

PR 7

Office of the President
December 14, 2004

Members, Board of Trustees:

ATHLETICS SELF-STUDY REPORT

Recommendation: that the Board of Trustees approve for submission to the National Collegiate Athletic Association (NCAA) the attached 2003-2004 Athletics Self-Study for NCAA Division I Certification.

Background: In 1993, the NCAA voted to approve periodic evaluation of its Division I athletics programs to ensure that they meet minimum specified standards of operation (Operating Principles). By setting standards and opening the affairs of athletics to the university community and the public, athletics certification is meant to ensure the NCAA's fundamental commitment to integrity in intercollegiate athletics. Division I institutions complete initial evaluation of their athletics programs by conducting an institutional self-study. Following completion and submission of the self-study report, the institution is visited by a peer review team whose charge is to verify the report's findings, completeness, and the opportunity provided for broad-based input into the study. Institutions found to be in substantial compliance with the Operating Principles receive NCAA certification. The University of Kentucky completed first-cycle certification review during the 1995-96 academic year. Second-cycle review began for all Division I institutions during 1999. The NCAA has subsequently announced that certification review will take place every ten years. UK's second-cycle self-study review officially began in December 2003. Following data gathering, the final draft report was completed in November, 2004.

Action taken: Approved Disapproved Other _____

2003-2004
DIVISION I
ATHLETICS
CERTIFICATION
SELF-STUDY
INSTRUMENT

Introduction to Self-Study Report

Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Public
2. Year institution was founded: 1865
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: 22619
6. Number of Faculty [using a full-time-equivalency (FTE) basis]: 2086
7. Highest level of academic degree offered: doctoral
8. Institution's governing entity: board of trustees
9. a. Regional accreditation agency: SACS
9. b. Date of most recent regional accreditation self-study: April 2002
9. c. Current accreditation status: Reaccredited

Athletics Information

1. Subdivision status of athletics program (Academic Year 2004): I-A
2. Conference affiliation(s) or independent status (Academic Year 2004):

Baseball	Southeastern Conference
Football	Southeastern Conference
Men's Basketball	Southeastern Conference
Men's Cross Country	Southeastern Conference
Men's Golf	Southeastern Conference
Men's Soccer	Mid-American Conference
Men's Swimming	Southeastern Conference
Men's Tennis	Southeastern Conference
Men's Track, Indoor	Southeastern Conference
Men's Track, Outdoor	Southeastern Conference
Mixed Rifle	Independent
Softball	Southeastern Conference
Women's Basketball	Southeastern Conference
Women's Cross Country	Southeastern Conference
Women's Golf	Southeastern Conference

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Women's Gymnastics	Southeastern Conference
Women's Soccer	Southeastern Conference
Women's Swimming	Southeastern Conference
Women's Tennis	Southeastern Conference
Women's Track, Indoor	Southeastern Conference
Women's Track, Outdoor	Southeastern Conference
Women's Volleyball	Southeastern Conference

3. Athletics program structure ('X' all that apply):

- 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 previous certification self-study and impact (if any) on the areas of the certification program.

The University of Kentucky began a self-investigation of possible recruiting violations in its football program in November 2000. This investigation resulted in a self-report of several violations, some of which the institution determined were major. This self-report was sent to the National Collegiate Athletics Association (NCAA) National Office in February 2001. The NCAA conducted its own investigation and issued an Official Letter of Inquiry to the University of Kentucky on August 3, 2001. The University responded to the Official Letter of Inquiry on September 28, 2001 and participated in a hearing before the NCAA Committee on Infractions in November 2001. The Committee's decision regarding this case was delivered on January 30, 2002.

One of the major infractions discovered during this investigation involved academic fraud on the part of an athletics department coaching staff member. The University's investigation, the report of the investigating committee (the Lawson report), and corrective actions resulting from the Lawson report are documented under Operating Principle 1.2, self-study items 5 and 6, within the Minutes of the Board of Trustees and the University of Kentucky Athletics Association Board of Directors. Other infractions involved recruiting activities during official and unofficial visits. Changes in the policies and procedures governing these visits have had an impact on the Rules Compliance area. Monitoring of compliance, mechanisms for reporting possible violations, and educational presentations (attendance is mandatory) by the Associate Athletics Director for Compliance are discussed extensively in the responses throughout Operating Principle 1.3, Rules Compliance. Additional issues resulting from the infractions case have been studied in the academic integrity portion of this self-study.

The NCAA sanctions have had an impact on several areas within the Athletics Department, but none as significantly as the football program. As a result of the infractions case, dismissal of coaching staff, and resulting changes in administration, the University of Kentucky has had three football coaches in four years. Due to the NCAA sanctions, there was a decrease in scholarships and several student-athletes transferred from the program. These changes have had an impact on graduation rates and performance on the field, and they have altered significantly the way the University of Kentucky Athletics Association conducts business.

5. Other signification events (with dates) in the history of intercollegiate athletics program:

The University of Kentucky Athletics Association — currently 22 sports strong with an annual budget of more than \$50 million — traces its roots to humble origins late in the 19th century.

The University of Kentucky was founded in 1865 as part of Kentucky University, the agricultural and mechanical extension school of what is now known as Transylvania University. The schools separated in 1878, leading to UK's first known intercollegiate competition on November 12, 1881, when a football team from Kentucky State College (i. e., UK) defeated a squad from Kentucky University (Transylvania) by the score of 7 1/4 to 1.

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The schools played three football games that year. More games are believed to have been played in the 1880s, but appear to be lost in the annals of history. Records confirm a football team in 1891, followed by track in 1894, and baseball in 1896.

Basketball teams were officially organized in 1903 for both men and women, but in the early years it was the women's squad that best flexed its muscles and gained notoriety. Women's teams in gymnastics and tennis also came along, but in 1924 women's sports were abolished when the University administration decided that varsity athletics were too strenuous for the gender.

It was in 1909 that the UK teams received their nickname. Following a football victory over Illinois, Commandant Carbusier, then head of the military department, told a group of students in chapel service that the team had "fought like wildcats." The nickname grew in popularity and was adopted by the University.

Initially, the administration of athletics at the University was student-run. Over the years, as sports — especially football — grew in popularity, the University faculty and administration became more involved. From the early years, periods of prosperity were interspersed with times of turmoil, and on occasion there were calls to abolish some or all of the men's sports as well.

Events of the 1930s proved pivotal. In 1930, Coach Adolph Rupp was hired, a decision which laid the foundation for Kentucky to become the premier program in college basketball history. In 1932, UK became a charter member of the Southeastern Conference. Effects of the Great Depression led to financial chaos, however, and the University administration reorganized athletics in 1938.

As part of the reorganization, Bernie Shively was appointed the director of athletics. Shively served until 1967, and it was during his term that UK Athletics became a stable entity. Post-World War II was a period of great success, as Rupp's teams won national championships in 1948, 1949, 1951, and 1958. Paul "Bear" Bryant was the football coach from 1946-53, going to the Orange, Sugar, and Cotton bowls in successive seasons and winning a share of the 1950 national championship.

After a half-century of dormancy, women's varsity athletics returned in the 1970s with the founding of basketball, indoor/outdoor track, cross country, tennis, volleyball, and swimming teams. Golf, gymnastics, soccer, and softball teams have been added, giving the Wildcats 11 women's sports.

Men's sports also grew over the years and the current lineup includes baseball, basketball, cross country, football, golf, soccer, swimming, tennis, and indoor/outdoor track for a total of 10 teams. Rifle, a combined men's/women's team, completes the list of sports. Men's basketball has been UK's best-known endeavor, with seven national championships and more wins than any collegiate team. Several other UK sports have been successful as well, winning numerous conference and/or NCAA championships.

Shively was succeeded as athletics director by Harry Lancaster (1967-75), Cliff Hagan (1975-89), C. M. Newton (1989-2000), Larry Ivy (2000-02), and Mitch Barnhart (2002-present). Under Barnhart's leadership, University of Kentucky Athletics strives for success on and off the playing field based on the director's five principles:

- 1) be first-class in everything we do;
- 2) operate with great integrity;
- 3) provide the student-athlete with the best possible experience;
- 4) sound financial management; and
- 5) expect to win championships in all sports.

The administration, faculty, and students of the old Kentucky University would be amazed to see how the school has developed — a student body of more than 26,000; nearly 11,000 faculty and staff; and up to 70,000 people attending a football game at Commonwealth Stadium or 24,000 packed into Rupp Arena. But, at the end of the day, the goals are the same: provide quality education for University of Kentucky students and "fight like Wildcats."

Previous Certification Self-Study

4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study.

The University of Kentucky and its athletics program have experienced significant senior-level position changes since the previous certification self-study. The Commissioner of the Southeastern Conference (2002), the President of the University (2001), and the Director of the Athletics Department (2002) have all changed in the last three years. Each of these changes resulted in personnel decisions and actions at other major management levels. This infusion of new philosophies and ideas has had a major impact on the very way UK Athletics conducts its business.

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However, the leadership of the Athletics Department firmly believes that the changes have resulted in growth, improved accountability, and overall quality enhancement of the program.

At the institutional level, Lee T. Todd, Jr. took office as UK's eleventh president on July 1, 2001. At that time the administrative structure of the University was immediately changed to reflect President Todd's vision of "one university." The new administration brought all academic areas under the oversight of a Provost, with Associate/Vice Provosts, Deans, and other academic support unit heads reporting to the Provost. The Provost reports to the President and, as second in command, represents the President in his absence. Three Executive Vice President positions were created to manage the areas of Finance and Administration, Research, and Health Affairs. These individuals along with the Athletics Director, General Counsel, and Chief of Staff report directly to the President. President Todd established two commissions, The President's Commission on Diversity and The President's Commission on Women, to monitor, develop and report on progress in these areas. Each commission is headed by a Chair, who reports directly to the President. Senior-level administrative staff is completed by the Vice President for Development, the Vice President for University Initiatives, and the Vice President for Institutional Research, Planning and Effectiveness. While all of these positions report to the President, both the Vice President for University Initiatives and the Vice President for Institutional Research, Planning and Effectiveness also have a reporting relationship to the Provost in recognition of their support of the University's academic mission.

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 certification self-study:

Besides the significant leadership changes described in #4 above, other significant changes that have had an impact on the institution and/or athletics program include:

—The institution experienced six years of consecutive increases in its six-year graduation rate, setting a new record each time and increasing from 48% to 61% in fall 2003. As presented in the NCAA Graduation Rate reports, the student-athlete rates have increased from 40% in fall 2001 to 48% in fall 2002. Graduation rates are improving with continuing efforts being made to match or exceed the improving graduation rate for all students. As emphasized in the new goals for the department, graduating student-athletes is a priority.

—In 1997, softball was added, making it the twenty-second sport sponsored by UK, the most of any school in the SEC.

—With the new administration in 2002, there have been significant changes in all aspects of the Athletics Department, and they are described throughout this self-study report.

—A new mission statement was developed for the Athletics Department to reflect the philosophies and priorities of new leadership:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, state, SEC and NCAA rules."

—The Athletics Director established the following five principles that reflect the mission of the department:

- 1) Operate in a first-class manner
- 2) Possess great integrity
- 3) Keep the focus on the student-athletes
- 4) Provide sound fiscal management
- 5) Compete for championships in all sports

—Another positive change is the contribution Athletics makes to the University. Beginning in FY04, Athletics committed \$1 million a year for 10 years to the University for scholarships.

—A new account structure was developed, creating more accountability for all sports and units and promoting sound fiscal management by all areas.

Certification Self-Study Information

1. Steering Committee Chair: Dr. Connie Ray
2. Chief report writer/editor of self-study report: Carl Nathe

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

As stated in the University's Self-Study Plan, a broad-based, complete, and accurate self-study is only possible when there is participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was first paid to the appointment of members to the Steering Committee and three subcommittees. Committee members were seen as links for an ongoing dialogue with that portion of the campus or community they represented. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the steering committee or subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups or individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

The final committee structure reflected good racial and gender representation and included members from both inside and outside the Athletics Department. Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members were recommended by the Student Government Association. Individuals interested in participating in the self-study process also contacted the Chair of the Steering Committee to volunteer their services. Final committee make-up included faculty, staff, students, student-athletes, administrators, a member of the Board of Trustees, a member of the UKAA Board of Directors, a community representative, and alumni.

Before beginning the self-study process, the Steering Committee adopted a Communications Plan designed to ensure that the campus and community were aware of the importance of the self-study and to provide opportunities for participation in its completion. A web page was developed and publicized through a campus-wide email from the President to ensure broad-based, two-way communication with the campus community and the general public. Articles, updates and progress reports were regularly posted to the Web or published in campus and other local publications. Each committee developed and posted a schedule of meetings and minutes of their proceedings in order to maintain a record of opportunities provided to the campus and community for input into the self-study process and to assure that all meetings were accessible to individuals and campus groups.

Throughout the self-study process, the Steering Committee and individual subcommittees met with student-athletes, coaches and other athletics personnel, administrators, faculty, or University personnel specific to individual operating principles as needed in order to gather information and prepare responses to self-study items. Steering Committee members attended meetings of the Student-Athlete Advisory Committee to engage them in the process and seek their help in developing strategies to ensure participation of all student-athletes. As a result, two focus groups were conducted with student-athletes, and a web-based survey of all student-athletes was carried out. These activities ensured that every student-athlete had an opportunity for input into the self-study.

Upon completion of the self-study, the draft report was posted to the web site followed by a campus-wide email from the President inviting review and comment. A public community forum was held to share self-study results and invite comment or suggestions related to the self-study findings and needed plans for improvement. Feedback was reviewed by the Steering Committee and incorporated as appropriate prior to finalizing the self-study for approval by the Board of Trustees.

