

**UNIVERSITY OF NORTHERN IOWA
NCAA CYCLE 3 CERTIFICATION REVIEW
SELF STUDY 2010-2011**

EXECUTIVE SUMMARY

INTRODUCTION

The University of Northern Iowa is a public, comprehensive institution of higher learning in Cedar Falls, Iowa. It currently educates over 13,000 students in academic programs at the bachelors, master's, and doctoral levels. The university fields 17 varsity sports teams, with 7 men's and 10 women's teams:

Football**	Softball*
Men's Basketball*	Women's Basketball*
Men's Cross Country*	Women's Cross Country*
Men's Golf*	Women's Golf*
Men's Track, Indoor*	Women's Soccer*
Men's Track, Outdoor*	Women's Swimming*
Men's Wrestling ⁺	Women's Tennis*
	Women's Track, Indoor*
	Women's Track, Outdoor*
	Women's Volleyball*

** Missouri Valley Football Conference

* Missouri Valley Conference

+ Western Wrestling Conference

The Department of Athletics (Troy Dannen, Athletic Director) manages all men's and women's sports at the university.

BACKGROUND

The university hosted an NCAA Cycle 2 Orientation visit on January 23, 2001. A Self Study was carried through during 2002, followed by an NCAA Peer Review Team visit to campus on April 8-11, 2003. On October 24, 2003, the NCAA Division I Committee on Athletics Certification granted the university "Certified with Conditions" status. The university responded with a plan of improvement, and was given "Certified" status by the NCAA on September 30, 2004.

Reduced state funding did lead to a reduction in the university's varsity sports: Men's Swimming & Diving and Men's Tennis were dropped in May 2002. In February 2009, the varsity Baseball program was dropped.

In March 2010, the Board of Regents, State of Iowa, passed a resolution requiring the university to assess the feasibility of, and to formulate plans that would, substantially reduce or eliminate general [state] funds for intercollegiate athletics. The Department of Athletics completed a comprehensive administrative review of how UNI funded its intercollegiate athletics program. In July 2010, the Board Office also requested specific information, including:

- A description of the positive impact that athletics has on the University of Northern Iowa and the general public, including surveys and economic reports that illuminate support for intercollegiate athletics.
- Background of the primary historic uses of general fund support for athletics.
- The practicality of substantially reducing or eliminating general university support for athletics over a period of time and the potential impact of this reduction to the athletic department.
- The time frame for the reductions or elimination and a justification for that period of time.
- Reductions made in Fiscal Year 2010 university support levels, contrasted with the original Board-approved budget.
- An assessment of the reduced university support levels on UNI's ability to adhere to Title IX requirements.

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, faculty leaders, students, alumni, the UNI Foundation, and the general Cedar Valley community.

At their September 16, 2010 meeting, the Board of Regents, State of Iowa, approved steps to reduce general fund support to intercollegiate athletics at UNI, including the following:

- Reduction of university general support by 18.3% by Fiscal Year 2015.
- A limitation in budgeted general fund support for athletics to 2.4% of the projected university general fund budget at the end of Fiscal Year 2015.

Putting this reduction in general fund support in context, as recently as Fiscal Year 2004, just 29% of the Athletics budget were covered by generated revenues. With the general fund reduction in Fiscal Year 2010, more than 50% of expenditures were covered by generated funds. The Board of Regents approved plan continues this trend, with generated revenue accounting progressively for increasing percentages of the Athletics budget, to 56% in Fiscal Year 2015.

2010-2011 (CYCLE 3) SELF-STUDY PROCESS

President Ben Allen appointed Dr. Cliff Chancey as Chair of the NCAA Steering Committee on March 9, 2010. On March 10, 2010, President Allen invited and appointed the additional university and community leaders to membership on the Steering Committee:

Dr. Lisa Jepsen, Associate Professor of Economics—also chair of the Governance & Commitment to Rules Compliance Subcommittee of the Steering Committee.

Dr. Anne Woodrick, Professor of Anthropology—also UNI's Faculty Athletics Representative (2001-2011).

Mr. Jon Buse, Dean of Students—also chair of the Academic Integrity Subcommittee of the Steering Committee.

Ms. Leah Gutknecht, Assistant to the President, Compliance & Equity Management—also chair of the Gender/Diversity Issues and Student-Athlete Well Being Subcommittee of the Steering Committee.

Ms. Kathy Green, Director, University Health Services.

Professor Jeffrey Byrd, Head, Department of Art.

Dr. Doug Mupasiri, Head, Department of Mathematics.

Mr. Jake Rudy, UNI Student Government Vice-President (Steering Committee member 2010-2011).

