaluations conducted on/after September 1, 2008, must include the following new areas: governance and organization; APP; amateurism; and commitment of personnel to rules-compliance activities. If an institution's rules compliance program has been evaluated at least once in the past four years at the time of the self-study process and the evaluation was conducted prior to September 1, 2008, the institution is not required to include the four new areas in its evaluation or conduct an additional evaluation to include the four new areas. However, the institution must create a plan for improvement demonstrating that the four new areas of review will be included in the next scheduled rules compliance evaluation.
14. Describe the process used by the institution during the development of the self-study to review the most recent rules compliance evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

The external rules compliance evaluation report, provided by Bond, Schoeneck & King, PLLC of Overland Park, Kansas, will be evaluated by the University’s Athletic Compliance Council and the Director of Athletics to determine if any corrective actions are needed. If corrective actions are necessary, the Athletic Compliance Council will submit recommendations and plans to the Intercollegiate Athletic Advisory Council for review and approval.

The Athletic Compliance Council is composed of: Anne Woodrick, Faculty Athletics Representative (Chair of Council); Jean Berger, Senior Associate Athletic Director/Senior Woman Administrator; Daren Koudele, Director of Athletic Compliance; Stacia Greve, Athletic Academic Advisor; Kara Park; Athletic Academic Advisor; Dan Schofield, Senior Assistant Director of Admissions; Juanita Wright, Assistant Director of Financial Aid; Denise Parks, Assistant Director of Financial Aid; Diane Wallace, Assistant Registrar; and, Greg Offerman, Graduate Assistant for Athletic Compliance.

15. Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 14 or actions previously planned or implemented from the most recent rules compliance evaluation. Provide:

a. The plan(s) or action(s) implemented; and  
b. The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s).

The external rules compliance evaluation report, provided by Bond, Schoeneck & King, PLLC of Overland Park, Kansas, included the following recommendations for action.

1) Develop a comprehensive monitoring/audit system for telephone records
2) Develop written policies and procedures for monitoring summer camps/clinics
3) Review and enhance the policies and procedures related to the investigation and reporting of NCAA/MVC rules violations, including when university/outside counsel should be involved
4) Evaluate the organizational structure and athletic activities of the Panther Wrestling Club
5) Monitor student-athletes engaging in "unattached" competition
6) Ensure all performance evaluations for athletic department staff members include a statement regarding the
   important of compliance
7) Establish a process for the compliance office to pre-review financial aid refunds to student-athletes before they
   are credited to student accounts
8) Evaluate current and future utilization of technology software tools to benefit efﬁciency in the compliance office
9) Ensure student-athletes sign renewal financial aid agreements annually
10) Implement formal indirect "dotted" reporting lines for compliance and athletic academic advisors
11) Improve monitoring of complimentary admissions to identify the relationships of recipients for student-athletes
    and coaches

These recommendations have been adopted by the UNI Athletic Compliance Council (spring, 2011) and have been
recommended to the UNI Intercollegiate Athletics Advisory Council for implementation. These recommendations are
addressed in the Governance and Commitment to Rules Compliance Plan for Improvement, developed as part of
this NCAA Cycle 3 certiﬁcation self-study.

16. Submit a copy of the report from the institution's most recent rules compliance evaluation. [Please use
the file upload link contained within this question to submit a copy of the institution's most recent rules
compliance evaluation.]

The institution must submit a copy of the written evaluation from its comprehensive external rules-
compliance evaluation.

A copy of UNI's external rules-compliance evaluation is included with this report.

List of attachments

1. OVPKS1-#26271-v1-Northern_Iowa_Compliance_Review_Report.pdf

17. If the institution has developed a plan(s) for improvement during the current self-study process for
Operating Principle 1.2, describe the institution's efforts to ensure the plan(s) for improvement was
developed through a process involving broad-based participation and has received formal institutional
approval.

The University of Northern Iowa (UNI), during the current NCAA self-study recertiﬁcation process, developed a Plan
for Improvement, which is included with this report. The Plan for Improvement was reviewed by: the 2010-11 UNI
NCAA Certiﬁcation Steering Committee and its Governance and Commitment to Rules subcommittee; Steering
Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR
Dr. Lisa Jepsen; UNI athletic department senior administrative team; Panther Scholarship Club Board of Directors;
and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr.
Chancy and each subcommittee chair presented the NCAA Certiﬁcation subcommittee reports, which included the
Governance and Commitment to Rules improvement plan, to members of the President's Cabinet and UNI
Academic Affairs Council.

President's Cabinet:
Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI
Foundation
James O'Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer

UNI's Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
The Plan of Improvement along with information relative to the self-study process, reports, and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20, and 21, 2011.

After review, the Plan of Improvement was ultimately approved by President Ben Allen.
<table>
<thead>
<tr>
<th>Elements in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
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<tbody>
<tr>
<td><strong>Letters of appointments for athletic department staff without employment contracts do not contain NCAA rules compliance language.</strong></td>
<td>All letters of appointments for non-contract employees contain language related to the importance of NCAA rules compliance.</td>
<td>Revise letters of appointment for all athletic department staff and outside staff with compliance responsibilities to add compliance language.</td>
<td>Assistant Athletic Business manager, Human Resources, Director of Athletic Compliance.</td>
<td>Begin Spring, 2011 with new appointment letters for 2011-12 academic year. Annually thereafter.</td>
</tr>
<tr>
<td><strong>Job descriptions for athletic department staff, including coaches and administrators, do not contain specific and consistent language regarding the importance of NCAA rules compliance.</strong></td>
<td>All job descriptions for athletic department employees include language related to the importance of following NCAA rules.</td>
<td>Revise all job descriptions to include specific language. Ensure all head coaches' job descriptions include language related to rules compliance for staff who they supervise, including assistant coaches and administrative support personnel.</td>
<td>Assistant Athletic Business manager, Human Resources, Director of Athletic Compliance.</td>
<td>Begin Spring, 2011 with completion by August 1, 2011 when possible. Update as new contracts are formulated.</td>
</tr>
<tr>
<td><strong>The performance evaluation process for athletic department staff, including coaches and administrators, does not include formal evaluation of NCAA rules compliance.</strong></td>
<td>All athletic department staff are annually evaluated on compliance with NCAA rules.</td>
<td>Create and implement a new formalized performance evaluation process, utilizing a specific form which includes criteria for reviewing rules compliance actions of coaches and staff.</td>
<td>Assistant Athletic Business manager, Human Resources, Director of Athletic Compliance; Sports supervisors</td>
<td>Begin Spring 2011; Annually thereafter.</td>
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<td><strong>The monitoring system for telephone records is infrequent and not formally conducted on an ongoing basis.</strong></td>
<td>Telephone records of coaching staff members who recruit are formally reviewed through a comprehensive system to ensure ongoing compliance.</td>
<td>Create a telephone log form for coaches to document calls to recruits; Document and explain the process for coaches to turn in phone bills and call logs; Document and the monitoring process for auditing call logs with phone bills based on schedule; Compliance Council and AD approves the process; Implement the process</td>
<td>Director of Athletic Compliance, Compliance Council</td>
<td>Begin August 2011; Ongoing thereafter</td>
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<td>Elements</td>
<td>Goals</td>
<td>Steps</td>
<td>Individuals/Officers Responsible for Implementation</td>
<td>Specific Timetable for Completing the Work</td>
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<tr>
<td>Issues in the Self-Study</td>
<td>Measurable Goals</td>
<td>Steps to Achieve Goals</td>
<td>individuals/officers responsible for implementation</td>
<td>specific timetable for completing the work</td>
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<tr>
<td>The process for approving and monitoring summer camp/clinic compliance</td>
<td>Summer camps and clinics are formally reviewed each year using a</td>
<td>Create and implement a system of compliance forms to monitor brochures, discounts,</td>
<td>Director of Athletic Compliance, Director of UNI Sports Camps</td>
<td>Begin May 2011; Annually thereafter</td>
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<td></td>
<td>written system of policies and procedures for monitoring compliance</td>
<td>employment of student-athletes/outside coaches, and mbkb focus group issues; Compliance Council approves system; System is reviewed with Director of Sports Camps and Coaches</td>
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<td>issues</td>
<td>compliance council approves system; System is reviewed with Director of Sports Camps and Coaches</td>
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<td>Compliance office will discuss with ticket office about adding the relationship requirement to the complimentary admissions electronic system; New requirement will be implemented and communicated to coaches and staff. Student-athlete and staff handbooks updated.</td>
<td>Director of Athletic Compliance, Athletics Ticket Manager</td>
<td>August 2011;</td>
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<td>Financial aid reporting system and have compliance pre-review financial aid &quot;surplus&quot; refund checks prior to being sent out/ credited to student accounts</td>
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<td>Create renewal athletic aid agreements which are sent to and must be signed by student-athlete during the renewal process.</td>
<td>Director of Athletic Compliance, Assistant Director of Financial Aid; Senior Associate AD</td>
<td>June 2011.</td>
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<td>The policies and procedures for investigating and reporting violations should be revised to include some measurable standard to determine when involvement of university and or outside counsel is necessary</td>
<td>Review and modify the current policies and procedures for investigating and reporting violations; Compliance Council recommends approval of revised policy and procedures to IAAC and AD, Process is approved and implemented</td>
<td>September 2011;</td>
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<td>The policies and procedures for investigating and reporting violations are clear and specific regarding responsibilities of personnel, communication channels, and the standard of measurement for involving the university or outside counsel</td>
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<td>Review and modify the current policies and procedures for investigating and reporting violations; Compliance Council recommends approval of revised policy and procedures to IAAC and AD, Process is approved and implemented</td>
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<td>Measurable Goals</td>
<td>Steps to Achieve Goals</td>
<td>Director of Athletic Compliance</td>
<td>August 2011;</td>
</tr>
<tr>
<td>No formal process for approving and documenting student-athletes</td>
<td>All student-athlete who compete &quot;unattached&quot; must be pre-approved</td>
<td>Create a form that provides rules education and a process to approve &quot;unattached&quot;</td>
<td>Director of Athletic Compliance</td>
<td>August 2011;</td>
</tr>
<tr>
<td>competing &quot;unattached&quot; to ensure compliance with NCAA rules</td>
<td>through an institutional process that reviews NCAA rules related to the participation.</td>
<td>competition requests; Review form with coaches; Educate student-athletes about the process; Implement the system</td>
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<td>Student workers/managers or volunteer assistant coaches are not</td>
<td>Compliance office meets with student workers, managers, and volunteer coaches to</td>
<td>Director of Athletic Compliance</td>
<td>September 2011;</td>
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<tr>
<td></td>
<td>provided with formal training on NCAA rules on a consistent basis</td>
<td>review NCAA rules annually;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Student workers/managers or volunteer assistant coaches are</td>
<td>Get bids from technology vendors offering compliance software. Evaluate internal technology resources; Review information with athletic administration and Compliance Council; Determine financial cost/resources to implement; Implement technology tools if applicable.</td>
<td>Director of Athletic Compliance</td>
<td>Begin May, 2011 with completion by August 2013.</td>
</tr>
<tr>
<td></td>
<td>annually provided with formal training on NCAA rules.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Currently, the athletic department only utilizes the NCAA</td>
<td>The athletic compliance program utilizes various software programs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Compliance Assistant (CA) software and an internet based complimentary admissions system for assisting with compliance tasks</td>
<td>and tools to maximize efficiency in monitoring and reviewing compliance documentation.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
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</tr>
</tbody>
</table>

Date Printed Jun 21, 2011
Operating Principle

2.1 Academic Standards.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). For each condition, provide:

   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted as by the committee.

1. Condition

   The University of Northern Iowa must analyze, explain, and, if necessary, address (through specific plans for improvement) the graduation rates of African American football student-athletes. The CAC was concerned that the four-class graduation rates of African American football student-athletes at UNI continue to be significantly lower than the four-class graduation rates of the overall population of student-athletes at UNI.

   Action
The University of Northern Iowa (UNI) revised its Cycle 2 Academic Integrity Plan for Improvement then submitted both that plan and a progress report (August, 2004) to the NCAA Division I Committee on Athletic Certification (CAC). From 2004-the present, UNI continued to monitor and analyze graduation rates for its African American students, its African American student-athletes, and the African American student-athletes in its football program.

UNI added a full-time Director of Football Operations to its athletic department staff in 2007. The director is charged with (a) monitoring academic progress of student-athletes in the football program, including study table supervision for specified athletes, and (b) coordinating class checks to ensure that student-athletes in the football program are attending their classes.

UNI hired an additional academic advisor to help student-athletes at UNI in 2009. UNI now has two full-time academic advisors assigned to work with students in athletic department programming, one of which has primary responsibility for student-athletes in the football program.

UNI participated in a year-long, campus-wide study of the first college year experience in 2008: a process called Foundations of Excellence (FOE). FOE resulted in an institutional plan for improving student success and graduation rates at UNI. It also led to (a) the development of a First-Year Council that provides strategic oversight of first year initiatives and to (b) a University Retention Council (URC) charged with developing and implementing a plan to improve retention and graduation rates at UNI.

The URC is chaired by the Associate Provost for Academic Affairs, Dr. Michael Licari and is comprised of other key direction-givers in pertinent academic and administrative units at UNI. Several policies and have already been implemented or adjusted, including: a revision of the probation and suspension policy; implementation of an early warning/intervention tool, called MAP-Works (Making Achievement Possible), which identifies students who are at risk of leaving the institution; and, developing a targeted support network to assist in the success of each student identified by MAP-Works as needing help.

Improving retention and graduation rates have been addressed as important issues in the strategic plans for the Board of Regents, State of Iowa and for UNI: both of which were revised in 2010. Both strategic plans include specific goals: (a) for improving the retention and graduation rates of students in the undergraduate population at UNI; (b) for closing the gap between the graduation rates of underrepresented students and the graduation rates of the broader student body at UNI.

**Action Date**

- **August 20, 2004**: UNI submitted its response to the NCAA Committee on Athletic Certification (CAC), including its revised Academic Integrity Plan for Improvement for graduation rates for African American student-athletes in the football program.
- **September, 2004**: UNI was re-classified as Certified by the NCAA Division I CAC.
- **2004-present**: Graduation rates have been monitored and analyzed yearly.
- **2007**: UNI hired a new position, in part to help address graduation rates and related issues: Director of Football Operations.
- **2008**: UNI completed a year-long study of the first college year experience: the Foundations of Excellence (FOE) process.
- **UNI established the University Retention Council subsequent to the FOE process: charged with developing and implementing a plan to improve retention and graduation rates.**
- **2009**: UNI hired a second academic advisor assigned its athletic program: one of the two has primary responsible for student-athletes in the football program.
- **2010**: UNI and the Board of Regents, State of Iowa update their respective strategic plans with specific goals for improving retention and graduation rates.

**Explanation for partial or non-completion**
There continues to be a disparity between the four-class graduation rates for African American student-athletes in the football program at UNI and the four-class graduation rates for all student-athletes at UNI. However, the graduation rate at UNI is higher for African American student-athletes in the football program than it is for male African American students in the undergraduate population (45% to 34%: these are the most recent data available, for the cohort of student-athletes who entered UNI in 2003 and had until 2009 to earn their degree, as stipulated in NCAA Federal Graduation Rates Report). The graduation rate of UNI student-athletes in the football program is also higher than the graduation rate of all male and female African American students at UNI (45% to 39%, for the 2003 cohort).

Participation in football at UNI is associated with relatively higher graduation rates for African American males than it is for the comparison population at UNI. Consequently, the academic integrity subcommittee of the NCAA self-study steering committee at UNI is recommending continued focus on these issues in its Academic Integrity Plan for Improvement, but it also suggests that the African American student-athlete graduation rate issue should become part of the current discussion on the UNI campus, rather than remain as a football-only or athletic program-only issue. The FOE process and University Retention Council (see above) are both proactive efforts already underway at UNI that are related to a broader discussion.

In addition, the latest retention rate of 921 for African American football players (2008-09 data) is the second highest Academic Progress Rate (APR) for any male sport at UNI, with the exception of wrestling (and, overall, football's numbers are significantly higher). Football's overall APR rates are 941 (for the multi-year APR rate) and 955 for 2008-09. That compares to a 939 multi-year APR rate for football teams at other institutions playing at the Football Championship Series level. Retention and eligibility issues do appear to be a factor in the graduation rates for African American football players at UNI.

The average incoming standardized test scores (by "American College Testing" = the ACT) earned by African American students receiving athletic aid for UNI football are comparable to those earned by incoming African American male students at UNI: within the 18-20 range during the most recent four years of data reviewed (2007-10). The average core course grade point average (GPA) earned by incoming football players range from 2.76 to 3.16 during that same time frame. No large discrepancies in core course GPA or ACT SUM test scores were noted in comparison to all sports teams during that time.

(Notes to the reader: (a) The ACT score UNI uses during its application of the Regents Admissions Index (RAI) is a different figure than the SUM ACT used by the NCAA: but both figures are involved in making determinations regarding eligibility and admissions and in answering related questions. SUM ACT is only used by the ACT and the NCAA: it represents all ACT tests taken by a student-athlete and is used by the NCAA to determine initial eligibility. The ACT for RAI is the single ACT test score used as part of the admissions equation at all Iowa Regents Institutions. (b) Core course grade point average (CORE GPA) are average GPAs, earned by incoming student-athletes to UNI, on the set of NCAA specified high school courses they each had to take to be eligible to compete by NCAA standards. UNI does not compare GPA's earned at UNI by members of different UNI sports squads in making any of the determinations or in reporting any of the results required in this self-study certification process by the NCAA.)

In the following table, using the most recent data available (for the group/cohort of student-athletes who entered UNI in 2003 who were then allowed the stipulated number of years to earn their degree--six--to be counted as having graduated as part of the):

<table>
<thead>
<tr>
<th>Year</th>
<th>FB AA</th>
<th>All Male AA Students</th>
<th>All Male AA Athletes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>45%</td>
<td>(20) 34% (117) 46%</td>
<td>(26) 34% (130) 50%</td>
</tr>
<tr>
<td>2002</td>
<td>35%</td>
<td>(20) 33% (142) 31%</td>
<td>(26) 33% (146) 33%</td>
</tr>
<tr>
<td>2001</td>
<td>47%</td>
<td>(20) 33% (116) 36%</td>
<td>(25) 33% (118) 36%</td>
</tr>
<tr>
<td>2000</td>
<td>48%</td>
<td>(20) 34% (107) 37%</td>
<td>(27) 34% (108) 37%</td>
</tr>
<tr>
<td>1999</td>
<td>47%</td>
<td>(20) 32% (78) 32%</td>
<td>(25) 32% (78) 32%</td>
</tr>
<tr>
<td>1998</td>
<td>40%</td>
<td>(20) 35% (63) 38%</td>
<td>(21) 35% (63) 38%</td>
</tr>
</tbody>
</table>

(totals number of students in the specified population is in parenthesis)

In sum, African American football student-athletes have graduated at a higher rate than the African American male undergraduate population at the University of Northern Iowa (UNI) every year since 1998. The graduation rates for African American football players
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 2.1 (Academic Standards). For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

If the institution developed a plan for improvement for Operating Principle 1.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan.
- The institution has had personnel changes since the original development of the plan.
- The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial or noncompletion:

- The institution has implemented a different plan(s) or taken different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

1. Original Plan

   The University of Northern Iowa (UNI) will recruit academically stronger student-athletes for its men's basketball program beginning fall, 2004. The average high school grade point average and standardized test scores for entering freshmen who receive athletic aid in men's basketball should be comparable and not significantly lower than those for other sports at UNI and for the general student population.

   **Action**
Improving the academic potential of recruits for the men's basketball program at the University of Northern Iowa (UNI) has been an on-going goal since the NCAA Cycle 2 self-study (2002).

UNI has hired two new head coaches for men's basketball since the NCAA Cycle 2 self-study (2002): the current head coach served as a UNI assistant coach in men's basketball before his promotion to head coach (2006). Each head coach was responsible for improving/maintaining the academic potential of student-athletes recruited into UNI men's basketball program.

Successful outcomes manifest as (a) higher average incoming standardized test scores (by "American College Testing" = the ACT) earned by student-athletes on aid for UNI men's basketball and in (b) significant improvement in men's basketball team core course high school grade point averages (GPA) since Cycle 2. In fact, student-athletes with the UNI men's basketball team now have a higher core GPA for its recruits than does any other men's sport at UNI: from 2008-11.

<table>
<thead>
<tr>
<th>Year</th>
<th>ACT SUM</th>
<th>CORE GPA</th>
<th>No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>84 3.56</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>2009-10</td>
<td>85 3.47</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>82 3.40</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>2007-08</td>
<td>72 2.87</td>
<td>3</td>
<td></td>
</tr>
</tbody>
</table>

(Notes to the reader: (a) Regents Admissions Index (RAI) ACT and SUM ACT are different figures but both are involved in answering these questions and the ones above and that follow. SUM ACT represents all ACT tests taken by a student-athlete for initial eligibility: ACT SUM scores are used by the NCAA for initial eligibility. The ACT for RAI is the single ACT test score used as part of the admissions equation at all Iowa Regents Institutions. (b) Core course grade point average (CORE GPA) are average GPAs earned by incoming student-athletes to UNI: from a set of NCAA specified high school courses they each had to take to be eligible to compete by NCAA standards. UNI did not compare GPA's earned while at UNI by members of different UNI sports squads in making any of the determinations or in reporting any of the results required by the NCAA in this self-study report.)

Both the core course GPA and the standardized test scores of incoming men's basketball players have increased dramatically since UNI's Cycle 2 self-study in 2002. The ACT SUM scores have improved from 72 in 2007-08 to 84 in 2010-11. The core course GPA was 2.87 in 2007-08 and was 3.56 in 2010-11. In fact, men's basketball at UNI has had only one student-athlete admitted through the UNI special admissions procedure since 2007-08.

**Action Date**

Average ACT test scores earned by UNI student-athletes on athletic aid for its men's basketball program and the core course average GPAs of incoming men's basketball student-athletes have shown continual improvement since 2002.

**Explanation for partial or non-completion**

Completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.1 (Academic Standards), including any plans or recommendations developed through the institution's involvement in the APP Data Review process, if applicable. For each additional plan, provide:

   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

In addition to improvements outlined in response to items #1 and #2 (see above), the University of Northern Iowa (UNI) has accomplished the following since the completion of Cycle 2 certification:

2009: The Board of Regents, State of Iowa instituted the Regents Admissions Index (RAI): a new admissions policy
for its Regents Institutions, including UNI. The RAI is used to determine admission for students entering UNI directly from high school. The RAI is based in four factors: standardized test score (by "American College Testing" = the ACT); high school grade point average (GPA); high school class rank; and, number of high school courses completed from a set of specified core subjects.

AN RAI score is calculated for each high school student applicant for admission to UNI using the following equation:

\[
RAI = (2 \times ACT) + (1 \times \text{high school rank}) + (20 \times \text{high school GPA}) + (5 \times \text{number of high school courses completed in the core subject areas})
\]

Applicants whose work earns a RAI score of 245 or higher, and who meet minimum high school course requirements required for graduation and/or admission to UNI, are guaranteed admission to UNI. Applicants whose work earns an RAI score of less than 245, but who meet the minimum high school course requirements for graduation/admission to UNI, will be considered for admission on a case-by-case basis. Applicants from high schools who do not provide class rank are considered for admission on an individual basis.

UNI's Compliance Council regularly reviews special admissions data and tracks progress for each student-athlete admitted under the admissions exception policy: data are gathered and analyzed by the Senior Assistant Director of Admissions at UNI, Dan Schofield.

UNI hired a second academic advisor for its athletic programs.

2009-10: New offices and a computer lab area were created in the academic services area as part of the new offices in the UNI Dome built in 2009-10. The new area consolidates key student services staff in athletic facilities: near the training room and most of the team locker rooms. The new office area also includes three meeting areas which can be utilized for tutoring, study groups and/or team study areas.

2010: UNI re-structured the organizational chart of its Department of Athletics to clarify and standardize its chain-of-command for all those with responsibilities connected to "student services" for student-athletes. All such staff now share the same reporting lines: academic services, compliance, training, and all other services that impact students in athletic department programming now report to the Senior Associate Athletic Director/Senior Woman Administrator. Bi-monthly meetings are now held for student services personnel to coordinate athletic department efforts at providing student-athlete services.

A full-time athletic department compliance director, with no sport oversight assignment or additional management duties (which is not the case for other members of the senior management team for the athletic department), was hired in September of 2010. (A graduate assistant in compliance was also added to the staff in 2009.) The associate athletic director/compliance director was promoted to internal operations in the spring of 2010. These changes led to a more a consistent and proactive approach to student services by the athletic department including more thorough review of the academic transcripts and of the RAI for each prospect who visits campus. Coaches now receive an evaluation of each prospect's admissibility and initial eligibility, including a review of core course requirements, GPA, and a RAI calculation.

4. Describe the process by which student-athletes are admitted to the institution and identify the agencies vested with this responsibility. In what ways (if any) do the process and/or criteria used for the admission of student-athletes differ from the process for admitting students in general? Be specific and give careful attention to key decision points (e.g., second-level or subsequent review process, appeals procedure) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the department of athletics plays (if any) in the admissions process for student-athletes.

Student-athletes must be governed by the institutional admissions policies that apply to all students.

Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

It is general practice at the University of Northern Iowa (UNI) to admit students who meet established admission requirements. This is the case whether or not the student is to be involved with UNI athletic programming: student-athletes are considered for admission using the same process used for all prospective students at UNI. An application for admission is required (along with a non-refundable $40 application fee): official transcripts from all high schools and colleges previously attended are also required.

Students are notified by mail regarding their admission: typically within ten days from the time a complete application and supporting documents have been received by UNI. All students receive one of three admissions decisions: admitted, delayed, or denied.

Additional information regarding these processes is provided below.
Admission Requirements for Freshmen
Applicants with a Regents Admission Index (RAI) of 245 or higher (see item #3 above), and who meet minimum high school course requirements, are guaranteed admission into UNI. Applicants with a RAI less than 245, but who meet the minimum high school course requirements, are considered on a case-by-case basis. The first year the RAI was implemented (2009), 84.6 percent of the freshmen UNI enrolled had an RAI of 245 or greater; 85.6 percent did in 2010. Any exceptions are considered on a case-by-case basis by the Associate Director of Admissions at UNI, Joanne Loonan.
Further information regarding admission requirements—including minimum high school course requirements can be found at http://www.uni.edu/admissions/.

Admission Requirements for Transfer Students
Transfer applicants are admitted if they meet or exceed the following combination of total semester hours and college grade point average (GPA): 24-41 hours, 2.50 GPA; 42-59 hours, 2.25 GPA; 60 or more hours, 2.00 GPA. Transfer applicants with fewer than 24 semester hours of college credit must meet the admission requirements for students entering directly from high school: see admission requirements for freshmen. Any exceptions are considered on a case-by-case basis by the Associate Director of Admissions at UNI.

Establishment of Admissions Criteria
Admission requirements for the three public universities in Iowa are established by the Board of Regents, State of Iowa. The Regents Admission Index (RAI) formula (and the 245 index score for guaranteed admission) are the same at all Regents Institutions, effective Fall, 2009. The Office of Admissions at the University of Northern Iowa (UNI) makes admissions decisions on all undergraduate applications and has the authority to exercise judgment in making exceptions to the established criteria. UNI encourages all interested students to apply for admission—even those with a RAI less than 245—recognizing that there may be other ways than a high RAI to demonstrate potential for academic success.

The Director for Athletic Compliance notifies the Office of Admissions regarding any student-athletes UNI is recruiting. Athletes are then coded in the UNI admissions system according to their UNI sport of interest.
All students receive one of three admissions decisions: admitted, delayed, or denied. If the decision to admit is delayed, additional information may be required. If the decision to admit is denied, the student has a right to appeal. All student-athlete applications for admission are reviewed by Dan Schofield, Senior Assistant Director of Admissions at UNI.

5. Describe the process by which students who do not meet the institution's standard or normal entrance requirements may be admitted, and identify the agencies vested with this responsibility. This should include any second-level or subsequent review processes or appeals procedures that may be used when students are not automatically admitted because they do not meet the institution's published entrance requirements.

Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

Academic standards and policies for student-athletes must be consistent with the standards for the student body in general, conference or NCAA standards, whichever are higher.

All students who apply for admission to the University of Northern Iowa (UNI) are assigned a Regents Admission Index (RAI) score (see item #3 above). Applicants with an RAI of 245 or higher, and who meet minimum high school course requirements, are guaranteed admission into UNI. Applicants with an RAI less than 245, but who meet the minimum high school course requirements, are considered on a case-by-case basis. All students receive one of three admissions decisions: admitted, delayed, or denied. If the decision to admit is delayed, additional information may be required. If the decision to admit is denied, the student has a right to appeal (see policy below).
The Senior Assistant Director of Admissions (Dan Schofield) makes admission decisions on all athletes: those who do and those who do not meet admissions requirements. He does so in consultation with UNI Associate Director of Admissions Joanne Loonan and/or UNI Director of Admissions, Christie Kangas. The Associate Director of Admissions makes decisions on all applicants to UNI who do not meet admission requirements and who are not attempting to become student-athletes at UNI.
For purposes of comparison: for the UNI incoming freshman class of 2009-2010, the percentage of the undergraduate population of UNI students who enrolled as special exception admits increased from 13.2% to
15.4%: 14.4% in 2010-11 (see item #6 below).
That same year, the percentage of student-athletes who enrolled at UNI as special exception admits decreased from 0.9 percent to 0.8 percent: 0.5% in 2010-11. In short, many more (and a much higher percentage of) students are provided special admission to the undergraduate student population at UNI than are provided special admission into UNI athletic department programming.

Approval of Admission Exceptions:
Freshmen: All freshman applicants who have a Regents Admission Index (RAI: see item #3 above) less than 245 are reviewed on an individual basis by the admissions committee: comprised of the Associate Director of Admissions, Senior Assistant Director of Admissions, and one or more Admissions Counselors.
Students may provide supplemental information in support of their application, explaining their circumstances. Subsequent to committee review, case by case decisions for athletes can also be made by the Senior Assistant Director of Admissions. In some such cases, consultation is made with the committee and/or with the Director of Admissions.

Transfers: The Senior Assistant Director of Admissions makes decisions on all athletes: those who do and those who do not meet admission requirements: in consultation with the Associate Director and/or the Director of Admissions.

Since the inception of the RAI program in 2009, the UNI admissions office maintains a year-by-year list of freshman student-athletes who were admitted below the 245 RAI level: tracking first semester and current GPA's. (Prior to 2009, the admissions office tracked student-athletes who were admitted and ranked in the bottom 50 percent of their class.)

A report of the results of this tracking is made to the UNI Athletic Compliance Council at least once each year by the UNI admissions office. Information from these reports will be available when the peer review team conducts its campus visit.

Appealing a Decision to Not Admit:
Students who are denied admission to UNI may appeal through the following steps (see policy following the list of steps):
a. The appeal begins with a letter or phone call from the student, parent, or high school counselor to the admissions office: any new information obtained is reviewed and the original decision is then reconsidered by the admissions committee.
b. If the student is not satisfied with the decision of the admissions committee, an appeal may be made in writing or by phone call to the Director of Admissions.
c. If the Director of Admissions upholds the decision to deny admission, the student may appeal to the Committee on Admission, Readmission, and Retention: comprised of faculty from each of UNI's five undergraduate colleges and staff members from various UNI student affairs departments. The student may notify the chair of this committee that he or she wishes to have a hearing and may appear in person in front of the committee.
d. A student again denied admission may contact the Board of Regents, State of Iowa.

Admissions Office Policy:
Students Not Meeting Published Admission Requirements (Updated 9/15/10)
Applicants from Iowa high schools who achieve at least a 245 RAI score and who meet the minimum number of high school courses required will qualify for automatic admission. Applicants who achieve less than a 245 RAI score may also be admitted; however, the university will review these applications on an individual basis. After such review, applicants may: (a) Be admitted unconditionally; (b) Be admitted conditionally; or (c) Be denied admission.

The Regent universities recognize that the traditional measures of academic performance do not adequately describe some students' potential for success. Therefore, the Regent universities strongly encourage all interested students to apply for admission. Applicants who feel their academic record is not an accurate reflection of their potential for success are encouraged to provide supplemental information explaining their circumstances in addition to the application, academic transcripts, and test scores.

Admissions Office Procedures

The Office of Admissions has established procedures for considering applicants who meet or who do not meet established guidelines for admission, as follows:

Automatically admitted: All freshman applicants who have 245 or > RAI and fulfill minimum high school core course requirements.

Automatically denied: All freshman applicants who have <200 RAI

Committee Review: (1) All freshman applicants who have an RAI of 200--244; (2) Applicants who have an RAI of 245 or >, but are deficient in one or more core subject areas; (3) Applicants who graduate from a high school that does not provide class rank.

Student-Athletes: All freshman and transfer student-athletes--regardless of RAI or transfer GPA--go to the Senior Assistant Director of Admissions for initial review. The Senior Assistant Director may: (1) admit; (2) admit conditionally; (3) delay decision until after reviewing final high school transcript; (4) deny; or (5) ask for committee review, or defer to the Director of Admissions.
6. Compare and explain any differences between the percentage of first-year student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item No. 5 and the percentage of first-year students in general (including student-athletes) who were so admitted. Provide these comparative data for the four most recent academic years.

*Special Admissions chart.*

*Special Admissions by sport group chart.*

The most significant change in the process for students who currently fall under the "special exception admits" policy is the change in the definition of a "special admit" for the freshman class entering the University of Northern Iowa (UNI) in 2009-10.

For the years 2009-10 and 2010-11, special exception admits are defined as any student with a score less than 245 on the Regents Admission Index (RAI).

For 2007-08 and 2008-09, special exception admits were defined as any student who had a class rank in the bottom 50 percent of the high school class in which they graduated.

Because of this change in definitions, for the UNI incoming freshman class of 2009-2010, the percentage of the undergraduate population of UNI students who enrolled as special exception admits increased from 13.2 percent to 15.4 percent. That same year, the percentage of student-athletes who enrolled at UNI as special exception admits decreased slightly: from 0.9 percent to 0.8 percent.

In 2010-2011, the percentage of all first year students who were special exception admits (14.4%) and the percentage of first year student-athletes who were special exception admits (0.5%) both decreased compared to 2009-2010.

In short, many more (and a much higher percentage of) students are provided special admission to the general undergraduate population at UNI than are provided special admission into UNI athletic department programming. Special admits and UNI football: The number of special exception admits for football is higher than for other sports at UNI. In part, this may be explained by the significantly larger roster size for football compared to squad rosters in the other sports. Of greater importance than the total number is an assessment of how these special admits in football are progressing as student-athletes at UNI. Of the 36 total students in UNI football who enrolled as special exception admits from 2007-10: 24 of 36 are still enrolled and progressing toward their degree (67% retention rate as of spring, 2011). Of the 24 total students in UNI sports other than football who enrolled as special exception admits from 2007-10: 19 of 24 are still enrolled and progressing toward their degree (83% retention rate as of spring, 2011).

The three Iowa Regents Institutions are currently studying the effects on student success and any other changes in enrollment patterns after implementation the RAI in 2009.
7. Compare and explain any differences in the admissions profiles of student-athletes who received athletics aid with the profiles of students in general by submitting the following information for the four most recent academic years: average standardized test scores for first-year student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups) and for all entering first-year students (by gender and by racial or ethnic group).

If any of the institution's sports teams had student-athletes certified through the pilot early academic certification program from August 1, 2007, through July 31, 2008, provide an explanation regarding how the inclusion of these average core-course grade-point averages affects the data provided.

Test scores by gender chart.

Test scores by racial and ethnic group chart.

Test scores and grade-point average by sport chart.

The institution must analyze and explain any differences between the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup (i.e., sport, gender, ethnicity, transfers), and the academic profile of other student-athletes and comparable student-body groups or subgroups.

At the University of Northern Iowa (UNI), average standardized test scores (by "American College Testing" = the ACT) for male student-athletes are slightly lower than the average for male students in the UNI undergraduate population. UNI female student-athletes have average ACT scores slightly higher than female students in the UNI undergraduate population. The differences are small enough that they are likely due to the small numbers in the cohort groups of student-athletes.

Comparing UNI student-athletes' average ACT scores by racial or ethnic group to students in that same racial or ethnic group in the UNI undergraduate population: student-athletes' ACT scores are about the same or slightly better in most categories. Again though, any slight differences are likely due to the very small cohort groups of student-athletes. No noticeable trends or changes were noted.

When comparing average core course grade point averages (GPA) for student-athletes with reported grade points for incoming students, no significant differences were noted among women's teams. The women's track and cross country core course GPA's were higher than the UNI general female student GPA; women's basketball and core course GPA's were higher in three of the four years noted. Core course grade points for women's other sports ranged from 3.59 to 3.42.

(Note to the reader: Core course grade point average (GPA) are average GPAs earned by incoming student-athletes to UNI: from a set of NCAA specified high school courses they each had to take to be eligible to compete by NCAA standards. UNI did not compare GPA's earned while at UNI by members of different UNI sports squads in making any of the determinations or in reporting any of the results required by the NCAA in this self-study report.)

Men's basketball core course GPA's exceeded the general male student GPA in the last three years noted. Men's track and field and cross country are all above 3.1 and compare favorably to the general male student's GPA. Men's others sports also recorded core course GPA's which compare favorably to the male general student's GPA. Football's core course GPA is somewhat lower in comparison to the general male student over the four-year period.

FEMALE GPA # MALE GPA # Semester Football
3.51 1212 3.34 748 F2007 3.16
3.52 1211 3.35 771 F2008 2.87
3.54 1197 3.33 719 F2009 2.76
3.53 1217 3.33 719 F2010 3.10

None of UNI's sports teams had student-athletes certified through the pilot early academic certification program from August 1, 2007, through July 31, 2008.
8. Describe the institution's specific academic support programs [e.g., Facilitating Learning and Achieving Graduation program (FLAG)] to ensure acclimation, academic success and retention of first-year student-athletes with special academic needs and first-year student-athletes admitted through any of the processes described in Self-Study Item No. 5.

The institution must develop specific academic support programs to address the unique needs of student-athletes with entering academic profiles lower than those of the general student body.

The University of Northern Iowa (UNI) began utilizing the NCAA Facilitating Learning and Achieving Graduation (FLAG) program with incoming student-athletes beginning in the fall, 2009. Data from the freshmen class of student-athletes entering UNI in the 2009-10 academic year were entered into the program during the 2010 fall semester: this was used as a method to compare the prediction capability of FLAG with the outcome at UNI. Freshmen entering during the 2010-11 academic year were entered into the FLAG program. (Prior to utilizing FLAG, the identification of "at risk" student-athletes at UNI was done through a combination of indicators: standardized test scores, high school GPA, and by consulting coaches who garnered information on academic performance through the recruiting process about what academic support services might be necessary.)

The two years of FLAG data gathered to date are being analyzed: they will be used to help academic advisors, who work with student-athletes at UNI, begin to refine the specific questions they ask to better predict the needs of student-athletes who require assistance such as help with learning strategies.

In addition to FLAG program research, student-athletes at UNI who have special academic needs and any student-athletes who are admitted through UNI's admissions exception program (see items #5 and 6 above) are identified throughout the admission and matriculation process. Academic advisors are assigned to help identified students involved with UNI athletic department programming.

Two UNI athletic academic advisors work with coaches and compliance staff to determine which incoming student-athletes may be at greater academic risk. These advisors then begin planning ways to help identified student-athletes during the summer prior their first time enrollment at UNI: advisors determine the resources that are appropriate for each student-athlete. Appropriate resources may include tutoring, individual meetings with athletic academic advisors on a more frequent basis than is the norm, additional study table hours, academic meetings with coaches, and/or an increased academic "watch" (i.e. more frequent contact with professors about the student, contacting academic advisors for the major, etc)

Athletic academic advisors attend orientation sessions held at UNI during the summer to speak with all incoming student-athletes and to parents to ensure both understand the athletic academic advising process, academic support services, and campus resources that are available.

Athletic academic advisors work with the Disability Services Coordinator to ensure that students understand the accommodations process and are able to receive the appropriate accommodations for a particular diagnosed learning disability.

During the academic year, those student-athletes who have been identified as being "at risk" academically meet on a weekly basis with the athletic academic advisors. Often, weekly tutoring sessions are also required.

A course designed specifically for freshmen student-athletes, "Strategies for Academic Success" is taught by the two athletic academic advisors. The information presented in the class is particularly useful for those students needing additional support or who are "at risk" academically. All freshmen student-athletes are required to enroll in the class.

In addition to FLAG program research and to the athletic academic advisors discussed above, student-athletes at UNI who have special academic needs may also be assigned specialized tutors. Specialized tutors serve more of a "life coach" role than do the academic advisors (or the tutors who help athletes study the particular subjects of the classes they are taking). The work specialized tutors do with "at risk" student-athletes may focus on issues such as time management, note taking, test taking, and other study skills development.
9. For the four most recent academic years, assess and evaluate data regarding acclimation, retention and the academic success of student-athletes with special academic needs [as defined by the institution (e.g. at-risk, education-impacting disability)] and those student-athletes admitted through any of the processes described in Self-Study Item No 5. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

If the institution does not employ a special, or alternate, admissions process, the institution must assess and evaluate acclimation, retention and the academic success of student-athletes in the lowest (i.e., fourth) quartile of the institution's general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

The institution must assess, evaluate and if necessary, develop plans for improvement to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution's special admissions process. If an institution does not employ a special admissions process, assessment, evaluation and if necessary, plans for improvement must be completed for student-athletes in the lowest (i.e., fourth) quartile of the institution’s general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution.

At the University of Northern Iowa (UNI), student-athletes who are admitted through the admissions exception program (see items #5 and 6 above regarding “special admits”), or who are otherwise identified as potentially at risk academically (see item #8 above), receive a variety of forms of academic support. Results of that support and the effectiveness of special admit processes at UNI can be found in the following data.

Student-athletes who were admitted through UNI’s special exception process (Please recall that, before 2009, admission decisions at UNI were tied to a student graduating in the bottom half of their high school graduating class; since 2009, admission has been tied to the Regents Admissions Index (RAI)–the admissions policy employed for Iowa Regents Institutions based in four factors: standardized test score [by “American College Testing” = the ACT]; high school grade point average [GPA]; high school class rank; and, number of high school courses completed from a set of specified core subjects):

2006 (lower one-half of high school graduating class)
Total athletes: 23
Earned 2.00 or above after fall semester: 15 (65%)
Earned 2.50 or above: 8 (35%)
Warning, Probation or Suspension: 7 (30%)
2007 (lower one-half of high school graduating class)
Total athletes: 22
Earned 2.00 or above after fall semester: 19 (86%)
Earned 2.50 or above: 13 (59%)
Withdrawn from UNI: 1 (5%)
Warning, Probation or Suspension: 3 (14%)
2008 (lower one-half of high school graduating class)
Total athletes: 23
Earned 2.00 or above after fall semester: 18 (78%)
Earned 2.50 or above: 14 (61%)
Warning, Probation or Suspension: 5 (22%)
2009 (RAI ≤235)
Total athletes: 15
Earned 2.00 or above after fall semester: 7 (48%)
Earned 2.50 or above: 4 (27%)
Withdrawn from UNI: 1 (5%)
Warning, Probation or Suspension: 8 (53%)

UNI’s Office of Admissions has tracked the academic performance of special admit student-athletes at UNI from
10. Describe your institution's written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify initial eligibility for student-athletes. Provide the names and titles of the individual(s) inside and/or outside of athletics who are involved with the certification of initial eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' initial eligibility.

_The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility._

_Certification of Initial Eligibility_

a. Coaches at the University of Northern Iowa (UNI) complete an NCAA Eligibility Center request (IRL) for each new, incoming freshman. The IRL is submitted to the Compliance Office and the new freshmen are entered into the NCAA Eligibility Center database. The Compliance Office staff will monitor the initial-eligibility and amateurism status of the new students. Coaches are provided with status reports from the Compliance Office on a regular basis so that they may follow the initial-eligibility and amateurism status of new students.

b. After a new student's final initial-eligibility and amateurism status is listed on the database, a Compliance Office staff member records that status in the NCAA Software (CAI). If recruited and the freshman student-athlete reports for athletic participation before the NCAA Eligibility Center has rendered a final, initial-eligibility and/or amateur status, the student-athlete will be permitted to practice, but not compete, for a maximum of 14 days. If a non-recruited, freshman student-athlete reports for athletic participation before the NCAA Eligibility Center has rendered a final, initial-eligibility and/or amateur status, the student-athlete will be permitted to practice, but not compete, for a maximum of 45 days. After these temporary certification periods elapse, the student-athlete shall have been determined by the NCAA Eligibility Center to be an initial qualifier AND have received final amateurism certification in order to continue practicing or to compete. The Compliance Office maintains original copies of all student-athletes' Initial-Eligibility Certification and Amateurism Certification Reports.

c. Approximately two weeks prior to a sport’s first contest with outside competition, the Compliance Office staff generates the sport's NCAA Eligibility report, on which each student-athlete's initial-eligibility and amateurism status is recorded. The Compliance Office staff also prints, from the NCAA Eligibility Center database, the sport's latest status report. Finally, the Compliance Office staff prepares the eligibility report for review and signatures.

d. The Compliance Office staff compares the NCAA Eligibility Center status report to the Eligibility Report to assure that the initial-eligibility and amateurism status of each new freshman is accurate. In addition, the Compliance Office staff confirms the full-time enrollment status of each freshman student-athlete. If each freshman student-athlete's initial-eligibility and amateurism status is correctly coded and their full-time enrollment status is verified, the Director of Compliance signs and dates the eligibility report.

e. The documents are then forwarded to the Assistant Registrar (the institution's NCAA Certifying Officer), who then checks each freshman's initial-eligibility and amateurism status. If the Assistant Registrar finds each freshman student-athlete's initial-eligibility and amateurism status on the Eligibility Checklist to be accurate, the Eligibility Report is signed and dated. At this point the documents are forwarded back to the Compliance Office. The sport's head coach is then required to review and sign the Eligibility Report. Once that is done the documents are routed to the Faculty Athletics Representative for review. After the Faculty Athletics Representative has signed the Eligibility Report, the eligibility certification process is considered complete. Prior to the first contest the Compliance Office staff will send the Eligibility Report with signatures to the conference office. Copies are also prepared and
distributed to the head coach, Assistant Registrar, and Faculty Athletics Representative. The original documents are kept on file in the Compliance Office.

If there are additions to the Eligibility Checklist, addenda are prepared and clearly labeled, numbered, and dated. Addenda are processed, reviewed, and routed in the same order and manner as the original Eligibility Checklists. The individuals who are involved with the certification of initial eligibility at UNI are:

- Head coaches of all sports
- Stacia Greve, Kara Park, Athletic Academic Advisors
- Daren Koudele, Director of Athletic Compliance
- Mary Mulvenna, Assistant Commissioner, Missouri Valley Conference
- Diane Wallace, Assistant Registrar--has the ultimate responsibility to determine initial eligibility of student-athletes at UNI.
- Dr. Anne Woodrick, Faculty Athletics Representative

11. Describe your institution's written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify transfer eligibility for student-athletes. Provide the names and titles of the individual(s) inside and/or outside of athletics who are involved with the certification of transfer eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' transfer eligibility.

The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

The eligibility certification process for transfers at the University of Northern Iowa (UNI) involves three major steps, detailed in the UNI Guide to Rules Compliance: (1) Academic Certification; (2) NCAA, conference, and UNI certification forms and rules review, and (3) Medical certification. This three-step process is followed for all student-athletes. Details to determine transfer eligibility are as follows for each of the specific steps.