Following is a schedule of formal presentations made to share self-study results and solicit input into findings and plans for improvement:

- Alumni Association Board, September 18, 2004, 2:30 p.m.
- University Faculty Senate, October 11, 2004, 3:00 p.m.
- Student-Athlete Advisory Committee, November 2, 2004, 8:30 p.m.
- Provost's Council (including Deans), November 9, 2004, 8:00 a.m.
- President's Staff, November 10, 2004, 8:00 a.m.

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Community Forum, November 11, 2004, 7:00 p.m.

UKAA Board of Directors and Board of Trustees, November 19, 2004, 10:00 a.m.

4. Provide a copy of the institution's written plan for conducting the self-study.

THE UNIVERSITY OF KENTUCKY PLAN FOR COMPLETING THE SELF-STUDY FOR NCAA DIVISION I CERTIFICATION

REVISED FEBRUARY 3, 2004

GOALS

1. Solicit input and feedback from all interested constituencies to ensure balanced, broad-based participation in the self-study process.
2. Conduct an accurate, complete and thoughtful review of the Athletics Department that recognizes its many strengths as well as areas where improvements are needed. Evaluate progress made since first-cycle review.
3. Aid in establishing a departmental culture that values integrity, sound fiscal policy and excellence in developing student-athletes to their full potential, including academics and competition.
4. Demonstrate compliance with the NCAA Operating Principles leading to continuation of NCAA certification in the second-cycle review.

INSTITUTIONAL PLANS AND RECOMMENDATIONS RESULTING FROM FIRST-CYCLE REVIEW

The University of Kentucky completed the NCAA first cycle review of its athletics program in 1996-97. As a result, the NCAA Committee on Athletics Certification reviewed written materials prepared by UK and the campus evaluation visit conducted by the peer-review team and concluded that UK should be certified. This meant that UK was considered to be operating its athletics program in conformity with NCAA's Division I operating principles and that any problems identified were considered to be not serious enough to affect certification status. As part of its certification decision, the committee determined that UK must address three strategies for improvement. The NCAA peer-review team will review UK's progress on the following three strategies during the second-cycle review:

- Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, travel, per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity
- Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative.
- Ensure that the Wildcat Foundation and other booster organizations of UK are subject to a more thorough financial audit conducted by an outside auditor (as opposed to only a disclosure of financial summary data verified by outside auditors), as part of the annual external financial audit required by NCAA Constitution 6.2.3.1.

UK Self-Study

The written materials prepared by UK for the NCAA Committee on Athletics Certification included a self-study report in which each subcommittee made suggestions for improvement. These suggestions are listed below. Additionally, the University of Kentucky's minority and gender plans were revised and submitted to the NCAA shortly after first-cycle certification review, as requested.

Governance and Commitment to Rules Compliance

- The president, as chair of the Athletics Association Board, should conduct an orientation meeting, beginning fall 1996, for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletic Association Board.
- The chair of the Student-Athlete Advisory Committee should be appointed as one of the two student members of the Athletic Association Board beginning fall 1997. The president will make the appointment effective July 1, 1997.
- The director of athletics and the faculty athletics representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.
- The assistant director of athletics for compliance should present an annual oversight report to the Athletic Association Board, beginning with the academic year 1996-97.
- The University should utilize the Southeastern Conference Compliance Review Program to conduct rules-compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996.
- The assistant director of athletics for compliance should meet annually with each booster group to provide rules education, beginning fall 1996.

Academic Integrity

- The Academic Integrity Group should be formally recognized by the president in the academic year 1996-97 as a

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continuing committee.

—The president should include in the responsibilities of the Academic Integrity Group oversight of the academic support services and should appoint the dean of undergraduate students to assist in achieving this goal.

Fiscal Integrity

—Budget revisions should be handled throughout the year by the senior associate director of athletics when the overall budget is increased or decreased by obtaining approval of the UKAA and the UK Board of Trustees as the need occurs, beginning fiscal year 1996-97. This is currently done only at year-end.

Commitment to Equity

—The Director of Athletics should continue the commitment to increase the number of African Americans in senior administrative, professional and head coaching positions in the Athletics Department as positions become available.

—The Director of Athletics should continually strive to achieve the objectives outlined in both the plan for gender equity and the plan for addressing minority opportunities.

—The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews.

COMMITTEE FUNCTION AND COMPOSITION

The Steering Committee Chair

Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness, was appointed as Chair of the Steering Committee by President Lee T. Todd, Jr. Dr. Ray has a direct reporting line to the President, has direct access to the President, and has the authority to oversee the self-study process.

Steering Committee and Subcommittees

All subcommittee chairs also serve as members of the Steering Committee. All committee members were appointed with the oversight and approval of President Todd. Names and titles of steering committee and subcommittee members can be found at the end of this section.

While the majority of members of the steering committee and three subcommittees have no day-to-day connection to university athletics, there is good representation of members from both inside and outside the Athletics Department.

Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members' names were provided by the Student Government Association.

There is good racial and gender representation throughout the committee structure, including the steering committee and subcommittee chairs. One means of assuring broad-based participation in the self-study process was inclusion of faculty, staff, students, student-athletes, administration, a member of the Board of Trustees, a community representative, and alumni on the various committees.

All individuals appointed to either the Steering Committee or one of the subcommittees were given the opportunity to refuse participation in this project. It is assumed that those who have agreed to participate have an adequate amount of time to devote to completion of the project.

RESPONSIBILITIES

Steering Committee

—Hold regular meetings.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Maintain a record of opportunities provided to the campus community for broad-based input into the self-study process, as well as updates and progress reports posted to the Web or published in campus or local publications.

—Review the progress of subcommittees by receiving, analyzing, and interpreting their reports.

—Prepare a final self-study report, relying on the reports of the subcommittees and aided by the chief report writer who will attend all meetings of the steering committee.

—Host the peer-review team.

Subcommittees

—Meet monthly or more often as needed.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Assure that all subcommittee meetings are accessible, providing opportunities for individuals and campus groups to be heard.

—Hold public meetings/forums as necessary to invite input and gather information.

—Meet with the Student-Athlete Advisory Committee to solicit input.

—Meet with/interview members of the Athletics Department and student athletes as appropriate to gather information necessary for completing subcommittee assignment.

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- Assign a member from the Athletics Department to assist in collecting necessary data.
- Collect, organize and interpret data pertinent to subcommittee assignment.
- Assure conformity with the NCAA Operating Principles.
- Check for areas of overlap with other subcommittees (see page 36 of the NCAA self-study instrument).
- Write the subcommittee report.
- Develop appropriate institutional plans for improvement.
- Provide monthly reports/updates to the steering committee.

NCAA Division I Certification Steering Committee

Connie A. Ray, Chair and Vice President for Institutional Research, Planning & Effectiveness (appointed by President)

Lee T. Todd, Jr., President (required)

Douglas A. Boyd, Acting Chief of Staff to the President (President's designee)

John J. Piccoro, Jr., Faculty Representative to NCAA and Professor, Pharmacy (required)

Mitch Barnhart, Director of Athletics (required)

Micki King, Assistant Athletics Director and Senior Woman Administrator (SWA) (required)

C. Darrell Jennings, Chair of the Academic Integrity Subcommittee and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Lionel Williamson, Chair of the Equity and Student-Athlete Welfare Subcommittee and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Ken Roberts, Chair of the Governance and Commitment to Rules Compliance Subcommittee and Dean of the College of Pharmacy (recommended by Faculty Senate)

Mary Marchant, Professor in the College of Agriculture (recommended by Provost; member of President's Commission on Women)

William. B. Daugherty, Jr., Alumni Representative (recommended by Alumni Association)

Barbara Young, UK Board of Trustees (recommended by President)

Antoine Huffman, Student-Athlete (recommended by Athletics Director)

Jessica Burke, Student-at-Large (recommended by Student Government Association)

Chief Report Writer: Carl Nathe, UK Public Relations (Recommended by Director, UK Public Relations)

Campus Liaison: Lisa Peterson, Assistant Athletics Director for Business (Recommended by Athletics Director)

Governance and Commitment to Rules Compliance Subcommittee

Ken Roberts, Chair and Dean of the College of Pharmacy (recommended by Faculty Senate)

Sandra D. Bell, Associate Director of Athletics for Compliance (recommended by Athletics Director)

Mary J. Davis, Stites and Harbison Professor of Law (recommended by Provost)

Karen Combs, Vice Provost for Budget and Administrative Services (recommended by Provost)

Lynda George, Director of Financial Aid (recommended by Associate Provost for Undergraduate Education)

Barbara Jones, Legal Office (recommended by Steering Committee Chair)

Luther Deaton, Community Representative (recommended by Athletics Director)

Steve Parker, Associate Professor in Kinesiology and Health Promotion (recommended by The President's Commission on Diversity)

Alexis Bwenge, Student-Athlete (recommended by Athletics Director)

Matthew Rippetoe, Student-at-Large (recommended by Student Government Association)

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Academic Integrity Subcommittee

C. Darrell Jennings, Chair and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Robert L. Bradley, Associate Athletics Director for C.A.T.S. (recommended by Athletics Director)

Victor Hazard, Associate Vice President and Dean of Students (recommended by Vice President for Student Affairs)

Michelle Nordin, Associate Director, Registrar (recommended by Associate Provost for Undergraduate Education)

Lois Chan, Professor of Library and Information Science (recommended by The President's Commission on Diversity)

Chuck Staben, Professor of Biology (recommended by Faculty Senate)

Roger Sugarman, Director of Institutional Research (recommended by Steering Committee Chair)

Vicki Goss, Student-Athlete (recommended by Athletics Director)

Justin Rasner, Student-at-Large (recommended by Student Government Association)

Equity and Student-Athlete Welfare Subcommittee

Lionel Williamson, Chair and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Sonya Feist-Price, Associate Professor in Rehabilitation Counseling (recommended by Faculty Senate)

Micheline Schott, Athletics Administration (recommended by Athletics Director)

Patricia V. Burkhart, Associate Professor of Nursing (recommended by President's Commission on Women)

Terry Allen, Associate Vice President for Equal Opportunity (recommended by Steering Committee Chair)

Randy Gonzalez, Director of Student Affairs Administration (recommended by Vice President for Student Affairs)

Sandy Copher, Director of the Office of Academic Scholarships (recommended by Associate Provost for Undergraduate Education)

Ricardo Nazario-Colon, Director of the Martin Luther King Cultural Center (recommended by The President's Commission on Diversity)

Wes Coffman, Community Representative (recommended by President)

Anne Ogundele, Student-Athlete (recommended by Athletics Director)

Braphus Kaalund, Student-at-Large (recommended by the Student Government Association)

CAMPUS LIAISON

The institution's Campus Liaison is Lisa Peterson, Assistant Athletics Director for Business. Duties include:

- Serve as a member of the Steering Committee
- Serve as a resource person to the subcommittees
- Coordinate the collection and dissemination of information about the self-study and certification process to institutional personnel
- Handle questions from institutional personnel in interpreting certification policies and procedures as contained in the handbook and self-study instrument
- Forward difficult interpretive questions to the NCAA staff and communicate answers to appropriate personnel
- Coordinate preparations for the NCAA liaison's orientation visit
- Coordinate preparations for the evaluation visit:
 - *arranging lodging and travel for the peer-review team;
 - *arranging dinner/reception for first evening of
 - *evaluation visit and extending invitations;
 - *arranging meals/breaks;

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*scheduling interviews and other peer review team activities;

*organizing work-related needs for peer reviewers (computer resources, secretarial support, copier, fax machine, telephone, audiovisual needs, meeting rooms, etc.)

*arranging exit interview

—Conduct a pre-visit briefing for the Student-Athlete Advisory Committee, student-athletes, coaches, and others

—Coordinate involvement of the Southeastern Conference

—Coordinate communication with the NCAA regarding comments concerning potential peer-review team members proposed by the Committee on Athletics Certification

—Coordinate evaluative comments on the self-study process

—Organize follow-up studies and reports as identified by the University or required by the Committee on Athletics Certification

CHIEF REPORT WRITER

Carl Nathe, UK Office of Public Relations, will serve as the Chief Report Writer for the Athletics Certification self-study. Duties include:

—Serve as a member of the Steering Committee

—Serve as a resource person for the subcommittees

—Maintain a file of all supporting documents and prepare these for evaluation visit (one set for on-campus working room, one set for off-campus location)

—Ensure that additional documentation is available as needed at various campus locations

—Prepare for and coordinate Steering Committee editing sessions.

—Compile approved subcommittee drafts into final self-study report

—Arrange for Public Relations review of report to ensure compliance with Style Guide

—Work with appropriate individuals to submit electronic copy of report to NCAA

OUTLINE AND SCHEDULE

Preparing for the Self-Study

July 2003 — University receives letter of notification that second-cycle NCAA certification review process is to begin.

August 2003 — President Lee T. Todd, Jr. appoints Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness to chair the NCAA Division I Self-Study Steering Committee.

Sept to Oct 2003 — Steering Committee and subcommittee members appointed and notified.

October 2003 — Chair schedules planning meeting with subcommittee chairs. President Todd announces beginning of Athletics self-study process to University community - Board of Trustees and Athletics Board.

Oct to Nov 2003 — Development of draft self-study Plan. Date for orientation visit of NCAA representative selected.

December 2003 — First meeting of Steering Committee. President presents charge. Working materials distributed. Self-study Plan reviewed and approved. Subcommittee chairs contact their committee members. Self-Study Plan sent to NCAA representative.

Conducting the Self-Study

January 2004 — Meeting of all members of steering committee and subcommittees officially kicks off the self-study process. Campus orientation visit by NCAA representative. Convening subcommittees to begin work on individual reports. Tour of Athletics Department/facilities.