Mr. Ian Goldsmith, UNI Student Government Vice-President (Steering Committee member 2011-2012).

Ms. Jacqui Kalin, UNI student and UNI athlete (Women's Basketball).

Mr. David Anderson, Alumni Representative, and Assistant Executive Director of the Iowa High School Athletic Association.

Dr. Ben Allen, UNI President, and Professor of Management.

Dr. John Burtis, Chief Report Writer for the Self Study, also Professor of Communication Studies.

Ms. Jess Nissen, Communications Liaison, also an Assistant Marketing Specialist in University Relations [formerly Marketing & Public Relations].

Mr. Robert Smith, Director, University of Northern Iowa Center for Urban Education (Waterloo, Iowa).

Mr. David Braton, Community Representative, also publisher of the *Waterloo-Cedar Falls Courier* newspaper.

Mr. Troy Dannen, Director of Athletics.

Ms. Jean Berger, Steering Committee Liaison to the NCAA, also Senior Associate Athletic Director, and Senior Woman Administrator in the Department of Athletics.

Ms. Sheri Bishop, Administrative Support in support of the Self Study, also Office Coordinator, Department of Athletics.

ACADEMIC INTEGRITY SUBCOMMITTEE	GOVERNANCE & COMMITMENT TO RULES COMPLIANCE	GENDER/DIVERSITY ISSUES & STUDENT-ATHLETE WELL-BEING
Jon Buse, Chair	Lisa Jepsen, Chair	Leah Gutknecht, Chair
Dan Schofield, Senior Asst. Director of Admissions	Steve Wartick, Professor of Management	Eugene Wallingford, IAAC Chair & Head, Computer Science Dept.
Chelsea Hartman, Women's Swimming student-athlete	Steve Schofield, Assoc. Athletic Director	Joanne Loonan, Assoc. Director of Admissions
David Marchesani, Coordinator Academic Advising & Career Development	Juanita Wright, Asst. Director, Gift Aid & Multicultural Relations, Financial Aid	Greg Davies, Asst. Athletic Director for Business Services
Nick Sullivan, Project Director, Student Support Services	Diane Wallace, Assistant Registrar	Sarah Harms, Asst. Director of Facilities, UNI-Dome Operations
Diane Wallace, Assistant Registrar	Bob Lee, member Panther Scholarship Board of Directors	Stacey Simmer, Head Coach, Women's Swimming
Mark Bauman, Associate Professor of Accounting	Blair Bonner, Women's Golf student-athlete	Jean Berger, Senior Assoc. Athletic Director & SWA
Patricia Whitt, IAAC member & Info. Tech. & Training Office	Kelly Destival, Athletics Business Manager	Steve Schofield, Assoc. Athletic Director
Mark Schwab, Asst. Coach, Men's Wrestling	Kelley Jacobs, Asst. Women's Basketball Coach	Allison Galvin, Women's Softball student-athlete
Brady Fritz, Men's Cross Country/Track & Field, student- athlete	Jess Nissen, Assistant Marketing Specialist, University Relations	Mark Farley, Head Coach, Football
Owen Teeling, Men's Golf, student-athlete	Anne Woodrick, Prof. of Anthropology, NCAA Faculty Athletics Rep (2001-2011)	Gwenne Berry, Assoc. Director, Compliance & Equity Management
		Melissa Payne, Student Assistance/Outreach Coordinator, Office of Student Affairs

		Robert Smith, Interim Executive Director, EOP/SCS
		Kyle Burns, Men's Track & Field, student-athlete
		Jamar Thompson, Football, student-athlete
		Don Bishop, Head Athletic Trainer
		Jill Lageschulte, Women's Track & Field, student-athlete
		Inez Murtha, Director, Academic Learning Center

The Subcommittees took responsibility for drafting sections of the UNI NCAA Certification Cycle 3 Self Study, which were reviewed and edited by the full Steering Committee. During summer 2010 and the 2010-2011 Academic Year, drafts were produced and edited. By April 2011, an edited draft of the complete Self Study was available for public review and comment. The draft Self Study was circulated publicly, and made available via the web, starting April 11, 2011. A report in the Waterloo-Cedar Falls Courier and an interview with SWA Jean Berger on KWWL-TV highlighted the Self Study process and invited members of the Cedar Valley community to review and comment on draft recommendations in the report.

Comments were sought directly from a broad segment of the campus community, including:

- Intercollegiate Athletic Advisory Council (IAAC)
- Athletic Compliance Council
- Vice President Tom Schellhardt
- Faculty Senate
- Department of Athletics Senior Management
- Academic Advisors in the Department of Athletics
- Student-Athlete Advisory Committee (SAAC)
- Panther Scholarship Club Board of Directors

The open public forums were held across campus: April 19, April 20, and April 21, 2011. Comments and requests for clarification were reviewed and final edits to the Self Study were completed by the first week of May 2011.