Subset to Item #11: Step 1 = Academic Certification

Academic certification for transfers at UNI requires the following steps.

a. A release to contact request and/or the contact permission and eligibility verification form is completed by each prospective student-athlete's previous institution, if applicable.

b. Application materials and a FINAL, official transcript are sent to the Admissions Office by each prospective student-athlete.

c. Eligibility reports are sent to the Assistant Registrar (the institution's NCAA Certifying Officer) who certifies eligibility for all student-athletes. The eligibility reports contain the names of those students who anticipate participating in each sport for the upcoming academic year.

d. The Assistant Registrar utilizes the Checklist Athletic Eligibility form to implement procedures for completing the eligibility report and determining eligibility for transfer student-athletes. The following steps are taken by the Assistant Registrar unless otherwise indicated:

- Student ID number and birth date are recorded and verified.
- Information from the NCAA Eligibility Center is requested and recorded if applicable.
- Participation and recruitment codes are recorded.
- The prospective student-athlete's academic record is assessed to determine whether or not admission criteria are fulfilled.
- An evaluation of transfer credit is performed to determine satisfactory progress toward major and GPA requirements, consistent with NCAA regulations, and a preliminary report is sent to the Director of Compliance. Copies of the report are sent to the student-athlete academic advisors or the Senior Associate Athletic Director/ SWA for follow up on relevant eligibility issues.
- The Assistant Registrar updates the preliminary report after summer school classes or additional information is provided. Any further eligibility issues are identified and the Director of Compliance is notified. If necessary, the Director of Compliance contacts the Missouri Valley Conference for assistance with the interpretation of regulations and validation of transfer eligibility.

The individuals who are involved with the certification of transfer eligibility at UNI are:

- Head coaches of all sports
- Stacia Greve, Kara Park, Athletic Academic Advisors
- Daren Koudele, Director of Athletic Compliance
- Mary Mulvenna, Assistant Commissioner, Missouri Valley Conference
- Diane Wallace, Assistant Registrar--has the ultimate responsibility to determine transfer eligibility of student-athletes at UNI.
Dr. Anne Woodrick, Faculty Athletics Representative

Subset to Item #11 : Step 2 = NCAA, Conference, and UNI Certification
Forms and Rules Review
At the various team meetings help prior to the first practice sessions, student-athletes complete the required NCAA and UNI forms. NCAA, conference, and UNI rules are also reviewed. (Student-athletes are not allowed to practice or receive athletics aid until they attend the meeting.)

Subset to Item #11 : Step 3 = Medical Certification
An athletic trainer certifies that each student-athlete has provided the appropriate medical documentation, received a medical examination, and has been cleared by the athletic training staff for participation.
When it is determined that all requirements have been met, final approval of eligibility is given by the UNI Director of Athletic Compliance and the Assistant Registrar. The Official Eligibility report is signed by the Director of Athletic Compliance, the athletic administrator with specific sport oversight responsibility, the Assistant Registrar, NCAA Faculty Athletics Representative, and the head coach of the sport. The signatories have final authority for certifying initial eligibility. The Director of Athletic Compliance sends the signed, final reports to the conference office.

12. Describe your institution's written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify continuing eligibility for student-athletes. Provide the names and titles of the individual(s) inside and/or outside of athletics who are involved with the certification of continuing eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ continuing eligibility.

The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

The three step process used for certifying transfer initial eligibility described in #11 above is also used to certify continuing eligibility: the only significant difference is in the academic certification step of the process. In the following (that difference in), the academic certification step in the determination of continuing eligibility is detailed.

Academic Certification

a. At the end of the fall semester, the Assistant Registrar (the institution's NCAA Certifying Officer who certifies eligibility for all student-athletes) analyzes the grade report and degree audit of each student-athlete in order to establish whether satisfactory progress toward major and GPA requirements are being made. Important criteria are: declaration of major, progress toward degree, grade point average requirements, the 6-hour credit rule, the 18-hour credit rule (if applicable at the end of fall semester), and the 24-hour credit hour/year rule. Information on years of eligibility, seasons left and contests in the previous season is also assessed. Based upon this analysis and the courses registered for in the upcoming spring semester, the Assistant Registrar makes a projection of the student-athlete’s eligibility status for the next fall semester.
b. For each sport, a letter containing the results of the eligibility analyses is sent by the Assistant Registrar to the Director of Athletic Compliance, athletic advisors, and the NCAA Faculty Athletics Representative. The athletic advisor(s) communicates the information to the coaches. (Note that mid-semester grade reports are communicated to the athletic advisors and coaches earlier in the semester, in both fall and spring).
c. At the beginning of March, the Assistant Registrar prepares a list of all student-athletes for whom the upcoming fall semester will be their fifth and who have not declared a major. A copy of this list is sent to the Director of Athletic Compliance and the athletic advisor(s). Proper advisement is given to each student-athlete regarding the selection of a major.
d. At the end of March, shortly before fall registration, the Assistant Registrar places a hold on the registration of any student-athlete for whom the upcoming fall semester will be his or her fifth and who has not declared a major. The hold is released when the Assistant Registrar receives a Declaration of Major form.
e. At the end of the spring semester, the Assistant Registrar compiles a list of students with eligibility issues (suspensions/probations/warning, incompletes, etc.) This information is communicated to the Director of Athletic Compliance, the athletic advisor(s), the Faculty Athletics Representative, and athletic administration. The Vice President for Administration and Financial Services is also notified.
f. Near the beginning of May, the Director of Athletic Compliance sends the Eligibility reports to the Assistant Registrar. The eligibility reports contain the names of those students who anticipate participating in each sport for the upcoming academic year.
g. The Assistant Registrar utilizes the Checklist Athletic Eligibility form for implementing procedures for completing the eligibility report and determining continuing eligibility for student-athletes.
The eligibility certification process then proceeds in an identical fashion to that outlined in the response to question #11 above (initial eligibility for transfers), beginning at item (j) in the Academic Certification section.

The final authority for certifying continuing eligibility is vested in the following individuals:

- Head coaches of all sports
- Stacia Greve, Kara Park, Athletic Academic Advisors
- Daren Koudele, Director of Athletic Compliance
- Mary Mulvenna, Assistant Commissioner, Missouri Valley Conference
- Diane Wallace, Assistant Registrar--has the ultimate responsibility to determine continuing eligibility of student-athletes at UNI.
- Dr. Anne Woodrick, Faculty Athletics Representative

13. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for student-athletes who received athletics aid and the most recent four-class average Federal Graduation Rate of all students.

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate for student-athletes and the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of student-athletes as a whole and the most recent four-class average Federal Graduation Rate of students generally. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of student-athletes and the most recent four-class average Federal Graduation Rate of students generally, the institution must develop a plan for improvement to address the issue.

For the most recent four-class average, student-athletes graduated at a rate of 64%, compared to 66% for the general student population.

Data for individual years as listed on yearly NCAA Federal Graduation Rates reports:
- 2000-01: Student-athletes 64%; general population 67%
- 2001-02: Student-athletes 56%; general population 65%
- 2002-03: Student-athletes 62%; general population 63%
- 2003-04: Student-athletes 75%; general population 66%
- 2004-05 (Preliminary): Student-athletes 70%; general population 67.0%

It was noted the 2001-02 class for student-athletes was 9% lower than the general student population with low graduation rates in the sports of men's cross country/track (0%) and women's tennis (0%) in that particular cohort year. Both men's cross country/track and women's tennis had very small student populations in the 2001-02 cohort (2 students were in the cross country/track cohort and 1 student was in the tennis cohort), and have experienced a sizable upward trend in graduation rates after that year. Both students in the men's cross country/track cohort transferred from UNI. The single student in the women's tennis cohort also transferred from UNI.

The 2003-04 class for all student-athletes was 9% higher than the general population and preliminary data for the 2004-05 class indicates student-athletes graduated 3% higher than the general population. This is a positive trend and is assumed to be a result of the additional academic support provided by athletic academic advisors, coaches, and staff.

A plan of improvement is in place for the men's cross country addressed through the Academic Performance Program. That improvement plan is filed as part of this report in 2.2, question #12.
14. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate for all students, including comparable student-body subgroups (i.e., gender, ethnicity).

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate for all students or comparable student-body subgroup, the institution must develop a plan for improvement to address the issue.

The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate of students generally, including comparable student body groups. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate of students generally or a comparable student body subgroup, the institution must develop a plan for improvement to address the issue.

GENDER WITHIN SPORTS:
The graduation rate for all male student-athletes was 59% (compared to 63% for all male students in the general population and 66% for the general student population).
The 1999-2002 federal graduation rate for men's baseball was 42% (21% lower compared to all male students in the general student population; 24% lower compared to the general student population; 16% lower compared to all UNI sports teams; and 6% lower compared to the Federal Rate national-average for all teams in this sport). However, baseball was discontinued as an intercollegiate sport at the conclusion of the spring 2009 season.
The 2002-03 federal graduation rate for men's cross country and track was 33% (30% lower compared to all male students in the general student population; 33% lower compared to the general student population; 31% lower compared to institution Federal Rate average for all teams; and 27% lower compared to the Federal Rate national-average for all teams in this sport). Low graduation rates (0%) were experienced in male cross country and track for the classes of 2000-01, 2001-02, and 2002-03 with a very small student-athlete population in each of those cohorts:
The 2000-2003 FGR for men's basketball is 60% (3% lower compared to all male students in the general population; 6% lower compared to the general student population; 4% lower compared to institution Federal Rate average for all teams; and 12% higher compared to the Federal Rate national-average for all teams in this sport).
This slightly lower four-year class graduation rate is attributed to a low graduation rate (33%) in 2002 with a very small student-athlete population in the cohort (3 students - 1 student graduated/1 student left eligible/1 student exhausted eligibility).
The 2000-2003 FGR for men's football is 64% (1% higher compared to all male students in the general population; 2% lower compared to the general student population; the same percentage compared to all UNI sport teams; and 9% higher compared to the Federal Rate national-average for all teams in this sport).
The 2000-2003 FGR for all other men's sports (wrestling and golf) were higher when compared to all male students in the general population, the general population, institution Federal Rate average for all teams, and the Federal Rate national-average for all teams in that sport.
The graduation rate for all female student-athletes was 71% (compared to 67% for all female students in the general population and 66% for the general student population).
The 2000-2003 FGR for women's tennis was 33% (34% lower compared to all female students in the general population; 33% lower compared to the general student population; 31% lower compared to institution Federal Rate average for all teams; and 37% lower compared to the Federal Rate national-average for all teams in this sport).
Low graduation rates (0%) were experienced in women's tennis for the classes of 2000 and 2001 with a very small student-athlete population in each of these cohorts:
2000 (1 student - 1 suspended);
2001 (1 student - left UNI eligible with eligibility remaining)
Women's tennis is experiencing an excellent upward trend with the class of 2003-04 graduation rate of 100% and the preliminary data for the class of 2004-05 graduation rate of 100%.
The 2000-2003 FGR for women's cross country/track was 60% (7% lower compared to all female students in the general population; 6% lower compared to the general student population; 4% lower compared to institution Federal
Rate average for all teams; and 10% lower compared to the Federal Rate national-average for all teams in this sport). This slightly lower four-year class graduation rate is attributed to a lower graduation rate (43%) in 2001 (7 students - 3 graduated/4 left UNI eligible with eligibility remaining. The 2000-2003 FGR for women's swimming was 60% (7% lower compared to all female students in the general population; 6% lower compared to the general student population; 4% lower compared to institution Federal Rate average for all teams; and 17% lower compared to the Federal Rate national-average for all teams in this sport). This slightly lower four-year class graduation rate is the result of 50% graduation rates and small populations in the following cohorts: 2000 (4 students - 2 graduated/2 left UNI eligible with eligibility remaining); 2001 (4 students - 2 graduated/2 left UNI eligible with eligibility remaining); 2002 (4 students - 2 graduated/2 transferred in good standing with eligibility remaining); The class of 2003 graduation rate increased to 80% as follows: 2003 (5 students - 4 graduated/1 student not eligible).

Women's soccer became an intercollegiate sport at UNI effective with the fall 2000 season. The 2000-2003 FGR for women's soccer was 64% (3% lower compared to all female students in the general population; 2% lower compared to the general student population; the same percentage compared to institution Federal Rate average for all teams; and 7% lower compared to the Federal Rate national-average for all teams in this sport). The slightly lower four-year class graduation rate is attributed to a very low graduation rate (14%) in 2001 cohort (7 students - 1 student graduated/6 students left eligible with eligibility remaining). Graduation rates for the other 3 years are significantly higher. Graduation rates for 2000 cohort was 89% (9 students - 8 graduated/1 transferred); 2002 cohort was 75% (8 students - 6 graduated/2 left eligible with eligibility remaining), 2003 cohort was 75% (4 students - 3 graduated/1 suspended), and preliminary data for 2004 cohort is 100% (6 students - 6 graduated).

All other women's sports (basketball, golf, softball, and volleyball) had higher graduation rates when compared to both all female students in the general student population, the general student population, institution Federal Rate average for all teams, and the Federal Rate national-average for all teams in this sport with the exception of softball which was 2% lower compared to the Federal Rate national-average for all teams in softball.

SPORTS BY ETHNICITY:
The 2000-2003 FGR for men's cross country/track had a 0% graduation rate for Black/African American (compared to 34% for male general student body population and 39% for general student body population), and 33% for non-resident alien (compared to 54% for male general student body population and 57% for general student body population). This four-year class graduation rate is a result of 0% graduation rate and low numbers in the of Black/African American students in 2000 (2 students -1 suspended/ 1 left UNI eligible with eligibility remaining), and 0% graduation rate and low numbers for non-resident alien students in cohorts 2000 (1 student - 1 transferred), 2001 (1 student ? 1 transferred), and 2002 (1 student - 1 graduated in seventh year so is not included in FGR 6-year graduation time period).

The 2000-2003 FGR for men's basketball had a 0% graduation rate for non-resident aliens (compared to 54% for male general student body population and 57% for general student body population) and 0% graduation rate for unknown racial and ethnic groups (compared to 63% for male general student body population and 68% for general student body population). This is attributed to low numbers in these two racial and ethnic group cohorts (1 student in non-resident alien category 2003 and 1 student in unknown category 2002, and both students left UNI eligible with eligibility remaining).

The 1999-2002 FGR for men's baseball is 42% for white and men's cross country/track had a 50% graduation rate for white (compared to 64% for male general student body population and 67% for general student body population). The sport of baseball was discontinued as an intercollegiate sport at UNI at the conclusion of the spring 2009 season. The lower percentage in men's cross country/track for whites is attributed to low numbers in this white racial and ethnic group cohort (0 students in white category 2000; 1 student in white category 2001 transferred; 0 students in white category 2002; 3 students in white category 2003 - 2 graduated/1 student left university not eligible).

All other men's sports (football, golf, and wrestling) had graduation rates which were comparable or significantly higher in both gender and racial and ethnic groups.

Four women's sports had lower graduation rates in racial and ethnic groups than the female general student body population:
The 2000-2003 FGR for women's cross country/track was 33% for non-resident aliens (compared to 60% for female general student body population and 57% for general student body population). This four-year class graduation rate is attributed to a 0% graduation rate in 2001-02 and 33% graduation rate in 2003 for non-resident aliens, with a very small number of students in this population (2001 - 2 students in non-resident alien racial and ethnic group, and both students left UNI eligible with eligibility remaining; 2003 - 3 students in non-resident alien racial and ethnic group - 1 student graduated/1 student did not graduate within the FGR 6-year time period but graduated in the seventh year/1 student left UNI eligible with eligibility remaining.

The 2000-2003 FGR for women's golf was 0% for Asian (compared to 69% for female general student body population and 64% for general student body population). This is attributed to low numbers in this racial and ethnic
Women’s swimming and women’s softball both had a 0% graduation rate for unknown racial and ethnic category (compared to 72% for female general student body population and 68% for general student body population). This is attributed to low numbers in this racial and ethnic group (women’s swimming 1 student in 2002 cohort was suspended; women’s softball 1 student in 2003 cohort transferred).

All other women’s sports (basketball, soccer, tennis, and volleyball) had graduation rates which were comparable or significantly higher in both gender and racial and ethnic groups.

The University of Northern Iowa continues its efforts to improve the academic performance of its student-athletes with increased academic support through athletic academic advisors, tutoring, and mentoring.

15. Analyze, explain and address any differences between the corresponding Federal Graduation Rate projected by the most recent NCAA Division I Academic Progress Rate (APR) for each sports team and the most recent multiyear four-class average Federal Graduation Rate for all students.

If there is a difference that cannot be adequately explained between a sports team’s projected Federal Graduation Rate and the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

The institution must analyze, explain and address any differences between the corresponding Federal Graduation Rate projected by the most recent APR of each sports team and the most recent four-class Federal Graduation Rate of students generally. If there is a difference that cannot be adequately explained between a team’s projected Federal Graduation Rate and the most recent four-class Federal Graduation Rate of students generally, the institution must develop a plan for improvement to address the issue.

The University of Northern Iowa has one sport team with an Academic Progress Rate (APR) below 925 (men’s cross country with an 885 APR). The men’s cross country Federal Graduation Rate is also significantly lower at 33%. An Academic Program Recovery Plan for cross country has been initiated and submitted to NCAA. The men’s indoor and outdoor track APR is well above the 925 benchmark (942 and 957, respectively), however cross country and track are combined sports when reflecting the federal graduation rate (33%) and this FGR is significantly lower than the 60% Federal Rate national-average for teams in cross country and track.

Women’s tennis has a very high APR of 992. However, their four-year Federal Graduation Rate is significantly low at 33%. This four-year class 33% Federal Graduation Rate is attributed to 0% graduation rates experienced in female tennis for the classes of 2000-01 and 2001-02 with a very small student-athlete population in each of these cohorts (1 student in each cohort) as indicated in question #14. However, there is a significant upward trend with a 100% graduation rate for the class of 2003-04 and class of 2004-05 (preliminary data).

All other sports had APR rates well above the 925 benchmark and federal graduation rates which were comparable or significantly higher than the male/female general student body and general student body.
16. Analyze, explain and address any differences between the most recent four-cohort average Graduation Success Rate (GSR) for each sports team and the most recent four-cohort GSR for all student-athletes.

If there is a difference that cannot be adequately explained between the most recent four-cohort GSR for any sports team and the GSR for all student-athletes, the institution must develop a plan for improvement to address the issue.

If the data in the charts include sports that are not used by the institution for NCAA sports sponsorship and/or sports in which the NCAA does not conduct a championship, the institution may provide an explanation of how the inclusion/exclusion of the sport(s) affects the analysis of the data.

The institution must analyze, explain and address any deficiencies between the most recent four-cohort average GSR of each sports team and the most recent four-cohort average GSR of student-athletes generally. If there is a difference that cannot be adequately explained between the most recent four-cohort average GSR of any team and the most recent four-cohort average GSR of student-athletes generally, the institution must develop a plan for improvement to address the issue.

The 2000-2003 overall institution Graduation Success Rate (GSR) for all University of Northern Iowa student-athletes is 75%. The following teams have GSRs lower than the all student-athlete GSR:

- Men's cross country and track is 62% (13% lower compared to all UNI sport teams and 12% lower compared to the GSR national-average for all teams in this sport within UNI's division). Breakdown of students (new freshmen, transfers from 2-year colleges, and transfers from 4-year colleges) in the 2000 through 2003 cohorts are as follows:
  - 2000: 3 freshmen - 1 suspended/2 eligible when left; 1 transfer from 4-year college - 1 graduated;
  - 2001: 2 freshmen - 2 transferred; 1 transfer from 4-year college - 1 left eligible;
  - 2002: 1 freshman - 1 graduated in 7th year; 2 transfers from 4-year college - 1 graduated/1 left eligible;
  - 2003: 7 freshmen - 5 graduated/1 left eligible/1 left not eligible; 1 transfer from 2-year college - 1 left not eligible; 2 transfers from 4-year college - 1 graduated/1 left not eligible.

- Men's football GSR is 63% (12% lower compared to all UNI sport teams and 3% lower compared to the GSR national-average for all teams in this sport within UNI's division). Breakdown of students (new freshmen, transfers from 2-year colleges, and transfers from 4-year colleges) in the 2000 through 2003 cohorts are as follows:
  - 2000: 14 freshmen - 9 graduated/2 transferred/1 suspended/1 eligible when left/1 exhausted eligibility; 6 transfers from 2-year college - 1 graduated/2 suspended/1 transferred/2 exhausted eligibility; 4 transfers from 4-year college - 1 graduated/1 not eligible when left but went to NFL/1 eligible when left/1 suspended;
  - 2001: 20 freshmen - 12 graduated/2 suspended/5 eligible when left/1 not eligible when left; 3 transfer students from 2-year college - 1 graduated/2 suspended; 3 transfer students from 4-year college - 2 suspended/1 left not eligible;
  - 2002: 16 freshmen - 10 graduated/1 suspended/1 left eligible/4 exhausted eligibility; 6 transfers from 2-year college - 2 graduated/2 suspended/1 not eligible/1 exhausted eligibility; 2 transfers from 4-year college - 2 graduated;
  - 2003: 17 freshmen - 12 graduated/3 left eligible/2 left not eligible; 4 transfer students from 2 year college - 1 graduated/1 left eligible/1 left not eligible/1 exhausted eligibility; 3 transfers from 4-year college - 2 graduated/1 left eligible).

- Women's swimming GSR is 69% (6% lower compared to all UNI sport teams and 22% lower compared to the GSR national-average for all teams in this sport within UNI's division). Breakdown of students (new freshmen, transfers from 2-year colleges, and transfers from 4-year colleges) in the 2000 through 2003 cohorts are as follows:
  - 2000: 4 freshmen - 2 graduated/2 suspended;
  - 2001: 4 freshmen - 2 graduated/2 transferred;
  - 2002: 2 freshmen - 1 graduated/1 suspended;
  - 2003: 5 freshmen - 4 graduated/1 left not eligible.

- Women's tennis is 67% (8% lower compared to all UNI sport teams and 22% lower compared to the GSR national-average for all teams in this sport within UNI's division). Breakdown of students (new freshmen, transfers from 2-year colleges, and transfers from 4-year colleges) in the 2000 through 2003 cohorts are as follows:
  - 2000: 0;
  - 2001: 0;
  - 2002: 0;
  - 2003: 2 freshmen - 2 graduated; 1 transfer from 4-year college - 1 graduated.

Women's softball has a GSR of 83% (8% higher compared to all UNI sport teams but 3% lower compared to the...
GSR national-average for all teams in this sport within UNI’s division. Breakdown of students (new freshmen, transfers from 2-year colleges, and transfers from 4-year colleges) in the 2000 through 2003 cohorts are as follows:

2000 (1 freshman - 1 suspended);
2001 (1 freshman - 1 left eligible);
2002 (1 transfer from 4-year college - 1 graduated);
2003 (2 freshmen - 2 graduated).

All other teams (men’s: basketball, golf, and wrestling; women’s: basketball, cross country/track, golf, soccer, and volleyball) are comparable to or significantly higher than the University of Northern Iowa 75% GSR for all student-athletes, UNI’s GSR average for all teams, and the GSR national-average in their sport within University of Northern Iowa’s division.

Effective fall 2002 the University of Northern Iowa changed its long-standing warning/probation/suspension policy which was based solely on grade point deficiencies to a new prorated system of number of hours attempted and grade point deficiencies. The new Fall 2002 warning/probation/suspension policy was not grandfathered in for currently enrolled students and, therefore, may have been a factor for some students being suspended and not eligible at the end of Fall 2002 and thereafter. The University of Northern Iowa will implement a new suspension policy based solely on GPA and the stipulation that no new first year student will be suspended in the fall of 2010.

The University of Northern Iowa continues its efforts to improve the academic performance of its student-athletes with increased academic support through athletic academic advisors, tutoring, and mentoring.

17. Analyze, explain and address any differences between the most recent four-class retention rate for student-athlete subgroups (i.e., sport, gender, ethnicity, ethnicity within team) and the most recent four-class retention rate for all student-athletes, including comparable student-athlete subgroups (i.e., gender, ethnicity).

If there is a difference that cannot be adequately explained between the most recent four-class retention rate for any student-athlete subgroup and the retention rate for all student-athletes or comparable student-athlete subgroup, the institution must develop a plan for improvement to address the issue.

The institution must analyze, explain and address any differences between the most recent four-class retention rate of student-athlete subgroups (i.e., sport, gender, ethnicity) and the most recent four-class retention rate of all student-athletes. If there is a difference that cannot be adequately explained between the most recent four-class retention rate of any student-athlete subgroup and the four-class retention rate of student-athletes generally, the institution must develop a plan for improvement to address the issue.

In the 2009-10 Academic Progress Rate (APR) report, the University of Northern Iowa (UNI) had one sport team with an (APR) retention below 925 (men’s cross country: a 900 APR four-year multi-year retention rate). However, the most recent retention rate for men’s cross country was 1000 (2009-10 academic year), demonstrating significant improvement in retention over the previous two years. The Academic Integrity Plan for Improvement says that the annual review and monitoring process by the Office of Admissions on this subject will continue. (Note: the 2008-09 academic year report shows UNI men’s basketball with a 912 multi-year APR rate; however, the 2009-10 report reflects men’s basketball with a 950 multi-year APR rate). The following UNI teams fall below the 925 APR four-year multi-year retention rate within ethnicity (using the 2008-09 APR report rather than 2009-10 report because 2009-10 APR data by racial and ethnic group were not available at the time of this analysis):

- Black/African American
  - Men’s sports: baseball 778/discontinued sport; basketball 867; football 921; indoor track 864; outdoor track 875
  - All male student-athletes: 905
  - Women’s sports: basketball 667
  - All student-athletes: 908
- Hispanic
  - Men’s sports: baseball 750/discontinued sport
  - All male student-athletes: 906
  - Women’s sports: swimming 833
  - White
  - Men’s sports: cross country 842
  - Non-resident alien
Men's sports: baseball 909/discontinued sport
Women's sports: indoor and outdoor track 905
Unknown
Men's sports: men's basketball 900; football 905

Improving retention and graduation rates are addressed directly in the strategic plans for the Board of Regents, State of Iowa and for UNI: both were revised in 2010. Both plans include specific goals for improving the retention and graduation rates of students as a whole and a more specific goal to close the gap between the graduation rates of underrepresented students and the overall student body.

In 2008, UNI conducted a year-long study of the first college year through a process called the Foundations of Excellence (see item #1 answer above). That process resulted in the development of an institutional plan for improving student success and graduation and led to the development of a First-Year Council to provide strategic oversight of first year initiatives and a University Retention Council charged to develop and implement a plan to improve retention and graduation rates.

The Retention Council is chaired by the Associate Provost for Academic Affairs and is comprised of the key direction-givers in pertinent academic and administrative units. Several strategies and tools have been implemented, including a revision of the University probation and suspension policy and the use of an early intervention/early warning tool, called MAP-Works (Making Achievement Possible), which identifies students who are at risk of leaving the institution and provides a targeted support network to assist each student in being successful.

18. Describe the department of athletics written policies and procedures related to scheduling competitions and practices to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, including how the institution monitors this area.

The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

Policies related to scheduling and practices to minimize student-athletes' conflicts with class times and final examination periods due to participation in athletics are in place and were developed by the Department of Athletics and the Intercollegiate Athletics Advisory Council (IAAC). Those policies and procedures are described below.

Practice Times
The Intercollegiate Athletics Advisory Council (IAAC) is charged with an expanded oversight and monitoring role in the setting of practice times. Practice times for UNI's athletic teams will be set by coaches and athletic administrators at appropriate times in order to maximize students' class schedules, facility usage, and student welfare issues. Student schedules will be set prior to the determination of practice times. IAAC policy further recommends that coaches inform all student-athletes, particularly incoming freshmen and transfer students, of the proposed practice schedule so that they may plan their class schedules accordingly. Coaches should refrain from advising student-athletes on which classes to register for and/or drop/add in order for special practice times to be accommodated. Please remember that it is against NCAA rules to miss classes to attend practice.

Questions on practice times and/or class schedules should be directed to the Senior Associate Athletic Director or Director of Athletic Compliance.

Competition Schedule Approval
Coaches should consult the Intercollegiate Athletics Advisory Council (IAAC) Scheduling Procedures and Guidelines when constructing schedules for both the traditional and non-traditional segments of the season. The IAAC must approve all schedules with missed class times noted before the schedules are released to the general public. Coaches should identify specific class days missed on the schedule and total the number of days missed at the bottom of the schedule. Because the IAAC is not in session over the summer, coaches should submit schedules for the fall by the May meeting of the IAAC.

Please submit schedules to Sheri Bishop for IAAC approval.

Scheduling Procedures and Guidelines
It is the responsibility of the Intercollegiate Athletics Advisory Council (IAAC) to supervise and approve the scheduling of intercollegiate athletic events for the University of Northern Iowa (UNI). It is recognized that the IAAC
cannot work directly with the coaches and the athletic director in making the schedules with the various schools in
the various sports. It is necessary, therefore, that the IAAC formulates guidelines and procedures to serve the
athletic director and the coaches as they formulate proposed schedules for presentation to the IAAC for approval.
The following guidelines regarding missed class time should be followed when formulating schedules for UNI
athletic competitions that require travel.
1. No intercollegiate athletic events for which students will miss classes should be scheduled during the last week of
classes or during days on which final examinations are held.
2. Approval of the IAAC is required:
   ? for all regular-season athletic events scheduled on days on which final examinations are held, except conference
tournaments.
   ? for all athletic events not held at UNI (away events) on the Friday, Saturday and Sunday preceding finals week.
3. All athletic schedules, specifically identifying class days missed, will be reported to the Provost and the Faculty
   Senate following approval by the IAAC.
4. A copy of each student-athlete’s travel schedule, specifically identifying class days missed, will be sent to the
   student-athlete’s academic advisor.

General Policies for Scheduling Athletic Events
1. Intercollegiate Athletics Advisory Council (IAAC) Approval:
It is the responsibility of the Intercollegiate Athletic Advisory Committee to approve all schedules. All schedules,
when completed, are to be presented to the athletic committee for approval or disapproval.
2. IAAC Should be Kept Informed During Schedule Development:
The athletic director shall keep the IAAC informed as schedules are being developed. This should be accomplished
during regular meetings of the committee and the reports should contain the following information: Name of the
institution with which contact has been made for scheduling, relevant details of the proposed contractual agreement
and the anticipated point in time at which the contract will be consummated. Such reports may precede the formal
contractual arrangements.
3. Contests Should be Contracted Prior to the Beginning of the Season:
All contests are to be contracted prior to the beginning of the relevant season, when possible. Any additions or
cancellations after the contracts have been ratified MUST be brought before the IAAC for approval or disapproval
with a full explanation of rationale for the action.
4. Tentative Schedules Must be Submitted by the Last Meeting of the Year:
Tentative schedules for all sports MUST be submitted to the IAAC by the last meeting of the academic year. The
IAAC realizes some schedules may not be completed at this time; however, an indication of the conference and
non-conference contests to be played, possible travel days, etc. can be provided prior to the end of the academic
year. If this is not to be the case, the IAAC shall be advised of the exception and provided with rationale for the
exception.
5. Limitations on Scheduling:
   a. Athletic contests will not be scheduled during the week of final exams. The only exception is conference or NCAA
tournaments.
   b. No away events will be scheduled on the Friday, Saturday and Sunday before finals.
   c. Intercollegiate athletic events for which students will miss classes should not be scheduled during the last week
      of classes. Travel to competition within reasonable distance when no overnight stay is required is permitted (i.e.
      Iowa, Iowa State, and Drake).
6. Reporting Schedules to Faculty Senate and Provost:
All athletic schedules specifically identifying class days missed will be reported to the Provost and Faculty Senate
following approval by the IAAC.
7. Appeal:
Approval of the IAAC is required for all regular-season athletic events on days on which final examinations are held,
except for conference tournaments; and for all athletic events not held at UNI (away events) on the Friday, Saturday
and Sunday preceding finals week.
8. Missed Class Time Due to Practice or Participation:
No student-athlete will miss regularly scheduled classes because of conflicts with practice.
9. Student Responsibility to Inform Faculty:
In regularly scheduled classes that are missed due to athletic competition, the notification of professors and
clarification of assignments are the responsibility of the student-athlete. Notification must occur BEFORE the
classes are missed.
10. Coaches’ Responsibility to Inform Student-Athletes of Schedules:
It is the responsibility of the coaches to inform student-athletes as early in the semester as possible of all trip
schedules, including anticipated times of arrival and of return to campus. Coaches must keep student-athletes fully
informed about plans for travel that may occur during the final examination period. Incoming freshman athletes
will be informed of general practice times and travel schedules by their respective coaches before they register for fall
classes. They also should be informed that some classes offered in their program may conflict with practice
schedules throughout the four years. To minimize such conflicts, the scheduling of classes needs to be planned carefully.

11. Notification of Missed Class Time Prior to Registration:
Athletic and major advisors will be provided a tentative scheduling of the anticipated days missed prior to registration each term by the Athletic Department. This listing can be utilized in the planning of the student-athletes' schedules to minimize missed class time when possible.

12. Adherence to Schedules:
It is the responsibility of the athletic director and the coaches of the sports to be certain that the schedules, including days missed, approved by the IAAC are adhered to. If changes are made in the schedule or days missed, the Faculty Athletic Representative MUST be notified.

13. Format of Proposed Schedules:
All athletic schedules submitted to the IAAC should include the following information:
- Day/Date
- Opponent
- Home or Away Site
- Time
- Class Days Missed
At the conclusion of the proposed schedule, the maximum number of allowable contests, the minimum number of allowable contests, and a tally count of the specific days of the week missed (# of Mondays, etc.), including night classes should be summarized. This summary information is for use by the IAAC.

14. Limitations on Number of Playing Dates:
UNI athletic department policy concerning the maximum number of playing dates of athletic contests (meets, matches, games, etc.) shall be limited for any intercollegiate team, in any one year, to the number of playing dates specified in these guidelines. It is understood that this policy excludes all competition in applicable NCAA championship play or scheduled NCAA exempted events.

15. Schedules Should be Consistent with Budgets:
While it is recognized that the IAAC is not responsible directly for matters of finance, as a matter of policy, it is directed that all schedules must be consistent with appropriate budgets and in terms, where applicable, of anticipated revenues. To this end, careful consideration of budget and financial limitations should be a primary guiding factor in the development of all schedules. While this guideline is intended for all schedules, it has particular implication for the scheduling of spring trips, special tournaments, and pre and post-season contests other than those for playoffs and championships.

16. Balanced Schedule of Home and Away Contests:
The IAAC strongly recommends that athletic contests should, when possible, be scheduled on a home and home basis. When this is not possible, careful attention should be given to developing a balanced schedule of home and away contests.

17. Athletic Director's Role in Scheduling:
In accord with the priorities listed under each sport in the "Guidelines and Instructions for Scheduling Each Sport," and in accord with these statements of general policy, the athletic director or his/her designated representative shall take the initiative in the scheduling of all intercollegiate athletic contests.

18. Consideration of Days Missed:
The IAAC strongly encourages coaches to consider the days of the week when scheduling so as to not miss the same classes throughout the season (i.e. all M-W-F classes). The IAAC realizes that the conference schedule is the driving force behind many of the same days being missed. However, the non-conference schedule is one area the coaches can address to help alleviate the same class days being missed.

19. Scheduling of Trips:
To the extent possible, trips should not be scheduled such that student-athletes miss classes at both ends of the trip.

Guidelines and Instructions for Scheduling Each Sport:

Football - Football Championship Series
1. The maximum number of games to be scheduled per season is 12 while the minimum number of games is 9.
2. Missouri Valley Football Conference opponents shall enjoy scheduling priorities and shall be scheduled at a minimum to permit competition for conference/regional and national championships.
3. Consideration shall be given to the scheduling of traditional UNI rivals and to competitive teams on a regional basis.
4. A minimum number of University-level teams must be scheduled in order to maintain Division I status.
5. Special scheduling consideration will be given for guarantee games.

Women's Soccer - Division I
1. The maximum number of games to be scheduled each season shall be 20. A minimum of 11 games must be scheduled.
2. Missouri Valley Conference teams shall enjoy scheduling priorities.
3. Priority shall also be given to scheduling competitive teams on a regional basis.
4. A minimum number of University-level teams must be scheduled in order to maintain Division I status.

Basketball - Division I
1. The maximum number of games to be scheduled each season shall be:
(a) 27 contest (games or scrimmages) and one qualifying regular-season multiple team event per Bylaw 17.5.5.1.1; or (b) 29 contest (games or scrimmages) during a playing season in which; the institution does not participate in a qualifying regular season multiple team event.

2. Missouri Valley Conference teams shall enjoy scheduling priorities.

3. Missouri Valley Conference teams must be scheduled at a minimum to permit competition for conference/regional championships.

4. A minimum number of University-level teams must be scheduled in order to maintain Division I status. Missouri Valley Conference policy should be followed in meeting the minimum Division I criteria.

5. Consideration shall be given to the scheduling of traditional UNI rivals and to competitive teams on a regional and national basis.

6. Special scheduling consideration will be given for guarantee games.

Track (Indoor, Outdoor, Cross Country) - Division I
1. The maximum number of indoor/outdoor dates is 18; the minimum is 12. The maximum number of cross country meets shall be 7; the minimum is 6.

2. Scheduling preference shall be given to multiple-school and conference and regional meets.

3. Schedules shall be designed with an eye to opponents who are consistent with the caliber of UNI track teams.

4. Scheduling shall be designed with an eye to qualifying both teams and individuals for participation in conference/regional and national championships.

6. Scheduling may include a spring trip during the annual Spring Break.

Volleyball - Division I
1. The maximum number of volleyball matches shall be 28; the minimum is 19.

2. Missouri Valley Conference teams shall enjoy scheduling priorities.

3. Scheduling preferences shall be given to conference/national competition at the Division I level.

4. Consideration shall be given to the scheduling of traditional UNI rivals and to competitive teams on a regional and national basis.

5. Special scheduling consideration will be given for guarantee games.

Softball - Division I
1. The maximum number of softball games shall be 56; the minimum is 27.

2. Missouri Valley Conference teams shall enjoy scheduling priorities.

3. Scheduling preference shall be given to conference/regional competition at the Division I level.

4. Schedules shall be drawn to include double headers and tournament games.

5. Scheduling may include a spring trip during the annual Spring Break.

6. Schedules shall be designed with an eye to qualifying for conference/regional and national championships.

Golf - Division I
1. The maximum number of golf dates, including any dates utilized for competition during the permissible out-of-season period as provided by the NCAA, shall be 24. The minimum number of dates is 8.

2. Scheduling preference shall be given to conference/regional meets and tournaments.

3. Scheduling preference shall be given to traditional team contests.

4. Scheduling may include a spring trip during the annual Spring Break.

5. Scheduling shall be designed with an eye to qualifying individuals for conference, regional, and national championships.

Tennis - Division I
1. The maximum number of tennis matches, including any dates utilized for competition during the permissible out-of-season period as provided by the NCAA, shall be 25. The minimum number is 12.

2. Scheduling preferences shall be given to conference/regional and state matches.

3. Scheduling preferences shall be given to traditional contests and teams consistent with the caliber of UNI tennis.

4. Scheduling may include a spring trip during the annual Spring Break.

5. Schedules shall be designed with an eye to qualifying individuals for conference, regional, and national championships.

Wrestling-Division I
1. The maximum number of wrestling meets, including any dates utilized for competition during the permissible out-of-season period as provided by the NCAA, shall be 16 dates. The minimum number is 13.

2. Scheduling preferences shall be given to conference/regional and state matches.

3. Scheduling preferences shall be given to traditional contests and teams consistent with the caliber of UNI wrestling.

4. Schedules shall be designed with an eye to qualifying individuals for conference, regional, and national championships.

Swimming and Diving-Division I
1. The maximum number of swimming and diving dates shall be 20. The minimum number of dates is 10.

2. Scheduling preference shall be given to conference/regional meets and tournaments.

3. Scheduling preference shall be given to traditional team contests.
4. Scheduling may include a winter training trip during the semester break.

Scheduling During Final Exams

It is desirable from all standpoints that no athletic contests be scheduled during the week of final examinations at the University of Northern Iowa (UNI). However, it is acknowledged that a serious scheduling problem does exist due to academic calendar changes from year to year and because UNI's final exam schedule does not necessarily coincide with the academic schedules of UNI opponents.

During the final examination period in the spring term, it is possible that conference or NCAA championships could occur for a sport. Since this scheduling is beyond the control of UNI, student-athletes may be absent during a particular final exam. It is the student-athlete's responsibility to inform professors as soon as possible (not later than two weeks prior to the beginning of the exam week) if they have qualified or they have the potential to qualify for championship participation that would cause them to miss a final exam. At the time of notification, the student-athlete shall make arrangements for taking the exam either before or after their athletic contest. This places responsibility upon the coaches to inform players early regarding the trip schedule when it occurs during final exam week.

19. Describe the institution's written missed-class policies for all students, including any exceptions or differences that exist for student-athletes.

The University of Northern Iowa's (UNI) policy on missing classes applies to all students at UNI: no exceptions exist only for student-athletes.

Policy on Make-up Work and Missed Classes

It is the expressed focus of the University of Northern Iowa to further the educational development of each of its students. On occasion events will necessitate a student's absence from class. In order for both faculty and students to effectively plan for these absences, the following procedures are recommended.

1. All parties involved should be made aware of scheduled absences well ahead of the date(s) of absence. In the case of extracurricular activities, a semester-long schedule should be prepared and distributed at the beginning of the semester. In instances where semester-long schedules are not feasible, two weeks written notification shall be given for all absences. This notification shall take place even if the absence is potential rather than definite. Assuming that appropriate notification has been provided, students and faculty shall mutually agree as to how assignments, lectures, exams, etc. shall be made up. The type and extent of make-up work shall be at the discretion of the faculty member.

2. Occasionally there situations will occur where two weeks notice is impossible. On these occasions, students, faculty, and others concerned should work closely together to ascertain whether special arrangements can and/or should be made.

3. Faculty shall not penalize a student for missing a class or exam for an educationally-appropriate activity, including university sponsored or sanctioned events.

4. Where situations of irreconcilable disagreement occur which are not resolved at the department level, a panel comprised of the Vice President for Academic affairs, or that officer's designee, the Department Head of the academic department involved, and a representative of the extra-curricular program (where applicable) shall meet at their earliest convenience with the faculty member and the student to mediate the matter.

(Approved by the President's Cabinet April 23, 2001. Approved by Faculty Senate April 24, 2001.) A revised absence policy has been reviewed the UNI Faculty Senate and sent to the Educational Policy Committee for further review. The UNI Faculty Senate still must act on the revised policy and if approved, send it by the President's Cabinet for approval.

20. Provide supporting data to analyze, explain and address missed class time for the last two years for each sports team.

The institution must analyze and explain missed class time for the last two years for each sports team and address, through a plan for improvement, any missed class time that is deemed significant or excessive in nature.

Department of Athletics sports teams at the University of Northern Iowa (UNI) registered the following class days missed during the past two seasons.

Missed Class Time by Sport
Sport 2009-10 2010-11
Football 4 5
MBB 14 13.5
All UNI teams with the exception of softball and volleyball, were consistent in the number of class days missed from year to year. Softball missed three more days of classes during the spring, 2010 semester. Softball played at three tournaments in 2010: Austin Peay in Clarksville, Tenn.; Arizona State Challenge in Tempe, Ariz.; and, the Oklahoma Sooner Classic in Norman, Okla. In addition, more away mid-week single games were played in 2010: Arizona, Columbia, Nebraska and Iowa. These two scheduling differences accounted for the additional class days missed from 2010 to 2011.

Volleyball missed 13.5 days in 2009-10 and 9.5 in 2010-11. During 2009-10, the team played in tournaments in College Station, Texas; Murfreesboro, Tenn.; and, Bowling Green, Ohio. Those three tournaments accounted for six of the total 13.5 days missed from class. The football and men's basketball teams utilize charter flights to limit missed class days. The men's basketball conference schedule is set by the Missouri Valley Conference and includes Tuesday and Wednesday games. Charter flights save considerable missed class days over charter busses. The women's basketball and volleyball teams benefit from having travel partners in conference play. Volleyball plays Friday and Saturday in conference action while women's basketball plays on Thursday/Saturday or Friday/Sunday road swings. The men's and women's golf teams miss the most class days, due in part to scheduling of competition facilities. Collegiate golf tournaments are scheduled on Monday and Tuesday, due to course availability. In addition, the numbers of days missed for golf represent days missed for the entire year and not one semester. During 2010-11, men's golf missed 7 days during the fall semester and 9 days during the spring semester. For women's golf, 11.5 days were missed during the fall and 6 in the spring. However, scheduling tournaments on more than two consecutive weeks impacts student-athletes in a different manner and should be reviewed. In addition, the fall schedules should be reviewed to determine if class days missed can be reduced during the non-championship portion of the schedule. Both recommendations are reflected in UNI's Academic Integrity Plan of Improvement.

21. Describe the means by which the department of athletics policies and procedures regarding the scheduling of athletics competition and practices (as described in Self-Study Item No. 18) and the institution's missed-class policies (as described in Self-Study Item No. 19) are directly communicated in writing to student-athletes, department of athletics staff members and appropriate faculty and administrative staff.

The institution's established, written policies regarding the scheduling of practices and competition must be directly communicated in writing (e.g., provide hard copy of document, provide weblink via e-mail) to student-athletes, department of athletics staff members and other appropriate faculty and administrative staff (e.g., published in the institution's student-athlete handbook or department of athletics policies and procedures manual, an e-mail with an attachment or link to the posting on the institution's website). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

Policies related to scheduling of competition and practices and the missed class time policies are included in the University of Northern Iowa (UNI) student-athlete handbook each fall, posted on the UNI Department of Athletics web page, included in the athletic department's staff handbook, and distributed to the UNI Intercollegiate Athletics
Advisory Council. In addition, all policies are distributed to the coaching staff annually at a regularly scheduled meeting.
Head coaches at UNI are responsible for communicating missed classes policies to their student-athletes: coaches are required to inform UNI student-athletes of class days they will miss due to athletic travel each semester.

22. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.1, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

The University of Northern Iowa (UNI), during the current NCAA self-study recerti®cation process, developed an Academic Integrity Plan for Improvement, which is included with this report. The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Academic Integrity subcommittee; Steering Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletic department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports, which included Academic Integrity improvement plan, to members of the President's Cabinet and UNI Academic Affairs Council.