February 2004 — Steering Committee meets on a monthly basis. Subcommittees meet at least monthly/more often as needed to gather information and begin to draft reports. Begin preliminary inquiries/arrangements for peer-review team's visit.

June 2004 — Draft reports completed by subcommittees and submitted to Steering Committee for review. Receive list of potential peer-review team members from the NCAA. Institution has one month to review and respond to this list with recommendations to add/remove potential team members.

June to August 2004 — Draft reports reviewed by Steering Committee and compiled by Chief Report Writer.

September 2004 — Institution will receive notification of specific peer review team members selected to visit campus in April 2005. Draft report posted to web page and announcement made to University community soliciting review and comment.

Introduction to Self-Study Report

October 2004 — Revision of final report. Report sent to printing to prepare hard copies for Board of Trustee review, additional internal copies.

November 30, 2004 — Report to President's Office for distribution to Board of Trustees, others.

December 14, 2004 — Meeting of the Board of Trustees. Present draft of self-study to the Board for their review and endorsement.

Preparing for Evaluation Visit

January 2005 — Submit completed self-study report to NCAA. Finalize arrangements for peer-review team visit - accommodations, transportation, meals, working room, clerical assistance, etc.

February 2005 — Develop itinerary for peer-review team visit. Schedule interviews. Gather and organize documentation.

The Evaluation Visit

April 2005 — Receive the peer-review team on campus. Exit report to President and University community. Receipt of Report and Certification Decision

May to June 2005 — Institution to receive draft of peer-review team's report prior to its submission to the NCAA. Institution has one month to prepare a written response. Response is only to include: 1) corrections of factual errors; 2) presentation of new, relevant information not considered by the peer-review team; 3) proposed additional corrective actions for remedying deficiencies. Peer-review team finalizes its report and submits to NCAA Division I Committee on Athletics Certification for review and certification decision. Institution may be asked to complete evaluation of the self-study process. Written certification decision will be sent to the chief executive officer and announced publicly through an NCAA press release. Institution will revise plans for improvement as instructed by NCAA and begin implementation of corrective actions in response to recommendations.

CONFERENCE INVOLVEMENT

The Southeastern Conference (SEC) office will serve in an advisory capacity, represented by Mr. Greg Sankey. The Steering Committee will keep all channels of communication open with Mr. Sankey including: ensuring access to all meetings, reports, proceedings, minutes, referral to the self-study Web page, providing copies of press releases, and other announcements.

GUIDELINES FOR WRITING AND EDITING THE REPORT

Committee Support

The Athletics Department will make arrangements to provide staff support to the subcommittees, as needed. This support will include attending subcommittee meetings on a monthly basis (more often as needed/requested by the subcommittee chair), maintaining a file of minutes for each subcommittee and forwarding these for posting to the NCAA Self-Study Web page, scheduling meeting rooms and sending out announcements of subcommittee meetings, preparing draft reports, making copies and performing additional duties necessary.

The Athletics Department will provide computer resources, telephones, copier, fax machine, office supplies and other necessary support for the peer-review team visit.

Writing

The final self-study report will be submitted through the NCAA Athletics Certification System. Writing for the online submission, as well as hard copy reports, of the self-study will follow the rules presented in the University of Kentucky Style Guide. The guide can be found online at www.uky.edu/Regs/Style/style.html. For all areas the guide does not cover, the Chicago Manual of Style is to be used. The report format is provided in the NCAA Self-Study Instrument, as presented in the web-based NCAA Athletics Certification System. The instrument lists relevant NCAA Operating Principles under each of the three major report sections, includes the appropriate forms to be completed by each subcommittee, provides an evaluation checklist to judge the institution's compliance with each of the relevant Operating Principles, and describes how plans for improvement are to be structured and completed. Each subcommittee will also be provided with: 1) a copy of the institution's first-cycle certification report and, 2) a copy of the peer-review team's report and recommendations to use as reference materials in preparation of their draft documents.

Editing

Individual subcommittees will edit draft reports prior to their submission to the Steering Committee. As mentioned above, by using the NCAA Self-Study Instrument in preparing draft reports, each subcommittee will have responded to the Operating Principles relevant to their individual section. A progress report from each subcommittee will be

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included on the agenda of each meeting of the Steering Committee. The Steering Committee will provide oversight, input and guidance as subcommittees gather, analyze, and interpret the information needed to complete their assignments. As necessary, questions will be referred to the NCAA for answers.

When draft reports are completed, the Steering Committee will review these and meet with individual subcommittees to discuss and make suggestions for changes or additional information needed. Drafts will be returned to the subcommittees for revision if needed.

Preparing the Final Report

Following Steering Committee review of subcommittee reports and after suggested changes have been made, the approved drafts will then be combined into a single final draft by the Chief Report Writer. The Steering Committee's final draft will be posted to the NCAA Self-Study section of the President's Web page and an announcement made to the University community asking for review and input into the report. Public comment and suggestions will be reviewed and incorporated, as appropriate, into the self-study report, which will be presented to the Board of Trustees for their review and endorsement prior to electronic submission to the NCAA. Upon final input of the self-study report to the web-based NCAA Athletics Certification System, the Steering Committee Chair will make the official online submission.

COMMUNICATIONS PLAN

The Communications Plan is designed to ensure that the campus and community are aware of the importance of the self-study and to ensure opportunities for participation in its completion. The committee structure was designed to be representative of various university constituencies, providing a direct communication link to interested parties; a web page will ensure broad-based communication to the campus community and the general public; and a well-conceived publicity plan will convey consistent, accurate information to both internal and external audiences. Additional details follow.

A. Committee Structure

A broad-based, complete and accurate self-study can only be accomplished through participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was paid to the appointment of members to both the Steering Committee and three subcommittees. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the committee/subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups/individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

As word spread that the self-study process for Athletics was underway, interested individuals also contacted the Chair of the Steering Committee to volunteer their service as committee members/subcommittee chairs. Subcommittees will be in touch with individual university offices/personnel as necessary to gather information for draft reports.

B. Web Page

An area devoted to the self-study will be established on the President's Web page. An initial announcement regarding the beginning of the self-study will include an invitation for interested individuals to provide their input. Throughout the self-study process, relevant documents will be posted to the page. This will include the self-study plan, schedules for committee meetings, and minutes from steering and subcommittee meetings. When the self-study is completed, a draft of the report will be posted to the web page and the entire university community will be invited to review and provide feedback on the report which will then be revised to incorporate relevant suggestions prior to submission to the NCAA.

C. Publicity

In October 2003 President Todd made an official announcement of the self-study to the Board of Trustees and the Athletics Board and stressed the need for broad-based involvement. Periodic reports to specific groups will be used as a means of keeping them informed of the self-study's progress. The Board of Trustees will receive periodic reports as will the University Faculty Senate. Announcements, progress reports, and updates will be published in University publications throughout the self-study process. Upon completion of the self-study and following the time

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period of posting to the web site for public comment/feedback, the revised report will be submitted to the Board of Trustees for their review and endorsement prior to submission to the NCAA.

A tentative plan currently includes:

December 2003 — Article in UK News announcing beginning of self-study process. News release to local media announcing beginning of self-study process.

January 2004 — Article in UK News regarding NCAA liaison's orientation visit. News release to local media announcing NCAA liaison's orientation visit.

February to May 2004 — Monthly article in UK News. Each month the work of a different subcommittee will be featured.

September 2004 — Article in UK News announcing posting of the self-study report to the website and encouraging campus feedback.

*Any of the UK News articles can also be part of a broader release to outside media.

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Operating Principle

1.1 Mission of the Athletics Program and the Institution

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

Not Applicable.

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.

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Not Applicable.

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

Not Applicable.

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

Not Applicable.

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

Not Applicable.

Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

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Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for Improvement

1) The president, as chair of the Athletics Association Board, should conduct an orientation meeting beginning in fall 1996 for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletics Association Board.

Actions and progress to date: The CEO of the previous administration conducted individualized orientations for new members of the Athletics Association Board; and therefore, progress on this suggestion is not well-documented. However, President Todd formally implemented this suggestion for improvement at an Athletics Association Board meeting for new members on September 14, 2004.

2) The chair of the Student-Athlete Advisory Committee (SAAC) should be appointed as one of the two student members of the Athletics Association Board beginning fall 1997. The President will make the appointment effective July 1, 1997.

Actions and progress to date: This suggestion was implemented as planned and continued through 2003-04, when Elizabeth McCaslin, president of SAAC, was one of two student members on the Athletics Association Board. Monitoring and evaluation of this practice was found to place an unnecessarily heavy burden on the student-athlete serving in both capacities while also tending to academic and athletic demands. Therefore, for the 2004-05 academic year, the president and vice-president of SAAC will no longer serve automatically as the two student members on the Athletics Association Board, and this responsibility will be assigned to other student-athletes.

3) The Director of Athletics and the Faculty Athletics Representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.

Actions and progress to date: This recommendation was implemented in the 1996-97 academic year and continued annually as time allowed. Since the fall semester schedule for the University Senate Council is generally full, the Faculty Athletics Representative's annual report was usually scheduled for the spring semester. However, due to pressing academic matters, the search process for a new president for the University, and a lengthy full-scale investigation of the Athletics program concerning National Collegiate Athletics Association violations, the report was bumped from the University Senate Council agenda several times. The most recent report was presented in spring

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2004. In order to minimize scheduling problems in the future, the Faculty Athletics Representative will schedule a permanent reporting time on the Senate Council calendar, most likely in February of each year.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Several improvements have been made under the new leadership at the University and in the Athletics Department, and they are discussed throughout this Self-Study report. See items from the following Board of Trustees meetings summarized in Self-Study Item 5: BOT meeting on 3/5/02, page 17, Item T, and on 9/16/03, page 4.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

Not applicable

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

A review of the UK Board of Trustees Minutes for fiscal years 2001, 2002, and 2003 revealed decisions and discussions in which the Board of Trustees or individual board members have been significantly involved. These are listed below. Additionally, individual board members are routinely involved in such decisions when attending meetings of the UKAA Board of Directors. These are presented in Self-Study Item 6 (see EXCERPTS FROM UKAA BOARD OF DIRECTORS MINUTES, 2001 THROUGH 2003).

EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003

1/23/01

Page 9, Item L: President Wethington reported about the ongoing football investigation. He reported that specific allegations could not be discussed and that upon completion of the briefing, the Board will be thoroughly briefed. At the request of President Wethington, Athletics Director Larry Ivy and Associate Athletics Director for Compliance Sandy Bell to review actions taken by the department to date.

Page 15, Item Q: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for two capital projects, a transfer of \$675,000 for the Football Office Complex Project and a transfer of \$1.25 million for the Commonwealth Stadium Field Reconstruction Project.

5/1/01

Page 6, Item N: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for the Commonwealth Stadium Field Lighting Replacement project, a transfer of \$1,500,000.

6/19/01

Page 17, Item AA: The Chair of the Joint Committee of the Board of Trustees and the UKAA Board of Directors presented the Committee's Report to the Board. The report included a description of current Department of Athletics activities; a description of the University of Kentucky Athletics Association and its relationship to the University and the NCAA regulations; a description of recent events; and a Committee recommendation on periodic reports to the Board of Trustees. The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association.

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7/5/01

Page 1, Item C: Administrative Reorganization (ECR 1): BOT approved President Todd's administrative reorganization. New organization chart shows Athletics reporting directly to the President. This conforms to Operating Principle 1.2 b: the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.

9/18/01

Page 12, Item P: Gifts and Pledges, FCR 14, 15, 16, 17, and 18: BOT approved to accept pledges and gifts from 5 donors totaling \$1,608,051 to create and/or endow 5 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

12/11/01

Page 16, Item CC: Gifts and Pledges, FCR 14, 15, and 16: BOT approved to accept pledges from 3 donors totaling \$954,771 to create and endow 3 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

3/5/02

Page 17, Item T: President Todd reported the findings of the Athletics Review Committee. He reported the first recommendation of the review team is the reorganization of the Athletics Association Board of Directors. There were three elements in the recommendation. The first element is to appoint a Budget Committee of the Board. The second element is to appoint a Ticket Committee to the Athletics Board and give them the responsibility for developing sound practices concerning the distribution of tickets for basketball and football. The third element in the Board's reorganization requires that all Athletics Department contracts, regular or consulting contracts, and any significant modifications thereof be submitted to the Athletics Board for their approval and recommended to the University's Board of Trustees as appropriate.

The next set of recommendations had to do with the Athletics Department management, reporting, and oversight. First, require full compliance by the Athletics Department with all regulations, policies, procedures, and practices of the University of Kentucky. Second, formulate and adopt standards of professional and ethical behavior for all the employees of the Athletics Department, including policies concerning receipt of personal gifts and conflicts of interest.

Another recommendation is to consider the possibility of having the Director of the CATS program, the academic support program that is the tutoring program, report to the Associate Provost for Undergraduate Education rather than to the Athletics Director.

The next recommendation by the review team involves the Athletics Department Blue/White program. The recommendation requires stronger coordination and cooperation between that program and the University's general development program and office.

President Todd's next recommendation requires strict oversight of all booster organizations by the Department's compliance officer and an annual report to the Athletics Board on all booster club expenditures on behalf of the athletics program and including any expenditure on behalf of the Athletics Department employees or former employees.

The next section of recommendations deals with C. M. Newton's contract. This recommendation outlines actions that are needed to bring the Department's relationship with former Athletics Director C. M. Newton into line with the requirements of the formal contract that governs that relationship. An additional item recommends that the priority list for tickets in Rupp Arena be modified to provide Mr. Newton or members of his family only the tickets to which he is entitled under the terms of his contract.

The final recommendation of the review team is that Larry Ivy should be removed from the position of Athletics Director.