The NCAA Cycle 3 Self Study was submitted electronically on May 6, 2011. Additional queries by NCAA Liaison Binh Nguyen were answered in late July 2011. Questions on the Self Study by the NCAA Committee on Athletic Certification were received in early September 2011, and answered by September 12, 2011.

An NCAA Peer-Review Team will visit campus during September 27-29, 2011.

KEY FINDINGS: ACADEMIC INTEGRITY

- A strong culture of compliance exists among the Athletics Department and other individuals and departments. Those stakeholders work closely to monitor admission standards, certification, student-athlete eligibility and academic progress.
- The percentage of student-athletes admitted as exceptions to admission standards has declined slightly in the past two years, and the percentage of student-athletes admitted as special exceptions is comparable to the percentage of special exceptions made for the whole student body.
- The federal graduation rates (FGR) for student-athletes exceeds the rates for the overall student body. However, the FGR for male student-athletes was slightly below the FGR for male students overall (59% compared to 63%).
- Deficiencies in the FGR for selected sports have been identified and improvement plans put into place. Deficiencies were due largely to very low cohort groups (typically 1 to 2 students per cohort).
- The FGR for African-American student-athletes in football has improved from 40% to 45% during the reporting period, and the FGR for African-American student-athletes in football 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 male student-athletes.
- Student-athletes and coaches feel academic services are accessible and athletic academic advisors are capable individuals who are readily available and respond promptly to questions and concerns.
- While collaborative relationships exist between athletics and other campus services, those efforts are not formally or systematically integrated across campus.

Recommendations:

- Initiate a dual reporting relationship for the athletics student services staff to the Office of the Executive Vice President and Provost or Director of Academic Advising Services.
- Integrate strategies for improving retention and graduation rates implemented by the Retention Council into athletics student services, with particular emphasis on those sports and sub-populations that are below averages for all students.
- Task the Intercollegiate Athletic Advisory Council (IAAC) to develop and execute a plan for a regular review of academic services for student-athletes that includes both internal and external review.
- Adopt an institutional missed class policy and communicate expectations regularly to both faculty and student-athletes, including the system of redress when concerns arise about its application.
- Employ a graduate assistant in athletics student services to coordinate the department's community service initiatives. Cost is approximately \$8,700 for stipend-only or \$15,000 for stipend and scholarship.

KEY FINDINGS: GENDER, DIVERSITY & STUDENT WELL-BEING

- The hiring of a senior associate athletic director who is professionally dedicated to the SWA role provides new energy and much-needed expertise toward gender issues.
- The 2004-09 Gender Equity Plan was not distributed to coaches and administrators and was not used as a guide for decision making or planning through those five years. Progress was not

tracked. This may make the plan appear insincere, but it also caused a large amount of extra work for staff to go back and track what may or may not have taken place in order to be able to report on progress for the self-study.

- In the spirit of accommodating interests and abilities, a written process for adding a sport is not clearly defined. This is addressed in the 2010-15 Gender Equity Plan.
- Surveys to assess interests and abilities had been done in earlier years but not in most recent years. The instrument has been revised, per the 2010-15 Gender Equity Plan.
- Roster management efforts have started to result in some success in improving the disparity between participation ratios. New roster management policies are now in place and have improved the disparity from a high of 19% in 2008-09 to 7.9% in 2010-11. As noted in the Gender Equity Plan, these efforts will require close scrutiny and accountability to maintain success.
- Scholarship funding for women's programs do not yet fully match participation ratios. Six scholarships are needed at a total cost of \$90K (in-state rate) to fully fund women's programs.
- Generally, equipment, supplies, uniforms, schedules, practice times, travel, per diems, academic support services, housing, and dining were all found to be equitable and without concern.
- Efforts have been made to bring salaries of head coaches of all sports into relative alignment as compared to conference peers. However, significant differences in salaries exist between men's and women's basketball coaches. Further analysis of the differences is necessary and is committed to as part of the 2010-15 Gender Equity Plan.
- Lack of on-campus facilities for women's sports requires 30% of female student-athletes to compete off-campus.
- Funding for letter awards is not equitable between men's and women's programs. A review of the program is necessary and could ultimately result in overall cost savings.
- Currently, a 5% discrepancy exists in the recruiting dollars spent on women's teams and female student-athletes. The cost can be absorbed by redistribution of funds or the 5% increase will need to be funded directly to the women's program. A review of this issue is incorporated in the 2010-15 Gender Equity Plan.
- Courtesy cars are provided in an inequitable manner. This has a negative impact on the women's teams. (35% of the cars are going to the coaches of the 46% student-athlete population while 65% are going to coaches of the 54% student-athlete population.) This is being addressed through the 2010-15 Gender Equity Plan.
- The institution's commitment to diversity is not adequately reinforced throughout the department and diversity is not clearly communicated as a departmental core value. Opportunities to integrate the message and to provide for an inclusive environment are therefore missed. This is not to say that individuals within the department do not value diversity.
- A hiring study that was to be done every five years per NCAA guidelines was not completed. It is the expectation of NCAA that athletics follows the same hiring policies and procedures as other departments across campus.
- The department does not adequately utilize existing campus and community resources to enhance diversity for student-athletes, coaches, and staff. Student-athletes, coaches, and staff are not fully aware of available resources or opportunities.
- IAAC appears to lack minority representation.
- A revised organizational chart now combines student-related tasks within one functional area. This helps provide better oversight, more efficient use of resources, and improved accountability.