President's Cabinet:
Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI Foundation
James O'Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer
UNI's Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
Christy Twalt Assistant Provost for Sponsored Programs
Michael Licari Associate Provost for Academic Affairs/Dean, Graduate College
Virginia Arthur Associate Provost for Faculty Affairs
Kurt Meredith Interim Assistant Provost for International Affairs
Farzad Moussavi Dean, College of Business Administration
Dwight Watson Dean, College of Education
Joel Haack Dean, College of Humanities & Fine Arts and
Joel Haack Dean, College of Natural Sciences
Philip Mauceri Dean, College of Social & Behavioral Sciences
Kent Johnson Interim Dean, Continuing Education and Special Programs
Marilyn Mercado Dean, Rod Library
Patricia Woeiber Administrative Assistant to Executive VP & Provost

The Academic Integrity Plan for Improvement along with information relative to the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011.
After review, the plan was ultimately approved by President Ben Allen.
<table>
<thead>
<tr>
<th>Elements</th>
<th>Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issues in the Self-Study</td>
<td>Graduation rates for African American male student-athletes have improved, but still lag behind graduation rates for all student-athletes.</td>
<td>The graduation rate for African American male student-athletes are comparable to the graduation rate of all student-athletes.</td>
<td>Review recommendations and plans from the University's Retention Council. Collaborate on strategies for improving academic performance and graduation.</td>
<td>SWA; Athletic Academic Advisors</td>
</tr>
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<td></td>
<td>Graduation rates with low numbers of students in the cohort are low, but trends are difficult to assess</td>
<td>Graduation rates of all teams at UNI are annually reviewed and analyzed to ensure low rates can be explained and addressed if necessary.</td>
<td>Assistant registrar will compile graduation rates data for comparison. Compliance Council review. Athletic support services formulate plans of improvement.</td>
<td>Assistant registrar, Compliance Council, Athletic academic advisors</td>
</tr>
<tr>
<td></td>
<td>Missed class time policies are published in the student-athlete handbook, but not directly communicated to all teams.</td>
<td>Missed class times policies and procedures are communicated to each team at the fall semester compliance meeting.</td>
<td>Compliance director and athletic academic advisors will include presentation of these policies at the annual fall team meetings.</td>
<td>Academic Advisors; Director of Athletic Compliance</td>
</tr>
<tr>
<td></td>
<td>Seek cabinet approval or propose a new policy on missed class time.</td>
<td>Institutional missed class time policies are clearly communicated to faculty and student-athletes understand the system for redress.</td>
<td>Revised policy approved through all University's process or new policy proposed.</td>
<td>FAR/SWA/AD</td>
</tr>
<tr>
<td></td>
<td>Student-athletes do not clearly understand the priority registration policy.</td>
<td>Student-athletes are informed on an annual basis about priority registration policies.</td>
<td>Add to student-athlete handbook and review at fall team meetings</td>
<td>Athletic Academic Advisors</td>
</tr>
<tr>
<td></td>
<td>Men's and women's golf missed class time is highest of any teams in the department.</td>
<td>Class days missed are reviewed to ensure the total number of days and the days of the week are monitored.</td>
<td>Review days of week that are missed to ensure the same classes are not missed an excessive amount.</td>
<td>SWA/IAAC</td>
</tr>
<tr>
<td></td>
<td>Athletic advisors should have reporting lines to University's Academic Advising.</td>
<td>Athletic Academic Advisors have dual reporting lines to the Office of the Provost and are aligned more closely with the University's Academic Advising Services to utilize campus resources, strengthen communication and connections to University services and programs.</td>
<td>Reporting lines changed, athletic academic advisors integrated more fully on campus.</td>
<td>AD/Provost/SWA/Athletic Academic Advisors</td>
</tr>
</tbody>
</table>
Operating Principle

2.2 Academic Support.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). For each condition, provide:

   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

   1. Condition

      The University of Northern Iowa did not have any conditions for certification imposed from its Cycle 2 certification related to Operating Principle 2.2.

      Action

      Action Date

      Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 2.2 (Academic Support). For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed;
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

*If the institution developed a plan for improvement for Operating Principle 2.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.*

*The committee will not accept the following explanations for partial completion or noncompletion:*
The institution did not possess sufficient funds to implement the plan.

The institution has had personnel changes since the original development of the plan.

The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial completion or noncompletion:

The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

1. Original Plan

The University of Northern Iowa will implement a periodic review process of athletic academic advising services by personnel external to the Athletic Department within five years: Fall, 2006.

Action

A periodic review process for athletic academic advising services has not been created.

Action Date

This goal was not completed.

Explanation for partial or non-completion

A review of the University of Northern Iowa's (UNI) academic service records did not uncover any information related to a review process for academic services. Files from past personnel evaluations of academic advisors did not discuss the review nor provide information relating to a review of the services. UNI personnel involved in advising, academic support, and assessment were contacted but indicated that they were not aware of any such reviews having taken place. There was no record of any discussion, planning, or evaluation of the athletic academic services office with UNI's Academic Advising, Academic Assessment, or Academic Learning Center. Staff who previously were employed at UNI and who worked in this area for the athletic department were contacted and none recalled any discussions about this item. No evidence exists that this review advanced beyond its articulation as a goal during the Cycle 2 process.

2. Original Plan

The University of Northern Iowa will implement a system for recording and monitoring the number of classes missed by student-athletes each semester. Each sport will prepare a detailed schedule including practice times and schedule for competition. The UNI Intercollegiate Athletics Advisory Committee will be given the schedules at the beginning of each semester. The sport schedules will also be posted on the athletic department web site: Fall, 2003.

Action
Sport schedules have been placed on the athletic department website at the University of Northern Iowa (UNI) since 2003. That practice continues annually. UNI coaches have been monitoring the number of class days missed for their own sport: days missed by each team were reported on the team travel form, which is signed by the UNI Director of Athletic Compliance.

A standardized system for monitoring missed class time by sport at UNI is now in place: approval of the days that will have to be missed to compete with a UNI athletic squad is one of the responsibilities of the Intercollegiate Athletics Advisory Committee at UNI (see policy listed in item #18 in section 2.1 of this self-study). Copies of the schedules, with class days missed, will be provided during the peer review team visit.

**Action Date**

2003-present: Sports schedules have been posted on the UNI athletic department website.
2003-2010: Coaches have been monitoring the number of class days missed for their own sport. Each program utilized its own form for notification of faculty (resulting in a variety of forms for student-athletes to present to their professors regarding impending misses).
2010-11: A formal system for monitoring class time by sport at UNI was completed.

**Explanation for partial or non-completion**

The monitoring of class days missed for athletic competitions was taking place at UNI since Cycle 2, but the practice for how that was accomplished was not standardized across all teams with the same form and process until during the 2010-11 academic year. Prior to that the days missed by each team were reported on the team travel form which was signed the UNI Director of Athletic Compliance.

3. **Original Plan**

The University of Northern Iowa will produce a single absence from class form for all student-athletes to present to instructors which indicates absences due to athletic events: Fall, 2002.

**Action**

A missed class form for all student-athletes to present to instructors, with absences noted, is currently being utilized: academic advisors working with UNI student-athletes coordinate the process with the students. A copy of the form will be available during the peer review team’s visit to campus.

**Action Date**

2003-present: Sports schedules, that allow student-athletes to know when their sport may require missed classes, have been posted on the UNI athletic department website.
2003-2010: Coaches for each UNI athletic program utilized their own form to notify of faculty (resulting in a variety of forms for student-athletes to present to their professors regarding impending misses: resulting in confusion for student-athletes and faculty.)
2010-11: A single form is now available to student-athletes and coaches at UNI: as part of the formal system for monitoring class time by sport at that has just been completed.

**Explanation for partial or non-completion**
This goal was completed in 2010-11. The reason the transition took so long is that UNI athletic coaches preferred to use their own forms and methods for notifying professors of missed class time: they felt that could better help monitor their student-athletes' academic performance with that system. That process, however (of allowing discretion to remain with each head coach), resulted in a system that was confusing to faculty, who sometimes received three or four different forms from the student-athletes in their classes.

A standardized form now allows the academic services staff to better track class days missed by student-athletes at UNI and to communicate with professors when necessary. The form also allows a better understanding of the actual days missed on the part of the Intercollegiate Athletic Advisory Council, the faculty based oversight body for athletics at UNI, which has approval of the days that will have to be missed to compete with a UNI athletic squad as one of its responsibilities.

4. Original Plan

The University of Northern Iowa will revise the university Policy on Makeup Work and Missed Classes to improve clarity for how a student-athlete's absence from class due to athletic competition is treated in the grading process: Fall, 2002.

Action
A new policy on makeup work has been drafted at the University of Northern Iowa (UNI) and was reviewed by the UNI Faculty Senate in April, 2010. At that time the Faculty Senate referred the proposed policy to the Educational Policy Committee (EPC). The EPC is expected to report back to the Faculty Senate before a formal vote is taken. If adopted, the revised policy would then need to be approved by the UNI President’s Cabinet. However, the revised policy (which follows) has not been officially adopted yet by the Faculty Senate or the UNI President’s Cabinet. (See, item #19 in 2.1 for the policy that is in use at UNI until a change is adopted.)

Proposed University Policy on Class Attendance and Make-Up Work

It is the expressed focus of the University of Northern Iowa to further the educational development of each of its students. On occasion events will necessitate a student’s absence from class.

A. General Expectations

1. Instructors who choose to have policies related to attendance and make-up work must distribute those policies on the first day of class. It is strongly recommended that all faculty have written policies regarding attendance and make-up work. When such policies are not provided in writing at the start of the class, it is understood that there will be no grade-related penalties due to absences, missed exams, makeup work, and so on, regardless of the cause of those events.

2. Students must adhere to each instructor’s policies regarding attendance and make-up work.

B. Absences

Occasionally, students will have reasonable cause to miss class. In order for both faculty and students to plan effectively for these absences, the following procedures have been developed. Faculty are encouraged to take into account the reason for an absence and make appropriate accommodations.

1. Instructors have the discretion to determine the reasonability of an absence.

2. When an absence is deemed “reasonable,” the instructor must provide the student an opportunity to make up missed work, or have in place a make-up policy that does not unjustly penalize a student for the absence.

3. All absences due to participation in educationally appropriate, university sponsored activities or sanctioned events must be considered reasonable, and a student must therefore not be unjustly penalized for these absences.

4. Students participating in educationally appropriate, university sponsored activities or sanctioned events must inform each instructor of their known and anticipated absences as far in advance as possible.

5. Other types of absences due to extenuating circumstances, either predetermined or unexpected, may also be deemed “reasonable” by the instructor. Such absences include, though are not limited to, the following: non-university sanctioned educationally appropriate events and activities (e.g., attendance at a professional conference); illness; significant personal emergency; bereavement; jury duty; military service; mandatory religious observances, etc.

Make-up Work Grievances Arising from Absences

Should an instructor refuse to allow a student to make up missed work, and should this refusal constitute an unjust penalty upon the student, the faculty member’s decision can be appealed by the student using the grievance process outlined below. This process reflects the constraints that both faculty and students face in dealing with the timely make up of missed work:

Grievance Procedure

1. The student must contact the faculty member, the faculty member’s department head, the faculty member’s dean, and a Northern Iowa Student Government Executive Officer in writing requesting a review of the instructor’s decision within 3 business days of the denial of make-up work.

2. The Northern Iowa Student Government Executive Officer will organize a meeting between the student, the faculty member, the faculty member’s department head, and a minimum of 2 tenured faculty members (drawn from a pool of faculty who have previously agreed to serve in this capacity, and who come from outside the faculty member’s department) within 2 business days upon receipt of the letter, and this meeting shall take place within five business days of the receipt of the appeal letter.

3. At each state of the process both primary parties may be accompanied by one support person.

4. The three person committee (2 faculty volunteers and the NISG officer) shall review the cause of the absence and the instructor’s reasons for denial and policies regarding attendance and make-up work. This committee will render a final decision within business days regarding whether or not a student will be allowed to make up missed work. This decision is final and binding upon the instructor and the student. Any make-up work or exam must be equivalent in terms of academic demand to the original
3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.2 (Academic Support). For each additional plan, provide:

a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goal(s); and
c. The date(s) the step(s) was completed.

In addition to the improvements outlined in response to item #2, the University of Northern Iowa (UNI) has accomplished the following in the area of academic support since the completion of Cycle 2 certification.

2009: An additional academic advisor was hired for athletics at UNI. Both the new and original athletic academic advisors teach the CHAMPS/Life Skills class for new student-athletes each fall. The staff addition enabled additional sections to be offered, lowering the class sizes for the required course.

The athletic department's CHAMPS/Life Skills class is now part of UNI's learning strategies course: Strategies for Academic Success. This enables the integration of the class with other sections in the curriculum offered to all new students at UNI.

2009-10: New offices and a computer lab area were created in the academic services area as part of the new offices in the UNI Dome built in 2009-10. The new area consolidates key student services staff in athletic facilities: near the training room and most of the team locker rooms. The new office area also includes three meeting areas which can be utilized for tutoring, study groups and/or team study areas.

2010: UNI re-structured the organizational chart of its Department of Athletics to clarify and standardize its chain-of-command for all those with responsibilities connected to "student services" for student-athletes. All such staff now share the same reporting lines: academic services, compliance, athletic training, and all other services that impact students in athletic department programming now report to the Senior Associate Athletic Director/Senior Woman Administrator. Bi-monthly meetings are now held for student services personnel to coordinate athletic department efforts at providing student-athlete services.

A full-time athletic department compliance director, with no sport oversight assignment or additional management duties (which is not the case for other members of the senior management team for the athletic department), was hired in September of 2010. (A graduate assistant in compliance was also added to the staff in 2009.) The associate athletic director/compliance director was promoted to internal operations in the spring of 2010. These changes led to a more consistent and proactive approach to student services by the athletic department including more thorough review of the academic transcripts and of the Regents Admissions Index (RAI: see item #3 in 2.1) for each prospect who visits campus. Coaches now receive an evaluation of each prospect's admissibility and initial eligibility, including a review of core course requirements, high school grade point average, and a RAI calculation.

4. Explain how the institution is organized to provide academic support and advising services to student-athletes, either through institutional programming or student-athlete support services. In addition, provide a description of reporting lines and responsibilities assigned to specific staff members.

**Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.**

**The institution must demonstrate that its institutional structures and reporting lines for student-athlete academic support services are organized such that academic advising for student-athletes is an integral part of the institution's educational system.**

At the University of Northern Iowa (UNI) students, including student-athletes, see their major/departmental academic advisors (first) to set class schedules, complete projected graduation profiles, and address other academic questions and needs.

After meeting with their major/departmental academic advisor, student-athletes at UNI are to meet (second) with their athletic academic advisor to ensure they are on track with NCAA eligibility and to address any additional academic concerns related to the athletic participation.

UNI now employs two athletic academic advisors who provide this supplemental academic support and advising service for UNI student-athletes. The advising relationship between the athletic academic advisor and the student-athlete is secondary in nature to the relationship a student-athlete is expected to develop with the academic advisor.
in her/his major field of study.

Both athletic academic advisors report to the Senior Associate Athletic Director/Senior Woman Administrator, Jean Berger. The two advisors split advisory responsibilities by sport and by other targeted job description categories:

Stacia Greve: Football, Men’s Basketball, and Softball; also oversees tutoring and student employees.
Kara Park: Women’s Basketball, Men’s and Women’s Golf, Soccer, Swimming & Diving, Tennis, Men’s and Women’s Track, Volleyball and Wrestling; also is the liaison for the Student-athletes Advisory Committee.

It is the responsibility of the athletic academic advisor, along with the Registrar’s office and Director of Athletic Compliance, to ensure that each student-athlete is taking the proper number of countable credits in their majors and are progressing according to (or better than) NCAA progress toward degree standards. The athletic academic advisors at UNI also ensure that each student-athlete understands progress toward degree requirements and their roles and responsibilities in this process as a student-athlete.

Academic support is available through several tutoring programs at UNI: e.g., tutoring services through the Writing, Reading, and Math & Science labs. These services are available (by appointment during normal business hours) to all students on campus. A majority of UNI departments and some UNI colleges (e.g., College of Business) also employ tutors. Student-athletes are encouraged to use these campus services first.

In addition to campus tutoring services, athletic academic services offers tutoring for student-athletes in various subjects ranging from courses in the liberal arts core to various upper level courses. Student-athletes must request these services and are charged for missed appointments with their tutors. Stacia Greve, along with the tutor coordinator (a hired student assistant), assign tutors to specific student-athletes. Tutors submit session summaries after each appointment. The session summaries, tutor requests, and student-athlete demographics are recorded for data collection purposes each semester: session summaries may be shared with coaches and sport supervisors as needed.

The athletic academic advisors are also responsible for coordinating all CHAMPS/Life Skills programming and community outreach including:

- Just Read! (reading program for elementary school students);
- National Women and Girls in Sport Day (women’s teams teach sport skills to Girls Scouts);
- Junior Panther Day (all teams teach sport skills to elementary students);
- Honorary Sideline Coach program (student-athletes invite faculty members to events);
- Various community service opportunities throughout the year, including Boy’s and Girl’s Club, Children’s Charity of Iowa Telethon, food collections, shoe collections, elementary school assemblies, etc.;
- Several other personal, character, and career building opportunities including Mentors in Violence Prevention and career workshops in partnership with local companies.

The athletic academic advisors are also responsible for:

- Gathering academic data for NCAA, MVC, institutional and departmental purposes;
- Nominating student-athletes for NCAA and MVC awards;
- Participating in various committees across campus (Transfer Focus Committee, Advising Council to the Provost, Department of Justice Campus Violence Prevention, Athletic Compliance Council, Campus Advising Network, Orientation Planning Committee, etc.).

5. Explain how the institution’s staffing, physical space and financial support for student-athlete academic support services has been reviewed by appropriate institutional academic authorities to ensure they meet the academic needs of student-athletes at the institution (this review must be conducted as part of the self-study process).

The institution must demonstrate that its staffing, physical space and financial support for student-athlete academic support services have been reviewed by appropriate institutional authorities and determined to meet the academic needs of student-athletes at the institution.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

At the University of Northern Iowa (UNI), two review prongs of these issues were employed during the NCAA Cycle 3 Certification self-study. One prong was a review of pertinent documents, data, and other materials conducted by the Academic Integrity Subcommittee of UNI’s NCAA Certification self-study Steering Committee: 2010-11. The second prong was an external audit of these issues. The findings of each review are reported, in turn, below.

Internal review: The President of UNI and the Chair of the NCAA Certification Steering Committee at UNI placed administrative leadership of the Academic Integrity review evaluation with Mr. Jon Buse, Dean of Students at UNI: through his role as chair of the Academic Integrity Subcommittee of the Steering Committee. Mr. Buse led the day-
to-day activities involved in building UNI's Academic Integrity self-study report and he was lead writer of that report. Under his direction, the Academic Integrity Subcommittee of UNI's NCAA Certification self-study Steering Committee reviewed pertinent documents, data, and other materials, including the BS&K audit report (see below). Further, as part of the review conducted of the external audit report, Mr. Buse convened a small group of specialists to also review the information from the BS&K report as well as to attempt to provide an additional evaluation of the support services offered at UNI. Two members of that smaller group have expertise in advising and academic support and were intentionally involved to provide an assessment of the appropriateness and integration of services being offered in academic support of student-athletes in comparison to these same services and programs at UNI for students in the broader undergraduate population. This review was necessary since no other review had been conducted for the athletic department.

Conclusions after the review by the Academic Integrity Subcommittee of the UNI's NCAA Certification Steering Committee:

Institutional Staffing

The quality of, and processed used in, this area are reviewed annually during an exit interview process the UNI Department of Athletics conducts with departing student-athletes and as part of the student-athlete satisfaction survey that is given annually to members of all UNI teams. What follows is a description of the components of this area.

There are two athletic academic advisors who provide supplemental academic support and advising services for student-athletes at UNI. Both athletic academic advisors report to the Senior Associate Athletic Director/Senior Woman Administrator at UNI, Jean Berger. The two athletic academic advisors are part of the student services staff within athletics and serve on the UNI Compliance Council. They also meet with, and provide information to, the faculty oversight body at UNI, the Intercollegiate Athletics Advisory Council: upon requested or when required to do so by periodic reporting policies at UNI.

The relationship between the athletic academic advisor and the student-athlete is secondary in nature. Students see their major/departmental academic advisors first to set class schedules, complete projected graduation profiles, and address other academic questions and needs. After meeting with the major academic/departmental advisor, student-athletes meet with the athletic academic advisor to ensure they are meeting NCAA requirements.

It is the responsibility of the athletic academic advisor, along with the Registrar's office and Director of Athletic Compliance, to ensure that each student-athlete is taking the proper number of countable credits in their majors and are progressing according to (or beyond) NCAA progress toward degree standards. The athletic academic advisors also ensure that each student-athlete understands their own roles and responsibilities in this process and their own progress toward degree.

One of the athletic academic advisor staff members (Stacia Greve) is responsible for coordination the athletic department tutoring program: tutors are hired for various subjects/specialties. The other athletic academic advisor staff member (Kara Park) is the athletic department's main liaison to the Student Athletic Advisory Council. The athletic academic advisors are also responsible for coordinating all CHAMPS/Life Skills programming and community outreach.

Physical Space

The athletic academic services unit is located in the UNI Dome as part of the UNI athletic administrative offices complex. This area was built in 2010 and includes facilities dedicated to academic services. Both athletic academic advisors have private offices. A small computer lab is located outside of the offices. In close proximity are three conference rooms, which can be utilized for group study or meetings with tutors. There is a larger room with computers and tables in the McLeod Center (attached) that can also be utilized by student-athletes. The academic integrity subcommittee external audit (see below) questioned the adequacy of the space for optimum functionality due to the large demand during daytime and the lack of quiet or private space to do required work. However, no problems regarding the use of the computers or the noise associated with the meeting facilities have been noted by student-athletes, either in the interviews or in the satisfaction surveys that are conducted each year. It was noted that team study tables are the responsibility of the coaches and are not part of the athletic academic services staff duties. Team study tables, staffed by coaching staff members, are held in athletic department facilities, but they are typically conducted in the early morning or evening hours, when the athletic academic services office is closed.

Financial Support

UNI's athletic academic services unit is funded by the athletic department and from the NCAA Academic Enhancement Fund. Additional resources have come from the University technology services division for computers, funds from the NCAA Special Assistance Fund, and from NCAA and Missouri Valley Conference grants. In addition to the "quiet space/facilities" issue (mentioned above and below), the academic support subcommittee also noted in its Academic Integrity Plan for Improvement that a more formalized review structure, with oversight from the Intercollegiate Athletic Advisory Committee, was needed to complete further review of the academic services area for intercollegiate athletics at UNI. The subcommittee further recommends that this review process be finalized prior to the peer review team's visit in September of 2011.

External Audit: The Academic Integrity Subcommittee found that no formal review of academic services had taken
The University of Northern Iowa (UNI) contracted Bond, Schoeneck and King, PLLC (BS&K) of Overland Park, Kansas for an audit of the student-athlete academic support services area: November, 2010 (also see items #7 & #8 below; and uploaded BS&K documents). BS&K was utilized to provide UNI with an external, broad-based review of academic services for the UNI Department of Athletics. UNI was assisted in this audit by Christopher D. Schoemann, Director of NCAA Compliance Services with the Collegiate Sports Practice Group at BS&K, is an experienced athletic administrator whose consulting practice involves extensive review of and interaction with athletic departments at all levels. His review of the academic services unit at UNI provided a "best practices" look at UNI's athletic academic services unit for the subcommittee to review.

The BS&K audit report was reviewed by athletic department student services personnel and forwarded to the Academic Integrity Subcommittee of the UNI NCAA Certification self-study steering committee. The chair of the subcommittee, Jon Buse, Dean of Students, convened a group of UNI faculty and staff to review the report and to offer further recommendations. The review group included Dr. Lisa Jepsen, Associate Professor, Economics (and next Faculty Athletics Representative at UNI: beginning, 2011); David Marchesani, Associate Director of Academic Advising and Career Development Coordinator; and, Nick Sullivan, Director, Student Support Services.

The external audit questioned the adequacy of space for academic support services in the athletic department, claiming a need for improving functionality due to demands for space during daytime hours and the lack of quiet or private space to do required work.

However, as discussed above, no problems regarding the use of the computers or the noise associated with the meeting facilities have been noted by student-athletes, either in the exit interviews or in the satisfaction surveys, which are conducted each year. It was also noted by the subcommittee and the ad hoc committee convened to discuss the external audit, that the issue that was raised was primarily germane to UNI team study tables, which are the responsibility of individual coaches for each sports program: they are not part of the athletic academic services staff duties. Team study tables, staffed by coaching staff members, are held in athletic department facilities, but they are typically conducted in the early morning or evening hours, when the athletic academic services office is closed.

6. Using the program areas for academic support services listed below, describe the following (this program analysis must be conducted as part of the self-study process):

   a. The specific academic support services offered to student-athletes (if any);
   b. Any policies that govern which students can use these services;
   c. The mechanisms by which student-athletes and staff are made aware of these services;

If the institution has additional or different academic support services not included in the following list of examples, please click "Add Academic Support Area" in the ACS.

Information related to all academic support services must be clearly communicated to student-athletes and staff (e.g., through inclusion in the student-athlete handbook, discussion during team meetings, through inclusion in personnel manuals, review during staff orientation).

The institution must provide effective support services for student-athletes with learning disabilities and/or other special needs, either through institutional programming or through student-athlete support services.

The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors, academic administrators of the institution or noninstitutional academic support specialists). Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.
1. Academic counseling/advising: Course selection, class scheduling, priority registration.

   a. The specific academic support services offered to student-athletes (if any);

      Two athletic academic advisors provide several academic support services to student-athletes at the University of Northern Iowa (UNI).
      Counseling/advising of course selection: the athletic academic advisors are secondary academic advisors who work closely with the students' primary academic advisors (faculty or other professional advisors on campus) to ensure accuracy and consistency of information provided on course selection.
      Class scheduling: The athletic academic advisors check class schedules of all returning student-athletes to ensure NCAA compliance (12 hours) and progress toward degree. They also work with primary advisors if any changes need to be made. New student-athletes are required to attend summer orientation and follow the same procedures as all new UNI students for class registration. New student-athletes also meet with athletic academic advisors during summer orientation to cover introductory information about athletic support services, the expectations of student-athletes, and NCAA rules. The class schedules for UNI student-athletes are reviewed at that time by the athletic academic advisors to identify any potential conflicts, i.e. excess class absence due to team travel.
      Priority registration: Returning UNI student-athletes are allowed to register for the semester in which they are competing, on the first day available given their academic registration classification: other students within their academic class register on the day assigned to them (e.g., among all sophomores who will register during a specified period of days). This process provides some relief to student-athletes in the registration process to enroll in classes that do not conflict with practice and to minimize missed classes due to travel for competition. Athletic academic advisors monitor which student-athletes have registered and then review class schedules as described above, but do not have any role in the priority registration process until after registration is complete.

   b. Any policies that govern which students can use these services; and

      All of the support services listed in (a) above are available to all student-athletes.

   c. The mechanisms by which student-athletes and staff are made aware of these services.

      The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate staff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.
      In addition, various units on campus provide information to all students in a variety of ways, i.e. flyers posted around campus, web page, information at orientation, presentations in classes, etc.

2. Tutoring: Availability; procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.

   a. The specific academic support services offered to student-athletes (if any);

      Availability: tutors for specific areas are provided upon request of the student-athletes. Tutors are available to meet with student-athletes Monday-Sunday from 7 a.m.-10 p.m. at a mutually agreeable time. Tutors are available during the fall, spring, and summer.
      Other tutoring services offered by UNI (math, science, writing, business) are utilized by student-athletes in the same manner as by all students: student-athletes are informed of these services by the Athletic Academic Advisors.
      Procedures: student-athletes who desire tutoring fill out a tutor request form and turn it in an athletic academic advisor for review and approval.
Assignment, qualifications, training, experience: A review of each tutor is conducted by Stacia Greve, the athletic academic advisor in charge of tutoring; each tutor is interviewed and their academic course work and performance are reviewed. Tutors indicate the courses they feel qualified to work with, but the final determination on assignment lies with the athletic academic advisor. Each tutor is required to meet with the athletic academic advisor, review the tutoring handbook, and attend periodic meetings.

Compensation: all tutors are paid $8.50 an hour.

Pupil loads: each tutor is assigned a maximum of 3-5 student-athletes. Tutoring sessions are typically twice a week with each student.

Conditions: Each tutor signs a contract indicating the terms of employment and policies regarding academic integrity and NCAA rules. The contract is kept on file for each tutor. Student-athletes evaluate all tutors at the end of each semester to provide feedback to the athletic academic advisors.

All of the above information is available in the Tutoring Handbook which will be available during the campus review.

Other tutors are utilized for those student-athletes who need assistance beyond course specific issues. These tutors are mentors who work as life coaches with a limited number of student-athletes, primarily those who are identified as "at risk." The student-athlete is provided assistance with time management, study skills, note taking, and other basic and organizational skills. These tutors receive the same pay and undergo the same training and evaluation processes as other academic tutors.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes. The student-athletes designated as “at-risk” are proactively assigned tutors at the beginning of each semester and are monitored more frequently

c. The mechanisms by which student-athletes and staff are made aware of these services.

The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.

In addition, various units on campus provide information to all students in a variety of ways, i.e. flyers posted around campus, web page, information at orientation, presentations in classes, etc.

3. Academic progress monitoring and reporting: Individual’s responsibility, frequency, procedures for periodic grade and attendance checks.

a. The specific academic support services offered to student-athletes (if any);

Coaches perform attendance checks at their own discretion with student-athletes. No formal mechanism for attendance checks is conducted by the athletic academic advisors.

Mid-term grade checks are performed each semester, primarily for those student-athletes who fall below a 3.00 grade point average. In addition, all new student-athletes and all transfers have mid-term grade checks. Other academic progress checks can be conducted by the athletic academic advisor, as needed, and on a case by case basis.

These checks vary by sport and are based on identified factors such as continued poor performance, contact from professors, behavioral changes, etc. Further follow up with instructors by the athletic academic advisors may be warranted, based upon the information obtained.

Coaches perform attendance checks at their own discretion with student-athletes. No formal mechanism for attendance checks is conducted by the athletic academic advisors.

Mid-term grade checks are performed each semester, primarily for those student-athletes who fall below a 3.00 grade point average. In addition, all new student-athletes and all transfers have mid-term grade checks. Other academic progress checks can be conducted by the athletic academic advisor, as needed, and on a case by case basis.
These checks vary sport by sport and are based on identified factors such as continued poor performance, contact from professors, behavioral changes, etc. Further follow up with instructors by the athletic academic advisors may be warranted, based upon the information obtained.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes. A higher emphasis is placed on providing these services to those student-athletes identified as "at risk" and other identified student-athletes (GPA, previous academic performance, disciplinary action, social issues, etc.).

c. The mechanisms by which student-athletes and staff are made aware of these services.

The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.


a. The specific academic support services offered to student-athletes (if any);

Athletic academic advisors at UNI work directly with the on-campus Office of Disability Services for assistance with any education-impacting disability. That office evaluates all documentation and determines eligibility for reasonable accommodations. Disability Services also facilitates testing of student-athletes who have not previously been tested.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all qualified student-athletes. Athletic department policies allow for payment of services if required and if certain criteria are met, including demonstrated financial need.

c. The mechanisms by which student-athletes and staff are made aware of these services.

The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.

In addition, information on the Office of Disability Services is on UNI's website. Further information about services through that office are presented at orientation to all incoming freshman students at UNI. The office conducts meeting on campus and personnel from that office are available for individual meetings as requested. Many faculty members at UNI include contact information for the Office of Disability Services as part of the syllabus they hand out to each student in each of their courses each semester: all UNI faculty are encouraged to include that information in their syllabi.
5. **Assistance for at-risk students:** Availability including institution-wide assistance.

   a. The specific academic support services offered to student-athletes (if any);

      Student-athletes who are identified as being "at risk" are assigned tutoring, are monitored closely and more frequently than other student-athletes by the athletic academic advisors. This increased monitoring includes frequent communication with faculty and advisors. That information is shared with coaches by the athletic academic advisors. The advisors also meet with the tutors assigned to these students to track progress and performance. In addition, these student-athletes meet weekly with their athletic academic advisors. They may be required to attend team-assigned study table with coaches. And, additional study hours in the athletic academics advising center may be required.

   b. Any policies that govern which students can use these services; and

      All of the support services listed in (a) above are available to identified student-athletes.

   c. The mechanisms by which student-athletes and staff are made aware of these services.

      The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.

6. **Academic support facilities:** Availability of study rooms, computers and labs.

   a. The specific academic support services offered to student-athletes (if any);

      Athletic academic advisors have their offices in the administrative office area of the UNI Dome. This area also houses computers for use by student-athletes and meeting rooms for use by tutors. Other campus resources used by student-athletes at UNI include: Academic Learning Center; math lab; tutoring centers; computer labs in academic buildings on campus.

      A complete listing of UNI resources available for campus-wide tutoring is listed at:
      http://www.uni.edu/unialc/TourInformation.html

      A complete listing of UNI resources for Disability Services is listed at:
      http://www.uni.edu/resources/disability

   b. Any policies that govern which students can use these services; and

      All of the support services listed in (a) above are available to all student-athletes.

   c. The mechanisms by which student-athletes and staff are made aware of these services.

      The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.
Additional publications from various departments and resources on campus are also utilized to communicate the information to staff and students.


a. The specific academic support services offered to student-athletes (if any);

The UNI compliance office provides an initial evaluation of core courses, high school GPA, and test scores during the recruiting process for each prospective student-athlete. The athletic academic advisors also discuss this information with prospect when they meet during official and unofficial visits. In addition, the academic athletic services utilize FLAG to evaluate the academic readiness of incoming student-athletes. Advisors also work with compliance and admissions staff on any other information which is available for review.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes.

c. The mechanisms by which student-athletes and staff are made aware of these services.

The initial eligibility evaluations completed by the compliance office are given to coaches directly. If any issues are identified (lack of core course, low test score), the athletic academic advisors use evaluation information when speaking with prospects and their parents during the recruiting process.

8. Student-athlete degree selection: Degree program assistance.

a. The specific academic support services offered to student-athletes (if any);

Career inventories are given during the first-year course required of all student-athletes, Strategies for Academic Success (SAS). Student-athletes are encouraged to attend "Meeting with Majors," where information about UNI degree programs is presented. Student-athletes are referred, by athletic academic advisors, to faculty members within the germane academic department to discuss degree options. Student-athletes declare their degrees in the same manner as all students at UNI and all resources that are available to UNI students in general for this process are utilized in particular by student-athletes and the athletic academic advisors.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes.

c. The mechanisms by which student-athletes and staff are made aware of these services.

Students are sent updates through the MYUniverse tab on the University of Northern Iowa (UNI) campus website, announcements are made through UNI On line by academic advising, and the information is presented in the Strategies for Academic Success (SAS) class. Class credit is given to student-athletes in SAS who attend programs and presentation on degree selection that are offered at UNI.

9. Learning assessments: Provisions for testing and evaluation (e.g., placement testing).

a. The specific academic support services offered to student-athletes (if any);

Placement testing is only offered for foreign language classes at UNI. No other placement testing is conducted.

b. Any policies that govern which students can use these services; and
10. **Success skills:** Study skills, note and test taking, writing and grammar skills, time-management skills.

   a. The specific academic support services offered to student-athletes (if any);

   Academic success skills are offered through the Strategies for Academic Success class required for first-year student-athletes. In addition, UNI's Academic Learning Center conducts free workshops on test taking, note taking, study skills, etc. and provides academic coaches, who feature peer-to-peer instruction in development of these skills.

   b. Any policies that govern which students can use these services; and

   All of the support services listed in (a) above are available to all student-athletes.

   c. The mechanisms by which student-athletes and staff are made aware of these services.

   The University of Northern Iowa Department of Athletics employs a plethora of means to get pertinent information to student-athletes and appropriate stuff: Athletic academic advisors conduct informational presentations during summer orientation for new and transfer students; Information is presented at the beginning of each academic year at team meetings; The information is included in the student-athlete handbook; The information is presented in the Strategies for Academic Success, a class required for all first-year student-athletes; One-on-one meetings between student-athletes and athletic academic advisors; Periodic updates at team meetings throughout the year; Updates are presented at Student-Athlete Advisory Committee meetings; Coaches are given the information by the Athletic Academic Advisors; Athletic Academic Advisors present the information to prospects and their families during in-person meetings during the recruiting process.

11. **Study hall:** Availability, facilities, attendance policies.

   a. The specific academic support services offered to student-athletes (if any);

   Study halls for teams are not conducted through academic services within the athletic department. Each team may require study tables and determine which student-athletes attend. Some of the athletic facilities are used by teams as study halls, including the media room in McLeod, the Alumni suite, and the North Dome meeting rooms. Some teams also use UNI facilities such as the library for team study halls. Additional individual study hours can be assigned by the athletic academic advisor as part of an overall plan for individual student-athletes. Those study hours are conducted in the office area of academic support.

   b. Any policies that govern which students can use these services; and

   All of the support services listed in (a) above are available to all student-athletes.

   c. The mechanisms by which student-athletes and staff are made aware of these services.

   Coaches determine who attends team study tables and notify student-athletes of specific requirements. The athletic academic advisor notifies individual student-athletes who are required to complete study hours as part of their academic plan.

12. **First year/transfer orientation:** Availability, attendance requirements.

   a. The specific academic support services offered to student-athletes (if any);
Attendance is required for all new and transfer students at UNI during the summer prior to their initial enrollment. Multiple sessions are offered throughout the spring and summer. Transfer students are required to attend a one day orientation session. Entering freshmen attend a two-day orientation session. If students fail to attend, a hold is placed on their account. International students attend an orientation in the fall, the week prior to the start of classes.

b. Any policies that govern which students can use these services; and

Orientation sessions are mandatory for all new students at UNI, including student-athletes.

c. The mechanisms by which student-athletes and staff are made aware of these services.

Incoming student-athletes are given a checklist of items to complete prior to enrolling at UNI: orientation session dates are included on the checklist.
All new students receive communication about orientation from Admissions.
An orientation packet is sent to all admitted students.
Athletic department personnel follow up with any new student-athletes who have not registered for an orientation session.
Athletic academic advisors are in frequent contact with the Director of Orientation, Admissions staff, and coaches to ensure all new student-athletes are enrolled in an orientation session.


a. The specific academic support services offered to student-athletes (if any);

No specific mentoring program exists at UNI. Some mentoring occurs with tutors or life coach (specialized tutors) for the student-athletes who are identified as "at risk."
Jump Start is a year-long program for identified at risk students, which includes mentoring as part of its programming. Student-athletes are eligible to participate in Jump Start and are assigned an advisor from this program. There is a week-long orientation each fall before school starts and regular meetings occur between the advisors and program participants. This program is primarily for first generation, low income, and multi ethnic students coming to UNI as first-year students.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes if they meet the criteria.

c. The mechanisms by which student-athletes and staff are made aware of these services.

The University reaches out to all students who are eligible to participate in the Jump Start program. Athletic Academic Advisors meet individually with student-athletes who are assigned the life coaches as part of the tutoring services.

14. Posteligibility programs: Availability of scholarships, assistantships and academic support.

a. The specific academic support services offered to student-athletes (if any);

All of the academic services noted throughout this report are available to student-athletes who have exhausted their eligibility.
Athletic assistance for scholarship student-athletes who have exhausted their athletic eligibility or who have suffered career-ending injuries and need additional credit hours to graduate is available for those student-athletes who can demonstrate legitimate academic need. Legitimate academic need is based on the effort put forth by the student-athlete over the course of his/her academic/athletic career toward fulfilling his/her academic/athletic obligations.
Factors to be considered when awarding this type of aid include: an injury ends the student-athlete’s athletic career; budget pool available; prior efforts to earn needed hours through summer coursework; why
additional credits are necessary, i.e., credits lost by transferring, inability to complete prerequisite courses, program of studies changed, etc.; academic documentation showing good faith effort toward normal progress; head coach's explanation of need for aid; documentation that lack of progress is not due to unacceptable academic conduct such as: failed courses, repeats, unexcused absences, incompletes.

b. Any policies that govern which students can use these services; and

All of the support services listed in (a) above are available to all student-athletes. Financial aid for degree completion is available to those student-athletes who have previously been on athletic aid. They must formally apply and meet the criteria for athletic financial assistance.

c. The mechanisms by which student-athletes and staff are made aware of these services.

Information is presented at the beginning of each academic year at team meetings. The information is included in the student-athlete handbook. Updates are presented at Student-Athlete Advisory Committee meetings. Coaches are given the information by the Athletic Academic Advisors.
7. Please submit a copy of the written report from the most recent academic support services evaluation. [Please use the file upload link contained within this question on the ACS to submit a copy of the institution's most recent academic support services evaluation.]

The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors, academic administrators of the institution or noninstitutional academic support specialists). Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The comprehensive, written academic support services evaluation must include an evaluation of all services provided to student-athletes. [Note: The list below should provide institutions with a starting point for the evaluation but it is not an exhaustive list. Institutions are required to evaluate all relevant services provided.]

- Academic counseling/advising resources and services;
- Tutoring;
- Academic progress monitoring and reporting;
- Assistance for special academic needs;
- Assistance for at-risk students;
- Academic support facilities;
- Academic evaluation of prospective student-athletes;
- Student-athlete degree selection;
- Learning assessments;
- Success skills;
- Study hall;
- First year/transfer orientation;
- Mentoring;
- Post-eligibility programs; and
- Any other relevant service provided to student-athletes.

The institution must submit a copy of the written evaluation of the academic support services. Please note that institutions that do not have a separate academic support program for student-athletes are not required to ensure that its academic support program for students generally is subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.

The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.
Copies of the written evaluation of the academic support services are included with this report.

List of attachments

1. 2011 Academic Services Audit.pdf

8. Identify the academic authorities outside the department of athletics responsible for conducting the institution's academic support services evaluation and explain the process used in selecting these individuals to ensure they do not have day-to-day responsibilities in the academic support services area. Also, provide the date of the institution's most recent academic support services evaluation.

The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

At the University of Northern Iowa (UNI), two review prongs of related issues were employed during the current Cycle 3 NCAA Certification self-study. One prong was a review of pertinent documents, data, and other materials conducted by the Academic Integrity Subcommittee of UNI's NCAA Certification self-study Steering Committee: 2010-11. The second prong was an external audit of these issues. (The processes and findings of each review are reported, in turn, in answer to item #5 in section 2.2 of this self-study document.)

In November, 2010, UNI contracted with Bond, Schoeneck and King for an audit of the student-athlete academic support services area. That report was reviewed by the athletic department student services personnel and forwarded to the Academic Integrity Subcommittee. The chair of the subcommittee, Jon Buse, Dean of Students convened a group of faculty and staff to review the report and to offer further recommendations. The review group included Dr. Lisa Jepsen, Associate Professor, Economics, David Marchesani, Associate Director of Academic Advising and Career Development Coordinator, and Nick Sullivan, Director, Student Support Services

The outside firm of Bond, Schoeneck and King was utilized to provide UNI with a broad-based review of academic services for the Department of Athletics. The subcommittee found that no formal review of academic services had taken place at UNI since the last self-study and believed an outside review of the area would provide a baseline audit for a "best practices" review of the services.

As noted in the letter to the NCAA from UNI's Steering Committee Chair, Dr. Clifton Chancey for approval of the use of the outside consultant, the role of BS&K was clarified: "Bond, Schoeneck & King will assist with data collection, but leadership for the academic support services evaluation resides with the UNI NCAA Steering Committee. The Steering Committee has placed administrative leadership of the Academic Integrity evaluation with Mr. Jon Buse, Dean of Students at UNI, in his role as chair of the Academic Integrity Subcommittee of the Steering Committee. He leads the day-to-day activities that are building to UNI's Academic Integrity self-study report:"

UNI felt that a two-step process was needed after conducting this two prong approach because the stipulated evaluation of UNI's academic support services had never taken place. However, while conducting the internal prong of this review, a level of expertise was needed, to determine how well our athletic academic support services and advising matched with those services at UNI in general. That was why two individuals with expertise were included though the question stipulates such reviewers should not "have day-to-day responsibilities in the academic support area." Now, the current review indicates that UNI needs to move to the second step of the process: to conduct the review that does NOT include those "experts" as the NCAA suggests. That review is part of the Academic Integrity Plan for Improvement.

Mr. Buse convened the group named above to review the information from the BS&K report as well as attempt to evaluate the support services offered by the athletic academic advisors at UNI. Two members of that group do have expertise in the area of advising and academic support and were deliberately involved to provide an assessment of the appropriateness and the integration of the services being offered in academic support in athletics compared to these same services and programs at UNI for all students.

The subcommittee did note in the Plan of Improvement that a more formalized review structure with oversight from the IAAC was needed to complete further review of the academic services area for intercollegiate athletics. The subcommittee further recommends that this review process be finalized prior to the peer review team's visit in September of 2011.
9. If the institution used an outside individual or entity (e.g., conference office, peer colleagues) to assist in the coordination or facilitation of the academic support services evaluation, provide the name(s) and affiliation(s) of the individual(s). Further, describe the process used in selecting this authority outside the institution to ensure the individual(s) is knowledgeable of academic support services. Also, provide a description of the authority's involvement in the academic support services evaluation.

UNI was assisted in its review of the academic support services evaluation by Christopher D. Schoemann, Director of NCAA Compliance Services with the Collegiate Sports Practice Group of Bond, Schoeneck & King. Mr. Schoemann is an experienced athletic administrator whose consulting practice involves extensive review of, and interaction with, athletic departments at all levels. His review of the academic support services unit at UNI provided a "best practices" comparison to UNI's athletic academic services unit for the subcommittee to review. That information served as a basis for further review and information gathering for a more extensive review of the academic support services at UNI. (UNI athletic staff had previously worked with the consultant from BS&K on other reviews and BS&K conducted reviews of the compliance area at UNI in 2007-08.)

The consultant's review of the academic services area was to determine if best practices are being utilized by UNI staff in academic support services. Mr. Schoemann met with individuals both within and outside of the athletic department who have responsibilities in this area: e.g., academic advisors, student-athletes, athletic administrative staff, athletic coaches, and UNI academic staff members.

10. Describe the process used by the institution during development of the self-study to review the most recent academic support services evaluation to determine any necessary corrective actions. In addition, identify the individuals involved in this review.

The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

The audit report on athletic academic support services at UNI by BS&K (see items #5 & 9 in section 2.2 of this self-study) was reviewed by UNI's NCAA Certification Academic Integrity subcommittee. In addition, an ad hoc committee was convened by Jon Buse, chairperson to the integrity and support subcommittee, to review specific issues raised by BS&K and that the subcommittee had raised during its review. That ad hoc committee consulted the academic support services evaluation guide developed by the NCAA in conjunction with the National Association of Academic Advisors for their supplemental review.

The ad hoc committee included the following individuals: Jon Buse, Dean of Students and Academic Integrity subcommittee chair; Lisa Jepsen, Associate Professor Economics and next UNI Faculty Athletics Representative (2011-16); David Marchesani, Associate Director of Academic Advising Services; Nick Sullivan, Director of Student Support Services. The ad hoc committee conducted interviews with the following: Director of Student Disability Services; Athletic student services advisors; Coaches; Student-athletes.

The ad hoc review committee synthesized the interviews and information and made recommendations for improvements in the athletic academic support services unit to the Subcommittee for Academic Integrity.

11. Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 10 or actions previously planned or implemented from the most recent academic support services evaluation. Provide:

a. The plan(s) or action(s) implemented; and
b. The date(s) of actions taken or specific timetable(s) for completion of the plan(s).

Recommendations planned from the academic support services evaluation are part of the UNI Academic Integrity Plan for Improvement. Those recommendations include:

Implement dual reporting lines for the athletic academic advisors to the Office of the Provost and the Department of
Athletics. The review recommended that the athletic academic advisors be aligned with the University’s Academic Advising Services to utilize campus resources and further strengthen the communication and connection to relevant UNI services.
Increase collaborative efforts with other academic and student services offices and services on campus.
Adopt institutional missed class time policies and communicate the system of redress for student-athletes who believe faculty are not following UNI policy.
Communicate the priority registration system to student-athletes on a regular basis.
Inform coaches, student-athletes, and prospective student-athletes of UNI's new Academic Standing Policy, which has an effective date of fall 2012.
Create a more standardized procedure for the identification of "at risk" or special needs of student-athletes.
Consider implementing a change in the evaluation process in this area for the NCAA Facilitating Learning and Achieving Graduation (FLAG) program currently being used.
Consider offering evening hours for specific academic services, such as the writing center and math lab.
Develop alternative methods of learning besides team study tables.
Expand the use of MAP-Works (Making Achievement Possible) as a tool to further increase student success and retention.
Provide additional staffing for community service and Student-Athlete Advisory Committee-generated programming activities for student-athletes. An additional staff member at the graduate assistant level dedicated to these types of activities would enable the full time advisors to concentrate all of their efforts on the monitoring, counseling and academic programming needs of the student-athletes.
Provide information on the role of the athletic academic advisors to UNI faculty on an annual basis.
Develop a systematic process of review of athletic academic support services that encompasses both internal and external review. Five of the 15 program areas in academic support services (NCAA Certification listing of program areas) shall be reviewed internally each year for three years. An external review of all areas should occur once every four years. The Intercollegiate Athletics Advisory Council, as the faculty oversight body of athletics, along with the Faculty Athletics Representative are responsible for the structure, membership and implementation of this review process.