President Todd reported that he has asked Terry Mobley, who is the Director of the UK Development Office, to serve as the Interim Athletics Director.

President Todd said that he is putting into place an Interim Business Manager for the Athletics Department.

President Todd said he is beginning a search for a new Athletics Director immediately.

4/2/02

Page 5, Item F: President Todd reported that he is on the Southeastern Conference (SEC) search committee for a new Commissioner for the SEC. Also, he reported that he has not made any decision on a search firm for an Athletics Director. Further, Dr. Todd announced that he had appointed a committee to look at athletics tickets. Furthermore, President Todd reported that Mr. Mobley and Marc Matthews are continuing to work with the athletics staff to better understand their business operations.

Page 9, Item L (Transfer of Blue-White Fund Quasi-Endowment to the Wildcat Foundation): President Todd shared some background on the Wildcat Foundation for BOT members who are not aware of the history.

President Todd noted that as they have reviewed the operations of the Athletics Department, they have also looked at projects involving the Wildcat Foundation. He, Dr. Blanton, and others have met with representatives of the

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Foundation, and they have been completely cooperative and open in assisting with the review of their transactions with the University. Based on that review, President Todd said that he feels that the Foundation has been fully compliant with past procedures of the University and also with any National Collegiate Athletic Association (NCAA) requirements.

After providing the background information on the Foundation and reviewing its support over the years, President Todd said that the real issue was for the Board to authorize a grant of an amount not to exceed \$3.5 million from the Blue-White Quasi-Endowment of the University for the purpose of funding the balance of the construction at the Cliff Hagan Baseball Stadium and authorize the Senior Vice President for Administration to enter into an agreement with the Wildcat Foundation whereby the funds withdrawn from the Blue-White fund would be transferred to the Foundation for the express purpose of satisfying the balance of the reasonable and actual construction costs of the new stadium.

Mr. Shoop moved approval of the proposal of FCR 9. Dr. Stumbo said the Finance Committee discussed this item, received assurances about it, and thinks that it is legitimate. He moved the adoption of FCR 9.

Mr. Shoop said that Dr. Stumbo had made the motion on behalf of the Finance Committee, and he would like to second the motion. The motion carried.

4/30/02

Page 5, Item H: President Todd reported that he has appointed an advisory group to work with him on the search for an Athletics Director. He also explained that he and the advisory group will select a search firm, and then the search firm will begin doing its work.

Page 6, Item I: President Todd reported that the University of Kentucky has submitted its appeal on the football bowl restriction. He reminded the Board of the NCAA penalty that states that UK cannot appear in a bowl this year.

6/11/02

Page 3, Item E: President Todd reported that Carr Sports Associates, Inc. of Gainesville, Florida has been selected to help UK find a new Athletics Director.

8/13/02

Page 5: The BOT approved the Administrative Regulation AR II-1.6-1 University of Kentucky Retirement Plan (PR 4) regarding mandatory retirement policy at age 65 for executive officers of the University including the President and the Athletics Director.

2/25/03

Page 11: BOT accepted six separate gifts to the Department of Athletics - four scholarships, one baseball stadium renovation and one gift to the Department generally.

4/1/03

Page 2: President Todd advised the BOT he is receiving positive reactions for his recognition of academic achievements at basketball games and will expand this procedure to football games.

Page 3: President Todd advised the BOT of the appointment of Mickie DeMoss as the Women's Basketball coach.

Page 11: Other business: UKAA Board Director and UK Trustee Alice Sparks updated the Board on UKAA matters.

5/6/03

Page 17: The BOT received the report from the UKAA Board of Directors June 2002 meeting during which the new Board structure was approved. It was communicated that the BOT member on the UKAA Board of Directors would be charged with submitting a report to the BOT following each UKAA Board of Directors meeting in the future.

Page 18: The BOT received the report from the UKAA Board of Directors February 2003 meeting. The Board approved coach employment contracts including Head Football Coach Rich Brooks. The Board approved the launch of fund raising efforts for the multi-purpose building.

Page 18: The BOT received the report from the UKAA Board of Directors April 2003 meeting. The Board approved a contract extension for Men's Head Basketball coach, Tubby Smith, the Amended Articles of Incorporation, the amended Bylaws, the new uniform ticket price plan, and the K Fund Program recommendation.

9/16/03

Page 4: President Todd reported on the implementation of the revised By-Laws during the past year which enacted a rotation of members of the Board of Directors. He thanked those members who were rotating off and announced the new members of the UKAA Board including two new faculty representatives, Dr. Raynor Mullins, College of Dentistry and Linda McDaniel, Professor of Accounting, and two new student members Elizabeth McCaslin from volleyball and Antoine Hoffman from football. It was announced that a Student-Athlete Welfare Committee had been established and Vice President Pat Terrell will serve as Chair. President Todd reported that there would now be a Finance Committee of the Athletics Board with primary responsibilities to review financial reports, processes, and procedures for tickets and ticket audits. Executive Vice President Dick Siemer will Chair the Finance Committee. Also a Long-Range Planning Committee was established.

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10/29/03

Page 2: President Todd informed the Board of Trustees that the University is beginning work on the second cycle for NCAA Self Study and Division I Certification for the Department of Athletics. BOT member, Barbara Young, will represent the Board of Trustees on the Self-Study Steering Committee.

Page 8: The Board of Trustees conducted lengthy discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University.

12/9/03

Page 5: The Board of Trustees continued discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University. The Board approved a withdrawal of \$6.5 million in funding for the projects. The motion carried without dissent.

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

In addition to decisions involving the Board of Trustees as presented in Self-Study Item 5 (see EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003), a review of the UK Athletics Association Board of Directors Minutes for fiscal years 2001, 2002, and 2003 revealed additional decisions and discussions in which the chief executive officer has been significantly involved. Individual Board of Trustees members have also been significantly involved in these decisions.

EXCERPTS FROM THE UKAA BOARD OF DIRECTORS MEETING, 2001 THROUGH 2003

2/7/01

Page 1: Athletics Director Larry Ivy and Assistant Athletics Director for Compliance Sandy Bell updated the Board of Directors on the status of the investigation of the football program.

Page 1: Athletics Director Ivy presented the resignation letter of Head Football Coach Hal Mumme.

Page 2: Motion unanimously carried for the UKAA Board of Directors to authorize and direct the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Mr. Guy W. Morriss as Men's Head Football Coach at the University of Kentucky and to provide the conditions of his employment to include a contract period of one (1) year beginning February 7, 2001.

3/2/01

No decisions (motions) related to intercollegiate athletics.

Page 1: Acknowledgement that the Board of Trustees had been invited to this meeting of the UKAA. The purpose of the meeting was to hear the disclosure report relative to the violations in the football program that had been sent to the NCAA on March 1, 2001, to include a question and answer period.

4/4/01

Page 1: Dr. Wethington asked for a motion that \$1,500,000 from the Athletics Association Quasi-Endowment Fund be transferred to the project fund for the construction of new lighting at Commonwealth Stadium. Motion unanimously carried.

Page 1: Motion unanimously carried to extend the contract of Coach Tubby Smith for four years and that Dr. Wethington and Mr. Ivy work out the final details of the contract with Coach Smith.

Page 2: President Wethington advised that the University Board of Trustees asked that 3 members of the UKAA Board of Directors, who were also Trustees, serve as members to study the relationship between the Board of Trustees and the UKAA Board of Directors and to submit a report to the University Board of Trustees. The Chair and Vice-Chair of the Board of Trustees would serve on the committee.

Page 2: Motion unanimously carried that \$100,000 from the University of Kentucky Athletics Association be transferred to the Charles T. Wethington, Jr. Graduate and Professional Fellowship Fund and that it be supplemented by five percent of the Blue/White Fund increase each year if that is possible within a balanced budget.

Page 2: Dr. Wethington asked for a motion to approve the 2001-2002 budget as presented by Mr. Ivy. Motion unanimously carried.

8/13/01

Page 1: Dr. Todd asked for a motion for the UKAA Board of Directors to adopt a resolution amending the Association's Articles of Incorporation. The changes in the resolution align the ex-officio members of the Board of Directors with the current titles in the new University of Kentucky administrative organization. Motion unanimously carried.

Page 2: President Todd asked for a motion that the President of the UKAA be authorized to negotiate and execute an amendment of the Lease for Rupp Arena dated May 21, 1998, between the Association and Lexington Center Corporation extending the Lease through the 2017-2018 basketball season. Motion unanimously carried.

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Page 2: President Todd called for a motion to approve the contract for Guy Morriss as the men's head Football Coach. Motion unanimously carried.

Pages 2-3: The UKAA Board was informed that the NCAA Enforcement Committee had completed its investigation and President Todd was in receipt of an Official Letter of Inquiry that advised the University to appear before the NCAA Infractions Committee.

6/5/02

Page 1: Motion carried unanimously to approve the list of awards to the eligible student-athletes on the list presented.

Page 2: President Todd asked for a motion to approve the 2001-2002 revised budget and the 2002-2003 budget as presented. The motion carried unanimously.

Page 3: President Todd distributed a job description for the athletics director and advised the Board that Carr Sport Associates had been retained to assist in the search for a new athletics director with an anticipated hiring date of July 31, 2002.

Page 3: President Todd presented the Board a new policy regarding automobiles for athletics department personnel.

Page 3: Motion carried unanimously for the Board of Directors to pay Mr. Terry Mobley, who was willing to serve as interim director, the same salary that the Athletics Director had been paid and to make it retroactive to the starting date.

7/15/02

Page 3: President Todd asked for a motion to approve the hiring of Mitch Barnhart as the new University of Kentucky Athletics Director and that a recommendation be sent to the Board of Trustees Executive Committee. Motion passed with Professor Lawson voting "n." President Todd described the selection process, the assistance from an advisory committee, assistance and counseling from the search firm, and other details of the interviews, including specific details about how Mr. Barnhart's compensation and benefits were determined by national comparables.

12/10/02

No decisions (motions) related to intercollegiate athletics. President Todd announced the resignation of Head Football Coach Guy Morriss. Athletics Director Barnhart introduced new member of the department staff, outlined goals for the department, and presented a general assessment of the department's facilities. The budget report updated the Board on the new organization and operation structure for budget management, reporting, and accountability. President Todd presented a proposed Board of Directors reorganization structure for discussion. The Board was advised that it will be informed of all contracting for broadcast and revenue agreements.

2/15/02

Page 1: President Todd reminded the Board that their feedback was needed regarding the Board of Directors reorganization proposal.

Page 2: Motion that the UK Athletics Association Board of Directors authorizes and directs the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Rich Brooks as Men's Head Football Coach at UK and provide the conditions of his appointment to include a five-year contract beginning December 30, 2002. The motion carried without dissent.

Pages 2 & 3: Motion for approval of appointments and contracts for assistant coaches to Men's Head Football Coach. Motion carried without dissent.

Page 5: Motion recommending that the University Of Kentucky Athletics Association Board of Directors authorize the Athletics Director to move forward with fund raising efforts for the Multi-Purpose Room. The motion carried without dissent.

Page 6: Motion requesting the Board to authorize additional expenditure authority of \$1.5 million as part of the budgeting process. Motion carried without dissent.

4/18/03

Pages 1 & 2: President Todd moved to approve an eight year contract extension for Men's Head Basketball Coach, Tubby Smith. The total value of the contract was \$20,250,000 over eight years.

Page 2 & 3: President Todd moved to approve appointment and a five year contract for Mickie DeMoss as Women's Head Basketball Coach. The motion carried unanimously. The total value of the contract was \$300,000 annually.

Page 3: Motion to approve amended and restated UKAA Articles of Incorporation. This action brings the Articles up-to-date with Kentucky law and also brings the Board more in line with the Lawson Report that was completed approximately one year ago. The motion passed unanimously.

Page 4: Motion to approve adoption of revised bylaws. The revisions will bring the corporate bylaws into the modern age, and will incorporate many suggestions from the Lawson Committee and the Board of Trustees Ad Hoc Committee on Board Structure. The motion passed without dissent.

Pages 4 - 8: Motion for approval of the recommendation from the Ad Hoc Ticket Committee. Motion carried without

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dissent.

Pages 8 - 10: Athletics Director Barnhart presented the FY '04 budget and a report focusing on assistant coaches' compensation.

10/17/03

No decisions (motions) related to intercollegiate athletics. President Todd announced the University NCAA Accreditation Self Study to begin and he announced the appointment of Trustee Barbara Young to the Self Study Steering Committee. Dr. Todd recognized the presence of Board of Trustee members at the UKAA Board of Directors meeting in addition to those trustees who are Directors.

7. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.

The governance of the University of Kentucky is vested by statute in the Board of Trustees. Within the limits set by the State Constitution and federal and state laws, the Board of Trustees is the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies (Kentucky Revised Statutes 164.160, KRS 164.210, KRS 164.220, KRS 164.225, and Governing Regulations II-7-9). The Board of Trustees consists of sixteen members appointed by the Governor, two members of the faculty, one member of the non-teaching personnel, and one member of the student body (KRS 164.131, GR II-2-3). The President of the University is required to attend all meetings of the Board of Trustees, including its executive committee (GR II-5). The Board is required by statute to meet at least quarterly (KRS 164.170). All Board and committee meetings are open meetings pursuant to Kentucky law (KRS 164.170, KRS 61.805 and GR II-4). The Board of Trustees annually elects an Executive Committee of five members, which has the power delegated to it by the Board. The Board cannot revise any action taken by the Executive Committee that constitutes a valid or authenticated expenditure of money (KRS 164.190 and GR II-2.A).