- The percentage of student-athletes participating in exit interviews has been low (30%). Strategies for improving both the instrument and the process have been identified and implemented for improved results.

Recommendations:

- Conduct a review of administrative tasks and related job descriptions with the following goals in mind:
 - Alleviate burden from Senior Associate Athletic Director/SWA work load and spread duties to others to provide for stronger back-up to that role;
 - Emphasize common goal of gender equity and diversity in all sports and functions within the department;
 - Communicate the expectation for every staff member to take responsibility in implementing the 2010-15 Gender Equity, Diversity, and Student Welfare Plans for improvement; and
 - Provide for method to hold staff accountable to their role in realizing the goals outlined in each of the three institutional plans.
- Develop a communication plan for distribution of the three improvement plans to all appropriate constituent groups with timelines for each of those groups to receive updates on progress on the plans.
- Create a committee of subject matter experts from across campus (Dean of Students, Title IX Coordinator, Human Resources, etc.) to provide specific support, resources, and accountability to the implementation of the three plans. As an alternative, consider restructuring and/or repurposing existing committees to better utilize available resources. A side benefit of such a committee is the synergy from enhanced integration with existing campus resources, strengthened relationships, increased staff knowledge of opportunities, policies, and programs, and overall collaboration.
- Review each committee within the department to assure a diverse representation exists on each existing committee as well as those organized in the future.

KEY FINDINGS: GOVERNANCE AND COMPLIANCE

- A strong culture of compliance exists among the athletics department and other individuals and departments. Athletics department staff work closely with designated, experienced representatives from admissions, financial aid, and the registrar's office to monitor admission standards, certification, student-athlete eligibility, financial aid, and academic progress.
- President Allen maintains clear oversight and control of the intercollegiate athletics program. President Allen delegates day-to-day oversight to Vice President for Administration and Financial Services Tom Schellhardt. President Allen, Vice President Schellhardt, and Athletics Director Troy Dannen meet regularly to oversee the athletics program and as needed regarding major decisions and budget issues. *Note: The reporting line to the President has been strengthened, effective September 1, 2011.*
- The financial activities of the athletics department are regularly monitored and audited in accordance with Board of Regents and university requirements and in keeping with standard practices across campus.
- The athletics department receives input from and communicates with five external groups/individuals on a regular basis: Intercollegiate Athletics Advisory Council, Faculty Senate, Faculty Athletics Representative, Student Athlete Advisory Committee, and Athletic Compliance Council.

- The Director of Compliance provides monthly rules compliance education sessions for athletics department and coaching staff members and annual rules education sessions for the Panther Scholarship Club Board of Directors.

Recommendations:

- Create a “safe haven” reporting relationship for the Director of Athletic Compliance to the University General Counsel.
- Create a direct reporting relationship for the Director of Athletics to the President. A direct reporting relationship would be in keeping with our athletic conference and academic peers. Maintain the current day-to-day reporting relationship for the Director of Athletics to the Vice President of Administration and Financial Services. *Implemented by President Allen on September 1, 2011.*
- Restructure the Panther Wrestling Club such that all fundraising activities and booster functions are directly overseen by Athletic Department, all fundraising booster proceeds are processed by the athletics department business office and UNI Foundation, and all “local sports club” group functions are reviewed annually for compliance with NCAA rules.
- Enhance the role of the Intercollegiate Athletics Advisory Council (IAAC) in the review and oversight of athletic compliance issues by having the IAAC elect a faculty member to serve on the Compliance Council.
- Consider acquiring and implementing new compliance software programs to enhance efficiency in monitoring and reviewing compliance documentation. Cost is estimated to be \$10,000-\$20,000 annually.