12. List all APR Improvement Plans developed and approved by the institution for any team if required by the Committee on Academic Performance. In each case, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

The institution must provide evidence that the most recent APR Improvement Plans developed and approved by the institution during the previous self-study or as required by the Committee on Academic Performance have been implemented. If the plan(s) was modified or not fully implemented, the institution must provide a written explanation prepared and approved by appropriate institutional authorities.

1. Original Plan

   The University of Northern Iowa will decrease the number of admission exceptions.

   **Action**

   UNI men's cross country did not have any admissions exceptions during the 2009-10 or the 2010-11 academic years.

   **Action Date**

   2009-10 and 2010-11 academic years.

   **Explanation for partial or non-completion**
Goal was completed.

2. Original Plan

The University of Northern Iowa will increase the stability/accountability in the head coaching position.

Action

Dan Steele was hired as the head men's and women's cross country and track and field coach at UNI in fall, 2009. Shelli Sayers was hired as the associate head coach for the programs following the 2009-10 season. One of Sayers' main responsibilities is working with track's academic advisor in helping to monitor academics. Track also instituted required team study halls for student-athletes earning anywhere below a designated grade point average: 2.50. Danny Harris was the final assistant coach hired before the 2010 season, thereby filling all of the coaching vacancies for the programs. With Harris' hiring, the programs have a full coaching staff for the first time in three seasons.

Action Date

Fall, 2009-present.

Explanation for partial or non-completion

Goal was completed.

3. Original Plan

The University of Northern Iowa will increase the level of monitoring by the academic advisor (and head coach and assistant coaches) during the 2009-10: recruiting season; in scholarship offers; and, during the academic year.

Action

Kara Park was hired as a second academic advisor at UNI in 2009 and works directly with the cross country and track and field programs. This allowed UNI to:

1. Increase the level of scrutiny regarding the academic preparedness of incoming students. Limit admission exceptions to a maximum of one every two years.
2. Tailor academic services to individual students, including but not limited to: routine meetings with student and advisor, progress checks with faculty, random class checks, and tutoring as needed.
3. Increase communication between the academic advisor and coaching staff.

Action Date

2009 and ongoing.

Explanation for partial or non-completion

UNI continues to monitor the recruitment, financial aid, and academic performance of the men's and women's cross country and track and field programs. Cohort numbers have increased through the scholarship monitoring process in place. The coaching staff has dedicated more time and effort to the monitoring of academic performance and a full-time, dedicated athletic academic advisor is in place for the programs. Men's track and field and women's cross country and track and field all now have APR scores above 925. The men's cross country multi-year rate is 885. However, the most recent retention rate for the 2009-10 year for men's cross country was 1000, demonstrating a significant improvement.

13. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
The University of Northern Iowa (UNI), during the current NCAA self-study recertification process, developed an Academic Integrity Plan for Improvement, which is included with this report. The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Academic Integrity subcommittee; Steering Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletic department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancy and each subcommittee chair presented the NCAA Certification subcommittee reports, which included the Academic Integrity improvement plan, to members of the President’s Cabinet and UNI Academic Affairs Council.

President’s Cabinet:
Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI Foundation
James O’Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer

UNI’s Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
Christy Twalt Assistant Provost for Sponsored Programs
Michael Licari Associate Provost for Academic Affairs/Dean, Graduate College
Virginia Arthur Associate Provost for Faculty Affairs
Kurt Meredith Interim Assistant Provost for International Affairs
Farzad Moussavi Dean, College of Business Administration
Dwight Watson Dean, College of Education
Joel Haack Dean, College of Humanities & Fine Arts and
Joel Haack Dean, College of Natural Sciences
Philip Mauceri Dean, College of Social & Behavioral Sciences
Kent Johnson Interim Dean, Continuing Education and Special Programs
Marilyn Mercado Dean, Rod Library
Patricia Woelber Administrative Assistant to Executive VP & Provost

The Academic Integrity Plan for Improvement along with information relative to the self-study process and meeting notices were posted on the University’s NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and a three open public forums to vet the report were held on April 19, 20 and 21, 2011. After review, the plan was ultimately approved by President Ben Allen.
### Academic Integrity

<table>
<thead>
<tr>
<th>Elements</th>
<th>Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Issues in the Self-Study</strong></td>
<td>Measurable Goals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff within athletics academic advising and the athletic department could be better connected to academic and student services on campus</td>
<td>The athletic department fully utilizes the services and resources of student services units on campus.</td>
<td>Develop strategy to integrate advisors and department staff with resources on campus.</td>
<td>SWA/AD/Academic Advisors</td>
<td>Fall 2011 and ongoing</td>
</tr>
<tr>
<td>New policy on probation and suspensions has been developed and will be implemented in 2012</td>
<td>Coaches, student-athletes and prospective student-athletes are fully informed of the Academic Standing Policy.</td>
<td>New policy is outlined and explained to coaches, student athletes and staff. Policy is communicated to prospects.</td>
<td>AD/FAR/Director of Athletic Compliance/Athletic Academic Advisors</td>
<td>Immediate and ongoing</td>
</tr>
<tr>
<td>No formal mechanism exists to identify at risk or special needs student-athletes</td>
<td>Student-athletes who are at risk or have special needs are identified through a standardized procedure.</td>
<td>Add questions in FLAG to help identify; work with admissions on self-disclosure by students.</td>
<td>SWA/Athletic Academic Advisors</td>
<td>Immediate and ongoing</td>
</tr>
<tr>
<td>MAP works is used for one semester by athletic academic advisors</td>
<td>MAP-Works is fully utilized by athletic academic advisors as a tool for student success and retention.</td>
<td>Expand uses of MAP-Works beyond SAS class. Inform coaches of program</td>
<td>SWA/Athletic Academic Advisors</td>
<td>Fall 2011 and ongoing</td>
</tr>
<tr>
<td>Some academic support services such as the math lab and writing center are not offered in the evening and hours conflict with practice times of student-athletes</td>
<td>Academic support services are offered at times which enable student-athletes to fully utilize the services offered.</td>
<td>Explore evening hours of service; cooperative programs with Student Support Services</td>
<td>SWA/Athletic Academic Advisors</td>
<td>Fall 2011 and ongoing</td>
</tr>
<tr>
<td>Team study tables do not provide the most effective learning opportunities for student-athletes</td>
<td>Alternative methods of learning besides team study tables are offered to student-athletes.</td>
<td>Provide information to coaches on other methods available to teams for use as study hours.</td>
<td>Athletic Academic Advisors</td>
<td>Fall 2011 and ongoing</td>
</tr>
<tr>
<td>Athletic academic advisors have increased work load with community service projects</td>
<td>Athletic academic support services is adequately staffed.</td>
<td>Hire graduate assistant to help with community service projects and SAAC programming.</td>
<td>SWA/AD/Academic Advisors</td>
<td>Fall 2011 and ongoing</td>
</tr>
<tr>
<td>Faculty do not completely understand the purpose or role of the academic advisors in athletics</td>
<td>UNI faculty are informed annually of the role and purpose of the athletic academic advisors.</td>
<td>Information is provided to the Advising Council for Provost's Office; new faculty orientation and a written information sheet is sent to all faculty annually</td>
<td>SWA/Athletic Academic Advisors</td>
<td>Fall 2011 and annually thereafter.</td>
</tr>
<tr>
<td>Elements</td>
<td>Goals</td>
<td>Steps to Achieve Goals</td>
<td>Individuals/Officers Responsible for Implementation</td>
<td>Specific Timetable for Completing the Work</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
<td>------------------------------------------------------</td>
<td>------------------------------------------</td>
</tr>
<tr>
<td>Issues in the Self-Study</td>
<td>A comprehensive review of academic support services has not been created.</td>
<td>Conduct internal review of 5 of the 15 program areas each year for 3 years; an external review of all areas every 4 years. IAAC is responsible for structure, membership and implementation</td>
<td>FAR/IAAC Chair/AD/SWA</td>
<td>Fall 2011 and annually thereafter.</td>
</tr>
</tbody>
</table>
Special-Admissions

FOR FIRST-YEAR STUDENTS GENERALLY
AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID

1. Indicate the numerical percentage of entering first-year students who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first and include all first-year students entering the institution during the year.

   Column 1. Calculate this percentage by dividing the number of all entering first-year students who were admitted through special exception provisions by the total number of entering first-year students.

2. Indicate the numerical percentage of first-year student-athletes receiving athletics aid* who were admitted through special exception provisions during the four most recent academic years. Include nonqualifiers who were ineligible for aid. List the most recent academic year's data first.

   Column 2. Calculate this percentage by dividing the number of entering first-year student-athletes receiving athletics aid* who were admitted through special exception provisions by the total number of entering first-year students.

<table>
<thead>
<tr>
<th>Year</th>
<th>All First-Year Students</th>
<th>All First-Year Student-Athletes on Athletics Aid</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>14.4%</td>
<td>.5%</td>
</tr>
<tr>
<td>2010</td>
<td>15.4%</td>
<td>.8%</td>
</tr>
<tr>
<td>2009</td>
<td>13.2%</td>
<td>.9%</td>
</tr>
<tr>
<td>2008</td>
<td>10.7%</td>
<td>.8%</td>
</tr>
</tbody>
</table>

*Institutions that do not award athletics aid should compile this data for first-year student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.12.1.

Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of person completing this chart: Daniel Schofield
Title: Senior Assistant Director of Admissions

Date Printed Jun 21, 2011
Special-Admissions by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID BY SPORTS GROUP

1. Indicate the total number of entering first-year student-athletes receiving athletics aid * by sport group who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first.

2. Indicate the total number of entering first-year student-athletes receiving athletics aid *. List the most recent academic year's data first.

<table>
<thead>
<tr>
<th>Year</th>
<th>All First Year Student-Athletes</th>
<th>Baseball Men's</th>
<th>Basketball Men's</th>
<th>Football Men's</th>
<th>Track/Cross Country Men's</th>
<th>Other Sports Men's</th>
<th>Basketball Women's</th>
<th>Track/Cross Country Women's</th>
<th>Other Sports Women's</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-2011</td>
<td>10</td>
<td>56</td>
<td>0</td>
<td>2</td>
<td>16</td>
<td>1</td>
<td>4</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>2009-2010</td>
<td>15</td>
<td>66</td>
<td>0</td>
<td>0</td>
<td>14</td>
<td>0</td>
<td>2</td>
<td>4</td>
<td>6</td>
</tr>
<tr>
<td>2008-2009</td>
<td>18</td>
<td>69</td>
<td>1</td>
<td>3</td>
<td>8</td>
<td>1</td>
<td>6</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>2007-2008</td>
<td>16</td>
<td>63</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>7</td>
</tr>
</tbody>
</table>

*Institutions that do not award athletics aid should compile this data for first-year student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.12.1.

Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of person completing this chart: Daniel Schofield
Title: Senior Assistant Director of Admissions
### Test Scores by Gender

For First-Year Students Generally and First-Year Student-Athletes on Athletics-Aid

<table>
<thead>
<tr>
<th>Year</th>
<th>Male Students</th>
<th></th>
<th>Male Student Athletes</th>
<th></th>
<th>Female Students</th>
<th></th>
<th>Female Student Athletes</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
</tr>
<tr>
<td>2010-2011</td>
<td>24</td>
<td>744</td>
<td>22</td>
<td>30</td>
<td>23</td>
<td>1234</td>
<td>23</td>
<td>26</td>
</tr>
<tr>
<td>2009-2010</td>
<td>24</td>
<td>737</td>
<td>22</td>
<td>31</td>
<td>23</td>
<td>1209</td>
<td>24</td>
<td>35</td>
</tr>
<tr>
<td>2008-2009</td>
<td>24</td>
<td>788</td>
<td>21</td>
<td>34</td>
<td>23</td>
<td>1227</td>
<td>22</td>
<td>35</td>
</tr>
<tr>
<td>2007-2008</td>
<td>23</td>
<td>759</td>
<td>20</td>
<td>32</td>
<td>23</td>
<td>1232</td>
<td>24</td>
<td>31</td>
</tr>
</tbody>
</table>

Name of person completing this chart: Daniel Schofield  
Title: Sr. Associate Dir of Admissions
## Test Scores by Racial or Ethnic Group - Old Race/Ethnicity Categories Chart (IPEDS)

FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS-AID

### Racial or Ethnic Group - All Entering First-year Students

<table>
<thead>
<tr>
<th>Year</th>
<th>Am. Ind./AN</th>
<th>Asian/PI</th>
<th>Black</th>
<th>Hispanic</th>
<th>White</th>
<th>NR Alien</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
</tr>
<tr>
<td>2010-2011</td>
<td>26</td>
<td>3</td>
<td>22</td>
<td>27</td>
<td>19</td>
<td>72</td>
<td>22</td>
</tr>
<tr>
<td>2009-2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2008-2009</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2007-2008</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Racial or Ethnic Group - All Entering First-year Student Athletes on Aid

<table>
<thead>
<tr>
<th>Year</th>
<th>Am. Ind./AN</th>
<th>Asian/PI</th>
<th>Black</th>
<th>Hispanic</th>
<th>White</th>
<th>NR Alien</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
<td># of Students</td>
<td>Score</td>
</tr>
<tr>
<td>2010-2011</td>
<td>16</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2009-2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2008-2009</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2007-2008</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of person completing this chart: Daniel Schofield
Title: Senior Assistant Director of Admissions
### Test Scores by Racial or Ethnic Group - New Race/Ethnicity Categories Chart (IPEDS)

**FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS-AID**

#### Racial or Ethnic Group - All Entering First-year Students

<table>
<thead>
<tr>
<th>Year</th>
<th>Am. Ind./AN</th>
<th>Asian</th>
<th>Native Hawaiian /PI</th>
<th>Black/ African American</th>
<th>Hispanic/ Latino</th>
<th>White/ Non-Hispanic</th>
<th>NR Alien</th>
<th>Two or More Races</th>
<th>Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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#### Racial or Ethnic Group - All Entering First-year Student Athletes on Aid

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Name of person completing this chart:  Daniel Schofield  
Title:  Senior Assistant Director of Admissions
### Test Scores and GPA by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS-AID

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### Average Core-Course GPA

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### Average Standardized Test Score

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<td>2007-2008</td>
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Name of person completing this chart: Jean Berger
Title: Senior Associate AD/SWA
Federal Graduation Rates - Comparison Chart

Information obtained to complete this chart
- 2008-2009 NCAA Federal Graduation Rates Report

<table>
<thead>
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<td>All Students</td>
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<td>Student Athletes</td>
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Federal Graduation Rates by Racial and Ethnic Group

Information obtained to complete this chart

- 2008-2009 NCAA Federal Graduation Rates Report

### Men's Team

<table>
<thead>
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<th>Team</th>
<th>Am. Ind./AN</th>
<th>Asian</th>
<th>Native Hawaiian/PI</th>
<th>Black/African American</th>
<th>Hispanic/Latino</th>
<th>White/Non-Hispanic</th>
<th>NR Alien</th>
<th>Two or More Races</th>
<th>Unknown</th>
<th>Team FGR</th>
<th>All SA's</th>
<th>A 11 SA's</th>
<th>A 11 Male Students</th>
<th>All Male Students FGR by Racial and Ethnic Group</th>
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<td>59%</td>
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### Women's Team

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<th>Black/African American</th>
<th>Hispanic/Latino</th>
<th>White/Non-Hispanic</th>
<th>NR Alien</th>
<th>Two or More Races</th>
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<th>Team FGR</th>
<th>All SA's</th>
<th>A 11 SA's</th>
<th>A 11 Female Students</th>
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### All Students

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<th>Black/African American</th>
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### Federal Graduation Rates by Sport

Information obtained to complete this chart

- 2008-2009 NCAA Graduation Success Rates Report (Columns 1-2 below)
- 2008-2009 NCAA Federal Graduation Rates Report (Columns 3-6 below)

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<td><strong>Men's Team</strong></td>
<td><strong>Team FGR</strong></td>
<td><strong>All Students FGR</strong></td>
<td><strong>All Male Students FGR</strong></td>
<td><strong>All SA's FGR</strong></td>
<td><strong>All Male SA's FGR</strong></td>
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<tr>
<td>Baseball</td>
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<td>62%</td>
<td>59%</td>
<td>53%</td>
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<tr>
<td>Basketball</td>
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<td><strong>All SA's FGR</strong></td>
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<td>67%</td>
<td>59%</td>
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### Academic Progress Rates

Information obtained to complete this chart
- 2008-2009 NCAA Academic Progress Rate Report (Columns 1-2 below)
- 2008-2009 NCAA Projected Federal Graduation Rate Chart (Columns 3 below)
- 2008-2009 NCAA Federal Graduation Rates Report (Columns 4 below)

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<td>Team Projected FGR</td>
<td>All Students FGR</td>
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### Academic Integrity

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<td>Volleyball</td>
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Information obtained to complete this chart

- 2008-2009 NCAA Graduation Success Rates Report (Columns 1-2 below)
- 2008-2009 NCAA Federal Graduation Rates Report (Columns 3 below)

<table>
<thead>
<tr>
<th>Men's Team</th>
<th>Team GSR</th>
<th>All SA's GSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseball</td>
<td>67%</td>
<td></td>
</tr>
<tr>
<td>Basketball</td>
<td>78%</td>
<td></td>
</tr>
<tr>
<td>CC Track</td>
<td>50%</td>
<td></td>
</tr>
<tr>
<td>Football</td>
<td>65%</td>
<td></td>
</tr>
<tr>
<td>Golf</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td>Swimming</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Tennis</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td>Wrestling</td>
<td>79%</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Women's Team</th>
<th>Team GSR</th>
<th>All SA's GSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basketball</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>CC Track</td>
<td>91%</td>
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<tr>
<td>Golf</td>
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<tr>
<td>Soccer</td>
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<tr>
<td>Softball</td>
<td>76%</td>
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<tr>
<td>Swimming</td>
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<tr>
<td>Tennis</td>
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</tr>
<tr>
<td>Volleyball</td>
<td>100%</td>
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</table>
**Retention Rates - Men's Sports**

Information obtained to complete this chart

- 2008-2009 NCAA Academic Progress Rate Report
- 2008-2009 NCAA Retention Rate Report

<table>
<thead>
<tr>
<th>Men's Team</th>
<th>Team Retention by Ethnicity</th>
<th>Team Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Am. Ind./AN</td>
<td>Asian</td>
</tr>
<tr>
<td>Baseball</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Basketball</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cross Country</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Football</td>
<td>929</td>
<td>921</td>
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<tr>
<td>Golf</td>
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<td></td>
</tr>
<tr>
<td>Track, Indoor</td>
<td>1000</td>
<td>864</td>
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<tr>
<td>Track, Outdoor</td>
<td>1000</td>
<td>875</td>
</tr>
<tr>
<td>Wrestling</td>
<td>947</td>
<td>1000</td>
</tr>
<tr>
<td>ALL SA's</td>
<td>967</td>
<td>1000</td>
</tr>
<tr>
<td>ALL Male SA's</td>
<td>967</td>
<td>905</td>
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Retention Rates - Women's Sports

Information obtained to complete this chart
- 2008-2009 NCAA Academic Progress Rate Report
- 2008-2009 NCAA Retention Rate Report

<table>
<thead>
<tr>
<th>Women's Team</th>
<th>Team Retention by Ethnicity</th>
<th>Team Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Am. Ind./AN</td>
<td>Asian</td>
</tr>
<tr>
<td>Basketball</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cross Country</td>
<td></td>
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</tr>
<tr>
<td>Golf</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Softball</td>
<td>1000</td>
<td></td>
</tr>
<tr>
<td>Soccer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Swimming</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tennis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Track, Indoor</td>
<td>1000</td>
<td></td>
</tr>
<tr>
<td>Track, Outdoor</td>
<td>1000</td>
<td></td>
</tr>
<tr>
<td>Volleyball</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ALL SA's</td>
<td>967</td>
<td>1000</td>
</tr>
<tr>
<td>ALL Female SA's</td>
<td>1000</td>
<td>952</td>
</tr>
</tbody>
</table>
Operating Principle

3.1 Gender Issues.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.1 (Gender Issues). For each condition, provide:

   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. Condition

The University of Northern Iowa (UNI) must revise its current gender-issues plan to ensure that the plan contains all required elements, paying particular attention to the following: The plan must be developed through broad-based participation; Each of the 13 program areas to be reviewed for gender issues must be addressed; Specific intended end results must be identified for all actions; and, The plan must be active at all times and extend at least five years into the future. In addition, UNI must provide a progress report on all initiatives to its second-cycle gender-issues plan that will be completed prior to September 1, 2004.

Action

The University of Northern Iowa revised its gender-issues plan then submitted both that plan and the university's progress report on the second cycle plan to the NCAA Division I Committee on Athletics Certification (CAC).

Action Date
October, 2003: The University of Northern Iowa (UNI) was certified with conditions by the NCAA Division I Committee on Athletic Certification (CAC).

October, 2003 - August, 2004: A response (including revised gender-issues plan; progress report) to the CAC from UNI was written by Rick Hartzell, then UNI Director of Athletics, and reviewed for input and comment.

* Reviewers of the response: university president, Robert Koob; Vice President for Administration and Financial Services, Tom Schellhardt; Intercollegiate Athletics Advisory Committee (IAAC); Committee on (Athletics) Compliance; UNI NCAA Self-Study Steering Committee Chair, Susan Koch; Office of Compliance and Equity Management (OCEM); UNI Athletics Compliance Officer, Colleen Heimstead; UNI Senior Woman Administrator, Sandra Williamson; Athletics Department Senior Management; Athletics Academic Advisor, Jennie Sell; Registrar, Phil Patton; and, Chair of the Student-Athlete Advisory Committee (SAAC).

August 20, 2004: UNI submitted (a) its response to the CAC including (b) UNI's 2004-2009 Five-year Plan for Gender Equity, and (c) a progress report** on the university's second-cycle initiatives (see 2004 Response with Updates document).

** Addenda attached to the report UNI sent to the CAC include: Gender Equity Plan; Minority Equity Plan; Status Report on Second-Cycle Gender Issues (through August 1, 2004); Department of Intercollegiate Athletics Organizational Chart; Projected Impact on Participation Rates of Student-Athletes; Membership (staff) lists for the Intercollegiate Athletics Advisory Committee and for the Committee on Compliance.

The complete response sent in 2004 will be available during the peer review team campus visit.

September, 2004: UNI was re-classified as Certified by the NCAA Division I CAC.

Explanation for partial or non-completion

Completed.

2. Report on the implementation of the plan for improvement to address gender issues developed by the institution during its Cycle 2 certification process. For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

The committee will not accept the following explanations for partial or noncompletion:

1. The institution did not possess sufficient funds to implement the plan.
2. The institution has had personnel changes since the original development of the plan.
3. The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial completion or noncompletion:

   The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 gender-issues plan.
The institution must demonstrate that it has implemented its Cycle 2 gender-issues plan or provide an explanation for partial completion of the plan.

a. The committee will not accept the following explanations for partial completion or noncompletion:

1. The institution did not possess sufficient funds to implement the plan.
2. The institution has had personnel changes since the original development of the plan.
3. The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:

- The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress towards the same goal outlined in its Cycle 2 gender-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1. Original Plan

The University of Northern Iowa will complete annual interests and abilities survey of incoming freshman female students in 2004-05; 2005-06; 2006-07; 2007-08; 2008-09.

Action

A web-based survey of the athletics interests and abilities of freshman female students was administered three times from 2004-2007 at the University of Northern Iowa (UNI). The survey process was coordinated and overseen by the Office of Information Technology Systems (renamed the Office of Institutional Research in 2006). Copies of surveys and results will be available during the peer review team campus visit.

Action Date

UNI administered a female student interests and abilities survey: November, 2004; March, 2006; April, 2007.

Explanation for partial or non-completion
During 2008-09, a new athletics director, senior associate athletic director/senior woman administrator were hired by the University of Northern Iowa (UNI). After analyzing data collected using the female student interests and abilities survey at UNI during the previous three years, and critiquing the content of the survey that was used by UNI during those years, new UNI Director of Athletics, Troy Dannen, and Senior Associate Athletic Director/Senior Woman Administrator, Jean Berger, decided that, if an interests and abilities survey is to be used, a new methodology is required, including a revised survey instrument. In April, 2010, the United States Department of Education Office for Civil Rights (OCR) adjusted the requirements for surveys used to satisfy criteria under the accommodation of interests and abilities prong in Title IX. In part because of these changes, an interests and abilities survey was not administered at UNI in 2008-09 or 2009-10. (No documentation exits explaining why the survey was not administered for 2007-08. NOTE: because the April, 2007 survey is considered part of the 2006-07 academic year, no survey was done for academic year 2007-08.) During the current NCAA Certification Self-Study process at UNI, the decision was made by the sub-committee that UNI will develop and administer a new female student interests and abilities survey instrument based on the OCR guidance. That process is now underway and implementation in 2011 is anticipated.

2. Original Plan

The University of Northern Iowa will begin planning and budgeting to add varsity women's rugby to athletic program offerings: to begin play, fall, 2005.

**Action**

A preliminary review of the benefits from, and costs of, achieving the goal of adding women's rugby as a varsity sport at the University of Northern Iowa (UNI) was completed in 2004-05: including budget estimates on coaching salaries, travel, and regional scheduling. That review resulted in the determination that adding rugby would not adequately serve UNI in its attempts to meet Cycle 2 objectives of NCAA Operating Principle 3.1: gender issues. Consequently, the goal of adding women's rugby was deferred by, Rick Hartzell, then Director of Athletics at UNI.

The goal of adding women's rugby as an intercollegiate sport at UNI was recently re-examined and information gathered during the 2004-05 review process updated in 2009-10. This time, however, the decision to add women's rugby as a varsity sport was rejected by current UNI Director of Athletics, Troy Dannen. His decision was made, in part, on the grounds that: (a) adding rugby would not serve UNI well in its attempts to meet NCAA Operating Principle 3.1; and, (b) vigorous roster management* had more potential to improve UNI compliance with NCAA Operating Principle 3.1, were it made a focal point in UNI Athletic Department efforts. (*As described in the discussion of goal # 3 below, since the decision not to add women's rugby, UNI has made substantially more progress toward meeting Operating Principle 3.1 through focused roster management during the last two years than adding rugby would provide--e.g., a 16.6% proportionality disparity at UNI from the operating principle in 2004-05 to a 7.9% disparity in 2010-11.)*

UNI's gender equity plan (2004-2009) was to add more women's sports based either on the NCAA emerging sports status process (see below) or by selecting a sport that got added as a championship sport by the Iowa Girls High School Athletic Union. However, to date, since Cycle 2 certification, neither women's rugby, nor any other sport, has been added to the intercollegiate athletics program at UNI. The current plan (among other goals) is to re-start surveying interests and abilities (see above) to determine whether an appropriate replacement sport to varsity women's rugby is now available.

**Action Date**
2004-05: A portion of the work necessary for adding varsity women's rugby as an intercollegiate sport at UNI was completed. However, work toward achieving this goal stops before identification of a budget source, the hiring of a head coach, finalizing a schedule of opponents, identifying practice and game fields, ordering equipment, and the recruiting process were completed.

2009-10: The information regarding the goal of adding women's rugby as a varsity sport at UNI, which was gathered during the 2004-05 process, was re-examined and updated: then, the decision not to add the sport to UNI athletics programming was sustained.

**Explanation for partial or non-completion**
The goal to add varsity women's rugby at UNI was unrealistic and counter-productive, and subsequently was rejected both by the previous athletics director and, several years later, by the current Director of Athletics, Troy Dannen. These decisions were made, in part, because: (a) adding rugby would not serve UNI well in its attempts to meet NCAA Operating Principle 3.1; and, Dannen believed that (b) vigorous roster management had greater potential to improve UNI compliance with NCAA Operating Principle 3.1. The latter is discussed in detail below (see * for a brief summary; see goal # 3 for elaborated discussion) so the former is the subject of this section.

(*As described below, two years of focused roster management efforts at UNI have already reduced the disparity in UNI's proportionality figures--needed to meet NCAA Operating Principle 3.1--from a high of 19 percent in 2008-09, which was before the new athletic administration was hired at UNI, to less than 8 percent in 2010-11. In 2004-05, when the goal to add women's rugby was first deferred, there was a 16.6% disparity at UNI from proportionality required under operating principle 3.1. Since then, the only sustained improvement in UNI's performance has come from the roster management plan put in play by the current athletics department administration: vigorous efforts created a reduced disparity in proportionality to 10.4% during the first year of implementation in 2009-10 and a further reduction in disparity from proportionality to 7.9% in 2010-11.)*

Adding varsity women's rugby would not serve UNI well in its efforts to meet NCAA Operating Principle 3.1: it would not work well to reduce the disparity at UNI between the desired proportionality and current participation rates.

First, the availability of women to play varsity rugby at UNI is extremely limited. The women's interests and abilities surveys conducted by UNI from 2004-2007 demonstrated a low level of participation in high school level women's rugby: the percentages of students who had participated ranged from 1-4% over the four years of the survey. In retrospect, limited interest and ability is not surprising. High schools aren't producing women interested in varsity rugby. For example, according to the National Federation of State High School Associations, in 2008-09, 14 high schools in the United States offered rugby as a sport, with 100 girls participating. No Iowa high schools offered the sport. (Club rugby is in somewhat better health: NCAA estimates 3,255 girls throughout the United States are participating in high school level club rugby; see www.NCAA.org.) Although women's rugby has experienced growth at the college club level (11,000 women play on 347 collegiate clubs, according to www.NCAA.org), there are now only five varsity teams competing across all three divisions of the NCAA (Bowdoin College, Eastern Illinois University, Norwich University, Southern Vermont College and West Chester University of Pennsylvania). Eastern Illinois would be the only other institution at the Division I level that offers women's rugby as a varsity sport, were UNI to have maintained the 2004-05 goal to add the sport.

The import of this issue is exacerbated by the unrealistic picture painted of the potential participation level when the goal was set to add rugby at UNI during Cycle 2. At that time, UNI decision-makers appear to have overestimated the number of women who would become involved: original UNI estimates (when the goal was being set) were that 75 women would participate in varsity rugby at UNI. These issues put into doubt the original basis for setting UNI's rugby goal.

Second, hanging the success of UNI efforts to accomplish proportionality on varsity women's rugby would be poor stewardship, given the unlikely emergence status of the sport and the concomitant expenses involved in scheduling an unpopular sport.

The NCAA put women's rugby on its original list of emerging sports in 2002. Since then, five varsity teams have started competing in the United States, across all three NCAA divisions: Bowdoin College; Eastern Illinois University (the only Division I institution on the list); Norwich University; Southern Vermont College; West Chester University of Pennsylvania. (NCAA emerging sports status process: for an emerging sport to reach full Championship status, 40 institutions must offer the sport across all three NCAA levels--emerging sports have 10 years to meet this requirement.) In contrast, four sports on the original NCAA emerging sport listing have now been promoted to full championship status: rowing, water polo, ice hockey, and bowling. Though rugby is still listed as an emerging sport by the NCAA, the growth in participation among NCAA membership after nine years makes it vulnerable to being dropped from that designation. Further, though nationally there has been some growth in number of rugby participants, that trend is not in play in the state of Iowa, which is where UNI attracts the vast majority of both its students and student-athletes.

During the emergence process for a new sport, opportunities for intercollegiate competition are sparse, inadequate, and expensive. Again, the import of this issue is exacerbated by the unrealistic picture painted of the potential costs involved when the goal was set to add rugby at UNI during Cycle 2. At that time, UNI decision-makers appear to have underestimated the cost: for example, UNI estimates (when the goal
3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.1 (Gender Issues). For each additional plan, provide:

a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goal(s); and
c. The date(s) the step(s) was completed.

In addition to Gender Equity Plan improvements outlined in response to item #2 (see above: "report on the implementation of the plan for improvement to address gender issues"), the University of Northern Iowa (UNI) has accomplished the following since the completion of Cycle 2 Certification:

2007: New locker room facilities in the UNI Dome were completed. Three women's programs (track and field, softball, and soccer) share space directly across from the equipment room and weight room. (Prior to this renovation, the women's soccer and women's track and field teams used space in a public locker room in the Wellness and Recreation Center; Softball had its own locker room, but with insufficient space for all team members.)

2007-present: Improvements made to the softball field:
- Install new drainage tile in outfield - athletic general budget $23,000
- Green fence slating - private donation 1,000
- New batting cage nets (2) - softball budget 3,200
- Roll out batting cage - private donation 5,500
- Field protective screens (3) - private donation 4,500
- Mound and home plate clay - private donation 2,000
- Green paint on dugouts and press box - softball budget 1,500
- Sound system upgrade - private donation 2,500
- 9 Inning Scoreboard - private donation 30,000
- Equipment shed - private donation 2,500
- Foul Poles - softball budget 1,000
- Field maintenance equipment-private donation 3,000
- Conference Flags - softball budget 1,000
- Bleacher mesh enclosure w/ logos - private donation 3,300
- Total $84,000

Improvements made to the softball indoor hitting facility:
- Batting cage - softball budget $3,000
- Protective screens and sock nets - private donation $7,000
- Total $10,000

2008-present: The salary pool for the two full-time volleyball assistants and the program associate was increased $33,757 at UNI since 2008-09 when it was $72,600. The pool is $105,357 in 2010-11, which ranks second in the Missouri Valley Conference.

2010: The second softball assistant position at UNI was moved to a 9-month, full-time position with full benefits ($18,900). That position had previously been a part-time, hourly position with limited benefits.

An additional academic advisor was hired for athletics at UNI.

2010: A full-time director of women's basketball operations position was created and hired.

The salary for the head women's basketball coach was increased $18,000 (to $105,000 = 21%). The increase moved that salary from ninth to fifth among ten Missouri Valley Conference (MVC) institutions. (UNI's head men's basketball coach's salary ranks fourth among MVC peers.)

Two full-time marketing positions were funded, an increase of one full-time position over previous years. The marketing director is responsible for developing marketing plans for women's basketball and volleyball, with special emphasis on developing season ticket plans for those two sports. The assistant director is responsible for in-game atmosphere and promotions for volleyball and women's basketball.

Major construction at the Mark Messersmith Outdoor Track & Field Complex was completed: the new structure provides UNI Track & Field with a location to host meet operations, store equipment, and assist with student-athlete needs. These changes will benefit female participants in cross country, indoor track and field, and outdoor track and field.

2011: The salary for the first assistant softball coach was increased $1,773 (5.75%) to $32,673 in 2010-11.

4. Explain how the institution is organized to further its efforts related to the gender-issues operating principle for both department of athletics staff, coaches and student-athletes.
The University of Northern Iowa (UNI) athletics department has a full-time administrative position, the senior associate athletic director who also serves as the senior woman administrator (SWA). She works directly with issues involving gender equity. The SWA and the new academic advisor also serve as advisors to UNI's Student Athlete Advisory Committee (SAAC) where matters of inequity related to athletics and/or academics can be addressed from a student-athlete perspective. Members of SAAC are expected to raise such issues whenever they are observed or brought to their attention by other team members. The Intercollegiate Athletics Advisory Committee (IAAC) also has responsibility in monitoring issues related to equity and student-athlete well-being. For example, the IAAC and UNI's Faculty Athletics Representative (FAR) helped conduct exit interviews and satisfaction surveys with all student-athletes in fall, 2010. UNI's FAR compiles the results from such exit interviews and satisfaction surveys. A summary of results is shared with the athletics program administration and with the IAAC. If specific issues arise, the FAR deals directly with the Director of Athletics or SWA to address those issues. Athletics department administration and sports supervisors also monitor the summary information for any trends.

Gender issues related to participation are monitored yearly by the UNI Athletics Compliance Council: comprised of representatives from Admissions, Financial Aid, and the Registrar, in addition to the FAR and staff members in the athletics department, including the Director of Athletics Compliance, athletics academic advisors, and the SWA. Annually, the FAR reports to the UNI President on equity matters reviewed by the Athletic Compliance Council.

5. Describe how matters concerning gender equity for department of athletics staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.

At the University of Northern Iowa (UNI), the Senior Woman Administrator (SWA) and the athletics department's senior administrative team monitor issues of gender equity within the UNI athletics department. The Equity in Athletics Disclosure Act annual report is compiled by the Assistant Athletic Director for Business Services. Squad roster size management is monitored by the sports supervisor of each program. Other internal operations (hiring, facility scheduling, coaching staff demographics) are monitored by the SWA and other members of the athletics department senior administrative team. The athletics department annually compares UNI equity data to those from peer institutions, particularly within the Missouri Valley Conference. Participation numbers, coaching salaries, scholarships, and operating budgets are among the data collected and reviewed annually. When issues arise, the SWA or other administrative staff members address the issue with senior athletics department staff or work with other groups (e.g., Athletic Compliance Council; Intercollegiate Athletics Advisory Council) that help review the issue at hand and make recommendations for improvements.

6. Describe the programs and activities that the institution has in place for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletics program.

The University of Northern Iowa (UNI) provides many opportunities for coaches, athletics department staff, and student-athletes to become educated about gender issues, including:

- Annual training for faculty and staff hosted by the UNI Office of Compliance and Equity Management, covering discrimination and harassment issues. The 2011 training was conducted in February: all athletics department administrative staff were required to attend.
- UNI is the recipient of a million dollar grant from the Department of Justice that provides a number of resources relating to gender violence. The grant has helped to create:
  - A Regents’ Campus Gender Violence Prevention Task Force, the development of an advocate training curriculum specifically geared toward campus-based violence, and dissemination of best practices throughout the Regents system. A member of the senior administrative athletics department staff is a member of the Task Force.
  - A Victim Services Institute is housed at UNI, utilizing a cross-training format to include law enforcement officials, UNI judicial affairs staff, community-based crisis center staff, students, and faculty. Two members of the UNI athletics department staff attended a Victim Services Institute for additional training.
Gender/Diversity Issues and Student-Athlete Well-Being

A Men's Institute showcases best practices in outreach to men, engaging them in efforts to end gender-based violence.

- Regular programming provided by the UNI Center for Multicultural Education. Programs in 2010-11 included: a production of The Laramie Project that focuses on gender-identity issues; a lecture by Dr. Susan Douglas, author of "Enlightened Sexism," "The Mommy Myth," and "Where the Girls are: Growing up Female with the Mass Media."

- Programming provided by the Women and Gender Studies Program includes monthly lectures by faculty, staff, and administrators who have conducted related research and Women's History Month lectures and events. Courses in the Women and Gender Studies Spring 2011 schedule included nearly 30 classes, among them "Social Inequality," "Men and Masculinities," and "Psychology of Gender Differences."

- The Gender Equality Association programming and membership.

- Programming and events sponsored by the University's Violence Intervention Services.

UNI's Student-Athlete Assistance Program (SAAP) is a proactive service administered through the athletics training room. It provides confidential, professional, and voluntary assistance and support to student-athletes regarding personal problems that are adversely affecting their academic and/or athletic performance. Educational programs are also offered to prevent problems and promote the general well being of student-athletes and athletics department coaches and administrative personnel.

The SAAP offers education and assistance regarding:

- Substance use and/or abuse;
- Alcohol abuse;
- Mental/emotional problems;
- Nutritional concerns/eating disorders;
- Family difficulties;
- Health/physical problems;
- Financial and legal problems; and
- Sexual assault/rape treatment and referral.

A group of UNI athletics department administrators and staff is designated to serve annually as SAAP resource contact persons known as the SAAP Core Committee. The sole responsibility of Core Committee members is to make referrals to appropriate campus, community, and/or professional agency for assistance and to plan educational programming for teams and the department: in no sense is a Core Committee member a counselor.

Wellness and Recreation Services provides nutritional information programs for all UNI students. These programs include eating disorder screening and support, nutrition information, weight management education, and referral. Appointments for student-athletes can be made by referral through the team certified athletics trainer. Certified athletics trainers for each team may schedule an appointment for a nutritionist to meet with the team.

UNI's Athletics Training Services can coordinate a multi-disciplinary treatment approach to eating disorders. This program involves screening athletes for eating disorders, educational programs, and comprehensive medical care. The UNI team includes physicians, mental health professionals, nutritionists, and other allied health care providers who are qualified and experienced in the evaluation and treatment of eating disorders in athletes. Student athletes can contact their team certified athletics trainer to discuss any case in private.

The NCAA conducted educational programming with UNI coaches and staff on the topic of diversity (April 2010) and is scheduled to present a workshop on sexual orientation issues in April, 2011.

7. For the three most recent academic years in which information is available, analyze the institution's EADA report (i.e., participation, head coaches and assistant coaches). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement.

The institution must analyze its EADA report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.

Athletics participation rates at the University of Northern Iowa (UNI) for the past three years are listed below: for male and female student athletes; for the full-time undergraduate population. Official athletics participants are those student-athletes who (a) are listed on the official team roster on the date of the first official intercollegiate competition; (b) practice with the team and receive coaching as of the first official intercollegiate competition; and/or, (c) are receiving athletically-related aid. The full-time male/female undergraduate enrollment figures are provided by
the UNI Office of the Registrar.

Athletics Participation

<table>
<thead>
<tr>
<th>Year</th>
<th>%Male SA</th>
<th>%Female SA</th>
<th>UNI All Students</th>
<th>M/F%</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>54.1%</td>
<td>45.9%</td>
<td>42.9/57.1%</td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>62%</td>
<td>38%</td>
<td>43.2/56.8%</td>
<td></td>
</tr>
<tr>
<td>2007-08</td>
<td>59.6%</td>
<td>40.4%</td>
<td>43.1/56.9%</td>
<td></td>
</tr>
</tbody>
</table>

During the years 2007 through 2009, male student-athletes at UNI comprised approximately 60% of the participants in intercollegiate athletics. Because women comprised almost 57 percent of the undergraduate enrollment, a large differential existed (16%-19%). Discontinuation of baseball as an intercollegiate sport in 2009 and roster management practices have decreased the discrepancy, but the numbers remain outside the range of substantial proportionality.

During the three years of Equity in Athletics Disclosure Act (EADA) reviewed data, male opportunities decreased by 55, demonstrating that roster management practices are helping achieve the desired results. During that timeframe, women's opportunities increased 27: from 212 to 239. The majority of additional opportunities were in women's track: women's cross country increased from 8 members to 17; track and field increased from 40 to 50.

UNI does not fall within the NCAA specified range of substantial proportionality. Women's soccer was added at UNI in 2000. The plan to later add women's rugby was not carried out after research concluded it would not be practical. Three times since Cycle 2 began, interests and abilities surveys were conducted at UNI on first year, female students (see section 3.1, item # 2 above). A clear strategy on how UNI plans to address proportionality is needed and is addressed in UNI's 2010-2015 Gender Equity Plan for Improvement.

Head Coaches

<table>
<thead>
<tr>
<th>Year</th>
<th>#Men's FTE</th>
<th>Women's FTE</th>
<th>M% Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Coaches Full-time Equiv.</td>
<td>Coaches Full-time Equiv.</td>
<td></td>
</tr>
<tr>
<td>2009-10</td>
<td>5</td>
<td>3.78 8 6.69</td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>6</td>
<td>4.85 8 6.62</td>
<td></td>
</tr>
<tr>
<td>2008-08</td>
<td>6</td>
<td>4.85 8 6.62</td>
<td></td>
</tr>
</tbody>
</table>

The number of head coaches for both the men's and women's programs has not changed in the three years of EADA data reviewed (except for the number of men's head coaches after baseball was discontinued). Three of the eight head coaches of women's programs are female: women's basketball, volleyball, and swimming. Women's tennis is the only program that does not employ a head coach on a full 12-month contract.

No problems were identified in the Title IX review by Alden and Associates in the qualifications of head coaches for the men's and women's programs. That report notes that it "appears that the coaching staff is well qualified, both regarding the men's and women's sports programs, to coach the student-athletes in their care."

Assistant Coaches

<table>
<thead>
<tr>
<th>Year</th>
<th>#Men's FTE</th>
<th>Women's FTE</th>
<th>M% Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Coaches Full-time Equiv.</td>
<td>Coaches Full-time Equiv.</td>
<td></td>
</tr>
<tr>
<td>2009-10</td>
<td>18</td>
<td>16.08 13 10.09 58</td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>21</td>
<td>17.44 14 9.77 60</td>
<td></td>
</tr>
<tr>
<td>2007-08</td>
<td>18</td>
<td>16.58 13 9.50 58</td>
<td></td>
</tr>
</tbody>
</table>

Only men's and women's basketball and volleyball employ the full complement of assistant coaches allowed by the NCAA. The number of assistant coaches for UNI women's athletics programs has slowly increased over the last three years of reviewed EADA data. The number of assistant coaches in men's athletics programming increased during the same period, but dropped when baseball was discontinued.

Male assistant coaches make up roughly 59% of the total assistants at UNI: a percentage that compares favorably to male/female participation rates in UNI athletics programs.

Seven of the 13 assistant coaches in women's programs (14 in some years) were female during the three years of EADA data reviewed. Women's and men's track have one female assistant, hired in 2010, as the associate head coach. The remaining sport programs have an equal ratio of male/female coaches (or more female assistant coaches). Male head coaches of female sports are strongly encouraged by sport supervisors to hire female assistant coaches to balance their staffs: that is reflected in the staffs for the following sports:

- Softball-Head Coach (M); Assistants-2 (F)
- Soccer-Head Coach (M); Assistant-1(F)
- Women's Track-Head Coach (M); Associate Head Coach (F) plus 3 males.
- Women's Golf-Head Coach (M); Student Assistant (F)
- Women's Tennis-Head Coach (M); 2008-09/2009-10 Graduate assistant (F); no assistant 2010-11
For the three most recent academic years in which information is available, analyze the institution's NCAA financial report (specified expense categories). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement.

The institution must analyze its EADA report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.

Athletics Student Aid Expenses

<table>
<thead>
<tr>
<th>Year</th>
<th>$to Male SAs</th>
<th>$to Female SAs</th>
<th>%of Aid M/F</th>
<th>% M/F Part.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>1874954</td>
<td>1548023</td>
<td>54/46</td>
<td>54.1/45.9</td>
</tr>
<tr>
<td>2008-09</td>
<td>2059928</td>
<td>1419641</td>
<td>58.3/41.7</td>
<td>62/38</td>
</tr>
<tr>
<td></td>
<td>1972275</td>
<td>1561244</td>
<td>55.6/44.4</td>
<td>59.6/40.4</td>
</tr>
</tbody>
</table>

At the University of Northern Iowa (UNI), the percentage of athletics aid allocated to both men's and women's athletics programs decreased over the most recent three years of data collected. During that time, student athletics aid at UNI met the NCAA proportionality requirements (within 1% of male-female athletic participation) for female participants during one year: 2009-10.

Six of the ten women's programs were fully funded to the NCAA maximum for student athletics aid. Six of the seven men's programs (excepting golf) were fully funded to NCAA limits. Men's programs received 95.6% of the NCAA maximum scholarships for the programs offered; women's programs received 91.9% of NCAA scholarship limits. UNI tuition rates are for lower for students from Iowa ("in state" students) than they are for students who come to UNI from outside the state of Iowa ("out of state").

During the three years of data reviewed, four of the seven men's athletic programs at UNI had budgets allowing scholarships for a combination of in and out of state student-athletes: men's basketball (3 scholarships for in state student-athletes/10 for out of state); football (31 in/32 out); wrestling (4.4 in/5.5 out). Men's cross country, indoor track, and outdoor track are funded at the NCAA maximum of 12.6 scholarships, but the budgeted amount is based only on in state tuition rates. Scholarships for the combined men's athletic programs at UNI had 51.8% of their funding based on in-state rates: 48.2% on out of state rates. In 2009-10, 132 males received athletics aid at UNI. Of that total, 54.5% were students from Iowa.