The President is the chief executive officer and has full authority over the administration of the University. The President, with Board approval, may delegate authorities or responsibilities to any member of his administrative staff (GR III-1). The President is appointed by the Board of Trustees with the advice of a joint committee of the Board, faculty, staff, student body and alumni (KRS 164.220 and GR VIII-1). Every administrative and professional employee of the University who reports directly to the President is required to be appointed by the Board of Trustees, acting upon the recommendation of the President (GR VIII-1).

The purpose of the University of Kentucky Athletics Association (UKAA) is to promote athletics and a physical culture, including supporting the academic needs, interests, and programs of the University of Kentucky (UKAA Articles of Incorporation AI-IV). The corporation (UKAA) has the authority to employ instructors, coaches, directors, and other persons necessary for carrying out the purposes of the corporation (AI-V). The UKAA Board of Directors conducts the affairs and business of the corporation. The President of the University is the President of the corporation and of the Board of Directors (AI-VII; Bylaw II, Sec. 2). The Athletics Director is appointed by the UKAA Board of Directors and the appointment is subject to the approval of the Board of Trustees. The employment contract between the Athletics Director and the University requires the Athletics Director to report directly to the President of the University. The Faculty Representative to the National Collegiate Athletics Association is a member of the UKAA Board of Directors.

The UKAA Board of Directors meets once each semester and special meetings may be held at any time upon the call of the President (Bylaw I, Sec. 2). The Board meetings are open to the public (KRS 61.805). The Board of Directors conducts the affairs and business of the corporation. The Board of Directors consists of sixteen (16) members:

1. President as Chair,
2. Five Administrative Officers, ex officio
 - (a) Provost (Chief Academic Officer of the University)
 - (b) Vice President for Student Affairs
 - (c) Faculty Representative to NCAA
 - (d) President of UK Varsity Letter Association
 - (e) Executive Vice President for Finance and Administration
3. Ten members appointed by the President
 - (a) Two members of the Board of Trustees
 - (b) One Alumnus

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- (c) One Member-at-Large
- (d) Four University Faculty
- (e) Two Full-time Scholarship Student-athletes (1 male, 1 female)(AI-I-VI).

The Board of Directors discusses, approves, and if necessary, recommends to the University Board of Trustees the following:

1. Appointment of the Athletics Director;
2. Appointment and contract terms of the head coaches for football and basketball;
3. Formal policies for sale and distribution of basketball and football tickets;
4. Construction of facilities if the expected cost would exceed \$100,000; and
5. Annual budget, including donor funds (Bylaw I, Sec. 3).

Although employment authority is delegated to the UKAA Board, all UKAA employees are considered as University of Kentucky employees. Thus, UKAA employees are subject to and receive the benefits of all University human resources policies and procedures (hiring, pay, benefits, etc.). As with other deans and directors, 1) hiring responsibility for nonexempt employees and exempt employees in positions below grade/level 47 is delegated to the Athletics Director, 2) hiring for exempt level 47, 48 and 49 positions must be reported to the Board of Trustees, and 3) hiring in exempt levels 50 and above must be approved by the Board of Trustees.

The University of Kentucky Athletics Association is an Affiliated Corporation as defined by statute (Bylaw III, Sec. 1 and KRS 164A.550). The Board of Directors is required to obtain the approval of the University Board of Trustees prior to acceptance of any gifts of land, buildings, structures or renovations valued at \$400,000 or more and must follow Board of Trustees procedures for the naming of any property (Bylaw III, Sec. 1).

The UKAA Board has created three committees to be appointed by the President:

1. Finance Committee—the Finance Committee is chaired by the Executive Vice President for Finance and Administration and shall include at a minimum a faculty member director, a Trustee Director, and an at-large member. The President may appoint additional finance committee members for special purposes. The Committee is responsible for reviewing all matters related to the use, sale and distribution of basketball and football tickets and shall ensure that the University exercises institutional oversight of fiscal responsibilities of the Athletics Association; in addition to the Executive Vice President, the 2003-04 committee membership included Claudia Heath (faculty), Jim Hardymon (trustee), Luther Deaton, and Bill Sturgill;
2. Student-athlete Welfare Committee—the Student-athlete Welfare Committee is chaired by the Vice President for Student Affairs and shall include at a minimum one faculty member director, one Trustee director, and two student directors. The Committee is responsible for reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletic program; in addition to the Vice President for Student Affairs, the 2003-04 committee membership included Linda McDaniel (faculty), Gerald Smith (faculty), Alice Sparks (Trustee), Antoine Huffman (student-athlete), and Elizabeth McCaslin (student-athlete); and
3. Long-range Planning Committee (Bylaw VII)—the Committee and Committee Chair shall be appointed by the President and shall be responsible for reviewing all matters related to the strategic and long-range development of the University Athletics Association; the 2003-04 committee membership included Raynor Mullins, S.T. Roach, Tim Morris, Bob Wiseman, Dorothy Brockopp (faculty and Chair of the Commission on Women), and Marc Mathews.

Other appropriate campus constituencies are involved in decision-making regarding Athletics in the following ways:

1. As members of the Academic Integrity Committee (AIC)—In 1991, under the leadership of College of Education Professor Virginia Atwood, an informal group known as the Academic Integrity Group (AIG) was formed to serve as a forum for discussion of issues that interface with athletics and academics. The group was composed of both University and athletics administrators. The members included the faculty athletics representative, University registrar, director of admissions, associate director of student financial aid, the assistant director of athletics for compliance, assistant director of athletics for student services, and assistant director of athletics for non-revenue sports. In a memorandum dated September 16, 1997, President Charles T. Wethington, Jr. recognized AIG as an official committee of the University of Kentucky and established the group as the Academic Integrity Committee (AIC). The responsibilities of AIC included ensuring that student-athletes meet UK, SEC and NCAA admission standards and make satisfactory progress toward a meaningful degree; facilitating communication among departments responsible for certification of student-athletes, serving as a working group in preparation for SEC and NCAA certification, and providing general oversight to the Athletics Department academic support services. AIC continues to meet on a regular basis to fulfill this purpose; however, AIC has not yet been formalized as an official committee in the appropriate administrative regulations and "UKAA Policies and Procedures Manual." Therefore, the Governance and Commitment to Rules Compliance Subcommittee suggests that steps be taken immediately to formalize AIC as an official university committee in the UK Administrative Regulations, Part III — Administrative Committees and Councils — and in the "UKAA Policies and Procedures Manual." Appropriate attention should be given to describing the purpose and membership of AIC.
2. As members of various University committees that include athletics representatives and recommend and/or

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implement institution-wide policies affecting all units, including Athletics—A review of such committees reveals the extent to which the Athletics Department is integrated with the campus community and is affected by decisions of various campus constituencies. These committees or groups include: Campus Development Officers, Business Strategic Planning, Capital Planning Advisory, Area Fiscal Officers, Provost Budget Officers, Employee Benefits, Grievance Panel, Performance Development Partnership, International Student Affairs, United Way, and the President's Commission on Women, among others.

3. As supervisors of key athletics personnel—the Associate Athletics Director for Student Services has a direct reporting line to the Associate Provost for Undergraduate Education to promote ongoing monitoring and oversight of academic support services by academic authorities outside athletics; and the Executive Associate Athletics Director has a dotted reporting line to the Controller to promote ongoing monitoring and oversight of financial affairs by a fiscal authority outside athletics.

4. As members of special committees appointed by the President to meet a specific need related to Athletics — For example, an Ad Hoc Ticket Committee recently developed a priority point system for fair and equitable allocation of football and men's basketball seating. The committee members included Acting Executive Vice President for Finance and Administration Jack Blanton, Claudia Heath (faculty), Billy Wilcoxson (Trustee), and Luther Deaton (member-at-large). On April 18, 2003, the Committee submitted its recommendations to the UKAA Board of Directors, and they were adopted.

8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

UNIVERSITY OF KENTUCKY ATHLETICS ASSOCIATION
Board of Directors
2004-05

FACULTY
Claudia Heath, Ph.D., Professor, Human Environmental Science
Linda McDaniel, Ph.D., Professor, School of Accountancy
M. Raynor Mullins, D.M.D., Associate Professor, Dentistry
Gerald Smith, Ph.D., Associate Professor, History

TRUSTEES
James Hardymon, Retired Chairman and CEO of Textron Corporation
Alice Sparks, President and CEO of SSK Company

ALUMNI
William B. Sturgill, CEO of East Kentucky Investment Company

MEMBER-AT-LARGE
Luther Deaton, President of The Central Bank of Lexington

STUDENT MEMBERS (Student-athletes)
Danielle Petrisko
Matt Wells

EX OFFICIO MEMBERS
Lee T. Todd, Jr., Ph.D., President, UK (Chair)
Mike Nietzel, Ph.D., Provost, UK
Frank Butler, Acting Executive Vice President for Finance and Administration, UK
John Picoro, Pharm.D., Faculty Athletics Representative and Professor of Pharmacy, UK (Secretary)
Patricia Terrell, Ed.D., Vice President for Student Affairs, UK
Bill Ransdell, K-Association President

EMERTI MEMBER
S.T. Roach, Retired High School Teacher and Coach

Information to be available for review by the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).

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- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

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Operating Principle

1.3 Rules Compliance

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions from the first-cycle certification process and actions taken were:

1. Consider documenting and disseminating (e.g. through the athletics department policies and procedures manual) the responsibilities and roles of the University's registrar and financial aid officer with regard to athletics matters (e.g. admissions, continuing eligibility certification). The responsibilities and roles of these university officials became part of the Athletics Department policies and procedures manual in fall 1999 and have been periodically revised and updated through the Academic Integrity Committee.
2. The Associate Director of Athletics for Compliance should present an annual oversight report to the Athletics Association Board, beginning with the academic year 1996-97. This position is currently making an annual report to the Athletics Board as part of the Athletics Director's Annual Report. This has been a regular part of the Athletics Director's report since the first-cycle suggestion was made.
3. The University should utilize the Southeastern Conference (SEC) Compliance Review Program to conduct Rules Compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996. Such a review was requested during the first-cycle for fall 1996. Due to scheduling difficulties at the SEC office, that review actually took place in summer 1997. To comply with the NCAA's compliance review frequency requirement of every four years, the University requested another review in fall 2000 hoping to be scheduled by the required date of summer 2001. The SEC office was undergoing dramatic staff changes in the Compliance area and delayed that request on several occasions. When the new SEC Commissioner was hired in July 2002, he asked that the University wait until he could institute a consistent review program through the conference office. UK finally received its second review in spring 2004. Additionally, the Athletics Department was the subject of an extensive review by a University committee outside athletics established by President Todd in spring 2002. Compliance was part of that review and significant changes were made throughout the department as a result of their study. It is the position of this university that the presidential review would meet the requirement for a periodic review by a group outside the Athletics Department. The SEC review occurred two years after that of the presidential committee. The University of Kentucky will continue to have a compliance review by the SEC office every two years as part of the new SEC Compliance Program.
4. The Associate Athletics Director for Compliance should meet annually with each booster group to provide rules education, beginning in fall 1996. This practice began with some external booster organizations in fall 1996 and included all external booster organizations that hold periodic meetings by fall 1997. The Associate Athletics Director for Compliance continues to meet annually with these groups.

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3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Additional plans for improvement implemented since the first-cycle certification include:

1. In 2002 the University of Kentucky contracted with an external company to establish a confidential toll-free call number for the use of employees, student-athletes, and boosters of the athletics program (Comply Cats 1-866-257-CATS [2287]). It is the hope of the Athletics Department that anyone who needs to report a violation or has a compliance concern will feel free to contact the Compliance Office or the Athletics Director. However, for those who do not feel comfortable taking that approach for any reason, the toll-free line provides a confidential vehicle whereby the department can become aware of all compliance concerns. The line is available 24 hours a day, seven days a week. All booster groups, athletics teams, and staffs are educated on the purpose of the line and how to access it. Individual calls are reported immediately to the Compliance Office for action. A monthly report of all calls is sent to the President of the University and the Commissioner of the SEC.
2. In 2003 the Compliance Office and the Athletics Accounting Office collaborated on a monitoring system for all expenditures made by the Athletics Department that involved a coach, student-athlete, staff member, or booster club. Every document flowing through the accounting office involving those groups is sent to the Compliance Office for review prior to payment. This system has helped prevent and detect problems that would otherwise go unnoticed. This has been an extremely effective process that has greatly enhanced the monitoring capabilities of the Compliance Office.
3. In 2001 the Compliance Office established a system whereby all external booster organizations had to receive prior written approval from the Compliance Office and their Administrative Liaison before any expenditure on behalf of UK Athletics could be made. This procedure, in combination with the external audits required for all these groups, has allowed much greater control over the activities of external booster organizations.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable.

5. 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 Athletics Department, through the Compliance Office, speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of athletics' interests. To this end, the Associate Athletics Director of Compliance writes a quarterly Compliance Corner column for "Blueprint," a periodic publication that is mailed to over 100,000 supporters of UK Athletics. The Associate Athletics Director posts educational information on prominent booster message boards, when necessary, in response to posts which indicate problems or areas of concern or interest. Those message boards will also contain an internal link to UK compliance information contained on the official UK web site. This web site is continually updated.

In addition,

- Compliance Office staff members periodically write rules education articles for alumni and booster publications.
- Rules education pamphlets are mailed with season ticket information and alumni mailings.
- The Associate Athletics Director for Compliance speaks on a regular basis to high school coaches, principals, and athletics directors, as requested.
- A member of the senior administrative staff serves as a liaison to each of the external booster organizations. This gives them an additional person to contact other than the Compliance Office for operational or financial concerns.
- The most effective control is the prior written approval of any and all expenditures made by any external booster organization on behalf of the UK Department of Athletics. This prior approval form must be filed by the appropriate officer of the club and must receive the written approval of the administrative liaison assigned to that club and the

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written approval of the Compliance Office.