During the three years of data reviewed, five of the ten women's athletics programs at UNI received scholarship budgets supporting a combination of in and out of state funding: volleyball (4 in/8 out); women's basketball (5 in/10 out); soccer (5 in/Sout); softball (6 in/6 out); women's tennis (4 in/4 out). Women's golf (6), women's swimming (10) and women's cross country, indoor track, and outdoor track (18) receive budgets based on in state charges. Scholarships for the combined women's athletics programs at UNI had 63.7% of funding based on in-state charges: 36.3% on out of state rates. In 2009-10, 129 females received athletics aid at UNI. Of that total, 57.4% were students from Iowa.

A more thorough analysis should be made of the issue of increasing the number of women's teams at UNI that receive the NCAA limit of scholarships and of the formulas for budgeting in and out of state athletics aid. That analysis is part of the 2010-15 Gender Equity Plan.

Coaching Salaries, Benefits and Bonuses

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's-Head$</th>
<th>Women's-Head$</th>
<th>Men's-Assts.$</th>
<th>Women's-Assts.$</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>1116276</td>
<td>597542</td>
<td>1155046</td>
<td>519687</td>
</tr>
<tr>
<td>2008-09</td>
<td>924625</td>
<td>591746</td>
<td>1175441</td>
<td>516408</td>
</tr>
<tr>
<td></td>
<td>753202</td>
<td>582381</td>
<td>1032854</td>
<td>525198</td>
</tr>
</tbody>
</table>

It is difficult, and not all that useful, to compute average men's and women's head coach salaries at the University of Northern Iowa (UNI) because there are some head coaches who work in both men's and women's sports programs (cross country, indoor track, outdoor track, and golf) in addition to the three men's athletic programs coaches and six women's athletics programs coaches. Further, average head coach salary figures are significantly skewed by football and men's basketball salaries, which have substantially different market values than, for example, women's tennis and swimming.

In reviewing individual salaries, however, there appears to be a major salary inequity in men's and women's basketball. There is also an inequity with the wrestling salary when compared to women's head coaching salaries. On the surface, these differentials seem significant and would be a cause for further review and analysis. However, the Title IX review from Alden and Associates pointed out that there may be legitimate and nondiscriminatory reasons for the differences. The apparent inequities in salaries should be reviewed to determine if such legitimate
reasons are in play. That review is part of the 2010-2015 Gender Equity Plan.

A similar appearance of disparity is found in the compensation of assistant coaches: this was also noted in the Title IX report by Alden and Associates. Assistant salaries in women’s swimming and diving and in softball appear to be low. The Title IX report said that, while UNI is making progress in providing additional coaching support in the sport of women’s swimming and diving, it should review the salary paid to that assistant. As with the head coaching salaries, the basis for these disparities must be analyzed to determine whether they are fully justifiable. That review is part of the 2010-2015 Gender Equity Plan.

It should be noted that several substantial increases to women’s coaching salaries and number of positions have taken place in the last two years at UNI:

?A full time staff position for a women’s basketball director of operations was created and hired in fall, 2010.

?The head women’s basketball coach salary increased 21% in spring, 2010: from $87,000 to $105,000. The increase moved UNI from ninth to fifth among ten Missouri Valley Conference (MVC) schools. UNI’s head men’s basketball coach’s salary ranks fourth among MVC peers.

?The salary pool for the volleyball program (two full-time volleyball assistants; one program associate) increased 46.5% since 2008-09: a total increase of $33,757. The pool is now $105,357, ranking second among MVC peers.

?The first assistant softball coach received a 5.7% increase in salary in 2010-11: from $30,900 to $32,673 compared to the nor for salary increases that year in the athletics department, which was 2-3%.

?The second softball assistant position was improved to a 9-month, full-time position ($18,800) with full benefits in June of 2010; prior to that it was a part-time hourly position with limited benefits.

Coaching, Other Compensation and Benefits Paid by a Third Party

There are no expenses paid by a third party for either men’s or women’s sports programs at UNI. The most recent three years of data available support that broader claim:

Support Staff, Administrative Salaries, Benefits and Bonuses Paid by the University and Related Entities

Year
Men’s All Sports Salaries and Benefits
Women’s All Sports Salaries and Benefits
Non-program Specific Salaries and Benefits

2009-10 226220 71577 1612474
2008-09 217364 65055 1674018
2007-08 164925 135929 1851697

Most expenses in the non-program specific category are for administrative and support staff that provide service to all men’s and women’s athletics programs: e.g., marketing, media relations, ticket office, facilities, internal operations, fundraising, and external operations. Staff whose duties are directly related to a sport program have their salary and benefits accounted for in the appropriate category: e.g., director of operations, program assistants, and support staff for specific sports.

Effective 2010-11, football and men’s and women’s basketball have director of operations positions and volleyball has a part-time program assistant. Football also has a volunteer, part-time clerical position. All other sports share support staff.

Support Staff/Administrative Other Compensation and Benefits Paid by a Third Party

There are no expenses paid by a third party for either men’s or women’s sports programs at UNI. The most recent three years of data available support that broader claim:

Year Men's All Sports Women's All Sports Non-program
Specific
2009-10 0 0 0
2008-09 0 0 0
2007-08 0 0 0

Recruiting Expenses

Year Men’s Sports Women’s Sports SAs M/F % Recruiting $
Recruiting $ Recruiting $ Participation M/F %
2009-10 87983 60612 54.1/45.9 59.2/40.8
2008-09 123321 66519 62/38 65/35
2007-08 152328 61214 59.6/40.4 71.3/28.7

Women's Recruiting
Year Recruiting $ Increase %Increase
Gender/Diversity Issues and Student-Athlete Well-Being

2009-10 60612 (5907) (8.9%)
2008-09 66519 5305 8.7%
2007-08 61214 5030 9.0%

Men's Recruiting
Year Rec$ $Increase %Increase
2009-10 87983 (35338) (28.7%)
2008-09 123321 (29007) (19%)
2007-08 152328 (13006 9.4%

Observations on the above:
Modest financial increases were made to the budgets for women’s athletics programming recruiting expenses at UNI during the first two years of under review. A slight decrease in 2009-10 is because of differences in geographical location and number of student-athletes being recruited that year.

While progress has been made, a differential of 5% still exists in desired proportionality between male/female athletics participation rates and budgets allocated for recruiting. This should be reviewed to ensure that the differences are due to nondiscriminatory practices. This review is in the 2010-2015 Gender Equity Plan.

Donor cars impact recruiting costs. Donor cars are provided to both men's and women's programs: seventeen donor cars are assigned to men's athletic programs; nine to the women's athletics programs; two to the combined track program; no cars for the combined golf program. Two cars assigned to baseball were transferred to women's basketball and volleyball when the program was discontinued. Five head coaches for UNI men's athletic programs (excepting golf), have donor cars. In addition, the men's basketball director of operations and the football director of operations are provided donor cars: the women's basketball director of operations is not. Seven UNI women's athletics programs head coaches have donor cars (excepting golf, swimming, and soccer).

Car dealers are allowed input into which sports programs gets their donated cars, and may even suggest which coach receives the car. That practice has resulted in an inequitable distribution of cars among men's and women's athletics programs at UNI, which impacts the recruiting budgets of some programs by increasing travel costs. This discrepancy is addressed in the Gender Equity Plan.

Football, as the men's sport with the largest number of participants, has the largest recruiting expenditures for all men's programs.

Team Travel
Year Men's All Sports Women's All Sports Non-program Specific
2009-10 557710 462957 0
2008-09 868832 477398 0
2007-08 863357 470194 399

The following factors are components of the team travel expenses: Modes of transportation; Housing during travel; Length of stay before and after athletic competitions or other travel; Per diem allowances for food/expenses; and, Dining arrangements. A review of those figures identified the following issues related to team travel expenses:
A standard per diem level has not been set by the UNI athletics department. Coaches establish their own travel arrangements and per diem practices for their teams. This has led to an inconsistent level of per diem support for participants across sports.

All teams had two or three athletes share each hotel room while travelling on overnight trips, but the UNI athletics department has not set a standard policy in this area.

Team travel modes are primarily by charter bus or rental vans for smaller teams. However, charter air transportation is used more often by men's basketball than by women's basketball At UNI. If those differences are based on legitimate reasons, the department should document that after a careful review.

A review of each of these issues is included in the Gender Equity Plan.

Equipment, Uniform and Supplies
Year Men's All Sports Women's All Sports Non-program Specific
2009-10 150323 148724 183356
2008-09 214590 123484 145643
2007-08 229444 127537 183356
Men’s athletic programs equipment purchases have been decreasing at UNI over the last three years while women's equipment purchases have shown a slight increase. Football's equipment costs and the high number of participants in football plays a large factor in the discrepancy between the men's and women's totals.

Coaches have a great deal of flexibility in the ordering of equipment and supplies for their teams. Fundraising budgets are also used to supplement equipment purchases for some programs. In 2009-10, a large increase ($57,965) in the non-program specific totals was due to a $36,000 payment on the new video board in the UNI Dome; $16,000 for a new media server; and, $11,000 for strength and conditioning equipment.

Games Expense

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>135027</td>
<td>79607</td>
<td>237752</td>
</tr>
<tr>
<td>2008-09</td>
<td>203074</td>
<td>95743</td>
<td>264478</td>
</tr>
<tr>
<td>2007-08</td>
<td>207272</td>
<td>79910</td>
<td>152068</td>
</tr>
</tbody>
</table>

In 2009-10, the games expenses for all men's programs were 29.8% of the total; women's programs were 17.6%; non-program specific expenses were 52.6%. In 2008-09, those percentages were 36.1%, 17%, and 46.9% respectively. The differences are due largely to differences in the number of games played, the attendance at home events that require larger security and/or event staffing, the cost of officials, etc.

Fundraising, Marketing and Promotion

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>214486</td>
<td>51980</td>
<td>286805</td>
</tr>
<tr>
<td>2008-09</td>
<td>253668</td>
<td>40576</td>
<td>224174</td>
</tr>
<tr>
<td>2007-08</td>
<td>215065</td>
<td>35298</td>
<td>172711</td>
</tr>
</tbody>
</table>

The differences between men's and women's expenses are due mostly to costs associated with fundraising, rather than marketing and promotions or brochures. Costs are calculated for the expenses associated with fundraising efforts and other external operations by the Panther Scholarship Club (PSC). Non-program specific expenses include the following from the 2009-10 report:

PSC Cash and Trade Expenses: $204,000
Marketing Expenses include: Mudd Group $133,000 (cash and trade); radio and other direct ad purchases $50,000 (cash and trade);
Printing, other misc. $42,000 (cash and trade)
Other miscellaneous small items: Hall of Fame $8,000; Varsity Club $5,000
These expenses are total department efforts so are not identified with a sports team.

Sports Camps Expenses

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>0</td>
<td>0</td>
<td>191911</td>
</tr>
<tr>
<td>2008-09</td>
<td>0</td>
<td>0</td>
<td>235487</td>
</tr>
<tr>
<td>2007-08</td>
<td>0</td>
<td>0</td>
<td>219651</td>
</tr>
</tbody>
</table>

There are no expenses for either men's or women's sports programs at UNI.

Sports camps expenses are not reported by men's or women's programs because the camps are not owned by the individual sport programs or coaches.

Medical Expenses and Medical Insurance

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>3100 1000 305904</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>3900 1250 422158</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2007-08</td>
<td>5741 1180 374711</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For the most part, medical expenses and the cost of medical insurance are not program specific. Insurance and medical coverage are available to student-athletes on an equitable basis and are not based on gender.

Memberships and Dues

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>2884 1825 25408</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
<td>2564 2303 14074</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2007-08</td>
<td>2104 3418 30153</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Expenses related to membership and dues are mostly non-program specific. Costs have remained relatively close for any expenses that can be attributed specifically either to men's or to women's programs.

Total Operating Expenses
In sum, men's sports programs expenses at UNI averaged nearly 64% of the total operating expenses in UNI athletics department programming despite having fewer than 60% of the participants. The differences are due largely to differences in salaries for men's and women's programs and to the difference in use of charter air travel, noted under the analysis of transportation (above). A review and process for monitoring the differences in total operating expenses are included in the Gender Equity Plan.

9. Using the program areas for gender issues:

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and
d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.

[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook as a guide in responding to Item No. 9 of the program area checklist.]

The institution must conduct a thorough and written review of each of the 15-program areas for gender issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.
The review must:
Describe how the institution has ensured a complete study of each of the 15-program areas for gender issues. This study should be conducted as part of the self-study process. Please note that for the program area of accommodations of interests and abilities, the use of surveys alone does not constitute a complete study. If an institution chooses to use an interest survey (e.g., a web survey or hard-copy survey) as one of its sources of data, the committee will require an explanation regarding the survey content, populations surveyed, the survey response rate, method used to interpret the data, and written evidence demonstrating the institution's Title IX coordinator has approved the survey. In addition, the institution must describe other methods of measuring interest and ability.

a. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;
b. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program. Please note, any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and
c. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15-program areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

1. Accommodation of Interests and Abilities. Participation proportionate to enrollment; and/or, history and continuing practice of program expansion for the underrepresented gender within the athletics program; and/or, full and effective accommodation for the underrepresented gender within the athletics program; and equivalent levels of competition. Institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities when presenting gender-issues plans for the future.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.
The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.
During the Title IX review and during UNI’s NCAA Certification Self-Study process, the following documents were reviewed:

- UNI’s organizational chart;
- UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10;
- Competition schedules for all UNI teams;
- Practice schedules for all UNI teams;
- UNI Student-Athlete Handbook;
- UNI exit interview summaries;
- UNI Intercollegiate Athletics Advisory Committee minutes;
- UNI Compliance Council minutes;
- Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen;
- UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10;
- UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10;
- UNI Foundation fundraising account budgets for each sport program;
- Inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources;
- UNI Strength & Conditioning Staffing assignments and schedule;
- UNI academic tutoring and study table information;
- UNI coaching salaries and incentives data;
- UNI athletic training room policies and procedures;
- UNI secretarial assignments;
- UNI inventory of donor car and stipends assignments;
- UNI Booster Club bylaws and minutes;
- UNI Booster Club revenues and expenses;
- UNI's 2004-2009 Gender Equity Plan;
- UNI's 2002 NCAA Certification report;
- UNI's history of sports sponsorship; and
- Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

Data demonstrating UNI's status and commitment in this area include:

<table>
<thead>
<tr>
<th>Year</th>
<th>All Men's</th>
<th>All Women's</th>
<th>Non Spec M/F</th>
<th>Part. %</th>
<th>M/F Exp. %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>6227146</td>
<td>3781472</td>
<td>5792759</td>
<td>54.1/45.9</td>
<td>62.2/27.8</td>
</tr>
<tr>
<td>2008-09</td>
<td>7261456</td>
<td>3623773</td>
<td>6100681</td>
<td>62/38</td>
<td>66.7/33.3</td>
</tr>
<tr>
<td>2007-08</td>
<td>6748957</td>
<td>3764348</td>
<td>5834296</td>
<td>59.6/40.4</td>
<td>64.2/35.8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year</th>
<th>Male</th>
<th>Female</th>
<th>M/F Part. %</th>
<th>M/FAid %</th>
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</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>1874954</td>
<td>1548023</td>
<td>54.1/45.9</td>
<td>54/46</td>
</tr>
<tr>
<td>2008-09</td>
<td>2059928</td>
<td>1419641</td>
<td>62/38</td>
<td>58.3/41.7</td>
</tr>
<tr>
<td>2007-08</td>
<td>1972275</td>
<td>1561244</td>
<td>59.6/40.4</td>
<td>55.6/44.4</td>
</tr>
</tbody>
</table>

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Title IX provides three "prongs" for compliance in participation opportunities for student-athletes: participation; history & continuing practice; accommodation of interests & abilities. A review of UNI's performance in this area begins with an analysis of the undergraduate student population numbers.

**Participation**

During 2007-08, 59.6% of the athletes at the University of Northern Iowa (UNI) were male and 40.4% were female. The undergraduate enrollment at UNI during that period was 43.1% male, which means there was a differential of 16.5% between proportionality of males to females in the student body and those the UNI athletics programs. During 2008-2009, 62% of UNI athletes were male and 38% were female for a differential of 19%. The rates in the 2009-10 year changed due to the dropping of the baseball program and roster management. The participation rate for women increased to 46%. Women comprise 57% of the undergraduate population and therefore there is a differential of 11%. This differential does not fulfill the participation requirements for proportionality required under Title IX.

**History and Continuing Practice of Program Expansion**

Women's soccer, added in 2000, is the only intercollegiate sport that has been added at UNI. The addition of one sport does not meet the NCAA or Title IX requirement to demonstrate program expansion.
Accommodation of the Interests and Abilities of the Underrepresented Sex
In order to accommodate the interest and abilities of female student-athletes, interest in a sport or sports can be assessed in a variety of ways acceptable to the NCAA:

a. Reviewing the level of interest and participation in club or intramural sports.
b. Student requests to add sports.
c. Surveys of the student body.
d. Analysis of activity engaged in that sports by high school student-athletes in the geographic area in which the institution recruits students.

UNI's compliance with this prong is questionable. UNI offers all of the sports currently offered at the high school level in Iowa with the exception of bowling. Additional sports that could also be considered because of their status with the NCAA include rugby, lacrosse, and field hockey. A club program in rugby is offered at UNI. However, reasonable competitive opportunities do not exist as those sports are not offered as sports in the Missouri Valley Conference. Schools within close proximity to UNI do not offer those programs.

The future growth of these sports should be monitored. UNI should also start again to survey the interests and abilities of its female students over time. In addition, a distinct process for the addition of intercollegiate sports program once interest is determined is needed.

These recommendations are all in the UNI Gender Equity Plan.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

UNI's 2010-15 Gender Equity Plan includes the development of a plan to lower participation rates for male student-athletes and to maintain and increase participation of female student-athletes until the combination of adjustments result with a five percent or smaller proportionality disparity relative to UNI's undergraduate enrollment. In addition, the athletics department will develop a written process for adding a women's sport. Last, a survey instrument assessing interests and abilities is being developed in April, 2011, which follows the most current guidance provided by the United States Department of Education Office for Civil Rights.

2. Athletics Scholarships. Scholarship dollars to be awarded to women and men at the same proportion as their respective rate of participation in the intercollegiate athletics program.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.

During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

<table>
<thead>
<tr>
<th>Year</th>
<th>$Male</th>
<th>$Female</th>
<th>M/F Part. %</th>
<th>M/F Aid %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>187,495.4</td>
<td>154,802.3</td>
<td>54.1/45.9</td>
<td>54/46</td>
</tr>
<tr>
<td>2008-09</td>
<td>205,992.8</td>
<td>141,964.1</td>
<td>62/38</td>
<td>58.3/41.7</td>
</tr>
<tr>
<td>2007-08</td>
<td>197,227.5</td>
<td>156,124.4</td>
<td>59.6/40.4</td>
<td>55.6/44.4</td>
</tr>
</tbody>
</table>

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

During 2007-08, 55.6% of the athletics financial aid went to men and 44.4% to women in UNI athletics department programming. The student-athlete population was 59.6% male and 40.4% female. UNI was not in compliance because female student-athletes represented 44.4% of the population and received only 40.4% of the aid, 4% less than required by Title IX guidelines. During the 2008-2009 year, 59% of athletics financial aid went to male and 41% to the female athletes. When translated into a percentage, the student-athlete population was 62% female and 38% male. The result was that UNI was again not in compliance. During the 2009-2010 year, the student-athlete population was 54% male and 46% female and females received 45% of the available athletics financial aid dollars. (Title IX allows for a 1% variance.)

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

2009-10 was the first year UNI met the scholarship proportionality requirement because athletic aid allocations fell within one percentage point of athletic participation ratios. Roster management policies will be reviewed and modified to ensure that stated numbers are appropriate for competitiveness for male programs. A five-year plan for moving all women's programs to NCAA maximum amounts of scholarships will be formulated. Both of the above are part of the 2010-2015 Gender Equity Plan for Improvement.

3. Equipment and Supplies. Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.
a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

<table>
<thead>
<tr>
<th>Equipment, Uniform and Supplies</th>
<th>Year</th>
<th>Men's Sports</th>
<th>Women's Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>150323</td>
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<td>203608</td>
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<td>2008-09</td>
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</tr>
<tr>
<td>2007-08</td>
<td>229444</td>
<td>127537</td>
<td>183356</td>
<td></td>
</tr>
</tbody>
</table>

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and
Uniforms, apparel, and sport-specific equipment and supplies for all varsity teams were reviewed in Equity in Athletics Disclosure Act reports, department budgets, an on-line survey of head coaches, and interviews with coaches and administrators. The quality, suitability, amount, maintenance, and replacement and availability of equipment and supplies was reviewed. No coaches or student-athletes identified issues in this area during interviews. Coaches have great latitude on how operating funds are spent. This practice allows them to prioritize how their budgets are allocated. Coaches of both male and female sports have the ability to purchase the equipment and supplies they feel is necessary for their programs.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

The quality, availability, amount, maintenance, and replacement of equipment and supplies is equitable. Policies and procedures regarding equipment purchases will be reviewed and monitored to ensure all programs have equitable opportunities for purchase of equipment and supplies. A uniform replacement schedule will be formulated and implemented.

These recommendations are part of the Gender Equity Plan of Improvement.

4. Scheduling of Games and Practice Time. Number of contests; number, length and time of day of practices; time of day of contests; preseason and postseason opportunities, including foreign tours.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process. The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI. President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.

During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

<table>
<thead>
<tr>
<th>Games Expense</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year</td>
</tr>
<tr>
<td>2009-10</td>
</tr>
<tr>
<td>2008-09</td>
</tr>
<tr>
<td>2007-08</td>
</tr>
</tbody>
</table>

The following components were reviewed regarding scheduling of games and practices:
1. Number of competitive events per sport.
2. Number and length of practice opportunities and the time of day practice opportunities are scheduled.
3. The time of day competitive opportunities are scheduled.
4. The opportunities to engage in preseason and postseason competition.

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

A review of the information relative to each of the above areas revealed the following:
The number of practice opportunities and the length (number of hours per week) are governed by NCAA rules. Class schedules, particularly courses with laboratory requirements further affect practice times. Practice times are based on class schedules and a semester by semester practice time rotation between the sports. All men's and women's teams are affected equally by these limitations.
The teams play comparable schedules and the number of contests scheduled are within the NCAA allowable number. All teams or individuals who are entitled to participate in preseason competition are allowed to do so. All teams that qualify for post-season competition are allowed to compete. Expenses for post-season competition are paid from by athletic department funds, but are not taken from the sports programs operating funds.
Volleyball and men's and women's basketball are allowed to compete on foreign tours. All teams are required to fund raise for these opportunities.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No issues were identified, but the Institutional Gender Equity Plan for 2010-15 includes annual monitoring and the development of written policies for practice and competition scheduling of facilities.

5. Travel Allowance. Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem for institutional competition and other competitive opportunities (e.g., under NCAA Bylaw 16.8.1.3).

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;
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- UNI Intercollegiate Athletics Advisory Committee minutes;
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- UNI athletic training room policies and procedures;
- UNI secretarial assignments;
- UNI inventory of donor car and stipends assignments;
- UNI Booster Club bylaws and minutes;
- UNI Booster Club revenues and expenses;
- UNI's 2004-2009 Gender Equity Plan;
- UNI's history of sports sponsorship; and
- Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
</tr>
</thead>
<tbody>
<tr>
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<td>557710</td>
<td>462957</td>
<td>0</td>
</tr>
<tr>
<td>2008-09</td>
<td>868832</td>
<td>477398</td>
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</tr>
<tr>
<td>2007-08</td>
<td>863357</td>
<td>470194</td>
<td>399</td>
</tr>
</tbody>
</table>

The following factors are components of the team travel expenses:
- Modes of transportation.
- Housing during travel.
- Length of stay before and after.
- Per diem allowances.
- Dining arrangements.

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

A review of the information relative to each of the areas above reveals the following:

Travel arrangements and per diem practices vary from sport to sport. As previously discussed, a per diem policy for the department is needed. A policy is also necessary to ensure that student-athletes' accommodations on road trips is equitable. In addition, the discrepancy noted previously regarding charter air travel between men's and women's basketball needs to be reviewed.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

This area was equitable with one exception, charter aircraft travel for men's and women's basketball. UNI will review air transportation for men's and women's basketball to ensure equity and that differences are based only on league schedules and not other factors. Policies and procedures regarding team travel will be reviewed and modified to ensure all programs have equitable opportunities. In addition, a per diem and housing policy will be developed.

6. Academic Support Services. Availability of, and equitable access to, academic support services that meet the needs of student-athletes based on individual student-athlete academic profiles and/or performance, and equitable criteria for obtaining assistance.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.

During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for
2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10; including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's 2002 NCAA Certification report; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

This area does not lend itself to resource allocation analysis because resources are not allocated by sport but based on overall services provided. Other data were used to analyze this program area, including interviews with student-athletes and coaches, responses from exit interviews, and student-satisfaction surveys.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Academic services, including tutoring, were assessed for availability, assignment and compensation. No issues were identified. Tutors are available to all student-athletes on an equitable basis. A second academic advisor was hired to increase support for all student-athletes. Both advisors work with male and female student-athletes. Both are located in administrative offices in the UNI Dome, providing easy access to student-athletes.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No issues were identified, but the Institutional Gender Equity Plan for 2010-15 includes annual monitoring and updating of written policies for tutoring.

7. Coaches. Availability of full-time, part-time, assistant and graduate assistants. Training, experience, professional standing, and other professional qualifications. Total rate of compensation package, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions and other terms and conditions of employment.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

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& Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.

During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

- UNI's organizational chart;
- UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10;
- Competition schedules for all UNI teams;
- Practice schedules for all UNI teams;
- UNI Student-Athlete Handbook;
- UNI exit interview summaries;
- UNI Intercollegiate Athletics Advisory Committee minutes;
- UNI Compliance Council minutes;
- Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen;
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- UNI athletics department policies on summer aid and degree completion;
- UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10; including budgeted and actual expenses;
- UNI Foundation fundraising account budgets for each sport program;
- Inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources;
- UNI Strength & Conditioning Staffing assignments and schedule;
- UNI academic tutoring and study table information;
- UNI coaching salaries and incentives data;
- UNI athletic training room policies and procedures;
- UNI secretarial assignments;
- UNI inventory of donor car and stipends assignments;
- UNI Booster Club bylaws and minutes;
- UNI Booster Club revenues and expenses;
- UNI's 2004-2009 Gender Equity Plan;
- UNI's 2002 NCAA Certification report;
- UNI's history of sports sponsorship; and
- Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas:

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's FTE</th>
<th>Women's FTE</th>
<th>Men's FTE</th>
<th>Women's FTE</th>
</tr>
</thead>
<tbody>
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<td>4.85</td>
<td>8</td>
<td>4.85</td>
<td>8</td>
</tr>
</tbody>
</table>

Coaching Salaries, Benefits and Bonuses

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's-Head $</th>
<th>Women's-Head $</th>
<th>Men's-Assts. $</th>
<th>Women's-Assts. $</th>
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<tr>
<td>2007-08</td>
<td>793102</td>
<td>582381</td>
<td>1032854</td>
<td>525198</td>
</tr>
</tbody>
</table>

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Availability and assignment of coaches, including full-time, part-time or graduate or student assistants is equitable. On both the men's and women's side each team has a full-time head coach: the Head Track Coach is assigned to both the men's and the women's team. The only part-time head coach is the golf coach who coaches both men and women, although the head women's tennis coach is on a 10-month contract. The number of assistant coaches assigned to men's and women's sports is comparable since the addition of the diving coach for the women's swimming program.

Contracts, compensation levels, and benefits provided to the coaching staff were analyzed to identify any issues that impact the quality of coaching provided to the men's and women's programs. It is difficult, and not all that useful, to compute average men's and women's head coach salaries at the University of Northern Iowa (UNI) because there are some head coaches who work in both men's and women's sports programs (cross country, indoor track, outdoor track, and golf) in addition to the three men's athletic programs coaches and six women's athletics programs coaches. Further, average head coach salary figures are significantly skewed by football and men's basketball salaries, which have substantially different market values than, for example, women's tennis and swimming.

A major salary inequity does exist in men's and women's basketball head coaches' salaries. There also is an inequity with the wrestling head coach's salary compared to other women's head coaching salaries. Legitimate and nondiscriminatory reasons for the differences in salaries may exist and could be justified by examining a variety of different factors (including the influence of the marketplace). Given the difference in both the guaranteed minimum salaries and the incentive clauses of the men's and women's basketball head coaches, the compensation for head coaches will be reviewed.

A similar appearance of disparity exists in the compensation of assistant coaches. Additional coaching support in the sport of women's swimming and diving was provided, but the salary paid to that assistant should be reviewed. Assistant salaries in both women's swimming and diving and softball appear to be low. As with the head coaching salaries, this disparity must be analyzed so that it is fully justifiable: differences can be permissible, but have to be justified by examining pertinent factors (including the influence of the marketplace).

Coaches of both men's and women's programs are provided incentive clauses for conference championships, NCAA and post-season appearances and Coach of the Year honors. No inequities were noted in terms of the incentives offered in head coaching contracts. In addition, bonus payments to assistant coaches are provided in coaching contracts in an equitable manner.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

Because of the discrepancies noted in the differences of head coaches' salaries and for some assistant coaches, UNI will perform an analysis of the department's compensation system to determine if differing packages can be legally justified. This is reflected in the 2010-2015 Gender Equity Plan.

8. Locker Rooms, Practice and Competitive Facilities. Quality, availability and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.
The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's 2002 NCAA Certification report; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

**b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

This area does not lend itself to further resource allocation analysis. Other data were used to analyze this program area including interviews with student-athletes and coaches, responses from exit interviews, and student-satisfaction surveys.

**c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Locker rooms and practice and competitive facilities were reviewed for availability, quality and exclusivity of use.

Upgrades have been made to numerous facilities since the 2002 Cycle 2 report. The men's and women's basketball and women's volleyball teams practice and compete in the McLeod Center, an on campus facility with a capacity of almost 7,000. The locker rooms and coaching staff offices for these three sports are of high quality and equitable. The facility and schedule practice schedules were reviewed and determined to be equitable as well. All teams are accommodated for practice in facilities on campus when the McLeod Center is used for other events.

Separate off campus facilities exist for softball, women's soccer, men's and women's golf and women's tennis. The women's tennis team practices and competes at the Black Hawk Tennis Club in Waterloo.
The men's and women's golf teams practice at a local golf course, Pheasant Ridge, and compete in home and away tournaments. The men's and women's track and field and cross country teams practice together at facilities on campus and in the UNI Dome and compete in home and away meets. The women's swimming and diving team practices and competes in an on campus facility. The softball field is located off campus and is well maintained. It includes rest rooms, concession areas, storage, pitching and batting cages as well as a tarp. It is a community owned facility that is maintained by the city and the University. The soccer field is located approximately 12-15 minutes from campus. It is part of a multi-field complex maintained primarily by the youth soccer association as well as the University. It does not have permanent support facilities such as permanent seating or press areas.

The wrestling facility is housed in West Gym and is in need of upgrading to be comparable with other athletics facilities at UNI: the office area for coaches has been renovated. Plans are formulated to improve the wrestling facilities in the West Gym.

While upgrades can be made to offices and locker facilities for those teams operating out of West Gym, it does not appear that there are inequities in offices and locker rooms.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

Recent facility improvements have improved locker room and office spaces for women's basketball and volleyball. Off-campus practice and competition facilities for men's and women's golf and women's tennis are common practices in intercollegiate athletics and no disparity in facilities was noted. However, softball and women's soccer also compete off-campus, resulting in 30% of female student-athletes competing off-campus. Less than 5% of the male student-athletes compete off-campus. UNI will develop an on-campus competition facility for women's soccer by the 2012-13 season to help decrease this disparity. This is reflected in the 2010-2015 Gender Equity Plan.

9. Medical and Training Facilities and Services. Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletic trainers; health, accident and injury insurance coverage; provision of medical and training expenses.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

Medical Expenses and Medical Insurance

<table>
<thead>
<tr>
<th>Year</th>
<th>Men's All Sports</th>
<th>Women's All Sports</th>
<th>Non-program Specific</th>
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<tr>
<td>2007-08</td>
<td>5741</td>
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</tr>
</tbody>
</table>

This area does not lend itself to further resource allocation analysis because resources are not allocated by sport. Other data were used to analyze this program area, including interviews with student-athletes and coaches, responses from exit interviews, student-satisfaction surveys, and staffing assignments.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Factors considered in this component include the availability and quality of:
1. Medical personnel
2. Athletic training staff
3. Athletic training facilities
4. Conditioning facilities
5. Insurance coverage

No gender equity issues were observed or identified in this area. Staff assignments were reviewed for home and away coverage as well as physician coverage. Access to physicians and trainers, as well as to the training room, is available to all teams on an equitable basis. Coaches did not register complaints about equity issues within the sports medicine area with the exception of one small issue with women's swimming. Insurance coverage is provided equitably.

The current athletics training facilities are relatively new and all student-athletes have access to top of the line equipment. The program is run in a partnership with the University and the community. As noted in the 2002 Certification report, there were issues about the size and quality of the strength and conditioning area for athletics. A new, sizeable facility has eliminated those concerns. The equipment is top of the line and is geared toward both the male and female student-athlete. Workouts are supervised by the strength and conditioning coach and his staff. Staffing and scheduling is done on an equitable basis. The staff is adequate for the number of sports although the strength and conditioning program area has expressed need for an additional full-time staff member, preferably a female. No inequities appeared in this area.

Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report in Section 3.3 of this self-study.
d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No issues were identified, but the Gender Equity Plan for 2010-15 includes annual monitoring of the staffing assignments and levels for all sports. Annual monitoring of scheduled times in the strength & conditioning room will be conducted to ensure equitable time to each program. In addition, UNI athletics will explore a cooperative effort with the school of Health, Physical Education, and Leisure Services (HPELS) on the addition of a full-time female strength and conditioning coach. Staffing levels within athletic training will also be jointly reviewed by the Athletic Department and HPELS.

10. Housing and Dining Facilities and Services. Housing provided; special services as part of housing; dining arrangements.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

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c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Provision of housing facilities and services and dining facilities and services were reviewed. There is no special housing for student-athletes. Student-athletes live in residence halls or apartments on or near campus. When classes are not in session, student-athletes may stay in the residence halls, their apartments, or move in with student-athletes living off-campus. There are no organized training tables for any sports. No inequities appeared in this area of review.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No issues were identified, but the Institutional Gender Equity Plan for 2010-15 includes annual monitoring of housing and dining facilities and services.

11. Publicity and Awards. Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices; availability and quality of institutional awards; opportunity for application and/or nomination for other outside awards (e.g., NCAA, national or conference awards).

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management...
information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's 2002 NCAA Certification report; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

This area does not lend itself to further resource allocation analysis. Other data used to analyze this program area include interviews with student-athletes and coaches and responses from exit interviews and student-satisfaction surveys.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

This area included a review of the sports information personnel, including the availability and qualifications of the personnel, the services provided, other publicity resources, and the quality and quantity of publications.

All teams are provided the same level of support for the athletics department web site. Each program has a link to specific information on its staff, team members, results, and press releases. Three full-time staff members, one graduate assistant and several paid student workers are assigned coverage of sports teams. All teams have media guides posted on-line.

The Director of Athletics Marketing has developed marketing plans for the women's sports and seems genuinely excited for the opportunity to market the programs, particularly women's basketball and volleyball. The marketing director position supervises the cheer and dance teams and is responsible for assigning squads to home athletics events. Currently, cheer squads are provided at football, men's and women's basketball, volleyball, and wrestling. The marching band for football and pep bands for men's and women's basketball and volleyball are also part of the marketing efforts.

The effectiveness of these marketing initiatives is hard to measure since the director has only been employed since the fall of 2010. A second, full-time marketing assistant was added in 2010: a position previously staffed by a graduate assistant.

The Department of Athletics has television/radio shows that include both men's and women's sports. While media interest may be greater in football and men's basketball, women's basketball and volleyball are given focused time for media opportunities. In addition, weekly media lunches are conducted by the athletics department and both men's and women's coaches are given opportunities to talk about their programs.

The letter awards program for UNI student-athletes has been managed and supported inconsistently across sports. Sport programs do not have documented lettering criteria and head coaches can award a letter to any member of the team. In addition, the funding of the letter awards comes from each program's operating budget, enabling head coaches to determine whether or not letter awards are received.

The UNI SAAC has conducted a review of the letter awards program and developed preliminary criteria for letter awards, along with a new approval process and items for each award earned. The review has not been finalized by the athletics department administration and funding sources have not yet been identified.
d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

UNI will make additional efforts to secure media attention for its women's sports programs. Sports information assignments and the availability of personnel to travel with teams will be reviewed on an annual basis. The same review will be developed for marketing and promotions staff to ensure that women's sports are being supported equitably in staff experience, travel, and budgeting. In addition, a comprehensive letter awards program, including adequate funding for awards, will be researched to ensure all programs have equitable opportunities for the award programs. These items are reflected in the 2010-2015 Gender Equity Plan.


a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

President Allen appointed an NCAA Certification self-study steering committee and sub-committee to review the Title IX report and issues of Diversity, Gender and Student-Athlete Well-Being at UNI. Those committees were comprised of members that reflected a broad-based section of UNI: faculty, campus administrators, student-athletes, and athletics department personnel. All information supplied to the Title IX consultant was also available for review by the Steering Committee and the Diversity, Gender and Student-Athlete Well-Being subcommittee on UNI's web site for NCAA Certification. Materials on this site are also available to the peer review team.

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UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's 2002 NCAA Certification report; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

This area does not lend itself to further resource allocation analysis. Other data used to analyze this program area include interviews with student-athletes and coaches and responses from exit interviews.
Gender/Diversity Issues and Student-Athlete Well-Being

and student-satisfaction surveys. Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

The Director of Athletics has ultimate authority over all men's and women's programs. The Senior Woman Administrator (SWA) is a full-time, very experienced administrator and is accorded a high level of responsibility and authority. The discussions between the consultant and the coaches and their responses to the survey questionnaires revealed that they were generally satisfied with the competence and quality of the people who support them in all areas. All coaches felt that their respective secretarial and clerical needs were generally being addressed.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No inequities were found in this area. UNI's Gender Equity Plan for 2010-15 includes annual monitoring of support services for all sports programs.

13. Recruitment of Student-Athletes. Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective athletes.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each (this) program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process. The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

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UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

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<th>Recruiting Expenses</th>
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<td>Year Men's Sports Women's Sports SAs M/F % Recruiting $</td>
<td>Recruiting $ Recruiting $ Participation M/F %</td>
<td>2009-10 87983 60612 54.1/45.9 59.2/40.8</td>
<td>2008-09 123321 66519 62/38 65/35</td>
<td>2007-08 152328 61214 59.6/40.4 71.3/28.7</td>
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<td>Women's Recruiting</td>
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Other information regarding UNI's status in this area is included in UNI's response to Question #2 of the Gender/Diversity Issues and Student-Athlete Well-Being subcommittee report.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

Progress has been made over a three-year period with regard to recruiting expenses. However with 41% of the recruiting dollars spent by the women's teams and with a female student-athlete population of 46%--there is a differential of 5%. The 5% differential will be reviewed to ensure that the differences can be explained by non-discriminatory practices.

The donor car program provides cars to both programs, but it is not equitable. Two cars that previously were assigned to baseball were re-assigned to women's basketball and volleyball after that program was discontinued. The impact that access to donor cars has on recruiting budgets negatively affects the women's programs.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.
The 5% differential in recruiting dollars spent will be reviewed to ensure that no discriminatory factors exist. Following the review, UNI will formulate a plan to move the program into compliance over the next five years. In addition, a yearly review of recruiting budgets and allocated resources will take place with women's coaches to determine if adequate resources are being provided.

UNI will restructure its courtesy car program to better define its purpose and allocation policies and will provide courtesy cars or stipends in an equitable manner as soon as possible. Complete compliance will be completed within three years. This is reflected in the 2010-2015 Gender Equity Plan.

14. Retention. Programs and services to address retention of staff, coaches and student-athletes from the under-represented gender within the athletics program; review of retention and promotion of staff and coaches from the under-represented gender within the athletics program, including professional development opportunities (e.g., mentoring programs), rate of compensation, duration of contracts, conditions relating to contract renewal; programs and services to address retention of student-athletes who are members of the under-represented gender within the athletics program.

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of each program area with a Title IX review of UNI athletics and an extensive self-study process conducted as part of the NCAA Certification process.

The Title IX review was conducted by Alden & Associates in October, 2010. During that review, Ms. Andrea Seger, Senior Associate at Alden & Associates, held meetings and conducted interviews with senior UNI leadership including: Dr. Benjamin Allen, President; Mr. Tom Schellhardt, Vice President of Administration & Financial Services; and, athletics department administrators, support staff, UNI head coaches, facilities staff, and student-athletes. A complete listing of all individuals interviewed is included in the Title IX report issued by Alden and Associates. The completed review described the current status of UNI's athletics department compliance with Title IX. Information from that review was also utilized as a resource during the NCAA self-study process at UNI.

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During the Title IX review and during UNI's NCAA Certification Self-Study process, the following documents were reviewed:

UNI's organizational chart; UNI Equity in Athletics Disclosure Act reports for 2007-08, 2008-09 and 2009-10; Competition schedules for all UNI teams; Practice schedules for all UNI teams; UNI Student-Athlete Handbook; UNI exit interview summaries; UNI Intercollegiate Athletics Advisory Committee minutes; UNI Compliance Council minutes; Gender Equity information about UNI (e.g. roster management information, salary data, financial aid data) that are presented to President Allen, Faculty Athletics Representative Dr. Anne Woodrick, and Director of Athletics Troy Dannen; UNI athletic squad rosters for 2007-08, 2008-09, and 2009-10; UNI athletics department policies on summer aid and degree completion; UNI Individual sport budgets for 2007-08, 2008-09, and 2009-10: including budgeted and actual expenses; UNI Foundation fundraising account budgets for each sport program; inventories of UNI equipment and supplies purchased by sport programs outside the normal funding sources; UNI Strength & Conditioning Staffing assignments and schedule; UNI academic tutoring and study table information; UNI coaching salaries and incentives data; UNI athletic training room policies and procedures; UNI secretarial assignments; UNI inventory of donor car and stipends assignments; UNI Booster Club bylaws and minutes; UNI Booster Club revenues and expenses; UNI's 2004-2009 Gender Equity Plan; UNI's 2002 NCAA Certification report; UNI's history of sports sponsorship; and Sports interests surveys collected at UNI since Cycle 2.

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c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

A review of the retention rates from the APR by sport for 2007-08, 2008-09 and 2009-10 indicates that female student-athletes are being retained at a higher percentage than male student-athletes. All programs recorded retention rates above 92%, but women's programs recorded retention rates of 98% or better each of the three years studied. Since retention is part of the overall APR for each year, the APR of men's and women's programs were also analyzed.

No APR below 966 were recorded for the women's programs. All of the men's programs record APR below 966 except men's golf, which record a perfect 1000 score for each of the three years reviewed.

Student-athletes on athletic aid who do not graduate from UNI after completing their eligibility are allowed to apply for degree completion funding through the athletic department's fifth year aid program. That policy is listed below.

POST-ELIGIBILITY SCHOLARSHIPS (5TH YEAR AID)

Fifth year aid may be available to provide scholarship assistance to student-athletes who have exhausted their eligibility but have not graduated. Such aid will be awarded according to the following policy and procedure:

Policy
1. The student-athlete must be within 6 years of his/her initial full-time enrollment and must not have received athletic aid for more than 4 years at the time the aid is awarded.
2. The S-A must be within 15% of the credits necessary to graduate in their primary degree program.
3. The S-A must have the GPA necessary to graduate in their chosen degree program.
4. The S-A must have been a member of his/her team for at least 2 years and must have been in good standing.
5. UNI Athletics will not pay for second bachelor's degrees, minors, or graduate level classes.
6. UNI Athletics will only pay for the credits needed to graduate and will not pay for any extra credits for any reason (e.g., to maintain full-time status for insurance purposes).
7. The amount of scholarship awarded will cover the lesser of a) the amount of scholarship received by the student-athlete during his/her final year of eligibility; or b) the cost of tuition and fees for the credits needed to graduate.
8. Exhausted eligibility aid will not cover the cost of room, board or books. Exceptions to this rule may be granted by the Director of Athletics on a case by case basis. If such an exception is made, the student may be required to work in the Athletics Department in order to earn such aid.

Procedure
1. S-As must complete an application, available from Compliance & Academic Services (CAS) or from the Athletics Academic Advisor(s).
2. The application must have approval from the Head Coach and the Athletics Academic Advisor, and must have a current degree audit attached.
3. Completed applications must be submitted to CAS no later than April 15. Applications received after April 15 will not be accepted.
4. Once all applications are received, they will be reviewed and prioritized based on the criteria above.
5. Decisions for exhausted eligibility/5th year scholarships rest solely with the Director of Athletics, in consultation with Sport Administrators, the Assistant AD for Business, and the Senior Associate Athletic Director/SWA.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.
Staffing and coaching changes from 2007-08 to 2008-09 were:
Women's basketball—one female graduate assistant coach added;
Football—one male assistant coach resigned—position not filled;
Women's soccer—one male volunteer coach did not return;
Men's & Women's Track—one female assistant coach resigned—replaced with male;
Ticketing—one position added—filled by male;
Academic services—one position added—filled by female;
Training room—female assistant trainer resigned—replaced by male;
Media Relations—male assistant resigned, replaced by female;
Marketing—male in assistant position resigned—not filled;
Administration—one senior associate position filled by female; and
Cheer—one male filled position that had not previously been filled;
Staffing and coaching changes from 2008-09 to 2009-10 included:
Baseball—three male assistant coaches not retained when sport discontinued;
Women's basketball—full time operations position created—filled by female;
Men's and Women's golf—one part time coach added, filled by male;
Strength & Conditioning—one additional full time position created, filled by male;
Ticketing—one position not filled after female resigned;
Media Relations—one position held by male not filled after resignation;
Facility Operations—intern position elevated to full time—filled by male;
Panther Scholarship Club—reorganization of positions—loss of female;
Sports Camps—male in position resigned, replaced by female;
Marketing—assistant position re-instated, filled by male; graduate assistant position moved to full time, male employee in position remained.
Administration—male director promoted to associate athletic director; and
Cheer—male in position replaced with female.
In the review of head coach retention and promotion, no issues were noted. The men's baseball head coach was not retained when the sport was discontinued. A male filled the women's soccer head coaching position, but a female assistant was hired to provide gender balance on staff. A male replaced a male for the wrestling coaching position. A male also replaced a male for men's and women's track and field. However, a female made the final pool and was interviewed for the position.
Compensation for head coaches is based on market value, years of experience and success. The men's basketball coach received a significant pay increase and contract extension when the team qualified for the NCAA tournament two straight years. Prior to the raise, the UNI men's basketball base salary ranked eighth among ten conference schools. After the raise, the base salary ranked fourth. The UNI volleyball coach also received merit increases and a contract extension after two successful seasons. Her salary currently ranks second among ten conference schools. The women's basketball coach received a raise and contract extension following the 2009-10 season. Prior to the raise, UNI's salary ranked ninth out of ten teams. The increase in salary moved that ranking to fifth out of ten teams. Following another successful season in 2010-11, the women's basketball coach will again receive a contract extension and a raise yet to be determined.
In addition to head coaches' salary increases, the salary pool for men's basketball was increased in 2009-10. The volleyball assistant coaching salary pool was increased two consecutive years during this time. Women's basketball assistants' salary pool is scheduled for an increase when new contracts are offered in April 2011.
The contracts of the head coaches of women's soccer, women's soccer, volleyball and women's basketball were revised to include incentives for winning conference championships, post-season play, and coach of the year honors. A pool of bonus money is now available for assistant coaches in those sports. The incentives had previously been included in the contracts for volleyball and women's basketball, but the value of those incentives was increased.
All athletic department employees who leave UNI are requested to conduct an exit interview with the institution's Human Resource Services staff. Results of those interviews are reviewed by Human Resource Services.
15. Participation in Governance and Decision Making. Involvement of athletics department staff, coaches and student-athletes from the under-represented gender within the athletics program in the governance and decision-making processes of the athletics department; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and athletics department staff and coaches (e.g., participation at the conference and/or national level).

a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;

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b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 15 areas;

This area does not lend itself to further resource allocation analysis because it involves services that are provided to UNI student-athletes. Other data was used to analyze this program area, including consultant interviews with student-athletes and coaches and responses from exit interviews and student-satisfaction surveys.
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis) [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and

There are several opportunities for student-athletes and staff to engage in governance and decision-making activities at UNI. The main vehicle for student-athletes to participate is through the Student-Athlete Advisory Council (SAAC). Participation is balanced by team representation and is based on the number of student-athletes per team. The SAAC Constitution includes the following participation and representation requirements:

A. Team Representatives: Each sport shall have a specified number of representatives based on the number of student athletes on the team:
   1. 1 - 45 student athletes: 2 representatives
   2. 45+ above: 3 representatives

   Each representative must be on the team roster the year he/she is in office. No minimum participation is required (i.e. incoming freshmen are eligible for nomination). Individual membership under special circumstances shall be reviewed by SAAC for appointment with a quorum present, as defined by Article VII, and appointments shall be approved by a simple majority vote.