—At the end of each fiscal year, each external booster organization must submit a financial audit that lists every check written throughout the year. This audit must be completed by an outside auditor in compliance with NCAA requirements.

—The Compliance Office meets annually with each of the external booster clubs to educate them on the NCAA rules governing booster interaction with both current student-athletes and prospects. The Department of Athletics also uses that time to inform them of the Comply Cat line and encourages them to share any information or concerns directly or through the confidential line. Athletics makes it very clear that the department is committed to compliance and wants to be informed of any problems or concerns the boosters might have.

- 6. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.**

The Athletics Director is the individual designated by the President as being responsible for the institution's NCAA rules compliance. The Athletics Director reports directly to the President of the University. The staff of the UKAA Compliance Office assists the Athletics Director by conducting the day-to-day operations to ensure such compliance. The Compliance Office ensures that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference and NCAA rules and regulations. The Compliance Office staff monitors the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff also conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Compliance with the rules and regulations of the University, SEC and NCAA is internally monitored through frequent operational checks with all sport and administrative areas. The Compliance Office relies extensively on the services and expertise of University officials outside the Athletics Department to document and monitor compliance. The Athletics Department is also externally audited every two years by the Compliance Staff of the SEC or an outside group contracted by the SEC. The Compliance Staff attends regional and national seminars to continually improve their effectiveness. Every employee of the University of Kentucky Athletics Department signs the NCAA Certification of Compliance Form annually and has a duty to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. When a violation does occur, the institution self-detects, self-investigates and self-reports in a timely and thorough manner.

The ATHLETICS DIRECTOR is designated by the President of the University to have direct accountability for rules compliance. The Athletics Director and the President together meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance. The Athletics Director also meets with each team individually in the fall and spring to emphasize the Athletics Department's commitment to rules compliance. He conducts an annual mandatory meeting for all student-athletes to review the student-athlete handbook. The Athletics Director reviews and signs-off on the initial, continuing, and transfer eligibility certifications and the sources of institutional and outside aid recorded on the SEC Eligibility Squad Lists. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. The Athletics Director is involved in resolution efforts when a student-athlete desires to transfer and there is a discrepancy between the institutions submitted by the student-athlete and those to whom the head coach is willing to release the student.

The FACULTY ATHLETICS REPRESENTATIVE (FAR) reports directly to the President and represents faculty concerns for the institution's conduct of its intercollegiate athletics program. The FAR demonstrates the faculty's belief that the intellectual and emotional development of students is the primary mission of the institution and that the value of athletics shall be measured by their contribution to that goal. The FAR works closely with athletics administration and staff to ensure that these goals are realized.

The FAR is responsible for creating and maintaining a clear and effective relationship between the institution, the NCAA, and the SEC, and also has responsibilities at UK as designated by these organizations, such as knowledge of regulations and procedures, attendance at meetings, involvement in investigations relating to alleged infractions, involvement in institutional self-studies, certification of eligibility, and qualifications for championships. When the

Governance and Commitment to Rules Compliance

institution maintains membership in other national governing bodies, the FAR has the appropriate responsibilities associated with such organizations.

The FAR informs the President of the general nature of faculty concern and support of the intercollegiate athletics program, specifically: faculty reaction to proposed NCAA legislation and the effect such legislation might have on institutional concerns; current issues, trends, and important problems that may arise with regard to intercollegiate athletics; the extent of institutional compliance with the letter and spirit of NCAA and SEC regulations; and academic integrity issues and the eligibility of student-athletes. As chair of the Academic Integrity Committee, the FAR oversees the institution's athletics program. He serves as one of the delegates representing the University of Kentucky at the annual meeting of the NCAA and as Secretary of the University of Kentucky Athletics Association.

The FAR reviews and evaluates academic and general support services for student-athletes; studies and monitors student-athlete time demands, practice and competition schedules, and student-athlete conduct and welfare; monitors majors, course enrollment/schedules, and summer school attendance of student-athletes; reviews student-athlete orientations, tutoring, study halls, drug education, special admissions, class attendance, and final grades; conducts exit interviews, concurrently with the Associate Athletics Director for Compliance, with student-athletes and prepares a report for the Athletics Director; and, supports and assists the activities of the Associate Athletics Director for Compliance.

The FAR is also responsible for: determining the eligibility of student-athletes under NCAA and SEC rules and regulations and certifying eligibility; in conjunction with the Athletics Director or his/her representative, appealing to the NCAA Eligibility Committee for restoration of eligibility of student-athletes; in conjunction with the University's Director of Admissions and the Registrar, monitoring decisions that affect student-athlete eligibility; in conjunction with the University's Director of Financial Aid, monitoring NCAA and/or SEC rules on grant-in-aid to student-athletes; interpreting for academic advisors and others NCAA and/or SEC regulations that require student-athletes to make satisfactory progress toward a degree; in conjunction with academic advisors and Athletics Department staff members, monitoring student-athletes' satisfactory progress toward their degree; in cooperation with counseling staff members, determining that counseling is available to student-athletes in areas that relate to participation in intercollegiate athletics and academic welfare; and serving as faculty advisor to the student-athlete advisory council.

A job description for the FAR is available in the "UKAA Policies and Procedures Manual." The FAR is appointed by the President for a three-year term that may be renewed indefinitely. Given the extensive knowledge and expertise required to function effectively in this position, long-term service of the FAR is highly desirable. However, the Governance and Rules Compliance Subcommittee suggests that the University should consider a reasonable limit on the years the FAR may serve. Such a limit would accomplish two things: 1) provide other interested faculty with the opportunity to serve as FAR; and 2) distribute the cost burden to other colleges since the FAR's college currently bears the cost of the FAR's time. The Subcommittee suggests further that a study of best practices among other SEC and benchmark institutions should be conducted, prior to making decisions regarding the FAR, to gather additional information on how the role of Faculty Athletics Representative is structured, funded, and fulfilled.

The ASSOCIATE ATHLETICS DIRECTOR (AAD) FOR COMPLIANCE reports to the Athletics Director and also has a dotted-line reporting relationship to the President. The AAD for Compliance meets with the President once a month without the Athletics Director present to keep him informed of the University's rules compliance activities and any enforcement issues being addressed and to secure his input on legislation and other issues.

The AAD for Compliance monitors University of Kentucky Athletics compliance with NCAA and SEC rules and regulations. Specific responsibilities include: monitors recruitment, admission, eligibility, financial aid, summer housing, summer employment, and complimentary admissions of current and prospective student-athletes; disseminates and interprets NCAA and SEC rules concerning the UK athletics program; investigates and reports any rules violations that may or have occurred and coordinates the University of Kentucky actions in response to the NCAA or the SEC regarding the violation; and provides rules education opportunities for student-athletes, coaches, boosters, and other groups connected with the University of Kentucky athletics program.

Under the direction of the AAD for Compliance, the Director of Compliance assists in monitoring the University of Kentucky athletics compliance with NCAA and SEC rules and regulations including recruiting and coaching activities and collecting proper documentation in regard to those areas. The Director monitors student-athlete financial aid, administers the NCAA Special Assistance Fund, and administers the NCAA Opportunity Fund.

Also under the direction of the AAD for Compliance, the Athletics Eligibility Coordinator creates and maintains the squad lists for all NCAA sports at the University of Kentucky including entering and monitoring of prospective student-athletes in the NCAA Initial Eligibility Clearinghouse, maintaining up-to-date eligibility files on all current student-athletes, and completing preliminary evaluation of prospective student-athlete transcripts for coaches to determine eligibility status.

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COACHES report directly to the Athletics Director. Every new coach meets with the Compliance Office staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office. Coaches meet periodically with the Athletics Director and the President where emphasis is given to commitment to rules compliance. Coaches are responsible for making themselves and their student-athletes available to the Compliance Office for rules education on a regular basis. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. Coaches must complete phone logs, practice logs, playing and practice season forms, pre- and post-official visit forms, and other required documentation for monitoring by the Compliance Office. Each coaching staff meets monthly with the Director of Compliance to turn in these forms and receive any updated information compliance might need them to know. Coaches receive a status report from the NCAA Initial Eligibility Clearinghouse and a copy of the Admissions report showing the admission status of all prospective student-athletes on a weekly basis.

The UNIVERSITY REGISTRAR reviews each returning student-athlete's satisfactory progress and certifies continuing eligibility based on current NCAA legislation. The Registrar collects forms completed by the individual colleges certifying percent of degree completed and cumulative grade point average for all returning student-athletes. The Registrar also collects forms from the individual colleges confirming the number of transfer hours accepted by the University and by the individual college toward a specific degree. Under the direction of the University Registrar, the Associate University Registrar certifies continuing eligibility for all returning student-athletes and eligibility for all transfers. Full-time enrollment is also certified by the Registrar's Office.

The DIRECTOR OF ADMISSIONS makes all admissions decisions for prospective student-athletes under the rules and regulations stipulated by the University Faculty Senate. All initial eligibility certification decisions are made by the NCAA Initial Eligibility Clearinghouse. Admissions decisions are determined only after the official Clearinghouse decision has been made. Once the admissions decision is made, the Director of Admissions sends copies of all academic credentials utilized in the admission process to the Compliance Office. These credentials are reviewed to ensure compliance with SEC and NCAA rules and regulations. If any academic credentials are received by the University of Kentucky in the admission process that contradict the eligibility decision of the Clearinghouse, an investigation will be conducted in conjunction with the Clearinghouse to verify or correct the decision. Student-athletes who are denied admission because they do not meet the standards set forth by the University Faculty Senate may appeal through the Exceptions Committee. In conjunction with the Registrar, the Director of Admissions determines which courses taken by a transfer student at another institution are transferable to the University of Kentucky.

The Director of Admissions reviews and signs off on the SEC Eligibility Squad Lists of students with initial, continuing, or transfer eligibility. The Director of Admissions provides the AAD for Compliance and the AAD for Student Services a weekly computer printout showing the admissions status of all prospective student-athletes. The Director of Admissions attends the SEC Summer Workshop to gain information on new rules and regulations pertaining to admissions and to share ideas and concerns with counterparts from other SEC institutions.

Under the direction of the DIRECTOR OF FINANCIAL AID, the Associate Director of Financial Aid works with the Athletics Department to provide information and assistance to both the student-athlete and his/her family to ensure that the student receives the maximum amount of permissible financial aid from all sources. In conjunction with the Athletics Department, the Financial Aid Office develops a working system to provide financial resources to student-athletes while maintaining the institutional control required by NCAA regulations. This involves establishing policies and procedures that clearly state who is responsible for the various tasks required and ensuring that there is a clear delineation of responsibilities. Student-athletes are flagged in the financial aid system so that they may be monitored for over-awards and to ensure that all sources of financial assistance being given to the student-athlete are permissible under NCAA and federal guidelines.

In conjunction with the Athletics Compliance Office, the Associate Director of Financial Aid produces and sends athletics award and denial letters to students within the time frame required by the NCAA. This letter states the terms of the award and indicates the right of appeal for those students whose aid is being reduced or not renewed. If the student chooses to appeal, the Financial Aid Office schedules and conducts the appeal hearing in accordance with NCAA regulations. The role of the Financial Aid Office in the appeal process is to help the Chair of the financial aid committee conduct the appeal process but not act as a voting member.

The Financial Aid Office maintains financial aid records in the University of Kentucky Student Information System (SIS) for all student-athletes to provide information required to produce squad lists and other required information. The Director and Associate Director of Financial Aid monitor proposed changes to both athletics rules and all other types of financial assistance to ensure that the changes are in the best interest of the student-athlete and are proactive in supporting or opposing those changes as appropriate. This monitoring also includes developing

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systems and processes within the institution to ensure that the institution will be in compliance with the new regulations.

The Compliance Office staff meets with the University's INTERNAL AUDITORS several times during the year to discuss the steps being taken to monitor areas such as compliance with UK accounting procedures, minimizing the risk of fraud, reputational risk, and so forth. The AAD for Compliance attends similar meetings of the Athletics Director and Internal Audit. As part of the University's corrective action from the football investigation, internal auditing of institutional camps was expanded. The Athletics Department and Compliance Office cooperate with the internal auditing office in both on-site audits of camp registration and reconciliation audits at the end of the camps.

7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

The staff of the University of Kentucky Athletics Department Compliance Office conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Listed below are the rules education policies and ongoing efforts.

RULES EDUCATION POLICIES

- The UKAA Compliance Office will ensure that all coaches, student-athletes and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations.
- The Athletics Director and the CEO will meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance.
- The Athletics Department will fund rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility and financial aid.
- The Associate Athletics Director (AAD) for Compliance will conduct regular rules education sessions for external groups who support UK Athletics.
- Educational materials will be available in hard copy and on-line for the continuing education of all constituencies.

RULES EDUCATION EFFORTS

- The Athletics Director meets annually with each team in the fall to emphasize the Athletics Department's commitment to rules compliance.
- The Athletics Director conducts an annual mandatory meeting for all student-athletes to review the Student-Athlete Handbook and emphasize UK's commitment to rules compliance.
- The President meets annually with the Athletics Department staff to emphasize his commitment to rules compliance.
- The President participates in the mandatory meeting for all student-athletes to emphasize his commitment to rules compliance.
- The Compliance Office is responsible for the rules education portion of the program at the monthly recruiting panel meetings for UK coaches.
- The Compliance staff meets with every team when they return to campus for the fall semester to educate them about UK, SEC and NCAA rules. They also complete the required SEC and NCAA forms for eligibility.
- Each student-athlete chosen to serve as a student host for a visiting prospect reports to the Compliance Office for a rules education session prior to any contact with the prospect.
- Every new coach meets with the compliance staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office.
- All staff assistants, clerical personnel, and student workers attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations that pertain to their area. They are informed about the appropriate forms necessary to provide information to the Compliance Office.
- Specific rules education sessions are conducted with the media relations staff, the marketing staff, and academic tutors to familiarize these employees with the rules and regulations that apply to their area.
- The University of Kentucky Athletics Department provides transportation, meals, and lodging for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office who are involved in the certification of student-athletes to attend the SEC Summer Workshop in Birmingham each year. This workshop provides information on new rules and regulations pertaining to their areas and allows them to share ideas and concerns with counterparts from 11 other SEC institutions. This group is updated continually on SEC and NCAA rules and regulations throughout the year through the Academic Integrity Committee.
- The AAD for Compliance speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of UK's athletics interests.
- Rules education articles are written periodically for alumni and booster publications.
- Rules education pamphlets for boosters are mailed periodically with season ticket information and alumni

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mailings.