B. Executive Officers: All officers (Co-Presidents, Co-Vice Presidents, and Secretary) shall have participated a minimum of one year on any varsity team, and he/she shall have participated a minimum of one year on SAAC. There shall be one male and one female represented in the Co-President and Co-Vice President roles. The Secretary appointment is open for representation from any SAAC member meeting the criteria.

Section 3. Responsibilities of all members:

A. Attendance: Each member is required to attend all SAAC meetings. When absence is necessary, the representative shall notify the Vice President in charge of attendance in advance of his/her absence and arrange for their own substitute representative. Excused absences include, but are not limited to: travel for competition, illness, funeral, etc.

B. If a SAAC member is absent for two (2) consecutive meetings without an excused absence, he/she will no longer be allowed to serve as a SAAC representative. The Co-Presidents will notify the person of the termination of membership in writing within ten (10) days of the second infraction. In either case, the Co-Presidents will notify the respective head coach within ten (10) days that his/her representative has been removed. A replacement shall be made (preferably an underclassman) by the head coach and team, and he/she must report within the next two meetings; otherwise, the sport forfeits that member's privileges for the remaining academic year.

C. Permanent Absences: Where circumstances cause the permanent absence of a(n):
   Team Representative: His/her coach and team shall have the responsibility to select a new representative to be present within the next two meetings, or the aforementioned penalty shall be invoked.
   Executive Officer: A new officer will be chosen by an election within SAAC.

D. Committees: SAAC members shall serve on possible standing Department of Intercollegiate Athletics committees, as well as ad hoc committees, as necessary throughout their terms.

Article III ? Election of Members

Section 1. Procedures:

A. Team Representatives: Each head coach shall nominate their representatives and propose this to the team for a vote each year. Each team shall vote on the slate and must have their representatives attend meetings no later than the second meeting of the fall semester each year. No minimum participation is required (i.e. incoming freshmen are eligible for nomination).

B. Executive Officers: One male and one female shall serve in each of the Co-President and Co-Vice President appointments. The Secretary appointment is open for representation from any SAAC member. Each executive officer shall have participated a minimum of one year on any varsity team, and he/she shall have participated a minimum of one year on SAAC. Executive officers will be elected each year. The SAAC liaison will ask for nominations in each category, will propose a slate, and a vote will be conducted by secret ballot. Should a Co-President have eligibility remaining (i.e. they are still on the roster and have athletics eligibility left), their name will be automatically entered on the slate, unless they withdraw it. In addition, Co-Vice Presidents will automatically be entered on the slate for Co-President, unless they withdraw it, in which case they would automatically be entered on the slate for an additional appointment as Co-Vice President, unless they withdraw it. The membership may nominate any SAAC member
meeting the criteria for an executive officer position.
C. SAAC members shall be appointed to sub-committees no later than the third meeting of the fall semester. Sub-committees include, but are not limited to: Junior Panther Day, Awards Banquet, Community Service, Miscellaneous Events, etc.
Section 2. Each team representative and executive officer of SAAC shall serve a term of one academic year and shall be eligible for re-election each year.

Article IV ? Powers and Responsibilities
Section 1. The Student Athlete Advisory Committee shall:
A. Identify problems and concerns of the student-athletes and resolve those problems in order to improve the overall success of the athletics programs and department as a whole.
B. Call general meetings of the athletic body, with or without staff, when necessary, or when requested by at least ten (10) percent of student athletes or by at least five staff members.
C. Provide opportunities for new athletes to meet SAAC members and staff early in the fall semester.
D. Hold elections for executive officers before the end of the spring semester and for team representatives by the second meeting of the fall semester.
E. Form ad hoc committees to study in-depth any issues concerning the Department of Intercollegiate Athletics, including one executive officer on each committee.
F. Vote on Department of Intercollegiate Athletics matters which represent the concerns of the general student athlete body and bring results to the Athletics Administration.
G. Request guest speakers to speak on NCAA, MVC, and Department of Intercollegiate Athletics concerns, policies, and procedures.
H. Serve on committees to interview and select prospective Department of Intercollegiate Athletics staff members.
I. Announce all meeting times to Department of Intercollegiate Athletics staff and athletes.
J. Serve on committees the Department of Intercollegiate Athletics deems necessary for student athlete input.
K. Coordinate with the Faculty Athletics Representative (FAR) on issues concerning student athlete well being in the classroom.

UNI nominates two members to the Missouri Valley Conference SAAC, one male and one female. These members meet with other MVC representatives twice a year and report back on national and conference issues to the campus SAAC. In 2010-11, the female member of UNI SAAC is being nominated to serve on the NCAA National SAAC.
SAAC members also serve on the Intercollegiate Athletic Advisory Committee (IAAC).
Student-athletes are also asked to serve on the search committees within the athletic department.
Athletic department staff members have access to the University governance structure through campus committees. Currently, the Senior Woman Administrator serves on the Diversity Advisory Committee and the Bias Response Team. The Associate Athletic Director serves as a board member on the Gender Violence Prevention Task Force. Both male and female head coaches have access to governance committees within the MVC and NCAA. Sachin Kirtane, women's head tennis coach, currently serves on the Division I Women's Tennis Committee. Staff and coaches are also included on search committees within the department.

Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No issues were identified, but the Institutional Gender Equity Plan for 2010-15 includes annual monitoring to provide opportunities for under-represented gender coaches, staff, and student-athletes to be involved in governance and decision-making processes.
10. Using the plan for improvement section, provide an institutional gender-issues plan that addresses all 15 aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee. If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution's status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution's gender-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non-numeric hiring goals. As it relates to other program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

The institution must develop a five-year written, stand-alone plan addressing gender issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution's gender-issues plan.

11. Describe how the institution will annually compare its gender-issues plan with its EADA reports and NCAA financial reports to determine if the course of action is still appropriate. Further, please provide the names and titles of the individuals who will be responsible for this review.

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution's gender-issues plan.

UNI's Senior Woman Administrator, Jean Berger, will annually provide a written update on the institution's gender equity plan and comparative data from the EADA and NCAA reports. This report will be shared with Athletic Director Troy Dannen and the senior management team of the athletic department. In addition, the report will be shared with President Ben Allen, Vice President Tom Schellhardt, Faculty Athletics Representative (FAR) Dr. Anne Woodrick (or designated replacement) and Title IX Officer Leah Gutknecht. UNI's FAR shall share the report with the Athletic Compliance Council (which includes compliance and academic advising) and the IAAC. In addition the report will be shared with each sport program, the SAAC, and the Panther Scholarship Club (PSC) Board of Directors.
12. Describe the institution’s efforts to ensure the gender-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.

If a plan concludes before the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan were ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle. Please note that all institutional plans must contain all of the committee’s required elements.

The institution's gender-issues plan must include the following requirements:

- Include identification of issues or problems confronting the institution.
- Include measurable goals the institution intends to achieve to address issues or problems.
- Include specific steps the institution will take to achieve its goals.
- Include a specific timetable(s) for completing the work.
- Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, the institution's gender-issues plan must meet the following requirements:

- Be committed to paper and be a stand-alone document.
- Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.
- Must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.

UNI's 2004-2009 Gender Equity Plan was reviewed for input and comment by a broad-based constituency on campus, including the following:

- Intercollegiate Athletic Advisory Committee (IAAC)
- Committee on Compliance
- President Koob
- Vice President Tom Schellhardt
- Steering Committee Chair Susan Koch
- Office of Compliance and Equity Management (OCEM)
- UNI Athletics Compliance
- UNI Senior Woman Administrator
- Athletic Department Senior Management
- Athletic Academic Advisor
- Registrar
- Chair of the Student-Athlete Advisory Committee (SAAC)

The University of Northern Iowa (UNI), during the current NCAA self-study recertification process, developed a new Gender, Diversity, and Student-Athlete Well-being Plan for Improvement, which is included with this report. It is comprised in part by UNI's 2010-2015 Gender Equity Plan and UNI's Diversity Issues Plan. The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Gender, Diversity, and Student-Athlete Well-being subcommittee; Steering Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletics department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports, which included the Gender, Diversity, and Student-Athlete
Well-being Plan for Improvement, to members of the President's Cabinet and UNI Academic Affairs Council.
President's Cabinet:
Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI Foundation
James O’Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer
UNI's Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
Christy Twalt Assistant Provost for Sponsored Programs
Michael Licari Associate Provost for Academic Affairs/Dean, Graduate College
Virginia Arthur Associate Provost for Faculty Affairs
Kurt Meredith Interim Assistant Provost for International Affairs
Farzad Moussavi Dean, College of Business Administration
Dwight Watson Dean, College of Education
Joel Haack Dean, College of Humanities & Fine Arts and
Joel Haack Dean, College of Natural Sciences
Philip Mauceri Dean, College of Social & Behavioral Sciences
Kent Johnson Interim Dean, Continuing Education and Special Programs
Marilyn Mercado Dean, Rod Library
Patricia Woelber Administrative Assistant to Executive VP & Provost
The 2010-2015 Gender Equity Plan for Improvement along with information relative to the self-study process, reports, and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011.
After review, the plan was ultimately approved by President Ben Allen.
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<thead>
<tr>
<th>Program Area</th>
<th>Goals</th>
<th>Steps</th>
<th>Individuals/Others Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
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<tbody>
<tr>
<td>Accommodation of Interests and Abilities</td>
<td>Participation ratio of women's teams will remain within 5% of the undergraduate enrollment.</td>
<td>Ensure participation rates for men's and women's sports programs remain within 5% of the overall undergraduate rates.</td>
<td>Roster management goals will be communicated to coaches and staff yearly. Reductions in male opportunities when needed, but also in conjunction with increased opportunities required within existing female programs. The goals will be part of the head coach's yearly evaluation.</td>
<td>Athletic Director, Sports Supervisors, Head Coaches.</td>
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<tr>
<td>Accommodation of Interests and Abilities</td>
<td>A complete written process for adding a women's sport is not clearly defined.</td>
<td>A written process for the adoption of additional women's sports is utilized to review possible additions of intercollegiate sports for the under represented gender.</td>
<td>Develop the criteria that will be considered when offering a new intercollegiate sport. Broad-based review and input of the policy from the athletic department's constituents will be sought.</td>
<td>Senior Woman Administrator</td>
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<tr>
<td>Accommodation of Interests and Abilities</td>
<td>The assessment of interest and abilities and the review of club sport interest in moving to varsity status and determining competitive opportunities in the geographical region is incomplete.</td>
<td>A survey instrument that will assess the interests and abilities and include the requirements outlined by the OCR in April, 2010.</td>
<td>Work with UNI's Office of Institutional Research to develop a survey of incoming students to determine interests and abilities. Survey will include all new requirements announced in the latest guidance from OCR on the issue of gender equity in athletics.</td>
<td>Senior Woman Administrator and Faculty Athletics Representative.</td>
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<td>Athletics Scholarships.</td>
<td>Female student-athletes are within one percent of participation ratios for athletic scholarship funding.</td>
<td>Roster management policies are in place to ensure that stated numbers are appropriate for competitiveness for male programs.</td>
<td>Survey all conference members of UNI as well as other peer institutions to help determine appropriate roster numbers for UNI sports programs.</td>
<td>Sports Administrators and Director of Compliance.</td>
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<td>Scholarship funding for all women's programs will reach NCAA maximum allowable minimums within five years.</td>
<td>Review current levels of funding. Compare UNI levels with peer institutions. Develop cost analysis.</td>
<td>Director of Athletics and Senior Woman Administrator.</td>
</tr>
<tr>
<td>Equipment and Supplies</td>
<td>No issues in quality, availability, amount, maintenance, replacement and availability of equipment and supplies.</td>
<td>Policies and procedures regarding equipment purchases are in place to ensure continued compliance.</td>
<td>Review current policies and update/change to reflect changes in best practices and equity. Formulate new policies as needed.</td>
<td>Assistant Athletic Director/ Business Services, Associate Athletic Director for Internal Operations, Equipment Manager.</td>
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<td>A uniform replacement schedule is in place to ensure continued compliance.</td>
<td>Review of history and past purchase of uniforms, both home and away. Schedule developed following review.</td>
<td>Assistant Athletic Director/ Business Services, Associate Athletic Director for Internal Operations, Equipment Manager.</td>
</tr>
<tr>
<td>Scheduling of Contests and Practice Times</td>
<td>No issues identified.</td>
<td>The scheduling of practice and competition facilities and times are equitable.</td>
<td>Scheduling of practices and competitions policies reviewed and updated; information shared with sports administrators and coaches on annual basis.</td>
<td>Assistant Athletic Director for Facilities and Operations and IAAC.</td>
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<td>Written policies for the scheduling of practice and competition facilities reflect the equitable treatment of all programs</td>
<td>Policies regarding usage of facilities should consider in-season, gender balance and competitive schedules.</td>
<td>Assistant Athletic Director for Facilities and Operations and IAAC.</td>
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<td>Travel Allowance</td>
<td>Travel and per diem is equitable with the exception of charter aircraft for men's and women's basketball teams.</td>
<td>Charter air travel is equitable and differences are based only on conference scheduling practices.</td>
<td>Review charter air policies and scheduling for the past three seasons.</td>
<td>Assistant Athletic Director/ Business Services</td>
</tr>
<tr>
<td>Travel and Per Diem Allowances</td>
<td>Travel and per diem is equitable, but coaches have tremendous latitude in this area.</td>
<td>Policies and procedures regarding team travel ensure that all programs have equitable opportunities</td>
<td>Review current policies and update/change to reflect changes in best practices and equity. Formulate new policies as needed.</td>
<td>Assistant Athletic Director/ Business Services, Associate Athletic Director for Internal Operations</td>
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<td>Per diem and housing policies are annually reviewed for equity purposes and communicated to department staff and coaches.</td>
<td>Review current policies and update/change to reflect changes in best practices and equity. Formulate new policies as needed. Distribute policy via staff handbook.</td>
<td>Assistant Athletic Director/ Business Services, Associate Athletic Director for Internal Operations.</td>
<td>Review in summer 2011 for implementation in Fall 2011.</td>
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<tr>
<td>Academic Support Services</td>
<td>No equity issues between men's and women's teams in the availability and assignment of academic support services, including compensation of tutors.</td>
<td>Written tutoring polices and procedures are annually monitored and updated to ensure equity for men's and women's programs.</td>
<td>Review current policies and update/change to reflect changes in best practices and equity. Formulate new policies as needed.</td>
<td>Academic Advisors, Senior Woman Administrator, Faculty Athletics Representative.</td>
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<td>Coaches</td>
<td>The overall compensation of coaches, particularly men's and women's basketball head coaches and assistant coach salaries, may not in compliance.</td>
<td>Compensation of head coaches is annually reviewed and disparities are legally justified.</td>
<td>UNI should review the factors outlined in the Title IX review to determine if the differing amounts in coaching salaries can be justified and are warranted based on those factors.</td>
<td>Athletic Director, Human Resources and Office of Compliance and Equity Management.</td>
</tr>
<tr>
<td>Locker Rooms, Practice and Competitive Facilities</td>
<td>The size and quality of locker rooms is equitable. Off campus practice and competition sites for women's golf, women's tennis, softball and women's soccer require 30% of female student-athletes to compete off campus.</td>
<td>Women's soccer team practices and competes on facilities located on campus.</td>
<td>Begin planning for best location of on-campus competitive field for women's soccer. Current practice field location as well as other locations on campus master plan should be reviewed. Funding for construction and maintenance should be finalized.</td>
<td>Athletic Director, Assistant Athletic Director for Facilities and Operations, Associate Athletic Director for Internal Operations.</td>
</tr>
<tr>
<td>Medical and Training Facilities and Services.</td>
<td>No issues were identified in terms of staff assignments, physician access, facility scheduling, facilities or equipment.</td>
<td>Staffing assignments of athletic trainers is annually reviewed to ensure equitable coverage for men's and women's programs.</td>
<td>Collect staffing assignments for 2009-10, 2010-11 and projected 2011-12 assignments.</td>
<td>Senior Woman Administrator.</td>
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<td>A full time female coach in strength and conditioning is on staff in a cooperative effort with HPELS.</td>
<td>Review of current staffing of program and possible elevation of graduate assistant to full-time position with HPELS.</td>
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<td>Staffing levels within athletic training are annually reviewed by the Athletic Department and HPELS to ensure equitable treatment for men's and women's programs.</td>
<td>Review of current staffing of program and possible elevation of graduate assistant to full-time position with athletic training unit.</td>
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<td>Monitoring of scheduled times by sport in the strength &amp; conditioning room is conducted annually to ensure equitable times for all programs.</td>
<td>Collect practice time schedules for each sport by semester for 2010-11 and each semester thereafter.</td>
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<tr>
<td>Housing, Dining Facilities and Services</td>
<td>No inequities were noted.</td>
<td>Housing and dining facilities and services are reviewed annually to ensure equity.</td>
<td>Review current practices and update/change to reflect changes in best practices and equity. Formulate new policies as needed.</td>
<td>Senior Woman Administrator and Director of Compliance.</td>
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<tr>
<td>Publicity and Awards</td>
<td>No issues related to competency and quality of personnel.</td>
<td>Staff assignments in media relations and marketing and promotions, as well as budgets in those areas, are reviewed annually to ensure that women's sports are being supported equitably in terms of staff experience, travel and budgeting.</td>
<td>Review current practices and update/change to reflect changes in best practices and equity. Formulate new policies/procedures as needed.</td>
<td>Assistant Athletic Director/ Business Services, Associate Athletic Director for Internal Operations, Assistant Athletic Director/Media Relations, Director of Marketing.</td>
</tr>
<tr>
<td>Publicity and Awards</td>
<td>Funding for letter awards is not equitable for men's and women's programs.</td>
<td>The Athletic Department's letter award program for student-athletes includes equitable opportunities and funding for all programs.</td>
<td>Review current practices and update/change to reflect changes in best practices and equity. Formulate new policies/procedures as needed.</td>
<td>Senior Woman Administrator with input from SAAC.</td>
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<td>Support Services</td>
<td>Competence and quality of the people who support athletic programs is satisfactory.</td>
<td>Support services for all sports programs are monitored to ensure equity.</td>
<td>Review current practices and update/change to reflect changes in best practices and equity. Formulate new policies/procedures as needed.</td>
<td>Associate Athletic Director for Internal Operations</td>
</tr>
<tr>
<td>Recruitment of Student-Athletes</td>
<td>There is a discrepancy of 5% in the recruiting dollars spent on women’s teams and female student-athletes.</td>
<td>Recruiting budgets are reviewed annually to ensure equity.</td>
<td>Review current practices and update/change to reflect changes in best practices and equity. Formulate new policies/procedures as needed.</td>
<td>Athletic Director, Assistant Athletic Director/Business Operations, Senior Woman Administrator, Associate Athletic Director for Internal Operations</td>
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<td>Recruiting budgets reflect the same percentages as student-athlete participation.</td>
<td>Review budgets and update current practices. Develop a yearly plan to bring UNI into full compliance in five years.</td>
<td>Athletic Director, Assistant Athletic Director/Business Operations, Senior Woman Administrator, Associate Athletic Director for Internal Operations</td>
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<td>Women’s head coaches annually report on the adequacy, effectiveness and future needs of their respective recruiting budgets.</td>
<td>Meet with head coach of women’s programs for specific review of recruiting needs and wants.</td>
<td>Senior Woman Administrator and sports supervisor.</td>
</tr>
<tr>
<td>Recruitment of Student-Athletes</td>
<td>Coaching cars are provided to 35% of the coaches of the 46% student-athlete population (female) and 65% to the coaches of the 54% of the student-athlete population</td>
<td>Courtesy cars and/or stipends are provided in an equitable manner to all sports programs.</td>
<td>Review current courtesy car distribution and stipends. Redistribute dealer cars or pay stipends to bring UNI in full compliance within two years. Develop policy and procedures for future distribution of dealer cars and/or stipends.</td>
<td>Athletic Director, Senior Woman Administrator, Sports Supervisors, Senior Associate Athletic Director/Development</td>
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<tr>
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<tr>
<td>Retention</td>
<td>No issues were noted in the retention of female coaches, staff members and student-athletes.</td>
<td>Retention levels for female staff, coaches and student-athletes are reviewed annually.</td>
<td>Conduct exit interviews with all female student-athletes who leave before eligibility is completed. Develop female coaching mentoring program.</td>
<td>Sports Supervisors in conjunction with FAR, IAAC and HR.</td>
</tr>
<tr>
<td>Programs and Activities</td>
<td>Programs addressing gender issues exist on campus, but no specific programs within athletics are offered.</td>
<td>Programming regarding gender issues for athletic department staff and coaches is offered annually by the department.</td>
<td>Gauge interest in areas/programs through annual surveys. Utilize NCAA resources for Title IX to plan programming. Facilitate knowledge and attendance at University sponsored programming.</td>
<td>Senior Woman Administrator in collaboration with HR, OCEM and campus diversity.</td>
</tr>
<tr>
<td>Participation in governance and decision making</td>
<td>No issues were noted.</td>
<td>Coaches, staff and student-athletes of the under represented gender are offered opportunities in the governance and decision making processes of the department.</td>
<td>Review past and current opportunities. Create listing of possible opportunities, develop a plan to bring UNI into compliance. Identify funding levels needed.</td>
<td>Senior Woman Administrator and Sports Supervisors.</td>
</tr>
<tr>
<td>Integration and oversight of Gender Equity Plan</td>
<td>No formal review mechanism exists for the current Gender Equity Plan across campus.</td>
<td>Gender Equity Plan is annually reviewed and updated by a cross section of campus officials and other resources.</td>
<td>Identify officials and resources for review, present plan for review annually.</td>
<td>Senior Woman Administrator</td>
</tr>
<tr>
<td>Integration of Gender Equity Plan</td>
<td>Gender Equity Plan is not widely communicated and responsibility for achieving the goals is not widely shared among athletic senior staff.</td>
<td>The Gender Equity Plan and corresponding responsibilities are communicated and delegated within the Department of Athletics. Accountability for implementation of the plan permeates the department.</td>
<td>Circulate plan to department; communicate goals; delegate responsibility to staff; update as needed.</td>
<td>AD/Senior Woman Administrator</td>
</tr>
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</table>
Operating Principle

3.2 Diversity issues.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.2 (Minority Issues). For each condition, provide:
   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. Condition

   The University of Northern Iowa (UNI) must analyze, explain, and, if necessary, address (through specific plans for improvement) the graduation rates of its African American football student-athletes. The CAC was concerned that the four-class graduation rates of African American football student-athletes at UNI continue to be significantly lower than the four-class graduation rates of the overall population of student-athletes at UNI.

   Action
The University of Northern Iowa (UNI) revised its Cycle 2 Diversity Plan for Improvement then submitted both that plan and a progress report (August, 2004) to the NCAA Division I Committee on Athletics Certification (CAC).

From 2004-the present, UNI continued to monitor and analyze graduation rates for its African American students, its African American student-athletes, and the African American student-athletes in its football program.

UNI added a full-time Director of Football Operations to its athletics department staff in 2007. The director is charged with (a) monitoring academic progress of student-athletes in the football program, including study table supervision for specified athletes, and (b) coordinating class checks to ensure that student-athletes in the football program are attending their classes.

UNI hired an additional academic advisor to help student-athletes at UNI in 2009. UNI now has two full-time academic advisors assigned to work with students in athletic department programming, one of which has primary responsibility for student-athletes in the football program.

UNI participated in a year-long, campus-wide study of the first college year experience in 2008: a process called Foundations of Excellence (FOE). FOE resulted in an institutional plan for improving student success and graduation rates at UNI. It also led to (a) the development of a First-Year Council that provides strategic oversight of first year initiatives and to (b) a University Retention Council (URC) charged with developing and implementing a plan to improve retention and graduation rates at UNI.

The URC is chaired by the Associate Provost for Academic Affairs, Dr. Michael Licari and is comprised of other key direction-givers in pertinent academic and administrative units at UNI.

Several policies and have already been implemented or adjusted, including: a revision of the probation and suspension policy; implementation of an early warning/intervention tool, called MAP-Works (Making Achievement Possible), which identifies students who are at risk of leaving the institution; and, developing a targeted support network to assist in the success of each student identified by MAP-Works as needing help.

Improving retention and graduation rates have been addressed as important issues in the strategic plans for the Board of Regents, State of Iowa and for UNI: both of which were revised in 2010. Both strategic plans include specific goals: (a) for improving the retention and graduation rates of students in the undergraduate population at UNI; (b) for closing the gap between the graduation rates of underrepresented students and the graduation rates of the broader student body at UNI.

**Action Date**

August 20, 2004: UNI submitted its response to the NCAA Committee on Athletics Certification (CAC), including its revised Diversity Plan for Improvement for graduation rates for African American student-athletes in the football program.

September, 2004: UNI was re-classified as Certified by the NCAA Division I CAC.

2004-present: Graduation rates have been monitored and analyzed yearly.

2007: UNI hired a new position, in part to help address graduation rates and related issues: Director of Football Operations.

2008: UNI completed a year-long study of the first college year experience: the Foundations of Excellence (FOE) process.

UNI established the University Retention Council subsequent to the FOE process: charged with developing and implementing a plan to improve retention and graduation rates.

2009: UNI hired a second academic advisor assigned its athletics program: one of the two has primary responsible for student-athletes in the football program.

2010: UNI and the Board of Regents, State of Iowa update their respective strategic plans with specific goals for improving retention and graduation rates.

**Explanation for partial or non-completion**
There continues to be a disparity between the four-year graduation rates for African American student-athletes in the football program at UNI and the four-year graduation rates for all student-athletes at UNI. However, the graduation rate at UNI is higher for African American student-athletes in the football program than it is for male African American students in the undergraduate population (45% to 34%; these are the most recent data available, for the cohort of student-athletes who entered UNI in 2003 and had until 2009 to earn their degree, as stipulated in NCAA Federal Graduation Rates Report). The graduation rate of UNI student-athletes in the football program is also higher than the graduation rate of all male and female African American students at UNI (45% to 39%, for the 2003 cohort).

Participation in football at UNI is associated with relatively higher graduation rates for African American males than it is for the comparison population at UNI. Consequently, the academic integrity subcommittee of the NCAA self-study steering committee at UNI is recommending continued focus on these issues in its Academic Integrity Plan for Improvement (see sections 2.1 & 2.2 in this self-study), but it also suggests that the African American student-athlete graduation rate issue should become part of the current discussion on the UNI campus, rather than remain as a football-only or athletic program-only issue. The FOE process and University Retention Council (see above) are both proactive efforts already underway at UNI that are related to a broader discussion.

In addition, the latest retention rate of 921 for African American football players (2008-09 data) is the second highest Academic Progress Rate (APR) for any male sport at UNI, with the exception of wrestling (and, overall, football's numbers are significantly higher). Football's overall APR rates are 941 (for the multi-year rate) and 955 for 2008-09. That compares to a 939 multi-year rate for football teams at other institutions playing at the Football Championship Series level. Retention and eligibility issues do appear to be a factor in the graduation rates for African American football players at UNI.

The average incoming standardized test scores (by "American College Testing" = the ACT) earned by African American students receiving athletic aid for UNI football are comparable to those earned by incoming African American male students at UNI: within the 18-20 range during the most recent four years of data reviewed (2007-10). The average core course grade point average (GPA) earned by incoming football players range from 2.76 to 3.16 during that same time frame. No large discrepancies in core course GPA or ACT SUM test scores were noted in comparison to all sports teams during that time.

In the following table, using the most recent data available (for the group/cohort of student-athletes who entered UNI in 2003 who were then allowed the stipulated number of years to earn their degree--six--to be counted as having graduated as part of the): NCAA Federal Graduation Rates Report for African American football student-athletes at UNI are compared to the graduation rates for African American male students at UNI and to all African American male student-athletes involved in UNI athletics programming during the last six years. During that timeframe, the graduation rates for African American football student-athletes at UNI have improved from 40% (for the cohort beginning at UNI in 1998) to 45% (for those beginning in 2003).

<table>
<thead>
<tr>
<th>GRS Year</th>
<th>FB AA</th>
<th>All Male AA Students</th>
<th>All Male AA Athletes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>45%</td>
<td>(&lt;20) 34%</td>
<td>(117) 46%</td>
</tr>
<tr>
<td>2002</td>
<td>35%</td>
<td>(&lt;20) 33%</td>
<td>(142) 31%</td>
</tr>
<tr>
<td>2001</td>
<td>47%</td>
<td>(&lt;20) 33%</td>
<td>(116) 36%</td>
</tr>
<tr>
<td>2000</td>
<td>48%</td>
<td>(&lt;20) 34%</td>
<td>(107) 37%</td>
</tr>
<tr>
<td>1999</td>
<td>47%</td>
<td>(&lt;20) 32%</td>
<td>(78) 32%</td>
</tr>
<tr>
<td>1998</td>
<td>40%</td>
<td>(&lt;20) 35%</td>
<td>(63) 38%</td>
</tr>
</tbody>
</table>

(Total number of students in the specified population is in parenthesis.)

In sum, African American football student-athletes have graduated at a higher rate than the African American male undergraduate population at the University of Northern Iowa (UNI) every year since 1998. The graduation rates for African American football players have been higher than the graduation rates for African American male student-athletes during that same timeframe until 2003. And, the graduation rate for African American football players outpaces that of other male African American students (45% to 34%). However, there continues to be a disparity between the four-year graduation rates for African American football student-athletes and all student-athletes.
2. Report on the implementation of the plan for improvement to address minority issues developed by the institution during its Cycle 2 certification process. For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

The committee will not accept the following explanations for partial or noncompletion:

1. The institution did not possess sufficient funds to implement the plan.
2. The institution has had personnel changes since the original development of the plan.
3. The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial completion or noncompletion:

- The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 minority-issues plan.

The institution must demonstrate that it has implemented its Cycle 2 minority-issues plan or provide an explanation for partial completion of the plan.

   a. The committee will not accept the following explanations for partial completion or noncompletion:

         1. The institution did not possess sufficient funds to implement the plan.
         2. The institution has had personnel changes since the original development of the plan.
         3. The institution does not have documentation of actions taken to implement the plan.

   b. The committee will accept the following explanation for partial completion or noncompletion:

         - The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress towards the same goal outlined in its Cycle 2 minority-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1. Original Plan

   Update and widely circulate the minority policy statement for Athletics in 2004-05; 2005-06; 2006-07; 2007-08; 2008-09.
Action

No policy statement specific to athletics was written/implemented during this time frame.

Action Date

No policy statement specific to athletics was written/implemented during this time frame.

Explanation for partial or non-completion

The University of Northern Iowa (UNI) Department of Athletics deferred to the UNI institutional statement concerning diversity, which was adopted by the UNI Diversity Council and approved by the UNI President in August of 2009. The statement reads: "An understanding and appreciation of society's human diversity is an essential component of an excellent education and a foundation for responsible citizenship. At the University of Northern Iowa, we educate citizens and leaders who will influence our society in the future, and our graduates take with them the knowledge and values they learn or refine while with us. Thus it is our institutional priority to value, promote, and teach about diversity.

In order to effectively teach about diversity, we must be a diverse community, where all are welcomed and each is provided with the support needed to achieve goals and attain success."

2. Original Plan

Survey minority student-athletes to assess levels of satisfaction and needs in 2004-05; 2005-06; 2006-07; 2007-08; 2008-09.

Action

There was no specific instrument used specifically for minority student-athletes during this time frame.

Action Date

There was no specific instrument used specifically for minority student-athletes during this time frame.

Explanation for partial or non-completion

Action that was undertaken at UNI was to make this set of issues into part of a broader exit interview process for all student-athletes. There was not a survey done specifically for minority student-athletes though a new student-athlete satisfaction survey completed during 2010-11 gave all student-athletes an opportunity to voice concerns regarding minority issues.

3. Original Plan

Enhance efforts to attract minority candidates in any open coaching or professional staff vacancies in 2004-05; 2005-06; 2006-07; 2007-08; 2008-09.

Action

This is done as part of the standard Human Resource Services and Office of Compliance and Equity Management hiring processes for every search at the University of Northern Iowa. Recruitment efforts have resulted in many competitive applicants for UNI coaching positions. As a result of those efforts, UNI has minority coaches in Women's Basketball (Head Coach), Men's Basketball, Soccer, Football, Tennis (Head Coach), Volleyball, and athletics administration.

Action Date

Ongoing

Explanation for partial or non-completion
4. Original Plan
Promote diversity training for athletics department staff in 2004-05; 2006-07; 2007-08.

Action
The University of Northern Iowa brought in a speaker from the NCAA to conduct a training session specifically for coaches and athletics staff during the spring 2005, 2010 and 2011 semesters. Other training opportunities were offered on a campus-wide basis with varying degrees of engagement on the part of intercollegiate athletics. For example, the UNI Office of Compliance and Equity Management offered approximately 24 different training sessions from 2003-2010 on the topic of preventing illegal harassment. Athletics staff members took advantage of these sessions a total of 16 times (i.e., 16 instances of an athletics staff member attending a particular session). Only one athletics staff member attended more than one training session. There was a renewed emphasis on these types of sessions from the Tom Schellhardt, Vice President for Administration and Financial Services, which resulted in improved participation from Athletics during the spring 2011 semester.

Action Date
Diversity training specific to the athletics department was completed in 2005, 2010, and 2011. In addition, many UNI campus efforts over the years have been supplemental to athletics department efforts in this regard.

Explanation for partial or non-completion
Completed.

5. Original Plan
Increase recruitment efforts of minority student-athletes for all sports programs with low minority representation, specifically, women's basketball, baseball, men's and women's golf, women's tennis in 2004-05 and 2005-06.

Action
In 2005-06, the University of Northern Iowa (UNI) managed an increase of 19 minority student-athletes in UNI athletics department programming. Significant gains were made in men's basketball (4), football (5), men's track & field (4), women's soccer (2) and women's swimming (2). No other sport added more than one minority student-athlete. Only wrestling decreased (from 5 to 4). Intercollegiate athletics at the University of Northern Iowa received funding for athletics aid specifically for this purpose for all sports. "Diversity scholarships" were provided to offset the cost of recruiting out-of-state females and ethnic/racial minorities. These students were awarded athletics aid that covered the difference between in-state and out-of-state tuition. The results of this program did increase the numbers of minority student-athletes at UNI, including the sports mentioned. (Note: baseball was eliminated at the conclusion of the 2008-09 academic year.) See chart contained in Attachment: Student-Athlete Minority Participation Numbers for detailed data.

Action Date
Efforts began in 2005 and are ongoing.

Explanation for partial or non-completion
Efforts began in 2005 and are ongoing.

6. Original Plan
Study and assess, on an annual basis, the grade point averages and graduation rates of minority student-athletes as they compare to non-minority students on campus and to national averages in 2004-05 and 2005-06.
Action

This task is done on a semester-by-semester basis by the Athletics Compliance Council with information shared with the senior management team of the Athletics Department. This information is also shared with the Intercollegiate Athletics Advisory Council at UNI.

Action Date

These actions were completed at the conclusion of each semester.

Explanation for partial or non-completion

These actions are completed at the conclusion of each semester and are ongoing.

7. Original Plan

Conduct harassment prevention training for athletic department staff in 2005-06

Action

UNI UNI's Office of Compliance and Equity Management offers training sessions for all institutional employees on an annual basis. Athletics is invited and encouraged to attend these sessions but has had varying degrees of success historically. The University of Northern Iowa brought in a speaker from the NCAA to conduct a training session specifically for coaches and athletics staff during the spring 2010 semester. Other training opportunities were offered on a campus-wide basis with varying degrees of engagement on the part of intercollegiate athletics. For example, the UNI Office of Compliance and Equity Management offered approximately 24 different training sessions from 2003-2010 on the topic of preventing illegal harassment. Athletics staff members took advantage of these sessions a total of 16 times (i.e., 16 instances of an athletics staff member attending a particular session). Only one athletics staff member attended more than one training session. There was a renewed emphasis on these types of sessions from the Vice President for Administration and Financial Services, Tom Schellhardt, which resulted in increased participation from Athletics during the spring, 2011 semester.

Action Date

Annually.

Explanation for partial or non-completion

Completed and on going.

8. Original Plan

Monitor departmental minority issues among minority staff in 2006-07.

Action

There was no formal procedure established within UNI athletics to address this issue.

Action Date

Ongoing through University policy and procedure.

Explanation for partial or non-completion
There was no formal procedure established within UNI athletics to address this issue. The Equal Opportunity Policy confirms UNI's commitment to providing equal opportunity in employment and educational programming. Further, the Discrimination and Harassment Policy prohibits discrimination or unwelcome behavior on the basis of a person's membership in a protected class. Staff members can always visit with members of the Office of Compliance and Equity Management and Human Resource Services. An Employee Assistance Program is also available for staff to attend counseling sessions at no charge. Departing staff members are invited to utilize the exit interview process through Human Resource Services.

9. Original Plan

Promote increased involvement of minority students in UNI athletics departmental governance and decision-making in 2006-07.

Action

Most of the success UNI athletics has had with this action manifests through minority student participation in UNI's Student-Athlete Advisory Committee (SAAC). Coaches are encouraged to appoint a broad representation of students to this group. SAAC has also become increasingly active in these areas in recent years; shifting from a group focused on community-service to one that truly has a voice in all matters concerning the athletics department. Co-presidents of SAAC in 2010-11 consisted of one female and one African American male.

Action Date

Ongoing

Explanation for partial or non-completion

Ongoing

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.2 (Minority Issues). For each additional plan, provide:

a. The additional goal(s);

b. The step(s) taken by the institution to achieve the goal(s); and

c. The date(s) the step(s) was completed.

The University of Northern Iowa has not developed any additional formal plans for improvement or recommendations since the Cycle 2 certification decision was rendered for Operating Principle 3.2.

4. Explain how the institution is organized to further its efforts related to the diversity-issues operating principle for both department of athletics staff, coaches and student-athletes.

The commitment, at the University of Northern Iowa, to promote respect and sensitivity to every person and to refrain from discrimination is reflected at both the institutional and departmental levels. Indeed, UNI is both oriented toward respect and sensitivity to every person and it is organized to promote these values and to refrain from discrimination. Campus-wide efforts include UNI President Benjamin Allen's Diversity Council, the UNI Diversity Advisory Committee, and senior faculty leadership in the Office of the Executive Vice President and Provost dedicated to diversity. Various groups at all levels (including division-wide, college, and departmental) focused on diversity issues cooperate to encourage and to maintain an inclusive environment. Staff and students involved with the Department of Athletics are involved in many of these bodies, ensuring each working group has a broad perspective on which to build. Details follow regarding some of the structural efforts in these regards at UNI. The following institutional entities help further the University's commitment to diversity and equity issues:

Office of Compliance and Equity Management (OCEM)
OCEM serves as the official institutional center for equity, compliance, and diversity efforts at UNI. OCEM leads all affirmative action work and serves as the UNI liaison with federal and state agencies; it also coordinates civil rights
work at UNI and the Board of Regents, State of Iowa. OCEM helps to provide direction for campus-wide efforts that promote a diverse and inclusive campus community. OCEM works with campus units to continue the development of dynamic and inclusive recruitment strategies, including the annual Affirmative Action Plan. OCEM provides members of the UNI community (and appropriate external agencies) with data related to workforce composition. Through its designation as the compliance center for various federal and state regulations, OCEM also receives, and works to resolve, complaints related to alleged violations of civil rights.

Center for Multicultural Education (CME)
The University of Northern Iowa (UNI) CME supports cultural awareness and competence in all UNI students, fosters success in students from all backgrounds at UNI, and promotes the appreciation of diversity on campus. Through programming and services that encourage on-campus involvement for all students, particularly racial and ethnic minority students, CME raises awareness of campus resources available to all students. CME also works with faculty and staff to promote inclusive environments within the classroom, through co- and extra-curricular activities, and by the distribution of educational resources.

Disability Services
UNI has created a central web portal for anyone requesting more information related to disability services on campus: www.uni.edu/disability. Services and support for members of the campus community with a disability are maintained in separate spaces for students, staff, and faculty at UNI. This encourages the continuity of best practices in serving each distinct population. Aside from offices dedicated to supporting access on campus, there are also various groups that are committed to this issue. These offices and groups are listed below.

Student Disability Services (SDS)
The Office of Student Disability Services reports directly to the Dean of Students, and works to provide access to UNI activities while supporting the development of students in their academic and professional careers.

Faculty and Staff Disability Services (FSDS)
This unit, within the UNI Human Resource Services, provides services to accommodate, and promote accessibility for, faculty and staff members.

Coordinating Committee for Disability Accommodations (CCDA)
This committee is comprised of faculty, staff, and students from across campus, and works to improve services, access, and accommodations for members of the UNI campus community with disabilities.

Iowa Vocational Rehabilitation Services (IVRS)
IVRS works with members of the UNI community who have a disability: to support their goals related to employment and independence.

Trans- and International Education Efforts
Office of International Programs (OIP)
The Assistant Provost for International Programs oversees efforts on campus to internationalize the student experience. Through the Study Abroad Center, the Cultural and Intensive English Program, and the Office of International Services, all students at the University have ample opportunities to interact with students from around the world.

Iowa Center for Immigrant Leadership and Integration
This center is a statewide leader for Iowa businesses, service organizations, and communities trying to accommodate and welcome newcomers to their area.

5. Describe the institution's written statements (e.g., vision statements, mission statements, diversity statements, policies, plans) that address issues of diversity, including where the statements are published. Describe how the institution's written statements are communicated directly to department of athletics staff, coaches and student-athletes.

The institution must demonstrate how the institution's and department of athletics' written commitment and expectations related to diversity are communicated directly to department of athletics staff, coaches and student-athletes.

Diversity is a featured value at the University of Northern Iowa (UNI): reflected in UNI goals, policies, and statements. These statements and policies include all members of the UNI community, including staff and students associated with the Department of Athletics.

The same is true for UNI's governing body: the Board of Regents, State of Iowa (Board). Diversity is a key aspect of the Board's 2010-16 Strategic Plan: in it the Board reiterates its commitment to diversity as a core value in all aspects of life at its Regents Institutions (including UNI). Specific information about the Board of Regents, State of
6. Describe how matters concerning diversity issues for department of athletics staff, coaches, and student-athletes are monitored, evaluated and addressed on a continuing basis.

There are several policies and procedures in place to monitor, evaluate, and address diversity issues on a continuing basis at the University of Northern Iowa (UNI). The prevention of unequal treatment and the promotion of affirmative action principles are shared responsibilities at UNI. Therefore, all presidential commissions, committees, resource centers, and individual administrative officials must address issues of bias and/or discrimination. The UNI Office of Compliance and Equity Management oversees the Diversity Matters initiative (www.uni.edu/diversity), which works to provide the UNI campus with a central space for information on events and opportunities related to diversity. Information related to diversity and its position as a key institutional value is included throughout the student's experience at UNI, including during New Student Orientation, in campus programming, and through curricular requirements and co-curricular opportunities. This information is also included in the Panther Planner distributed to students living on-campus during the beginning of each academic year in the Student Handbook (www.uni.edu/deanofstudents).

Twice a week, the Office of University Relations sends an electronic newsletter to the UNI community, including all students, indicating related opportunities and events on campus and elsewhere in the broader community. Events related to diversity and inclusion are often included, if promoted by a student organization, faculty group, or community members. These electronic newsletters are archived at www.uni.edu/unionline.

7. Describe the programs and activities the institution has in place for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of the underrepresented groups or individuals of diverse backgrounds.

The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of under-represented groups or individuals of diverse backgrounds.

Coaches and athletics staff at the University of Northern Iowa (UNI) attended a Diversity Training Workshop in 2005 and again in April of 2010. The workshops were conducted by the NCAA. Another NCAA Advanced Diversity Training Session was conducted in April 2011; this session focused on sexual orientation issues in intercollegiate athletics.

Individual sport programs at UNI have implemented some programming for their specific student-athletes. For
example, head football coach Mark Farley has brought in various experts to speak to his players regarding issues of race, violence, and campus culture; this is an annual practice. Further anecdotal evidence was found by the Gender Equity, Diversity, and Student-Athlete Well-Being Subcommittee through conversations with people involved in individual sport programs. The subcommittee recommends that a monitoring process of these programs and activities be established. That recommendation is part of the Gender Equity, Diversity, and Student-Athlete Well-Being Plan for Improvement.

8. Describe how the institution actively recruits department of athletics staff, coaches and student-athletes from underrepresented groups or diverse backgrounds including a description of actions and strategies taken to increase diversity.

The institution must demonstrate through actions and strategies how it actively recruits department of athletics staff, coaches, and student-athletes from underrepresented groups or diverse backgrounds from those currently represented in athletics.

As part of its institutional mission, the University of Northern Iowa (UNI) is committed to building and maintaining diverse faculty, staff, and student body populations as part of its campus community. These values are incorporated into specific criteria for conducting UNI hiring processes for any faculty and staff: processes that manifest various related criteria set by UNI to reflect its values (see also the answer to #9 below).

The athletics department’s recruitment of staff, including coaches, is done in the same manner that all other departments on campus hire staff: these hires must be accomplished according to those campus-wide processes and values-based criteria. All of this is overseen as part of the standard Human Resources/Office of Compliance and Equity Management hiring process at UNI. For example, job ads are strategically placed in locations that may help garner a diverse pool of applicants. Search committees for all vacancies are expected to include representation from underrepresented populations. Efforts to increase diversity at UNI include: networking with peers to identify candidates from underrepresented populations (specifically women and persons of color); consulting with organizations such as the NCAA, Missouri Valley Conference, National Association of Collegiate Directors of Athletics NACDA, and the organization called the Black Coaches and Administrators (BCA).

Such efforts have resulted in diverse pools for UNI coaching positions. And, as a result of those efforts, UNI has minority coaches in Women’s Basketball (Head Coach), Men’s Basketball, Soccer, Football, Tennis (Head Coach), Volleyball, and athletics administration.

The recruitment of student-athletes at UNI is done by members of the coaching staff for each sports squad. Coaches are encouraged to recruit a diverse population of athletes. In the past, this has been incentivized by having access to additional scholarship dollars that allows coaches to recruit ethnic minorities. In addition, the UNI Department of Athletics works in conjunction with the UNI Office of Admissions to collectively recruit a diverse population of students, including international students, who may quality for diversity-based scholarships and grants. The athletics department received funding for athletics aid specifically for this purpose for all sports. For example, "diversity scholarships" were provided to offset the cost of recruiting out-of-state females and ethnic/racial minorities. These students were awarded athletics aid that covered the difference between in-state and out-of-state tuition.

The results of this program did increase the numbers of minority student-athletes at UNI. For example, during the 2005-06 academic year, UNI managed a net increase of 19 minority student-athletes in UNI athletics department programming: significant gains were made in men’s basketball (4), football (5), men’s track & field (4), women’s soccer (2) and women’s swimming (2).
9. Describe institutional and department of athletics hiring practices to ensure the department of athletics demonstrates a commitment to diversity in hiring procedures for department of athletics staff and coaches. Compare and explain any differences that exist between institutional hiring practices and department of athletics hiring practices. Please provide the date of your most recent assessment and comparison of the institution's and athletics department's hiring practices. Note: this assessment and comparison must occur at least once every five years.

The institution must provide evidence that an assessment and comparison of the institution's and department of athletics' hiring practices has occurred at least once every five years.

The University of Northern Iowa (UNI) is committed to hiring and maintaining a diverse workforce. The UNI Department of Athletics complies with and abides by the standard hiring practices developed at UNI to ensure the accomplishment of those goals: athletics department hiring practices do not differ from the standards and practices established by the UNI Human Resource Services and the Office of Compliance and Equity Management.

For all searches completed by the athletics department, the search committee is comprised of one or more females, as well as one or more ethnic minorities. All search committee members are instructed to actively seek out qualified candidates in order to create a diverse pool from which the department may select its finalists for each position. Search committees are reminded of the importance of diversity and are urged to network with professional communities to generate leads on potential candidates (see also the answer to #8, above).

The Associate Director of Athletics/Internal Operations Steve Schofield and the Assistant Business Manager Kelly Destival work closely with UNI Human Resource Services and the Office of Compliance and Equity Management to ensure that UNI hiring guidelines are followed by the department. Since athletics department hiring practices are reviewed on a case by case basis in concert with institutional hiring practices, there has been no formal assessment undertaken. However, the subcommittee charged with this part of the UNI self-study review, recommends conducting such formal assessments in the future, which is now part of the Gender Equity, Diversity, and Student-Athlete Well-Being Plan for Improvement.

10. Describe institutional and department of athletics polices related to the use of outside firms (e.g., search firms) and truncated or expedited hiring processes. Describe the actual hiring practices used by your institution since the previous self-study for any positions (e.g., coaches, staff) determined to be high profile at your institution.

The institution must demonstrate a commitment to diversity in all athletics department hiring efforts, including those involving outside firms (e.g., search firms) and truncated or expedited processes.

There is no University of Northern Iowa (UNI) Department of Athletics policy regarding the use of outside search firms. Historically, such firms have only been used for official institutional positions (president, provost, dean) and then, at the discretion and direction of the president of UNI and/or of the Board of Regents, State of Iowa.

High profile hires since October 2003: Cycle 2

March, 2006 = Head Men's Basketball Coach: A search was not completed for this position because an assistant coach at UNI was promoted to the head coach position.

April, 2007 = Head Women's Basketball Coach: A competitive external search was conducted for this vacancy. Candidates were brought to campus for in-person interviews with the search committee, student-athletes, community members, and other athletics staff members. The committee then forwarded a set of candidates to the Director of Athletics who made the final choice and extended the offer. This search resulted in the hiring of an African American female.

May, 2008 = Director of Athletics: A competitive external search was conducted for this vacancy. Phone screens of potential candidates were conducted by a search committee comprised of both campus and community representatives. Finalists were brought to campus for full interviews, including forums open to the public. The committee then forwarded a set of candidates to the Vice President for Administrative and Financial Services who made the final choice and extended the offer.

May, 2010 = Head Wrestling Coach: A competitive external search was conducted for this vacancy. Candidates were brought to campus for in-person interviews with the search committee, student-athletes, community members,
and other athletics staff members. The committee then forwarded a set of candidates to the Director of Athletics who made the final choice and extended the offer.

11. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for the following:

   a. Full-time senior administrative department of athletics staff members (i.e., assistant director of athletics up through the director of athletics level);
   b. Other full- and part-time professional (i.e., nonclerical) department of athletics staff members (such as directors of operations, athletic trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the department of athletics);
   c. Full- and part-time head coaches;
   d. Full- and part-time assistant coaches (including graduate assistant and volunteer coaches);
   e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and
   f. Other advisory or policy-making group (e.g., governing board subcommittee for athletics, student athlete advisory committee) members (if any).

The following are the conclusions of the Diversity working group and Gender Equity, Diversity, and Student-Athlete Well-Being subcommittee of UNI's NCAA Certification Self-Study Steering Committee.

In the working group and subcommittee's analysis of personnel data from 2008-2011, it was noted that:

- The number of racial/ethnic minorities on the senior administrative staff went from zero to one while the number of White senior staff dropped from nine to five.
- The racial breakdown of head coaches:
  - the number of Black/African Americans remain at one;
  - the number of non-resident alien head coaches went from one to two.
- Assistant coaching (both full- and part-time) staff numbers remained relatively steady for the years reviewed.
- For all Department of Athletics positions during the three year timeframe: the number of Black/African Americans (4), Hispanic/Latinos (1), and non-resident aliens (1) remained the same; full-time staff of two or more races increased by one; White full-time staff decreased by 13; White part-time staff increased by 5.
- The racial makeup of the Intercollegiate Athletics Advisory Council increased by one Asian member and one Black/African American member, while the number of White committee members went down by one from 2008-2011.

In the sub-committee's review of these data, it was noted that despite following UNI hiring policies and procedures, the athletics department maintained steady numbers in regard to the ethnic/racial composition of its staff. There have also been instances where attempts were made at hiring both females and ethnic/racial minorities where candidates either withdrew from the process or turned down job offers. The committee agreed that this issue should be addressed in the UNI Plan for Improvement and made it so.

12. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for student-athletes who received athletics aid and for all students.

During the three-year period 2007-10, the number of students-athletes receiving athletics aid changed in the following manner: Asian recipients went from 1 to 0; Black/African American recipients increased by four; Hispanic/Latino recipients decreased by 1; White recipients decreased by 18 from 233 to 215; Non-Resident Aliens decreased by 12; American Indians remained the same.

In comparison to all students on campus, the percentage of Black/African American student-athletes is regularly greater than the general student body (approximately 17% vs. 2%). The percentage of Asian and Hispanic/Latino student-athletes lags behind the entire student population (only one student-athlete over the three-year period vs. greater than 100 undergraduate population students). The Non-Resident Alien population of student-athletes is several percentage points higher than for the campus (5.3% vs. 1.4% average over the three-year period). The percentage of White student-athletes is approximately 72% over the three-year period, while the percentage of all
13. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the NCAA Federal Graduation Rates Report.

Football has the greatest number of Black/African America student-athletes of any of the UNI sports squads (though it also has by far the largest roster of student-athletes for any UNI program); that number further increased by six in the three-year period. Several other UNI sports have Black/African American student-athletes including men’s basketball, men’s track and cross country, women’s basketball, and others: numbers per team roster range from two to four.

The number of Non-Resident Aliens has decreased from 23 in 2007-08 to 11 in 2009-10. Two factors have caused this change: shifting emphasis from recruiting internationally to recruiting domestically (particularly in track and field) due to financial constraints, and the elimination of the baseball program following the 2008 season.

Annually, the majority of student-athletes at UNI are White (over 70%).

14. Using the program areas for diversity issues:

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

b. Provide data demonstrating the institution’s status and commitment across each of the four areas;

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution’s narrative response as listed in item (c) above.

The institution must conduct a thorough and written review of each of the four program areas for diversity issues. Please see program area definitions located in the Equity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution’s diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

The review must:

a. Describe how the institution has ensured a complete study of each of the four program areas for diversity issues. This study should be conducted as part of the self-study process;

Please note that for the program area of assessment, the use of student-athlete exit interviews alone does not constitute a complete assessment for purposes of the self-study. An institution may choose to include student-athlete exit interviews as part of a broader assessment conducted, but the institution must ensure that an assessment of the entire department of athletics has been conducted in respect to diversity issues.
b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes, coaches, and department of athletics staff with diverse racial, ethnic and other backgrounds. Please note any deficiencies should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four program areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

1. Assessment. Assessment of department of athletics activities to evaluate consistency with objectives set forth in the institution's and department of athletics' written diversity statements; assessment of campus diversity climate through evaluation of various campus constituencies using the five diversity program areas.

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of the four program areas (that are subsets to item #14) by conducting a comprehensive broad-based review of Operating Principle 3.2 as part of its cycle 3 NCAA Certification Self-Study. UNI President Benjamin Allen carefully selected members of a Steering Committee for that self-study, chaired by Dr. Cliff Chancey, Department Head and Professor of Physics. Three subcommittees were also constituted, to ensure that the self-study involved broad-based campus and community participation: one such subcommittee, the Gender Equity, Diversity, and Student-Athlete Well-Being subcommittee, completed this aspect of the self-study. The Steering Committee was responsible for the general direction of the self-study, monitored the work and progress of the subcommittees, and, ultimately, approved the self-study report, including its plans for improvement. The President and Athletic Director were both members of the Steering Committee.

The Gender, Diversity, and Student-Athlete Well-Being subcommittee was chaired by Leah Gutknecht, Assistant to the President for Compliance and Equity Management. Because of the broad scope of the task, relative to Operating Principles 3.1, 3.2 and 3.3, three smaller working groups were created to focus on Gender, Diversity, and Student-Athlete Well-Being respectively. An athletics department senior management team member was assigned to each of the smaller working groups with data collection, report writing, and administrative duties.

In preparation for the self-study, the full subcommittee met to discuss Operating Principles 3.1, 3.2, and 3.3, to assemble materials needed for dissemination to subcommittee members, and to outline the schedule and agenda for the self-study process and subcommittee meetings. Meetings of the full subcommittee were designed to share information, ask questions, and ensure active participation across the full subcommittee in the work of each of the three smaller working groups. Information and data were gathered by each working group in order to evaluate and respond to the self-study items under each of the Operating Principles. Documents and working drafts were posted on a share-site for all subcommittee and steering committee members to access as the work unfolded.

The Diversity working group and the full subcommittee included broad-based campus and community participation. The Diversity working group's evaluation of, and responses to, the self-study items were comprehensively reviewed, edited, and approved by the full subcommittee and ultimately by the UNI NCAA Certification Self-Study Steering Committee. Information about the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20, and 21, 2011.
This process ensured a complete, comprehensive study of the program areas set forth in Operating Principle 3.2.

b. Provide data demonstrating the institution’s status and commitment across each of the four areas;

UNI's Student Athletes Advisory Committee (SAAC) is a leadership group that provides an outlet for student-athletes to discuss issues specific to dealing with the rigors of student-athlete life. This committee serves as a source of information on issues affecting student-athletes and as a liaison between student-athletes, coaches and administration; the Missouri Valley Conference (MVC); and, the National Collegiate Athletic Association (NCAA). SAAC offers input on rules, regulations, and policies that directly affect the life of the student-athlete. SAAC provides opportunities to meet with peers and to develop a social support system. Two members of SAAC serve as voting members of the Intercollegiate Athletic Advisory Council (IAAC); ensuring gender and racial diversity on SAAC are important factors when making those appointments. SAAC representatives attend IAAC meetings and act as a liaison between student-athletes and the athletics administration. They are encouraged to bring to the IAAC issues voiced at SAAC monthly meetings so the athletics administration can work to improve the student-athlete's experience.

The student-athlete annual survey and exit interview process is another opportunity to assess the department's diversity and gender initiatives. Student-athletes can express orally, and in writing, their opinions and concerns regarding sportsmanship and ethical conduct issues. All completed surveys and comments from any in-person interviews with sports supervisors are forwarded to the UNI Faculty Athletic Representative (FAR) and to the UNI Office of Athletics Compliance for review and inclusion in the student-athlete's file. Sports supervisors bring issues of concern to the UNI Director of Athletics. The athletics department has historically conducted exit interviews after student-athletes exhaust their eligibility, in fall 2010, the department began also conducting student-athlete surveys on an annual, year-end basis to be in a better position to address the concerns of student-athletes during their athletics careers at UNI.

In their role as sport supervisor each senior athletics administration staff member is responsible for supervising the head coach of their respective sport and overseeing all sport operations (see item #8 in 1.2). The sport supervisor is present at all home competitions, meets regularly with the head coach, and has an open door policy for all student-athletes. In this role, the sport supervisor is available to the coaching staff and student-athletes of respective sports to discuss any concerns and to assess the state of the program. A number of student-athletes from their respective sport meet regularly with the head coach to discuss any issues of concern.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

UNI athletics demonstrates a commitment to assessment by providing annual surveys to all student-athletes regarding their athletics and academic experience, exit interviews with all student-athletes who exhaust their eligibility, team councils, the Student Athletes Advisory Committee, and staff data to assess athletics department progress toward achieving its diversity goals. UNI athletics uses survey feedback and recommendations to improve the quality of a student-athlete's athletic and academic experience. Human Resource Services conducts exit interviews regarding work climate with departing employees.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.

UNI and its Department of Athletics commitment and organization to support diversity will continue to be monitored and evaluated annually, as described in UNI's new Diversity Plan (see item #15 below).
2. Retention. Programs and services to address retention and acclimation of diverse staff, coaches and student-athletes; review of retention and promotion of staff and coaches who are members of under represented groups, including professional development opportunities (e.g., mentoring programs), compensation, duration of contracts, conditions relating to contract renewal.

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of the four program areas (that are subsets to item #14) by conducting a comprehensive broad-based review of Operating Principle 3.2 as part of its cycle 3 NCAA Certification Self-Study. UNI President Benjamin Allen carefully selected members of a Steering Committee for that self-study, chaired by Dr. Cliff Chancey, Department Head and Professor of Physics. Three subcommittees were also constituted, to ensure that the self-study involved broad-based campus and community participation: one such subcommittee, the Gender Equity, Diversity, and Student-Athlete Well-Being subcommittee, completed this aspect of the self-study. The Steering Committee was responsible for the general direction of the self-study, monitored the work and progress of the subcommittees, and, ultimately, approved the self-study report, including its plans for improvement. The President and Athletic Director were both members of the Steering Committee. The Gender, Diversity, and Student-Athlete Well-Being subcommittee was chaired by Leah Gutknecht, Assistant to the President for Compliance and Equity Management. Because of the broad scope of the task, relative to Operating Principles 3.1, 3.2 and 3.3, three smaller working groups were created to focus on Gender, Diversity, and Student-Athlete Well-Being respectively. An athletics department senior management team member was assigned to each of the smaller working groups with data collection, report writing, and administrative duties. In preparation for the self-study, the full subcommittee met to discuss Operating Principles 3.1, 3.2, and 3.3, to assemble materials needed for dissemination to subcommittee members, and to outline the schedule and agenda for the self-study process and subcommittee meetings. Meetings of the full subcommittee were designed to share information, ask questions, and ensure active participation across the full subcommittee in the work of each of the three smaller working groups. Information and data were gathered by each working group in order to evaluate and respond to the self-study items under each of the Operating Principles. Documents and working drafts were posted on a share-site for all subcommittee and steering committee members to access as the work unfolded. The Diversity working group and the full subcommittee included broad-based campus and community participation. The Diversity working group’s evaluation of, and responses to, the self-study items were comprehensively reviewed, edited, and approved by the full subcommittee and ultimately by the UNI NCAA Certification Self-Study Steering Committee. Information about the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011. This process ensured a complete, comprehensive study of the program areas set forth in Operating Principle 3.2.

b. Provide data demonstrating the institution’s status and commitment across each of the four areas;

The Liberal Arts Core (LAC) curriculum at the University of Northern Iowa (UNI) is the set of general education requirements that all undergraduates must complete (in addition to their major, department, and college requirements) in order to earn their bachelor's degrees. Student-athletes at UNI are required to complete the LAC just as every other UNI student must. One of the stated goals for the LAC is: “Students explore diverse cultural values and intellectual perspectives with the skills and knowledge learned in their LAC courses. These perspectives guide students in their understanding and respect for different cultures and principles, their engagement in local, national and global communities, and their development of innovative approaches to challenges they will face in their personal, social, and professional lives.” Coaches’ salaries are competitive at the conference, regional, and national levels. Head coach contracts for men's and women's sports are negotiated prior to hire. While most contracts are for a one-year period, the athletics director has the discretion to offer multi-years deals. All coaches within the department are
subject to an annual performance review. Coaches are evaluated in multiple categories, including Competitive Performance, Academic Performance, NCAA Compliance, and Gender Equity. Departmental benefits associated with coaching position are provided without regard to race or ethnicity (e.g., courtesy cars, automobile stipends, cell phone allowances, complimentary tickets). However, the Gender, Diversity, and Student-Athlete Well-Being subcommittee working group on gender has identified courtesy cars as an issue of concern in regard to males/females that will be addressed in the UNI Plan for Improvement. There is no indication that any other discriminatory factors come into play in regard to any of these areas.

Total compensation packages vary among head and assistant coaches, but differences in compensation are due to legitimate nondiscriminatory factors including, but not limited to, market values, qualifications or experience levels, and past performances for the program (see various discussions of this subject in section 3.1). The athletics department conducts periodic market analysis and reviews the salaries of coaches to determine whether adjustment should be awarded. This analysis includes a review of coaches in the same sport with similar experience and professional recognition and success rates within the Missouri Valley Conference, regionally, and nationally.

The Athletics Academic Advising Office provides programming to student-athletes through the CHAMPS/Life Skills class (recently renamed: Strategies for Academic Success). The program is designed to assist student-athletes' personal growth by ensuring that each student-athlete is provided with the building blocks for a rewarding collegiate experience and professional career. Student-athletes are encouraged to make a commitment to the five key components of the CHAMPS/Life Skills Program: Academic Excellence, Athletic Excellence, Personal development, Career Development and Service. This programming is primarily offered to first-year student-athletes in the form of a for-credit class.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

The athletics department provides programming and support services for staff and student-athletes to assist in the retention of both. Data are analyzed both internally and by outside entities on an annual basis to assess the department's progress toward retention goals in support of UNI's diversity efforts. In addition, the athletics department partners with other UNI campus units to assist in diversity programming and services provided staff and student-athletes. Because UNI has a strong dedication to creating and maintaining a diverse community, campus-wide resources are readily available to the athletics department to help it meet its diversity goals.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.

UNI and its Department of Athletics commitment and organization to support diversity will continue to be monitored and evaluated annually, as described in UNI's new Diversity Plan (see item #15 below).

3. Partnerships. Collaboration and integration between athletics department and other institutional units or external organizations to enhance diversity efforts in programs, activities and services.

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of the four program areas (that are subsets to item #14) by conducting a comprehensive broad-based review of Operating Principle 3.2 as part of its cycle 3 NCAA Certification Self-Study. UNI President Benjamin Allen carefully selected members of a Steering Committee for that self-study, chaired by Dr. Cliff Chancey, Department Head and Professor of Physics. Three subcommittees were also constituted, to ensure that the self-study involved broad-based campus and community participation: one such subcommittee, the Gender Equity, Diversity, and Student-Athlete Well-Being subcommittee, completed this aspect of the self-study. The Steering
Committee was responsible for the general direction of the self-study, monitored the work and progress of the subcommittees, and, ultimately, approved the self-study report, including its plans for improvement. The President and Athletic Director were both members of the Steering Committee. The Gender, Diversity, and Student-Athlete Well-Being subcommittee was chaired by Leah Gutknecht, Assistant to the President for Compliance and Equity Management. Because of the broad scope of the task, relative to Operating Principles 3.1, 3.2 and 3.3, three smaller working groups were created to focus on Gender, Diversity, and Student-Athlete Well-Being respectively. An athletics department senior management team member was assigned to each of the smaller working groups with data collection, report writing, and administrative duties.

In preparation for the self-study, the full subcommittee met to discuss Operating Principles 3.1, 3.2, and 3.3, to assemble materials needed for dissemination to subcommittee members, and to outline the schedule and agenda for the self-study process and subcommittee meetings. Meetings of the full subcommittee were designed to share information, ask questions, and ensure active participation across the full subcommittee in the work of each of the three smaller working groups. Information and data were gathered by each working group in order to evaluate and respond to the self-study items under each of the Operating Principles. Documents and working drafts were posted on a share-site for all subcommittee and steering committee members to access as the work unfolded.

The Diversity working group and the full subcommittee included broad-based campus and community participation. The Diversity working group's evaluation of, and responses to, the self-study items were comprehensively reviewed, edited, and approved by the full subcommittee and ultimately by the UNI NCAA Certification Self-Study Steering Committee. Information about the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20, and 21, 2011.

This process ensured a complete, comprehensive study of the program areas set forth in Operating Principle 3.2.

b. Provide data demonstrating the institution's status and commitment across each of the four areas;

The UNI athletics department is committed to diversity programming and works with both institutional units and outside entities to further its diversity objectives. For example, within UNI, the department has partnered with the Office of Human Resources, Office of Compliance and Equity Management, Office of International Programs, and the Center for Multicultural Education. Athletics academic advisors work very closely with the Academic Learning Center (ALC) to assist UNI student-athletes' matriculation and retention on an annual basis. The ALC provides contact information and reviews learning strategies and support services available for minority students through their office.

Outside UNI, the department has worked with, among others, the organization called the Black Coaches and Administrators (BCA) and Minority Opportunities Athletic Association (MOAA). In addition, the department has offered its facilities for other campus units to use for related meetings, events, and activities.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

The UNI athletics department takes advantage of partnerships with campus units to assist in creating and maintaining a diverse workforce and student-athlete population. Because of UNI’s commitment to diversity, the department partners with many of the campus offices and programs described in answer to item #4 (above in 3.2). These partnerships need to be enhanced, however, as there are additional opportunities for integration that the athletics department may not be utilizing currently; that recommendation is in the Plan for Improvement.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.
UNI and its Department of Athletics commitment and organization to support diversity will continue to be monitored and evaluated annually, as described in UNI's new Diversity Plan (see item #15 below).

4. Participation in governance and decision making. Involvement of department of athletics staff, coaches and student-athletes from under-represented groups or diverse backgrounds in the governance and decision-making processes of the department of athletics; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and department of athletics staff and coaches (e.g., participation at the conference and/or national level).

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

The University of Northern Iowa (UNI) ensured a complete study of the four program areas (that are subsets to item #14) by conducting a comprehensive broad-based review of Operating Principle 3.2 as part of its cycle 3 NCAA Certification Self-Study. UNI President Benjamin Allen carefully selected members of a Steering Committee for that self-study, chaired by Dr. Cliff Chancey, Department Head and Professor of Physics. Three subcommittees were also constituted, to ensure that the self-study involved broad-based campus and community participation: one such subcommittee, the Gender Equity, Diversity, and Student-Athlete Well-Being subcommittee, completed this aspect of the self-study. The Steering Committee was responsible for the general direction of the self-study, monitored the work and progress of the subcommittees, and, ultimately, approved the self-study report, including its plans for improvement. The President and Athletic Director were both members of the Steering Committee. The Gender, Diversity, and Student-Athlete Well-Being subcommittee was chaired by Leah Gutknecht, Assistant to the President for Compliance and Equity Management. Because of the broad scope of the task, relative to Operating Principles 3.1, 3.2 and 3.3, three smaller working groups were created to focus on Gender, Diversity, and Student-Athlete Well-Being respectively. An athletics department senior management team member was assigned to each of the smaller working groups with data collection, report writing, and administrative duties.

In preparation for the self-study, the full subcommittee met to discuss Operating Principles 3.1, 3.2, and 3.3, to assemble materials needed for dissemination to subcommittee members, and to outline the schedule and agenda for the self-study process and subcommittee meetings. Meetings of the full subcommittee were designed to share information, ask questions, and ensure active participation across the full subcommittee in the work of each of the three smaller working groups. Information and data were gathered by each working group in order to evaluate and respond to the self-study items under each of the Operating Principles. Documents and working drafts were posted on a share-site for all subcommittee and steering committee members to access as the work unfolded.

The Diversity working group and the full subcommittee included broad-based campus and community participation. The Diversity working group's evaluation of, and responses to, the self-study items were comprehensively reviewed, edited, and approved by the full subcommittee and ultimately by the UNI NCAA Certification Self-Study Steering Committee. Information about the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011. This process ensured a complete, comprehensive study of the program areas set forth in Operating Principle 3.2.

b. Provide data demonstrating the institution's status and commitment across each of the four areas;

The Department of Athletics at the University of Northern Iowa (UNI) is committed to a diverse population of student-athletes and staff participating in the governance and decision-making process of the department.

The Student-Athlete Advisory Committee (SAAC) provides a forum for student-athletes to discuss a number of athletics related issues, policies, and procedures, including gender and diversity issues. Committee representation includes a diverse population of student-athletes. Each head coach nominates representatives to serve on SAAC for the academic year. SAAC's staff contact is a full-time Athletics Academic Advising staff member. This person is responsible for overseeing SAAC meetings and activities.
Coaches are not permitted to be present at SAAC meetings without being invited: this encourages free and open discussion of issues. Issues of particular concern to student-athletes are communicated to sports supervisors and the Director of Athletics by the SAAC Co-Presidents and the SAAC staff contact. UNI's Faculty Athletic Representative (FAR) attends SAAC meetings several times a year.

SAAC meets monthly to discuss issues of interest to student-athletes pertaining to their educational, personal, and athletics lives at UNI. SAAC members can make recommendations concerning policy to the Athletics Director and Athletics Council for their review and consideration. SAAC is also actively involved in governance. SAAC meets to discuss potential NCAA legislation and votes on recommendations with these recommendations forwarded to the Missouri Valley Conference.

The student-athlete annual survey and exit interview process provide additional opportunities to evaluate the effectiveness of athletics department diversity and gender initiatives. Student athletes can express orally, or in writing, their opinions and concerns regarding sportsmanship and ethical conduct issues. All completed surveys and comments from any in-person interviews with sports supervisors are forwarded to the Faculty Athletic Representative (FAR) and to the Office of Athletics Compliance for review and inclusion in the student-athlete's file. Sports supervisors bring issues of concern to the Director of Athletics. While athletics has historically conducted exit interviews after student-athletes exhaust their eligibility, in fall 2010, the department began conducting student-athlete surveys on an annual, year-end basis to be in a better position to address the concerns of student-athletes during their athletic careers at UNI.

In this role as "sport supervisor," the staff member is responsible for supervising the head coach of the respective sport and overseeing all sport operations. The sport supervisor is present at all home competitions, meets regularly with the head coach and has an open door policy for all student-athletes. In this role, the sport supervisor is available to the coaching staff and student-athletes of respective sports to discuss any concerns. A number of student-athletes from their respective sport meet regularly with the head coach to discuss any issues of concerns.

Student-athletes are also provided the opportunity to participate in governance and decision making by their appointment to the IAAC. Annually two representatives from varsity sports (one male and one female) are appointed as voting members of the athletic council. These appointments are typically the co-presidents of SAAC. In addition, each sport is supervised by a member of Athletics' senior staff. Additionally, numerous minority and female coaches and staff participate in the governance and decision-making within the department, as well as at the conference (MVC) and national (NCAA) level. For example, the head women's tennis coach is a member of the NCAA Division I Tennis Committee.

Coaches participate in governance and decision-making through meetings with the Athletics Director and key administrative staff, during which time there are given an opportunity to address any issues or concerns that may have. These meetings also provide a forum whereby the coaches can discuss amongst themselves common issues and serve as a sounding board for other coaches. These meetings are held at the discretion of the Athletics Director on an as-needed basis. Additionally, every search committee includes at least one minority member to provide a forum for opinion and decision-making at the hiring level.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

The Department of Athletics is committed to a diverse population of staff and student-athletes participating in governance and decision-making by ensuring that student-athletes from diverse backgrounds participate in the Student-Athlete Advisory Committee (SAAC), have opportunity to provide candid feedback through one-on-one meetings with sport supervisors and annual surveys and on occasion are nominated to participate on Conference and National student-athlete committees.

Diverse staff are provided the opportunity to participate in Athletics, MVC and the NCAA governance and decision making process through coaches meetings, senior-level staff meetings, sport supervisor assignments and nomination to MVC and national professional committees and associations.

The Missouri Valley Conference has numerous committees on which Athletics staff participate, including sport committees, SWA, Athletic Director, FAR, Compliance, SAAC, etc.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.
15. Using the "plan for improvement" section, provide an institutional diversity-issues plan that addresses all four aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee. If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution’s status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution's diversity-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non-numeric hiring goals. As it relates to other program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

16. Describe how the institution will periodically compare its diversity-issues plan with its assessment of the campus diversity climate (see Program Area No. 1) using the four diversity program areas to determine if the course of action is still appropriate. Further, provide the names and titles of the individuals who will be responsible for this review.

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis to determine if the course of action is still appropriate. This information must be included in the institution's diversity-issues plan.

The institution must compare its diversity-issues plan with its written assessment of the campus diversity climate (see Program Area No. 1) at least once every four years, to determine if the course of action is still appropriate.

The Athletics Diversity Issues Committee, comprised of representatives from within and outside of Athletics, and chaired by the Associate Athletic Director/Internal Operations will annually provide a written update on the Diversity Issues Plan including data related to the key components outlined in Question #15 above. This report will be shared with the Athletics Director and the senior management team of the athletics department. In addition, the report will be shared with President Ben Allen, Vice President Tom Schellhardt, Faculty Athletics Representative (FAR) Dr. Anne Woodrick (Dr. Lisa Jepsen assumes that role in 2011-16) and Assistant to the President for Compliance and Equity Management Leah Gutknecht. UNI's FAR shall share the report with the Athletics Compliance Council (which includes athletics compliance and academic advising) and the IAAC. In addition the report will be shared with each sport program, the SAAC, and the Panther Scholarship Club (PSC) Board of Directors.

17. Describe the institution’s efforts to ensure the diversity-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.
*If a plan concludes before the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan was ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle.

If a plan concludes prior to the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan was ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the applicable operating principle. Please note that all institutional plans must contain all of the committee's required elements.

The institution's diversity-issues plan must include the following requirements:

a. Include identification of issues or problems confronting the institution.
b. Include the measurable goals the institution intends to achieve to address issues or problems.
c. Include the specific steps the institution will take to achieve its goals.
d. Include a specific timetable(s) for completing the work.
e. Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.

Further, the institution's diversity-issues plan must meet the following requirements:

a. Be committed to paper and be a stand-alone document.
b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.
c. Must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.

UNI's 2004-2009 Minority Equity Plan was reviewed for input and comment by a broad-based constituency on campus, including the following:

- Intercollegiate Athletic Advisory Committee (IAAC)
- Committee on Athletics Compliance
- President Robert Koob
- Vice President Tom Schellhardt
- Steering Committee Chair Susan Koch
- Office of Compliance and Equity Management (OCEM)
- UNI Athletics Compliance staff
- UNI Senior Woman Administrator
- Athletic Department Senior Management
- Athletic Academic Advisor
- Registrar
- Chair of the Student-Athlete Advisory Committee (SAAC)

The University of Northern Iowa (UNI), during the current NCAA self-study recertification process, developed a new Gender, Diversity, and Student-Athlete Well-being Plan for Improvement, which is included with this report. It is comprised by UNI's Gender Equity Plan for 2011-16; and UNI's Diversity Issues Plan. The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Gender, Diversity, and Student-Athlete Well-being subcommittee; Steering Committee Chair Dr. Clifton Chancey; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletics department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports, which included the Gender, Diversity, and Student-Athlete Well-Being Plan for Improvement, to members of the President's Cabinet and UNI Academic Affairs Council.
The Gender, Diversity, and Student-Athlete Well-Being Plan for Improvement along with information relative to the self-study process and meeting notices were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011. After review, the plan was ultimately approved by President Ben Allen.
### Elements

<table>
<thead>
<tr>
<th>Program Area</th>
<th>Issues in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
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<tr>
<td>Assessment.</td>
<td>Athletics department does not adequately collect and review data related to monitoring the department's commitment to diversity.</td>
<td>All of the department's activities related to diversity initiatives are annually monitored and reviewed.</td>
<td>Include written goals and objectives related to the commitment to diversity as part of the senior staff’s strategic planning process and communicate them. A senior staff member, appointed by the Athletic Director, will be assigned responsibilities related to diversity initiatives and will be responsible for collecting data designed to assess progress toward achieving the athletics department's written goals and objectives. Create a survey instrument from which data will be collected concerning diversity issues; reviewed by senior staff and the IAAC annually. Demographic data on student-athletes/staff/coaches to be reviewed by senior staff and the IAAC annually</td>
<td>Athletics Director; SWA; Associate AD/Internal Ops; FAR; IAAC; Athletic Compliance Council</td>
<td>Fall 2011 and ongoing each year subsequent</td>
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<tr>
<td>Retention.</td>
<td>No issues identified during self-study</td>
<td>Minority student-athletes, staff and coaches are retained in their positions within the Department of Athletics.</td>
<td>Continue to monitor and evaluate retention of minority student-athletes, coaches and staff. Continue to collect salary and compensation data and other resources. Continue to provide professional development opportunities and training for minority coaches and staff. Continue to provide personal and career development opportunities for minority student-athletes. Continue to monitor and evaluate graduation rates and APR of minority student-athletes.</td>
<td>Athletics Director; sport supervisors; Head Coaches; Athletic Compliance Council</td>
<td>Fall 2011 and ongoing each year subsequent</td>
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<tr>
<td>Partnerships.</td>
<td>Athletics department does not adequately utilize existing campus programs/departments to enhance diversity for student-athletes, coaches and staff.</td>
<td>The athletic department partners with the campus community to promote diversity to student-athletes, coaches and staff.</td>
<td>Initiate partnerships with campus community and utilize campus resources to promote annual diversity programming to student-athletes, coaches and staff, including: OCEM, CME, OIP, etc.</td>
<td>Athletics Director; SWA; senior athletics staff</td>
<td>Fall 2011 and ongoing each year subsequent</td>
</tr>
</tbody>
</table>
### Participation in governance and decision making.

**Program Area:** Participation in governance and decision making.

**Issues in the Self-Study:** Minority student-athletes are not aware of leadership opportunities within the department.

**Measurable Goals:** Information on leadership opportunities in the department, conference level and national level are regularly communicated to minority student-athletes.

**Steps to Achieve Goals:** Target minority student-athletes on each team to inform about leadership opportunities and encourage their participation.

**Individuals/Officers Responsible for Implementation:** SWA; head coaches

**Specific Timetable for Completing the Work:** Beginning in fall 2011 and ongoing thereafter.

### Participation in Governance and Decision Making

**Program Area:** Participation in Governance and Decision Making

**Issues in the Self-Study:** Lack of minority representation on IAAC and other department committees.

**Measurable Goals:** The selection of diverse representation on the department's committees is a priority for coaches and athletic administration.

**Steps to Achieve Goals:** Target minority representatives to generate interest in serving on IAAC and other department committees such as Compliance Council, Panther Scholarship Club Board, etc.

**Individuals/Officers Responsible for Implementation:** VPAF; Athletics Director

**Specific Timetable for Completing the Work:** Beginning in fall 2011 and ongoing thereafter.

### Institutional and Athletics Department Commitment and Organization

**Program Area:** Institutional and Athletics Department Commitment and Organization

**Issues in the Self-Study:** Institution diversity statement not adequately communicated to staff, coaches, and student-athletes (Diversity Definition, Vision, Mission and Strategic Priorities)

**Measurable Goals:** The institution statement is communicated annually to coaches, staff and student-athletes

**Steps to Achieve Goals:** Include in athletics department policies and procedure manuals and handbooks. Post on athletics department website. Review at least once annually at all staff meetings.

**Individuals/Officers Responsible for Implementation:** Athletics Director; Associate AD/Internal Ops; Assistant AD/Media Relations

**Specific Timetable for Completing the Work:** Immediate and ongoing each subsequent semester

### Recruitment

**Program Area:** Recruitment

**Issues in the Self-Study:** Recruitment of student-athletes: no issues identified during self-study.

**Measurable Goals:** The recruitment of student-athletes by all programs is annually reviewed to ensure equitable opportunities are provided.

**Steps to Achieve Goals:** Senior staff person with primary responsibility for diversity plan will monitor and evaluate that opportunities for the recruitment of student-athletes and the expenditures related to that recruitment.

**Individuals/Officers Responsible for Implementation:** Athletics Director; sport supervisors

**Specific Timetable for Completing the Work:** Fall 2011 and ongoing each year subsequent

### Recruitment

**Program Area:** Recruitment

**Issues in the Self-Study:** Recruitment of coaches and staff: increase diversity of applicant pools for vacant coaching and staff positions

**Measurable Goals:** The number of minority candidates for vacant coaching and staff positions is increased.

**Steps to Achieve Goals:** Continue to actively recruit minority candidates and aggressively publicize position vacancies through minority organizations.

**Individuals/Officers Responsible for Implementation:** Athletics Director; Associate AD/Internal Ops; Head Coaches; OCEM

**Specific Timetable for Completing the Work:** Fall 2011 and ongoing each year subsequent
<table>
<thead>
<tr>
<th>Elements</th>
<th>Goals</th>
<th>Steps</th>
<th>Individuals/Officers Responsible for Implementation</th>
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<td>Measurable Goals</td>
<td>Steps to Achieve Goals</td>
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<tr>
<td>Hiring Practices</td>
<td>No issues identified during self-study</td>
<td>Search committees for vacant positions include minority and ethnically diverse members. Applicant pool for all vacant positions include minority and ethnic diverse members.</td>
<td>Continue to actively recruit minority candidates and aggressively publicize position vacancies through minority organizations.</td>
<td>Athletics Director; sport supervisors; Asst. Business Manager; Head Coaches</td>
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<tr>
<td>Programs and Activities (staff and coaches)</td>
<td>Athletics department lacked communication model to address diversity</td>
<td>Diversity issues in athletics are regularly discussed through new models of programming/activities so that staff can communicate about diversity issues in athletics.</td>
<td>Consult with HR, OCEM and others to develop programming models for coaches and staff to utilize/generate dialogue, such as: provide diversity education to staff throughout the academic year in a discussion format and a facilitator-led format. Communicate with staff and coaches at the start of the academic year. Implement models. Evaluate annually to assess effectiveness and impact.</td>
<td>Athletics director; SWA in collaboration with OCEM. Senior staff and IAAC to evaluate annually</td>
</tr>
<tr>
<td>Programs and Activities (student-athletes)</td>
<td>Student-athletes are not aware of the institutional diversity programs which are offered to all students.</td>
<td>UNI programs available to all students are communicated to student-athletes. Feedback from student-athletes on the types of issues affecting them is generated.</td>
<td>Distribute information via various methods (email, Facebook, et al) to student-athletes regularly throughout the academic year. Annually survey all minority student-athletes to provide feedback to the department regarding the needs and issues affecting minority student-athletes</td>
<td>Athletic academic advisors; FAR; Dean of Students</td>
</tr>
<tr>
<td>Programs and Activities (student-athletes).</td>
<td>Programs and activities that student-athletes attend on campus or that coaches provide to teams are not formally tracked or evaluated.</td>
<td>Diversity programming on campus and within teams is annually communicated to department staff.</td>
<td>Develop and implement inventory of campus programming and attendance and team programs. Evaluation of programming offered shared with department and campus.</td>
<td>Senior staff; athletic academic advisors; head coaches.</td>
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<tr>
<td>Program Area</td>
<td>Issues in the Self-Study</td>
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<td><strong>Evaluation of Plan</strong></td>
<td>No formal procedure in place to annually review diversity-issues plan.</td>
<td>Diversity issue plans are annually reviewed and compared with the assessment of the campus diversity plan.</td>
<td>Create an athletic diversity issues committee that includes athletics and institutional personnel. Implement a timeline for athletic diversity issues committee to conduct an annual review of diversity-issues plan to determine if stated goals in plan are still appropriate. Implement a timeline for athletic diversity issues committee to biannually compare diversity-issues plan with written assessment of campus diversity climate to determine if stated goals are still appropriate. Modify plan as necessary if deficiencies are identified during annual and biannual reviews.</td>
<td>Athletic Diversity Issues Committee; Athletics director; SWA; OCEM</td>
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<td><strong>Integration and oversight of Diversity Plan</strong></td>
<td>No formal review mechanism exists for the current Diversity Plan across campus.</td>
<td>Diversity Plan is annually reviewed and updated by a cross section of campus officials and other resources.</td>
<td>Identify officials and resources for review, present plan for review annually.</td>
<td>Athletic Director</td>
</tr>
<tr>
<td><strong>Integration of Diversity Plan</strong></td>
<td>Diversity Plan is not widely communicated and responsibility for achieving the goals is not widely shared among athletic senior staff.</td>
<td>The Diversity Plan and corresponding responsibilities are communicated and delegated within the Department of Athletics. Accountability for implementation of the plan permeates the department.</td>
<td>Circulate plan to department; communicate goals; delegate responsibility to staff; update as needed.</td>
<td>Athletic Director</td>
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Operating Principle

3.3 Student-Athlete Well-Being.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). For each condition, provide:

   a. The original "condition" imposed;
   b. The action(s) taken by the institution;
   c. The date(s) of the action(s); and
   d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

   The University of Northern Iowa did not have any conditions for certification imposed from its Cycle 2 certification related to Operating Principle 3.3.

   Action
   NA

   Action Date
   NA

   Explanation for partial or non-completion
   NA
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). For each issue identified, provide:

a. The original goal(s);
b. The step(s) taken by the institution to achieve the goal(s);
c. The date(s) the step(s) was completed; and
d. An explanation for any partial or noncompletion of the original goal(s) and/or steps to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

If the institution developed a plan for improvement for Operating Principle 3.3 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

The committee will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan.
- The institution has had personnel changes since the original development of the plan.
- The institution does not have documentation of actions taken to implement the plan.

The committee will accept the following explanation for partial or noncompletion:

- The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan.

1. Original Plan

The University of Northern Iowa did not have plans for improvement or recommendations from the Cycle 2 certification process for Operating Principle 3.3.

<table>
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<tr>
<th>Action</th>
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<tbody>
<tr>
<td>Action Date</td>
<td>NA</td>
</tr>
<tr>
<td>Explanation for partial or non-completion</td>
<td>NA</td>
</tr>
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</table>

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). For each issue identified, provide:

a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goal(s); and
c. The date(s) the step(s) was completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.3 (Student-Athlete Well-Being). For each additional plan, provide:

a. The additional goal(s);
b. The step(s) taken by the institution to achieve the goal(s); and
c. The date(s) the step(s) was completed.
The University of Northern Iowa (UNI) has accomplished the following that relate to student-athlete well-being since the completion of Cycle 2 certification.

2008-09: Athletics training services at UNI were re-structured in 2008-09 and now report to the School of Health, Physical Education and Leisure Services (HPELS), where the athletics training undergraduate academic program is housed and supervised. A dual reporting line to the Senior Associate Athletic Director/Senior Women's Administrator within athletics was created as part of this re-organization. This change enables the full-time athletics trainers to administer the educational component of the athletics training major and to coordinate service to the athletics teams through use of graduate assistants and student trainers. A structure similar to athletics training is in place for the strength and conditioning services within the athletics department and HPELS.

2009: An additional academic advisor was hired for athletics at UNI. Before that time, all advising, counseling, and teaching duties within the athletics department were handled by a single staff member. The new staff member is the main liaison to UNI's Student Athlete Advisory Committee (SAAC). (This responsibility is assigned by the Senior Women's Administrator.) Since hiring the new advisor and splitting the duties across two staff members, the SAAC's organization, communication, and effectiveness have increased.

Both the new and original athletics advisor teach the CHAMPS/Life Skills class for new student-athletes each fall. The staff addition enabled additional sections to be offered, lowering the class sizes for the required course. The athletics department's CHAMPS/Life Skills class is now part of UNI's learning strategies course: Strategies for Academic Success. This enables the integration of the class with other sections in the curriculum offered to all new students at UNI.

2009-10: New offices and a computer lab area were created in the academic services area as part of the new offices built into the UNI Dome in 2009-10. The new area consolidates key student services staff in athletics facilities: near the training room and most of the team locker rooms. The new office area also includes three meeting areas which can be utilized for tutoring, study groups and/or team study areas.

2010: UNI re-structured the organizational chart of its Department of Athletics to clarify and standardize its chain-of-command for all those with responsibilities connected to "student services" for student-athletes. All such staff now share the same reporting lines: academic services, compliance, training, and all other services that impact students in athletics department programming now report to the Senior Associate Athletic Director/Senior Woman Administrator. The Senior Associate Athletic Director also supervises athletic training, with a reporting line to the School of Health, Physical Education and Leisure Services (HPELS). Bi-monthly meetings are now held for student services personnel to coordinate athletics department efforts at providing student-athlete services.

A full-time athletics department compliance director, with no sport oversight assignment or additional management duties (which is not the case for other members of the senior management team for the athletics department), was hired in September of 2010. (A graduate assistant in compliance was also added to the staff in 2009.) The associate athletic director/compliance director was promoted to internal operations in the spring of 2010. These changes led to a more consistent and proactive approach to student services by the athletics department including more thorough review of the academic transcripts and of the Regents Admissions Index (RAI: see item #3 in section 2.1 of this self-study) for each prospect who visits campus. Coaches now receive an evaluation of each prospect's admissibility and initial eligibility, including a review of core course requirements, high school grade point average, and a RAI calculation.

4. Please submit a copy of the student-athlete exit-interview instrument with the submission of your self-study report. [Please use the file upload link contained within this question to submit a copy of your current student-athlete exit interview instrument.]

The institution's instrument used to conduct student-athlete exit interviews must contain questions related to the following: (Note: Institutions should note the list of examples below is not an exhaustive list and institutions are not limited to addressing only those provided.)
The institution's commitment to the academic success of its student-athletes (e.g., academic support services available, priority registration for classes, coaches' support).

b. The institution's commitment to opportunities for student-athletes to integrate into campus life.

c. The institution's efforts to measure the extent of time demands encountered by student-athletes.

d. The institution's efforts to measure the effectiveness of the institution's mechanisms to monitor time demands of its student-athletes (e.g., travel commitments, missed class time, final exam schedules, and summer vacation periods).

e. The institution's efforts to measure the effectiveness of the institution's SAAC.

f. The institution's commitment to informing student-athletes about the NCAA Special Assistance Fund and NCAA Student-Athlete Opportunity Fund.

g. The institution's efforts to measure the effectiveness of the institution's mechanisms (e.g., annual surveys, exit-interview process) to monitor the well-being of its student-athletes.

h. The institution's commitment to the physical, psychological and emotional health (e.g., athletic training, nutrition, counseling) of student-athletes.

i. The institution's commitment to the safety (e.g., travel policies, emergency medical plans) of student-athletes.

j. The institution's commitment to a safe and inclusive environment for all student-athletes.

k. The institution's commitment to diversity.

l. The value of student-athletes' athletics experience.

m. The opportunity for student-athletes to suggest proposed changes in intercollegiate athletics.

n. The opportunity for student-athletes to express concerns related to the administration of the sport(s) in which student-athletes participate.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

A copy of the exit interview instrument is included with this report.

List of attachments

1. IAAC_Exit_Interview.pdf

5. Describe the methods used to conduct student-athlete exit interviews. Further, describe the process used to evaluate and implement outcomes.

The institution must demonstrate that it conducts interviews via in-person meetings and/or conference calls in each sport with a sample of student-athletes (as determined by the institution) whose eligibility has expired in accordance with NCAA Constitution 6.3.2. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.
6. Describe opportunities other than the student-athlete exit-interview process that are available to student-athletes to provide input regarding student-athlete well-being issues (e.g., SAAC, open-door policy of athletics administrators, including the director of athletics, senior woman administrator, and/or faculty athletics representative).

During the 2010-11 academic year, all University of Northern Iowa (UNI) student-athletes were given a student satisfaction survey during their mandatory fall team meeting. (Student-athletes are not allowed to practice or receive athletics aid until they attend the meeting.) The purpose of the survey was to gather information on how student-athletes perceive their overall experience at UNI, including their experience with UNI athletics. The survey included items on athletics administration, coaching, NCAA rules education and knowledge, academic services staffing and programs, class scheduling, relationships with professors, as well as other support services such as athletics training and strength and conditioning. The survey results were gathered and analyzed by the UNI Faculty Athletics Representative (FAR) and presented to athletics administration in aggregated and summarized form.