—The AAD for Compliance conducts rules education sessions for high school coaches, principals, and athletics directors as requested.

—The AAD for Compliance writes a quarterly Compliance Corner column for the "Blueprint" which is mailed to over 100,000 supporters of UK Athletics.

—The compliance section of the UK Athletics Department official website is periodically expanded and updated.

—The AAD for Compliance posts educational information on prominent booster message boards in response to posts that indicate problems or as deemed necessary. The message boards contain an internal link to UK compliance information maintained on the official UK website.

8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.

The "UKAA Policies and Procedures Manual," Chapter XII, outlines in detail the policies and procedures by which the department ensures the centrality of rules compliance with all its personnel. Rules compliance is a priority at all levels of the department; this is evidenced by the emphasis placed on compliance in all interviews conducted as part of the self-study, including interviews with the President, the Athletics Director, the coaches and their staffs, and the student-athletes. All members of the Athletics Department were found to be proactive in their efforts to ensure compliance with NCAA rules and regulations.

Additional evidence of this central emphasis is found in a variety of places. The "UKAA Policies and Procedures Manual" explicitly states that rules education sessions with department personnel and student-athletes are to be conducted periodically involving the Athletics Director and the President to emphasize their commitment to rules compliance. Personal meetings are conducted and materials are made available in hard-copy and electronically to facilitate the rules education process.

The procedures by which the Athletics Department facilitates its policy to ensure rules compliance are varied and comprehensive. Those procedures include an annual meeting by the CEO with Athletics Department staff to emphasize the institution's commitment to rules compliance. The Athletics Director meets annually with each team in the fall to emphasize the department's commitment to rules compliance. The Director also conducts an annual mandatory meeting for all student-athletes to review the "Student-Athlete Handbook" and emphasize UK's rules compliance commitment. The CEO participates in this annual meeting to add his emphasis to the importance of rules compliance. Each student must certify that he or she received the material and accepts responsibility for reading it. Every student in every sport must attend this annual meeting in each year of his or her participation in athletics.

The Compliance Office is responsible for the implementation of the comprehensive rules education program within the department. Compliance Staff meets with every team when they return to campus in the fall to educate them about UK, NCAA, and SEC rules. This meeting includes an explanation of reporting responsibilities, the format for reporting, where to get information, and the like. Every new coach meets with Compliance to become familiar with the appropriate forms needed to report critical information to the Compliance Office. A Compliance Handbook is provided to each coach. The Compliance Staff also conducts the rules compliance portion of monthly meetings for UK head coaches. During self-study interviews with the coaching staff, these meetings were highly complemented both for the information provided and the excellent communication vehicle for coaching staffs to share information on issues, insights, and methods of resolving problems before they arise. Any updates regarding rules changes are handled at these monthly meetings. The Director of Compliance also meets monthly with the entire coaching staff of each sport individually in the Compliance Office. During this meeting, all coaches are updated on current and impending legislation. They also turn in the forms that the Compliance Office utilizes for monitoring telephone calls, contacts, evaluations and practice times. Any questions they might have about these forms or any other compliance issue are answered during these meetings.

As to student-athletes' education efforts, in addition to the annual meeting with the Director and President mentioned above, each student-athlete chosen to serve as a student host for a visiting prospect must report to the Compliance Office for a rules education session prior to any contact with a prospect. The Compliance Office staff meets with each team when they report back to school in the fall to complete the necessary eligibility forms for the NCAA and SEC. During this meeting, the rules concerning boosters, extra benefits, complimentary admissions, agents, gambling, eligibility, recruiting and other issues that the student-athlete needs to know to remain compliant are very carefully explained. The student-athletes have the opportunity at this meeting to ask any questions they might have and to bring up any issues they consider important. They are also provided information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (Comply-Cats 1-866-275-CATS[2287]).

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Employees in the Center for Academic and Tutorial Services are educated each year concerning those rules that pertain to academic fraud, initial and continuing eligibility, tutors, and other issues. The staffs of the Sports Information Office, Marketing Office and the Accounting Office attend similar rules education meetings. Other department personnel, such as staff assistants, clerical personnel, and student workers, must attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations in their area. They are educated about the appropriate forms necessary to provide information needed by the Compliance Office. In each of these educational meetings, the staffs are given information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (see above for number).

During the course of the self-study, the Athletics Department was in the process of checking a random selection of job descriptions for its employees to verify that there is a statement making rules compliance a central element of their employment. From that random selection, it was determined that approximately 80% of the job descriptions contained some form of statement requiring rules compliance. Since that time, Athletics completed the review of all job descriptions and added commitment statements to all job descriptions, as necessary.

9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

The Athletics Department has made it a central policy to ensure rules compliance by all individuals within and outside the Athletics Department who are involved in rules-compliance activities. The department provides funding for rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility, and financial aid. These opportunities include full funding of expenses for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office involved in the certification of student-athletes to attend the SEC workshop each year. This workshop provides information on new rules and regulations pertaining to their areas and allows a sharing of ideas and concerns with counterparts at other SEC institutions.

The members of the Academic Integrity Committee, chaired by the Faculty Athletics Representative, include the University Registrar, certifying officials from the Registrar's Office, the Director of Admissions, certifying officials from the Admissions Office, and the Assistant Director of Financial Aid. These University Officials, in addition to various Athletics Department personnel, meet approximately six times during the academic year to discuss current and impending legislation which affects their interaction with the Athletics Department; policies concerning the admission of student-athletes; policies concerning the admission of junior college transfers; changes in University degree programs; and other issues which impact the responsibilities of these officials in certifying student-athletes. The job descriptions of these University officials outside the Athletics Department contain a statement requiring rules compliance to be a central element of their employment.

10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below and in Academic Standards, Self-Study Item 5, fall under the purview of the Associate Provost for Undergraduate Education, who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Freshman eligibility is certified by the Office of Undergraduate Admission and University Registrar. One Admissions Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted in the following ways:

- 1) all prospective student-athletes who meet UK automatic admissions standards;
- 2) all signees/scholarship athletes who meet NCAA Freshman Eligibility Standards as outlined in the NCAA Divisions I Manual 14.3.1.1.1; and
- 3) Students who are denied admission have the right to appeal the admission decision to the University Faculty Senate's Committee on Admission by Exception.

Freshman students who wish to walk on are processed the same as all other freshman applicants.

See Principle 2.1, Academic Standards, Self-Study Item 5, for step-by-step processing information related to the following: application packets; completed applications and documents; application processing for recruited athletes; international student-athlete applicants; certification; admission processing review; and protocol and procedures.

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- 11.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The policies and step-by-step procedures in the area of continuing-eligibility certification fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

See Principle 2.1, Academic Standards, Self-Study Item 10, for a complete description of the step-by-step procedures to certify student-athletes' continuing eligibility.

REGISTRATION AND ADD/DROP

All student-athletes are coded in SIS. The Student Information System (SIS) also identifies the student's sport. Student-athletes register in the regular manner. New students attend an advising conference, and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a stop code in SIS along with an Originating Academic Unit of Lexington Campus (LC). Therefore, all drops after the last day to add a class must go through the Senior Academic Counselor in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, the drop is processed through the CATS Senior Academic Counselor. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

FOR THE FUTURE

The University of Kentucky Office of Undergraduate Admission and University Registrar is currently working to bring up a new degree audit system called DARwin. Once fully implemented, DARwin will be an extremely useful tool for students and advisors. Degree audits can be generated that will clearly outline what requirements have been fulfilled by the student and what still remains to be completed. Miami University of Ohio owns DARwin and has already written a program for NCAA certification. UK plans to utilize this tool in calculating percentage toward degree completion when working with student-athletes.

- 12.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Transfer student eligibility is certified by the Office of Undergraduate Admission and University Registrar. Student-athletes who transfer to the University of Kentucky from another institution and who are not considered freshmen are bound to the guidelines established by NCAA and SEC rules. The rules are applied by the Associate Athletics Director for Compliance. (See Principle 2.1, Academic Standards, Self-Study Item 9, for additional details). The process is overseen by the Faculty Athletics Representative.

The Admission Officer reviews each application and associated documents carefully and sets up additional on-line requirements for transfer student-athlete applicants. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

SIS allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising conference where they will meet with an academic advisor and register for classes, just as all other students are required to do.

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The Admission Officer is responsible for carefully reviewing transcripts and calculating cumulative grade-point averages and test scores. These data items are recorded in SIS.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletic Director, Associate Athletics Director for Compliance, Associate Director of Undergraduate Admission and Associate Registrar, Associate Registrar for Student Records, Associate Director of Financial Aid, and Faculty Athletic Representative.

Verifying course work for transfer student-athletes follows this sequence:

OLD RULES (Prior to fall 2003)

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

REGISTRATION AND ADD/DROP

Please refer to this same section in the previous response to Self-Study Item #11.

13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

The "UKAA Policies and Procedures Manual," Chapter XII, includes detailed policies and procedures for the detection and reporting of rules violations. Responsibilities for self-reporting violations are extended to all employees, student-athletes, and any other individual associated with the University of Kentucky Athletics Department. It is considered to be an affirmative obligation for UKAA employees to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. They are assured that such reports may be made without fear of retribution.

Such individuals are required to make their initial report by phone to either the Compliance Office, the cell phone of the Associate Athletics Director for Compliance, the cell phone of the Director of Compliance, or to the Comply-Cat toll-free line (Comply-Cats 1-866-275-CATS[2287]). This toll-free hotline is monitored by an independent contractor, seven days a week, 24 hours a day, throughout the year. If the caller so chooses, the report may be made anonymously.

After the initial report, individuals are required to put the information in writing. This written report should include what happened, how it happened, when it happened, who was involved, and so forth.

The Associate Athletics Director for Compliance will investigate the reported violation and determine, with the assistance of the SEC and NCAA staffs if necessary, whether or not a violation has occurred. The FAR, President, and Athletics Director are informed of the investigation and receive a copy of the report.

Other officials within the Athletics Department or the University (e.g. AAD for Student Affairs, University Ombud, etc.) may be involved in the investigation depending on the nature of the violation reported.

The violation is then reported in a timely manner by a written report to the SEC and the NCAA. In this report, the department will provide an explanation for why the violation occurred and what can be done to keep it from happening in the future.

The Compliance Office staff is responsible for monitoring compliance with any penalties or sanctions imposed by the institution, the SEC, or the NCAA as a result of any reported violations.

Any employee, student-athlete, or other individual associated with the University of Kentucky Athletics Department who willfully violates UK, SEC, or NCAA rules or who is grossly negligent in applying those rules, will be subject to disciplinary action which may include termination.

14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

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The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

The support required to award and monitor financial aid to a student who is participating in NCAA athletics is much different than that required for a student receiving federal, state, or institutional aid. While athletic aid must be considered in monitoring these types of aid to ensure there are no over-awards based on need, additional levels of regulations apply to student-athletes. These additional sets of rules from the NCAA and the SEC require that a complex institutional system be in place to ensure compliance with all regulations and to maintain institutional control. The processes listed below differ from or are in addition to the regular processes used to administer other types of financial assistance.

FINANCIAL AID/ADMISSIONS PROCESS

In certain situations pertaining to football and basketball the Financial Aid Office as well as the Admissions Office must certify that neither the admission of nor the financial aid awarded to the student was related to the student being an athlete in order for the student not to be counted against the team limit. In sports other than football and basketball the Financial Aid Office must certify that the financial aid awarded was unrelated to athletic ability so that the student will not be considered a team counter. (Note: These certifications pertain to all financial aid the student is receiving from all sources — not just aid awarded by the institution. This usually requires several contacts with outside agencies to obtain proper documentation of the criteria of the award the student is receiving to ensure it was not athletically related.) The Financial Aid Office must provide documentation of aid awarded to the Admission Office for athletes from other countries.

GENERAL FINANCIAL AID RESPONSIBILITIES

It is the responsibility of the Financial Aid Office to understand the bylaws and regulations of both the NCAA and the SEC as they pertain to administering financial aid to student-athletes, including how the various types of aid affect student eligibility. This requires detailed knowledge of the information in the NCAA and SEC manuals and constant monitoring of the NCAA News and yearly attendance at SEC/NCAA seminars.

Early each year after the Board of Trustees sets the fee structure for the next academic year, the Financial Aid Office works with the Athletics Department to determine the worth of a full athletics grant (tuition, room and board and books) and the worth of the full cost of attendance.

Each year both new student-athletes and all returning student-athletes are flagged in the Financial Aid Office computer system so that they can be monitored during the year. This includes both athletics scholarship students and all walk-on athletes. Additionally, the Financial Aid Office works with the Computing Center to produce weekly update reports to help monitor all aid student-athletes may be receiving.

The Associate Director of Financial Aid constantly monitors the proposed legislation from both the NCAA and the SEC in order to be able to comment and advise UK's voting representatives about how these proposals would affect UK student-athletes and/or impact the institution itself. The University of Kentucky and the SEC are very proactive in dealing with new legislation. This is a very important but time consuming process that continues throughout the year.