Student-athletes have opportunities at any time to discuss issues related to their well-being with administrators and staff within the athletics department and with other key individuals across the campus community: from inside the UNI athletics department to across the UNI campus. For example, student-athletes uncomfortable discussing such issues with their coaches, or dissatisfied with those discussions, may take their concerns to the Director of Athletics, the Senior Woman Administrator, and other athletic department administrators, all of whom have “open door” policies for students. Student-athletes more comfortable talking with or confiding in peers, may discuss issues with members of the Student-Athlete Advisory Committee (SAAC--comprised of other student-athletes at UNI), the charge of which includes addressing issues that affect student-athlete education and performance (see item #9 in section 1.1). Members of the SAAC report that they collectively have the opportunity, and feel free to, take issues of concern that arise to the athletics administration.

Student-athletes may also take their concerns to faculty who are associated with UNI athletics. The Faculty Athletics Representative is charged with monitoring student concerns at UNI and is visible to student-athletes in many ways, including through interaction with the SAAC. The Student-Athlete Handbook lists faculty membership on the UNI Intercollegiate Athletics Advisory Council (IAAC) and it encourages student-athletes to contact IAAC representatives if they ever wish to discuss academic or other issues. A member of the IAAC has met each year with each sports team, to introduce student-athletes to the IAAC and to encourage them to use its members, especially the faculty, if they ever have issues they would like to discuss.

Finally, student-athletes may take their concerns to faculty who are not directly associated with UNI athletics and/or to other members of the broader UNI community, including other university departments, student groups, and various student support services across campus. The latter include the Counseling Center, the Health Center, Dean of Students, Student Involvement and Activities Center, University Police, the Office of Compliance and Equity Management, and Northern Iowa Student Government.
7. Describe the department of athletics written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e., financial aid and transfers). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

The institution must have established written grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with Bylaw 15.3.2.4] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.02.2, 14.5.5.2.10 and 14.5.5.2.10.1]). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The institution must demonstrate that all grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.4] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.02.1, 14.5.5.2.10, and 14.5.5.2.10.1]) are directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The Department of Athletics at the University of Northern Iowa (UNI) has a Student-Athlete Appeals Policy that outlines the process for requesting transfer and for appealing the denial of a transfer request (see below). This policy is described in the Student-Athlete Handbook and is reviewed with all student-athletes at mandatory meetings at the start of each academic year. (Student-athletes are not allowed to practice or receive athletics aid until they attend the meeting.)

If a transfer request is denied, the student-athlete will be notified of the appeal procedures in writing. The student-athlete has two weeks from the date of the written notification to formally appeal the transfer denial through the submission of a completed Transfer Request Appeal Hearing Form to the NCAA Faculty Athletics Representative (FAR) at UNI. The FAR reviews the request and submits it to the Appeals Committee (comprised of the FAR, Dean of Students, two members from the Intercollegiate Athletics Advisory Council (at least one of whom is a faculty member), and a representative from SAAC), along with the Director of Athletics Compliance, the Sport Supervisor (the senior UNI athletics department administrator assigned to monitor the involved sport squad), and the head coach of the involved student-athlete. The FAR schedules a hearing and notifies the student-athlete and committee of its time, date, and location. The student-athlete has the option to actively participate in the hearing, either in person or by telephone. The hearing provides an opportunity for both sides to share their perspectives, and is not a court of law or legal adjudication. The appeal hearing is conducted and a written decision of the hearing outcome is provided to the student-athlete within 15 business days from the date of receipt of the student-athlete’s appeal request form. The decision of the Appeals Committee is final and binding and may not be appealed further by the student-athlete or by the athletics department.

The official appeal policy is:

University of Northern Iowa Intercollegiate Athletics
Student-Athlete Appeals Policy and Procedures

The University of Northern Iowa is committed to conducting its intercollegiate athletics program in a manner that will protect and enhance the physical and educational welfare of all its student-athletes. All student-athletes will be treated fairly and equitably. The UNI Student-Athlete Appeals Committee shall serve as the official appeals board, excluding review of athletic scholarship issues, when all Athletic Department avenues have been exhausted.

The Student-Athlete Appeals Policy meets the requirements of the NCAA bylaws regarding issues related to hearing opportunities for denial of transfer requests (permission to contact or releases). The Appeals Committee may also address other student-athlete grievances on the basis of the merit of the facts in a specific situation. Athletics Department staff members may not serve on the committee. Anyone who has personal knowledge of the
circumstances surrounding the appeal should excuse herself/himself so that both the fact and appearance of impartiality is assured. Appeals Committee hearings are not formal legal adjudications and attorneys are not permitted to be involved or present during the appeals or hearing process. The decision of the Appeals Committee is final and binding and may not be appealed further by the student-athlete or by the Athletics Department.

The Appeals Committee is composed of the following individuals: The NCAA Faculty Athletics Representative (Chairperson); the Dean of Students, or a representative from the Office of Student Affairs, two members from the IAAC (at least one of whom is a faculty member), and a representative from Student-Athlete Advisory Committee (SAAC).

Transfer Requests -- Appeal Hearings
As required under NCAA bylaws, all student-athletes are required to have prior written approval from the UNI Department of Athletics before speaking with another four-year institution. Additionally, student-athletes that would like to attend another four-year institution and be eligible for competition during the first year at that institution must also receive a transfer release from the UNI Department of Athletics.

Note: Even if a student-athlete is granted a transfer release request, a student-athlete still must meet all other applicable requirements (e.g. good academic standing, meeting progress-toward-degree, etc.) to be eligible for competition at the subsequent institution. If a student-athlete has questions about transfer requirements or rules, he or she should contact the Director of Athletic Compliance in the UNI Department of Athletics.

Right to Appeal Bylaw References:
14.5.5.2.10 -- 4-4 Transfer Exceptions - One-Time Transfer
The student transfers to the certifying institution from another four-year collegiate institution, and all of the conditions are met (for graduate students, see also Bylaw 14.1.9.1)?
(d) If the student is transferring from an NCAA or NAIA member institution, the student’s previous institution shall certify in writing that it has no objection to the student being granted an exception to the transfer-residence requirement. If an institution receives a written request for a release from a student-athlete, the institution shall grant or deny the request within seven business days. If the institution fails to respond to the student-athlete’s written request within seven business days, the release shall be granted by default and the institution shall provide a written release to the student-athlete. (Revised: 1/11/94, 4/26/01, 4/29/10 effective 8/1/10)

13.1.1.3.1 OR 14.5.5.2.10.1 Hearing Opportunity for Permission to Contact/Release
If the student's previous institution denies his or her written request for permission to contact or a release, the institution shall inform the student-athlete in writing that he or she, upon written request, shall be provided a hearing conducted by an institutional entity or committee outside of the athletics department (e.g., the office of student affairs; office of the dean of students; or a committee composed of the faculty athletics representative, student-athletes and nonathletic faculty/staff members). The institution shall conduct the hearing and provide written results of the hearing to the student-athlete within 15 business days (see Bylaw 14.04.2) of receipt the student-athlete's written request for a hearing. The student-athlete shall be provided the opportunity to actively participate (e.g., in person, via telephone) in the hearing. If the institution fails to conduct the hearing or provide the written results to the student-athlete within 15 business days, permission to contact or the release shall be granted by default and the institution shall provide a written permission to contact or a release to the student-athlete. (Revised: 1/11/94, 4/26/01, 4/29/10 effective 8/1/10).

Procedures for Transfer Requests & Appeal Hearings
1. A student-athlete shall initiate a request for permission to contact and/or a transfer release to another specific institution with the head coach. After speaking with the head coach, the student-athlete shall submit a written transfer request to the head coach and the Director of Compliance (as the designee for the Athletic Director) indicating the school(s) that he or she would like to contact about the possibility of transferring. A written transfer request via e-mail shall be sufficient.

2. The Department of Athletics shall review the student-athlete's written request and determine whether to grant permission for the student-athlete to contact another four-year institution and/or whether a student-athlete should be released to that institution for purposes of the "one-time transfer" exception. Generally, student-athletes will not be granted "blanket" transfer releases to other institutions. All transfer requests will be reviewed on a case-by-case basis and the Department of Athletics considers the welfare of the student-athlete in all decisions.

Note: Generally, transfer requests for permission to contact or releases to other four-year institutions will be denied by the Department of Athletics in the following circumstances:

A. Requests to any Missouri Valley Conference institutions, or any other Division I institution against whom Northern Iowa regularly competes, or any Division I institution within the state; or
B. Requests received late in the academic year (after March 1) which results in a situation that creates a recruiting
disadvantage for Northern Iowa; or
C. Requests from athletic scholarship student-athletes who have been deficient in fulfilling athletics related obligations (e.g. quitting the team, failing to participate in required team activities, etc.)

Extenuating circumstances, which justify the need to transfer (e.g. financial need, family problems, etc.), may result in the Department of Athletics granting exceptions to the general policies above. Transfer requests to other Missouri Valley Conference institutions are still subject to the MVC intra-conference transfer rules.

3. Within seven business days from receiving the student-athlete's written transfer request, the Director of Compliance will notify the student-athlete in writing if the transfer request has been granted or denied. If the decision is not done and submitted to the student-athlete within this time period, the request shall be granted by default. A written request via email is sufficient notification. Copies of this decision will be sent to the Head Coach, Sport Administrator, and the NCAA Faculty Athletics Representative.

A. Important Note: The approval of a transfer request for permission to contact another specific institution does not inherently grant a transfer release for purposes of the one-time transfer exception. These are separate requests and may be separate decisions. Also, the approval of a transfer request for permission to contact and/or a release for purposes of the one-time transfer exception to one specific institution does not imply that other requests will be approved to other institutions. Requests are generally school specific and considered individually.

B. The Department of Athletics may not condition its decision to grant or deny a transfer request on the student-athlete fulfilling specific obligations (e.g. academically eligible at end of the term, return of apparel/equipment). However, a student-athlete will need to be academically eligible at the end of a term to compete immediately at the subsequent four-year institution under Bylaw 14.5.5.2.10 (c).

4. If a request is denied, the student-athlete will be notified that he/she has two weeks from the date of the written notification to formally appeal the transfer request denial decision. The student-athlete will also be notified in writing of the appeal process/order of proceedings. In order to appeal the decision, the student-athlete must submit a completed Transfer Request Appeal Hearing Form (in writing or via e-mail) to the NCAA Faculty Athletics Representative within this two-week period. A copy of this form will be provided to the student-athlete. Failure to submit a written request for an appeal hearing in this format within this time frame to the NCAA Faculty Athletics Representative or failure to fill out the appeal form completely will result in the appeal being denied.

5. Upon receipt of the written appeal request for a hearing, the NCAA Faculty Athletic Representative will review the request and submit it to all of the members of the Appeals Committee, the Director of Compliance, the Sport Administrator, and the Head Coach.

6. The Faculty Athletics Representative, as chairperson, will schedule an in-person or phone appeal hearing and the student-athlete will be notified of the date/time of the hearing by the FAR. The student-athlete may choose to participate by only providing written information, but must have the opportunity to be actively participating in the hearing. The appeal hearing will be conducted and a written decision (on behalf of the Appeals Committee) of the hearing outcome will be provided to the student-athlete within 15 business days from the date of receipt of the student-athlete's appeal request form. If the hearing is not conducted and/or the decision is not provided to the student-athlete within this time period, the appeal shall be granted by default.

A. Note: An appeal hearing may not be conducted beyond the 15 business day period, even if requested by the student-athlete.

7. Prior to the appeal hearing, the Faculty Athletics Representative will request written statements and any other necessary documentation from the student-athlete’s head coach and from the Department of Athletics detailing their positions. The student-athlete will be permitted to submit additional documentation, if necessary, to the FAR to be considered by the Appeals Committee.

8. At the appeal hearing, the student-athlete and the Athletics Department shall have the right to present pertinent information and offer testimony of relevant witnesses, if necessary. The Director of Compliance shall be present at the hearing as an ex-officio member of the Appeals Committee to ensure NCAA bylaws are followed regarding the scope of review. The hearing shall involve a disclosure of positions from "both sides” and is not a court of law or legal adjudication. Attorneys are not permitted to be present or involved in the appeal process or hearing.

9. The hearing will closely resemble the attached order of proceedings (below). The decision of the Appeals Committee will be based on the facts and information provided at the hearing. Copies of the decision will be sent in writing (or via e-mail) to the student-athlete, the Athletics Director and/or SWA, the head coach, and the Director of Compliance.
10. The decision of the Appeals Committee is final and binding and may not be appealed further by the student-athlete or by the Athletics Department.

General Order of Proceedings for Appeal Hearings
1. Call to order by the Chairperson.
2. Announcements and opening remarks by the Chairperson, including such items as:
   a. Identification of the parties attending the hearing
   b. Admissions of fact reached in any pre-hearing conferences between the parties involved
   c. Proceedings of the hearing are confidential
3. Witnesses, if present, are asked to leave the hearing room until recalled by the Chairperson
4. The Athletic Department will present a statement regarding their position. [May be a written statement(s) from the AD and Head Coach]
5. The student athlete will present a statement concerning the nature of the request. [May be a written statement]
6. The Athletic Department may present information and witnesses. Panel may ask questions.
7. The student-athlete may present information and witnesses. Panel may ask questions.
8. A witness may be recalled by the Chairperson to speak on specific issues at the request of either party or at the request of the committee.
9. Hearing is closed by the Chairperson.
10. Hearing panel retires to deliberate (closed meeting).
11. Written decision of hearing panel rendered.
12. The hearing panel’s determination will be reported in writing to the parties by the Chairperson.

Pre-Hearing Conferences
The chair of the hearing committee will contact both sides of the issue in order to complete the following:
1. Discuss the Order of Proceedings
2. Confirm date, time and location of the hearing
3. Receive and review witness lists from both sides
4. Discuss any requests for information or documentation
5. Discuss the summary of facts supplied by the Athletic Compliance Office
6. Discuss any facts that otherwise may be agreed to by both sides
7. Request that written statements be provided in writing to the chair by an agreed upon date in order to facilitate disbursement of those statements to the hearing panel at the hearing.

* This information will be shared by the chair of the committee with both sides and the hearing panel

Student-Athlete Appeals Policy
Student-athletes may have their athletic scholarship renewed each term or year during which he/she is in regular (full-time) attendance as an undergraduate with eligibility remaining, or within six years after initial enrollment (provided the student does not receive such aid for more than five years during that period). The student-athlete will be informed and will receive the renewal of athletics scholarship on or before July 1 before the academic year it is to be received. Non-renewal of athletics scholarship can occur with cause upon recommendation by the head coach, or if the student-athlete renders him/herself ineligible. Athletic scholarships are awarded on a year-to-year basis (with limited exceptions).

Any student-athlete who receives notification that his/her athletics scholarship is reduced or cancelled has the opportunity for a hearing before the institution’s regular scholarship awards authority appointed by the Office of Student Financial Aid. Student-athletes whose athletic aid has been reduced or cancelled have 30 days in which to contact the Office of Student Financial Aid regarding an appeal. Once contact is made, the student has 10 days in which to file the appeal. The appeal must include certain information, including the student-athlete’s year in school, sport, type and amount of previous athletic aid, reason why he/she believes the decision to reduce or cancel the aid was unfair and the names of any UNI personnel with whom the student-athlete has discussed the situation, as well as copies of any relevant documentation. The athletic department is likewise allowed to present information and is required to provide a written explanation, citing NCAA rules, for the reduction or cancellation of the athletic award.

The Office of Student Financial Aid schedules the appeal hearing and provides written notification to the student-athletes. A three-person committee comprised of the Assistant Director of Financial Aid, Senior Assistant Director of Admissions and the Associate Director of Customer Service and Outreach in Financial Aid hear the appeal and render a decision. The decision is communicated in writing within five days of the appeal hearing to all parties. The committee’s decision is final.

The official policy for reduction or non-renewal of financial aid is:

Non-Renewal or Reduction of Athletic Scholarships
Based on the recommendation of the athletics department, the Office of Financial Aid will notify student-athletes in writing of the reduction or non-renewal of their athletic scholarship. The letter will include information regarding the appeal process. Upon request, the student-athlete will be allowed an appeal to be conducted by the Financial Aid Appeals Committee. The process will occur in a timely manner and the committee's decision is final. Pertinent information must be provided to the committee in writing prior to the appeal hearing date. An in-person interview, in place of a written appeal, is permitted upon request.

1. The student-athlete is contacted in writing by the Office of Financial Aid of the reduction/cancellation of athletic aid and informed to contact Office of Financial Aid within 30 days should they wish to appeal. Copies of the letter are also sent to the Director of Compliance and Head Coach. A copy is also put in the student-athlete's file in the Office of Financial Aid. The Faculty Athletic Representative is notified via e-mail of all reductions/cancellations.

2. The student-athlete contacts the Office of Financial Aid within 30 days. The appeal process is explained and the student-athlete is given a ten-day time frame to submit an appeal. The UNI Athletic Department will then be allowed the same amount of time to prepare their position. The student may request to be present at the appeals hearing.

3. The student-athlete makes a request for appeal to the Office of Financial Aid within the permitted time frame. The request must include the following: student name, student ID, year in school, sport, type and amount of previous athletic aid, reason for believing the decision was unfair including names of UNI personnel with whom the student-athlete has discussed the situation, and copies of any relevant documentation.

4. The Office of Financial Aid schedules an appeals hearing and in writing contacts the student-athlete, Coach, and UNI Athletic Department of the date. The Coach and Athletic Department are requested to provide written explanation (citing appropriate NCAA rules) for the reduction/cancellation of the athletic aid and relevant documentation prior to the date.

5. The Financial Aid Appeals Committee (composed of two members from the Office of Financial Aid and one member from the Office of Admissions), meets on the designated date, discusses the appeal, and reaches a decision. The committee's decision is final.

6. The Office of Financial Aid sends a written decision to each party within five working days. The decision is final, and the parties are expected to abide by the decision.

8. Describe the institution's written grievance and/or appeals procedures available to student-athletes in other areas (e.g., harassment, hazing, abusive behavior, discrimination). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

The institution must have established written grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The institution must demonstrate that all grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior) are directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

At the beginning of each academic year at the University of Northern Iowa (UNI) each athletic team meets with the department of athletics compliance officer and with a faculty representative from the Intercollegiate Athletics Advisory Council (IAAC) to cover important rules of the athletics department, the university, the pertinent
conference (e.g., the Missouri Valley Conference), and the NCAA. This meeting is also used to highlight material found in the UNI Student-Athlete Handbook about UNI support systems for students and student-athletes alike (e.g., for academic and career counseling, personal counseling, etc.--see section 2.2 of this self-study).

For other concerns (e.g., abusive behavior, discrimination, harassment, hazing), a student-athlete can bring this grievance to any member of the coaching or administrative staff in the athletics department. Depending on the nature of the complaint, Dr. Anne Woodrick, UNI's Faculty Athletics Representative (Dr. Woodrick, who is soon to be replaced by a new FAR, Dr. Lisa Jepsen for 2011-16), additional athletics department personnel, and other institutional personnel may be brought into the discussion. For example, this could include: the Director of Athletics, Troy Dannen; the Senior Woman Administrator, Jean Berger; the Dean of Students, Jon Buse; the UNI Office of Compliance and Equity Management, Leah Gutknecht; the UNI Police, Dave Zarien; the UNI Counsel Tim McKenna. UNI policies govern how further investigation is conducted by the appropriate UNI office or entity in a given case. These policies, along with their respective appeals procedures, are included in the student handbook, which is reviewed with all students during New Student Orientation and is available to all students electronically at http://www.uni.edu/deanofstudents/handbook.

UNI's Student-Athlete Handbook is included in the athletics department staff manual, which is distributed to all coaches and other staff involved with UNI athletics.

9. Describe the institution's educational and support programs in the area of sexual orientation. Also, describe the institution's structure and/or policies that ensure the provision of a safe environment for all students, including student-athletes with diverse sexual orientations.

Section 13.02, of the University of Northern Iowa's (UNI) Discrimination and Harassment Policy, prohibits discrimination based on sexual orientation and gender identity. UNI provides educational programming through a variety of departments, offices, and activities across campus (for example, UNI's Women's and Gender Studies Program, UNI's Department of Residence programming, and UNI Proud (= Lesbian, Gay, Bisexual, and Transgendered students Alliance: LGBT)).

NCAA diversity training offered to coaches and UNI Department of Athletics administrators in April of 2011 provided information about sexual orientation issues in intercollegiate athletics. UNI's Division of Student Affairs has a portion of a staff position targeted to outreach to, and support of, LGBT students. This person provides a means by which student-athletes can express concerns: for example, providing information needed to file concerns and/or to advocate on their own behalf.

10. Describe the policies, organization and structure of the department of athletics and how it enhances student-athlete well-being. Further, describe the commitment of the institution to enhance the overall student-athlete educational experience including how issues are monitored, evaluated and addressed on a continuing basis.

The Department of Athletics at the University of Northern Iowa (UNI) changed its administrative structure after hiring Troy Dannen as Director of Athletics in 2008. One goal of the re-structuring was to centralize oversight of all student-athlete services. All sports programs are now supervised by the senior associate athletic director or the associate athletic director for internal operations (with the exception of football and men's basketball, which report directly to the Director of Athletics). All UNI student-athlete services operations report to the senior associate athletic director, including academic services, compliance, sports medicine, financial aid, and eligibility. This structure provides both a coordinated response to areas of concern and flexibility in addressing issues as they arise.

UNI's Intercollegiate Athletics Advisory Committee (IAAC) is the faculty body charged with oversight of student-athlete well-being at UNI. The group meets regularly throughout each academic year and is, for example, responsible for the exit interview process for all student-athletes and for monitoring the missed class time expected to be involved in each UNI sport squad's travel plans for each year of competition.

UNI's Athletic Compliance Council is chaired by the UNI Faculty Athletics Representative (FAR) and includes representatives from UNI admissions, financial aid, and the registrar's office. This group meets monthly to discuss issues related to their respective areas, to provide input on policies and procedures that affect athletics, and to monitor activities of the student services personnel within the athletics department.

UNI's FAR plays a number of roles involving these issues and has a number of contact points with UNI student-athletes. For example, the FAR meets with each team during the fall to explain her role (i.e., with UNI athletics; as the NCAA faculty representative). During the 2010 fall semester, she assisted the athletics department in developing and administering a student-athlete satisfaction survey: she also compiled the results so athletics
department administrators could evaluate the performance of the department's various units, especially its support
services for student-athletes.
(For more extensive descriptions of UNI entities involved in these issues, see item #9 in section 1.1 of this self-
study.)

11. Describe how student-athletes are involved in the governance and decision-making processes of the
department of athletics, including the role of the SAAC.

The institution must demonstrate that it has an active SAAC pursuant to Constitution 6.1.4. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

The Student Athlete Advisory Committee (SAAC) at the University of Northern Iowa (UNI) serves as the primary, formal liaison between the Department of Athletics at UNI and the student-athletes who are engaged in UNI athletics programming. Manifestations of that relationship, and the role played by SAAC in UNI athletics, permeate athletics department processes, activities, decision-making, and governance. (For more extensive descriptions of SAAC and other germane UNI entities, see item #9 in section 1.1 of this self-study.)

The Department of Athletics at UNI has a full-time senior associate athletic director who also serves as the senior woman administrator (SWA). (She works, among other things, with matters related to student-athlete well-being.) The SWA and an athletic academic advisor staff member serve as advisors to UNI's SAAC. UNI's Faculty Athletics Representative also regularly attends SAAC meetings and activities. A representative of SAAC serves on the Intercollegiate Athletics Advisory Committee at UNI and UNI student-athletes regularly serve on search committees for UNI athletics department staff and coaching positions.

The SAAC Constitution specifies its main responsibilities and duties:

- Identify problems and concerns of the student-athletes and resolve those problems in order to improve the overall success of the athletics program.
- Call general meetings of the athletics body, with or without staff, when necessary or when requested by at least 10 percent of student-athletes or by at least five staff members.
- Provide opportunities for new athletes to meet SAAC members and staff early in the Fall Semester.
- Hold elections for team representatives and officers before the end of the Spring Semester.
- Form ad hoc committees to study in-depth any issues concerning the Intercollegiate Athletics program, including one officer on each committee.
- Vote on Intercollegiate Athletics matters which represent the concerns of the general athletics body and bring to the Athletic administration.
- Request guest speakers to speak on Intercollegiate Athletics concerns, policies, and procedures.
- Serve on committees to interview and select prospective Intercollegiate Athletics staff members.

SAAC members function as the primary liaisons between the Department of Athletics at UNI and the student-athletes who are engaged in athletics programming at UNI. For example, SAAC members are expected to inform the athletics department of any student-athlete well-being issues. SAAC members are responsible for establishing and maintaining open channels of communication with their teammates and with all student-athletes so that those individuals have the opportunity to express any issues or concerns that they may have to the athletics department administration. The department also solicits input from SAAC on various issues and topics such as: academics, compliance, NCAA legislation, and the policies and procedures of the athletics department (e.g., SAAC has recently been consulted on exit interview processes, athletics awards, academic recognition programs, missed class time policies, and NCAA legislation).
12. List the department of athletics and/or other institutional programs in place that address the needs and issues affecting student-athletes (e.g., CHAMPS/Life Skills program and/or programming involving career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Further, describe the policies and procedures in place to encourage and ensure student-athletes’ access to these programs.

The institution must demonstrate that it has an active CHAMPS/Life Skills program (or an equivalent program) pursuant to NCAA legislation with programming to address nonacademic areas (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

At the University of Northern Iowa (UNI), freshman student-athletes take a 1-credit academic course, 170:055 Strategies for Academic Success (SAS): the CHAMPS/Life Skills program provides a basis for SAS course content. (The goal of the CHAMPS/Life Skills program is to help student-athletes explore and develop skills for success in the classroom and in life.) SAS presents student-athletes at UNI with current, relevant information and strategies to foster development of skills that are helpful in the classroom, for their personal lives, and for their career. The textbook, Becoming a Master Student-Athlete, by Dave Ellis (Wadsworth Publishing), is used in the SAS course. SAS helps student-athletes balance the demands of academics and athletics and focuses on issues such as the time pressure, interpersonal relationships, selecting a major, and making long-term decisions about careers. One goal of the course is to help student-athletes prepare for life beyond college by showing how the skills they develop to succeed in athletics competition can be applied in the classroom and the workplace. The use of outside speakers and a career workshop for student-athletes during the course, both help SAS achieve this goal.

At the beginning of each academic year at UNI, each athletics team meets with the department of athletics compliance officer and with a faculty representative from the UNI Intercollegiate Athletics Advisory Council to cover important rules of the athletics department, the university, the pertinent conference (e.g., the Missouri Valley Conference), and the NCAA. This meeting is also used to highlight material found in the UNI Student-Athlete Handbook about UNI support systems for students and student-athletes alike (e.g., for academic and career counseling, personal counseling, etc.--see section 2.2 of this self-study).

At the end of each academic year, the Department of Athletics celebrates academic and personal excellence with a dinner and awards program, which recognizes student-athletes who have earned high grade point averages and received other academic honors. The department is also creating a “wall of honor” to recognize student-athletes’ academic success in a visible and permanent form.

Career Counseling: UNI Career Services offers career readiness resources and advising on career exploration, resume critique, interviewing, internship assistance, leadership development, and networking with employers.

Personal Counseling: The on campus Counseling Center at UNI provides individual counseling, group therapy, couples counseling, and workshops for personal growth and mental health concerns to all UNI students free of charge; it also helps student-athletes deal with issues such as sexual orientation, addictions, and personal development.

Nutrition: UNI Wellness and Recreation Services offers programs related to personal health including healthy eating, smoking cessation, stress management, and sexual health.

Diversity: The Center for Multicultural Education at UNI provides educational and cultural activities that promote cross-cultural awareness, multicultural understanding, and intercultural communication. In addition, the Office of the Provost appoints two Diversity Fellows each year: faculty members who provide training and who advance diversity initiatives within academic affairs.

Alcohol and Drug Guidelines: Substance Abuse Services collaborates with campus and community partners to provide preventative and supportive services for students concerning alcohol and other drug use. This includes consultation and assessment of students who are concerned about their alcohol or other drug use and workshops and programs for students who have violated University policies concerning the use of alcohol and drugs (see University Policy 4.13 Drugs and Alcohol). All of these services are confidential.

Leadership: The Student Leadership Center (SLC) offers a series of workshops throughout the year, as well as a spring and fall conference. All students have the opportunity to volunteer through the SLC and make use of the many resources and programs the Center has available.
13. Describe how the department of athletics monitors student-athlete time demands, including travel commitments, missed class time, final exam schedules, summer vacation periods and intercession periods. Further, describe methods used to educate coaches and student-athletes about time demands and opportunities to integrate into campus life.

The University of Northern Iowa Athletics Compliance Office provides information about the rules and definitions related to countable athletically related activities and voluntary activities to student-athletes during mandatory team meetings each fall. (Student-athletes are not allowed to practice or receive athletics aid until they attend the meeting.) Students are asked each year to certify that they understand the rules and that they have not been required to participate in more than the permissible number of hours of athletics activity. Throughout the year, the head coach for each UNI sport completes monthly countable athletically related activities forms detailing the daily activities of their student-athletes. This form includes a brief summary of the rules, which are also reviewed with coaching staff.

14. Please submit a copy of the department of athletics and/or institution's written travel policies to ensure the safety and well-being of student-athletes with the submission of your self-study report (e.g., road travel; air travel, including charter policies; driver selection; training; privately owned vehicles). [Please use the file upload link contained within this question on the ACS to submit a copy of the athletics department and/or institution's written travel policies].

Copies of the written travel policies are included in this report.

List of attachments

1. Air charter policies.pdf
2. TRAVEL POLICY UPDATES.doc
3. Travel Procedures 3-11-1.doc

15. Describe the annual evaluation of the department of athletics and/or institution's travel policies to ensure these policies are effective. Further, describe how the travel policies are directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

The institution must have written travel policies that are annually evaluated for their effectiveness in protecting the health and providing a safe environment for student-athletes. Further, the administrator(s) responsible for annually evaluating travel policies must be identified and travel policies must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to department of athletics staff members, including coaches, and student-athletes.

The University of Northern Iowa (UNI) Department of Athletics reviews and updates its policies annually, including any updates and other changes in the handbook given to each staff member (including all coaches) at its fall all-staff meeting each year. If updates occur during the year, emails are sent out to the staff by the athletics business office (ABO) and/or relayed to departmental staff at compliance education sessions or mid-year staff meetings.

Coaches are required to complete a travel authorization for team or individual travel prior to leaving. Team travel authorizations must be approved by the UNI athletics department compliance office prior to being submitted to the ABO. The ABO keeps the document on file while the team is traveling. Once travel settlements are turned in following a trip, the department attaches the appropriate travel authorization to those forms.

For team travel, the department allows the team to give each person in the traveling party the maximum daily allowance (per diem) according to UNI policy, or to spend that amount on the individual's behalf. UNI policy currently allows $40/day out-of-state and $31/day in-state per diem: prorated according to the time of day a team
leaves and returns. At the discretion of the program/head coach, a team may choose to spend less than the maximum allowed. The department does not have a formal policy regarding hotel accommodations (e.g., the type of hotel; how many people to each room); team travel coordinators or head coaches make those determinations. If there are issues raised through the exit interview process or other methods of feedback, then the sport supervisor addresses the issues.

16. Please submit a copy of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of the athletics department's written emergency medical plan for practices, contests, strength training and skills sessions].

The emergency medical plan is provided with this report.

List of attachments

1. Emergency Plans.pdf
2. UNI Athletic Training Emergency Procedures.pdf

17. Describe the annual evaluation of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

The institution must have a written emergency medical plan for practices, contests, strength training and skills sessions. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

At the end of each academic year, Don Bishop, the Director of Athletics Training Services/Head Athletics Trainer at the University of Northern Iowa (UNI), reviews the written medical plans for practices, contests, strength training, and skills sessions at UNI. This plan is included in the UNI Sports Medicine/Athletics Training Policies and Procedures Handbook, which is given to the following people in electronic or hard copy form each year:

? Full Time Athletics Training Staff
? Graduate Assistant Athletics Training Staff
? Dr. Todd Evans, Chair of the Division of Athletics Training
? Kelli Snyder, Undergraduate Athletics Training Education Program Director
? Dr. Jody Brucker, Graduate Athletics Training Education Program Director
? Dr. Jeffrey Clark, Head Team Physician
? Jed Smith, Director of Strength and Conditioning
? Jean Berger, Senior Associate Athletic Director

Key portions of this handbook are included in the Student Athlete Handbook, which is given to every student-athlete at the beginning of each year and is included in the athletics department staff handbook.

18. Please submit a copy of the department of athletics written emergency medical plan for out-of-season workouts with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of the athletics department's written emergency medical plan for out-of-season workouts].
A copy of the emergency medical plan for out of season work outs is included with this report.

**List of attachments**

1. Out of season plan.pdf

19. Describe the annual evaluation of the department of athletics written emergency medical plan for out-of-season workouts to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for out-of-season workouts is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

The institution must have a written emergency medical plan for out-of-season workouts. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

At the end of each academic year at the University of Northern Iowa, Don Bishop, the Director of Athletics Training Services/Head Athletics Trainer and Jed Smith, Director of Strength and Conditioning, review the written medical plans for out-of-season workouts for student-athletes at UNI. This plan is included in the UNI Sports Medicine/ Athletics Training Policies and Procedures Handbook, which is given to the following people in electronic or hard copy form each year:

- Full Time Athletics Training Staff
- Graduate Assistant Athletics Training Staff
- Dr. Todd Evans, Chair of the Division of Athletics Training
- Kelli Snyder, Undergraduate Athletics Training Education Program Director
- Dr. Jody Brucker, Graduate Athletics Training Education Program Director
- Dr. Jeffrey Clark, Head Team Physician
- Jean Berger, Senior Associate Athletic Director

20. Please submit a copy of the athletics department's athletic training and sports medicine policies and procedures with the submission of your self-study report. [Please use the file upload link contained within this question on the ACS to submit a copy of the athletics department's athletic training and sports medicine policies and procedures].

A copy of the sports medicine policies and procedures manual is included with this report.

**List of attachments**

1. Staff and GA Handbook-2010-2.doc
21. Describe the annual evaluation of the department of athletics written athletic training and sports medicine policies and procedures. Further, describe how the department of athletics athletic training and sports medicine policies and procedures is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in these areas.

The institution must have written athletic training and sports medicine policies that are reviewed annually.

Further, the administrator(s) responsible for annually evaluating athletic training and sports medicine policies must be identified and the athletic training and sports medicine policies must be directly communicated in writing (e.g., provide hard copy of document, provide web link via e-mail) to athletics department staff members, including coaches, and student-athletes.

At the end of each academic year at the University of Northern Iowa (UNI), Don Bishop, the UNI Director of Athletics Training Services/Head Athletic Trainer, reviews the written medical plans for athletics training and sports medicine policies and procedures. This plan is included in the UNI Sports Medicine/Athletics Training Policies and Procedures Handbook, which is given to the following people in electronic or hard copy form each year:

- Full Time Athletics Training Staff
- Graduate Assistant Athletics Training Staff
- Dr. Todd Evans, Chair of the Division of Athletics Training
- Kelli Snyder, Undergraduate Athletics Training Education Program Director
- Dr. Jody Brucker, Graduate Athletics Training Education Program Director
- Dr. Jeffrey Clark, Head Team Physician
- Jed Smith, Director of Strength and Conditioning
- Jean Berger, Senior Associate Athletic Director

Key portions of this handbook are included in the Student Athlete Handbook, which is given to every UNI student-athlete at the beginning of each year. Prior to the start of the fall sports season, the entire athletics training staff at UNI reviews the handbook and UNI policies and procedures therein during a two-day orientation workshop for all graduate assistants. During this orientation, the full time athletics training staff delivers the material to, and reviews it with, the graduate assistants on the athletics training staff at UNI.

22. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 3.3, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval.

The University of Northern Iowa (UNI), during the current NCAA self-study recertification process, developed a new Gender, Diversity, and Student-Athlete Well-Being Plan for Improvement, which is included with this report. The aspects of that plan most germane to student well-being issues include the following:

- Better integration of athletics department activities on student well-being issues with other units on campus providing student services.
- Improve communication to student-athletes and athletics department staff on key policies and procedures related to student-athlete well-being (e.g., hazing, sexual harassment, etc.).
- Explore and adopt mechanisms that improve the response rates for annual student-athlete exit interviews.
- Provide copies of specific appeal policies in the written notifications to student-athletes for denial of transfer requests, reduction/non-renewal of aid, etc.
- Educational programming for athletics department staff on sexual orientation issues.

The Plan for Improvement was reviewed by: the 2010-11 UNI NCAA Certification Steering Committee and its Gender, Diversity, and Student-Athlete Well-Being subcommittee; Steering Committee Chair Dr. Clifton Chancy; Faculty Athletics Representative (FAR) Dr. Anne Woodrick and incoming FAR Dr. Lisa Jepsen; UNI athletics
department senior administrative team; Panther Scholarship Club Board of Directors; and, co-chairs of the UNI Student-Athlete Advisory Committee, Jacqui Kalin and Jamar Thompson. In addition, Dr. Chancey and each subcommittee chair presented the NCAA Certification subcommittee reports, which included the Gender, Diversity, and Student-Athlete Well-being Plan for Improvement, to members of the President's Cabinet and UNI Academic Affairs Council.

President's Cabinet:
Benjamin Allen President
Gloria Gibson Executive Vice President and Provost
Terrence Hogan Vice President, Student Affairs
Thomas Schellhardt Vice President, Administration and Financial Services
William Calhoun Special Assistant to the President for Development and Alumni Relations/President of the UNI Foundation
James O'Connor Executive Director, Office of University Relations
Patricia Geadelmann Special Assistant to the President for Board and Governmental Relations
Shashi Kaparthi Chief Information Officer
UNI's Academic Affairs Council:
Gloria Gibson Executive Vice President and Provost
Shashi Kaparthi Chief Information Officer
Christy Twalt Assistant Provost for Sponsored Programs
Michael Licari Associate Provost for Academic Affairs/Dean, Graduate College
Virginia Arthur Associate Provost for Faculty Affairs
Kurt Meredith Interim Assistant Provost for International Affairs
Farzad Moussavi Dean, College of Business Administration
Dwight Watson Dean, College of Education
Joel Haack Dean, College of Humanities & Fine Arts and
Joel Haack Dean, College of Natural Sciences
Philip Mauceri Dean, College of Social & Behavioral Sciences
Kent Johnson Interim Dean, Continuing Education and Special Programs
Marilyn Mercado Dean, Rod Library
Patricia Woelber Administrative Assistant to Executive VP & Provost

The Gender, Diversity, and Student-Athlete Well-being Plan for Improvement along with information relative to the self-study process, and meeting notices, were posted on the University's NCAA Certification website for public review. The complete self-study report was made available for public review on April 11, 2011, and three open public forums to vet the report were held on April 19, 20 and 21, 2011.

After review, the plan was ultimately approved by President Ben Allen.
<table>
<thead>
<tr>
<th>Elements</th>
<th>Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issues in the Self-Study</td>
<td>Measurable Goals</td>
<td>Steps to Achieve Goals</td>
<td>Individuals/Officers Responsible for Implementation</td>
<td>Specific Timetable for Completing the Work</td>
</tr>
<tr>
<td>Student-athletes receive written notification through the student-athlete handbook of key university policies relating to student well-being issues, including, but not limited to hazing, sexual harassment, etc. but more follow up is needed.</td>
<td>Student-athletes understand the University policies that ensure the provision of a safe environment for all students.</td>
<td>Review University policies with each team during the fall team meetings. Review policies with SAAC. Invite presentations by campus officials and other resources at staff meetings, SAAC and SAS class.</td>
<td>Director of Athletic Compliance; SWA; SAAC advisor; Academic Advisor</td>
<td>Fall, 2011 and continued annually.</td>
</tr>
<tr>
<td>Appeal policies are included in the student-athlete handbook, but are not included with written notification of denial of transfer or non-renewal of aid.</td>
<td>Student-athletes receive a copy of the appeal policies when written notification of transfer request and/or reduction or non-renewal of aid is sent.</td>
<td>Include a copy of policy with written notification or as attachment when email serves as the written notification.</td>
<td>Director of Athletic Compliance, FAR, Assistant Director of Financial Aid</td>
<td>Immediately and ongoing.</td>
</tr>
<tr>
<td>Response rates are low for the exit interviews</td>
<td>The process used for exit interviews with student-athletes is annually reviewed and updated to improve response rates.</td>
<td>Revise survey instrument, member of IAAC meet in person with student-athletes to administer on-line survey.</td>
<td>FAR and IAAC</td>
<td>Spring 2011 and annually thereafter.</td>
</tr>
<tr>
<td>Information provided to athletic administration from the exit interviews only includes areas of improvement.</td>
<td>The summary of exit interview information includes all comments from the survey instrument.</td>
<td>Summary revised to include positive and negative comments written on surveys.</td>
<td>FAR and IAAC</td>
<td>Spring 2011 and annually thereafter.</td>
</tr>
<tr>
<td>Athletic department staff have not received educational programming in sexual orientation issues</td>
<td>Educational programming for coaches and athletic department staff members is provided from campus resources and through NCAA workshops.</td>
<td>Schedule presentations on sexual harassment and related issues from OCEM and Dean of Students; Apply for programming workshops offered by the NCAA in this area.</td>
<td>Director of Athletics/ SWA</td>
<td>Spring 2011.</td>
</tr>
</tbody>
</table>
Racial or Ethnic Composition of Personnel - Old Race/Ethnicity Categories Chart (IPEDS)

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>Am. Ind./AN (N)</th>
<th>Asian/PI (N)</th>
<th>Black (N)</th>
<th>Hispanic (N)</th>
<th>White (N)</th>
<th>NR Alien (N)</th>
<th>Other (N)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Year 1</td>
<td>Year 2</td>
<td>Year 3</td>
<td>Year 1</td>
<td>Year 2</td>
<td>Year 3</td>
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<td>Senior Administrative Athletics Dept. Staff</td>
<td>F</td>
<td></td>
<td></td>
<td>9</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Professional Athletics Dept. Staff</td>
<td>F</td>
<td></td>
<td></td>
<td>29</td>
<td></td>
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<tr>
<td>Head Coaches</td>
<td>F</td>
<td></td>
<td></td>
<td>1</td>
<td>10</td>
<td>1</td>
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<tr>
<td>Assistant Coaches</td>
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<td></td>
<td></td>
<td>1</td>
<td>3</td>
<td>1</td>
<td>20</td>
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<tr>
<td>Totals (for Athletics Dept. Personnel)</td>
<td>F</td>
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<td>Faculty-Based Athletics Board or Committee Members</td>
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<tr>
<td>Other Advisory or Policy-Making Group Members</td>
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</tr>
</tbody>
</table>

Name of person completing this chart: Steve Schofield
Title: Associate AD
### Racial or Ethnic Composition of Personnel - New Race/Ethnicity Categories Chart (IPEDS)

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
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</thead>
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<tr>
<td>Am. Ind./AN (N)</td>
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<td></td>
<td>1</td>
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<td>Native Hawaiian /PI (N)</td>
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<tr>
<td>Black/ African American (N)</td>
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<tr>
<td>White/ Non-Hispanic (N)</td>
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<tr>
<td>Two or More Races (N)</td>
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</tbody>
</table>

#### Senior Administrative Athletics Dept. Staff
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Other Professional Athletics Dept. Staff
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Head Coaches
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Assistant Coaches
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Totals (for Athletics Dept. Personnel)
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Faculty-Based Athletics Board or Committee Members
- Female: 1, 2, 3
- Male: 1, 2, 3

#### Other Advisory or Policy-Making Group Members
- Female: 1, 2, 3
- Male: 1, 2, 3

Name of person completing this chart:  **Steve Schofield**
Title:  **Associate AD**
## Racial or Ethnic Composition of all Students - Old Race/Ethnicity Categories Chart (IPEDS)

**STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID**

<table>
<thead>
<tr>
<th>Year</th>
<th>Am. Ind./AN (N)</th>
<th>Asian/PI (N)</th>
<th>Black (N)</th>
<th>Hispanic (N)</th>
<th>White (N)</th>
<th>NR Alien (N)</th>
<th>Other (N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>32</td>
<td>113</td>
<td>255</td>
<td>162</td>
<td>9121</td>
<td>123</td>
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</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>3</td>
<td></td>
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</tr>
</tbody>
</table>

Name of person completing this chart: **Steve Schofield**  
Title: **Associate AD**
# Racial or Ethnic Composition of all Students - New Race/Ethnicity Categories Chart (IPEDS)

## STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>Am. Ind./AN (N)</th>
<th>Asian (N)</th>
<th>Native Hawaiian /PI (N)</th>
<th>Black/ African American (N)</th>
<th>Hispanic/ Latino (N)</th>
<th>White/ Non-Hispanic (N)</th>
<th>NR Alien (N)</th>
<th>Two or More Races (N)</th>
<th>Unknown (N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Students</td>
<td>18 27  105</td>
<td>5 0</td>
<td>270  260</td>
<td>224 173</td>
<td>9292 9263</td>
<td>147 134</td>
<td>73 0</td>
<td>63 0</td>
<td></td>
</tr>
<tr>
<td>Student-Athletes</td>
<td>3 3 0 0</td>
<td>0 0</td>
<td>51 53</td>
<td>7 8</td>
<td>215 221</td>
<td>11 16</td>
<td>5 0</td>
<td>4 14</td>
<td></td>
</tr>
</tbody>
</table>

Name of person completing this chart: **Steve Schofield**
Title: **Associate AD**
# Racial or Ethnic Composition of Student-Athletes by Sport Group - Old Race/Ethnicity Categories Chart (IPEDS)

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>Am. Ind./AN (N)</th>
<th>Asian/PI (N)</th>
<th>Black (N)</th>
<th>Hispanic (N)</th>
<th>White (N)</th>
<th>NR Alien (N)</th>
<th>Other (N)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sports</strong> × Year</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Baseball</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>29</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>Men's Basketball</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>0</td>
<td>8</td>
<td>0</td>
<td>1</td>
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<tr>
<td>Football</td>
<td>2</td>
<td>0</td>
<td>33</td>
<td>0</td>
<td>44</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Men's Track / Cross Country</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>11</td>
<td>6</td>
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<td>Men's Other Sports and Mixed Sports</td>
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<td>0</td>
<td>3</td>
<td>1</td>
<td>21</td>
<td>0</td>
<td>1</td>
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<tr>
<td>Women's Basketball</td>
<td>0</td>
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<td>1</td>
<td>1</td>
<td>15</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Women's Track / Cross Country</td>
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<td>0</td>
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<td>0</td>
<td>26</td>
<td>2</td>
<td>0</td>
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<tr>
<td>Women's Other Sports</td>
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<td>1</td>
<td>0</td>
<td>2</td>
<td>79</td>
<td>11</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
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<td>47</td>
<td>8</td>
<td>233</td>
<td>23</td>
<td>8</td>
</tr>
</tbody>
</table>

Name of person completing this chart: **Steve Schofield**
Title: **Associate AD**
### Racial or Ethnic Composition of Student-Athletes by Sport Group - New Race/Ethnicity Categories Chart (IPEDS)

<table>
<thead>
<tr>
<th>Racial or Ethnic Group</th>
<th>Am. Ind./AN (N)</th>
<th>Asian (N)</th>
<th>Native Hawaiian/PI (N)</th>
<th>Black/African American (N)</th>
<th>Hispanic/Latino (N)</th>
<th>White/Non-Hispanic (N)</th>
<th>NR Alien (N)</th>
<th>Two or More Races (N)</th>
<th>Unknown (N)</th>
</tr>
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Name of person completing this chart:  **Steve Schofield**  
Title:  **Associate AD**