As legislation becomes law, it is critical that the Financial Aid Office understands how new rule(s) affect the aid process and helps the institution develop policies and procedures to ensure compliance with the new rules. This is an on-going process due to the constant changes in the legislation. These changes often require institutional resources in the form of personnel, computer support/programming, and personnel education.

One of the most important functions the Financial Aid Office renders the athletic process is that of monitoring new sources of federal, state, and institutional aid and determining how these different types of aid will be treated by NCAA regulations and how they will affect student eligibility. The importance of the role of the Financial Aid Office professionals in advising and helping these different agencies as they develop policies and procedures for new programs cannot be over-stated. Understanding the complex bylaws of the NCAA will permit the Financial Aid Office to be a resource in helping develop policies that will not jeopardize the ability of student-athletes to receive these types of funds in the same manner as other non-athletic students. This process involves monitoring new programs as well as proposed revisions and changes from state agencies and the State Legislature. This monitoring process is not limited to outside agencies but includes new institutional aid. When the Financial Aid Office is in doubt about how a particular fund must be treated, it must write the NCAA for an official interpretation. The UK Financial Aid Office has been the lead office in the state of Kentucky in requesting these interpretations and disseminating the responses to other schools in the state.

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FINANCIAL AID PROCESSES AND TASKS

The financial aid processes required to support overall athletic institutional control are significant and demand constant monitoring and changing in order to be successful. Each year every student-athlete who has remaining eligibility must be notified whether their athletic grant is being renewed at the same level as the prior year. If the athletic grant will not be renewed the student must be notified prior to July 1. All athletic grant notifications or reductions must be sent by the Financial Aid Office. If the student's athletics grant award will not be renewed or will be less than the prior year, he/she must be given the right of appeal before the regular Committee on Student Financial Aid that hears all other financial aid appeals. It is the responsibility of the Financial Aid Office and the Chair of the Committee on Student Financial Aid to coordinate the appeal process and conduct the hearing as soon as possible. The Financial Aid Office is then responsible to notify all parties of the committee's decision. The Financial Aid Committee also has an additional charge to hear appeals by student-athletes who wish to transfer and play at a different school when the UK Athletics Department will not release the student to play at that particular school. This committee has the final determination in both types of appeals.

To ensure that student-athletes are not receiving some type of aid that would render them ineligible, each year the Financial Aid Office must work to ensure that no aid is received by a student-athlete unless it is processed through the Financial Aid Office. This is a major yearlong task as aid continues to flow to students all year. Aid comes from many sources and in various forms and many cases require tracking the sources and criteria of the aid. In some cases the student may not receive the aid and the funds must be returned to the donor; in other cases, the student may receive the aid but the amount of athletic aid must be adjusted.

The Financial Aid Office is responsible for monitoring every type of aid each athlete receives to determine whether the aid makes that athlete count against the team limit, i.e., does it make them a counter? Each individual athlete has two different limits that cannot be exceeded. The limits are (1) the worth of a full athletic grant, and (2) the full cost of attendance. All aid must fall into one or both of these categories and cannot exceed a set limit. Every award is monitored to determine if that award counts against the worth of a full athletic grant limit and if the award counts against the full cost of attendance. Each year the Financial Aid Office must sign the official Scholarship/Squad List certifying the information for each sport.

Athletic financial aid credits are passed through the financial aid computer system (FAMS) to credit student accounts and produce credit balance checks for student-athletes. These checks are written and mailed to the Athletics Department only after they are monitored one last time by both the athletics staff and the financial aid staff to ensure the athlete may receive that particular type of aid. A mistake here could result in the student receiving aid which would render the student ineligible and cause the team to have played with an ineligible player. This represents a major difference between other students and student-athletes.

The Financial Aid Office is also responsible for determining the eligibility of student-athletes applying for the NCAA Special Assistance Fund and for signing the forms required to complete that process.

15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

All policies and procedures for monitoring recruiting are specifically detailed in Chapter XIX of the "UKAA Policies and Procedures Manual." The areas of compliance and the responsible parties are summarized below.

Area of Compliance: Permissible Recruiters

Responsible Person(s): Authorized institutional staff members

NCAA, SEC, and/or University Involvement: Certification administered by the Southeastern Conference (SEC)

Area of Compliance: Code Of Ethics

Responsible Person(s): Each coach

NCAA, SEC and/or University Involvement: Certification administered by the SEC

Area of Compliance: New Coach Orientation.

Responsible Person(s): All new coaches

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance.

Area of Compliance: Academics

Responsible Person(s): Coaches

NCAA, SEC and/or University Involvement: NCAA Initial Eligibility Clearinghouse, University Admissions Office, and Compliance Office

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Area of Compliance: Recruiting - Dissemination of Information

Responsible Person(s): All Head Coaches meet once a month.

NCAA, SEC and/or University Involvement: The Associate Athletics Director for Compliance and guest speakers (e. g., Admissions, Financial Aid, Housing, Registrar, etc.)

Area of Compliance: Data Collection

Responsible Person(s): One coach per sport is required to meet each month.

NCAA, SEC and/or University Involvement: Director of Compliance will discuss Official and Unofficial Visits, Scholarships, etc.

Area of Compliance: Rule Interpretations

Responsible Person(s): Coaching staff, athletics staff, institutional staff, recruits, parents, administrators, boosters, and any other individuals

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance and Director of Compliance

Area of Compliance: Contacts and Evaluations

Responsible Person(s): Coaches will submit Travel Expense, Contact (CON-1), and Evaluation (CON-2) forms. Also, a Prospect Recruiting Log (CON-3) is kept on each prospect.

NCAA, SEC and/or University Involvement: Business Office (Contact and Evaluation forms are attached to the Travel Expense Form) and Compliance

Area of Compliance: Initial Eligibility

Responsible Person(s): Coaches and/or staff assistants

NCAA, SEC and/or University Involvement: Compliance Office, NCAA Clearinghouse, and SEC

Area of Compliance: National Letter Of Intent (NLI)

Responsible Person(s): Athletics Director (signs NLI and Application for Scholarship) and Head Coach (signs Application for Scholarship) NCAA, SEC and/or University Involvement: Compliance and SEC (NLI and Application for Scholarship)

Area of Compliance: Official Visits

Responsible Person(s): Coaches - prospect needs Clearinghouse approval. Prior to the visit, prospect is mailed banned drug list and information about the risks of nutritional supplements. Further Official Visit Guidelines (OFF-2) and U of K's Graduation Rates (OFF-3) shall accompany the NCAA banned drug list document. The coach must complete the Official Visit Pre-Approval and Summary Form (OFF-4), and the Student Host must be designated on this form. Student Host must complete a Student Host Form (OFF-5).

NCAA, SEC and/or University Involvement: Compliance Office

Area of Compliance: Procedures After Official Visit Is Completed

Responsible Person(s): Coaches must list all financial activities on the Athletics Association Travel/Recruiting Report Form (OFF-6). Prospects on an official visit are required to sign the Blue Travel/Recruiting Report Form.

NCAA, SEC and/or University Involvement: UKAA Accounting Office (Blue Travel/Recruiting Form and Official Visit Pre-Approval and Summary Form) and Compliance Office

Area of Compliance: Telephone Procedures And Guidelines

Responsible Person(s): All Coaches are required to record all calls to recruits on the Telephone Log Form (TEL-1).

NCAA, SEC and/or University Involvement: Coaches are required to submit a monthly Telephone Log Form to the Compliance Office.

16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

All policies and procedures for monitoring campus, clinics, private lessons, and activities with local sports clubs are specifically detailed in the "University of Kentucky Athletics Association Manual for Camps, Clinics, Private Lessons and Activities with Local Sports Clubs." Areas of compliance and responsible parties are summarized below.

Area of Compliance: Camp and Clinic Operating Structure (finances)

Responsible Person(s): Full-time employee sponsor or coach

University Unit Involvement: UK Accounting System

Area of Compliance: Private Lessons/ Local Sports Clubs Operating Structure (finances)

Responsible Person(s): Full-time employee as an independent business

University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Governance and Commitment to Rules Compliance

Area of Compliance: Camp and Clinic Compensation of UK Employees
 Responsible Person(s): Camp and Clinic Sponsor (Head Coaches and Assistant Coaches, including Strength and Conditioning Coaches)
 University Unit Involvement: UK Athletics Compliance Office

Area of Compliance: Private Lessons/Local Sports Clubs Operating Structure Compensation of UK Employees
 Responsible Person(s): Full-time employee as an independent business
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Approval Process for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Camps, Clinics, Private Lessons, and Local Sports Clubs Compensation to the UK Athletics Association-Facilities and Administrative Fee
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Full-time employee sponsor or coach and the Facilities Coordinator

Area of Compliance: Frequency and Timing of Camps, Clinics, Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Use of UK Facilities for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Approval of the Athletics Director and sent to the Facilities Coordinator

Area of Compliance: Camps and Clinics Accountability
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp and Clinic Discounts
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office approval as stated in the camp brochure

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Training
 Responsible Person(s): Camp sponsor and/or designated camp administrator
 University Unit Involvement: Accounting Office, the Compliance Office and representative camp sponsors

Area of Compliance: Camp and Clinic Brochures
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Athletics Publications Office and Compliance Office

Area of Compliance: Camp and Clinic Stores
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Risk Management
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Risk Management Department

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Compliance
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office

Area of Compliance: Employment at Non-UK Sponsored Camps and Clinics
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

Area of Compliance: Outside Employment Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

Governance and Commitment to Rules Compliance

During the last two years special emphasis has been placed on attempting to control the ever-expanding role of the internet in athletics issues. Several innovative actions have been taken in the area of controlling on-line auctions of autographed items which threaten the eligibility of our current student-athletes and in the area of educating the millions of people who post on the message boards. This has been a rather "cutting edge" effort on the part of the compliance effort at the University, and the compliance officer has been asked to speak about these at several compliance meetings. All the major internet sites devoted to UK Athletics now contain an internal link to the rules education information contained on the official UK Athletics website. They also contain a downlink to an article written by the UK Compliance Office explaining the rules which pertain directly to those who post on the internet message boards. The AAD for Compliance monitors the boards for any threads which discuss potential rules violations or allege existing violations. When these are found, information is posted directly into the thread to educate those who are reporting and/or reading the information. These educational posts receive thousands of "hits" from UK boosters. That would be a staggering number to attempt to educate in any other manner. Currently, the AAD for Compliance has a regular thread where the boosters can ask compliance questions or report concerns. The internet is a part of modern life, and it now serves the University as a dynamic educational tool for on-going compliance efforts. An intern in the Compliance Office monitors E-bay daily for any auction items bearing the name or signature of a current student-athlete. The marketing department stops any such auctions within an hour of a report to them.

- 18.** Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

The University of Kentucky was evaluated by the Southeastern Conference compliance staff in summer 1997. Another review was requested from the conference in fall 2000. Due to scheduling difficulties and dramatic staff changes in the SEC office, the review was postponed on several occasions. In response to a request to SEC to go to another outside source for the review, SEC asked the institution to wait until their staff was available. In the interim, the UK Athletics Department was the subject of an extensive review by a committee established by incoming President Lee Todd in spring 2002. Compliance was an important component of that review. The SEC now has a new Commissioner who contracted with Bond, Schoenick and King, an outside compliance group, to conduct external compliance reviews. The University of Kentucky was the subject of such a review in spring 2004.

- 19.** Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

The University of Kentucky's most recent external review was conducted by Chris Schoemann, Vice President of Bond, Schoenick and King. This firm was selected by the Southeastern Conference (SEC) to conduct external reviews at all 12 SEC institutions. They are recognized as experts in this field and have an established interview and review process for the evaluation of compliance programs. Mr. Schoemann has extensive experience in compliance, including positions at the NCAA national office, campus-level compliance responsibilities, and his current position with the compliance services company. This evaluation was very objective, as the University of Kentucky was not involved in the selection of the firm or the individual who conducted the review.

- 20.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

Governance and Commitment to Rules Compliance

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

21. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

The evaluation report was received in September 2004. The evaluation concluded that the University of Kentucky "has a solid foundation of rules education and systems for monitoring athletics compliance." It further stated that "Kentucky has done a laudable job of attempting to establish a recognizable culture of athletics compliance both by the systems it has developed and the people it has hired."

The evaluation identified some substantive points that should be resolved "in order for the compliance program to operate more effectively." However, it also stated that none of these recommendations "is an indication of an ineffective athletics compliance program." As the NCAA Self-Study Steering Committee was concluding its review of the Athletics Department, discussions were underway to identify and develop corrective actions. Selected recommendations from relevant areas are presented below.

OVERALL PROGRAM

1. "There is a demonstrated need for an additional, full-time, administrative position within the athletics compliance operation to handle day-to-day issues. The current makeup of the athletics compliance staff lags behind industry standards for comparable Division I-A athletics programs."
2. "The job description for each individual in the athletics compliance unit should be reviewed annually to ensure that the job descriptions are consistent with practice and current expectations and that noncompliance responsibilities are compatible with the goals and priorities of the compliance program."
3. "Each University compliance form should include a specific statement and signatory section that clearly sets forth the staff member's obligation to ensure that information being provided is correct and affirms that the staff member understands that if he or she does not submit truthful information, employment with the University could be jeopardized."
4. "A date and identifying code should be incorporated into each department compliance form and written policy or procedure so that it can readily be determined when and by whom the document was last revised."

ELIGIBILITY CERTIFICATION

1. "The specific responsibilities of the degree analysts in each college should be included in the written description of procedures for the certification of eligibility for continuing and transfer student-athletes."
2. "The policy that all contacts with University offices/faculty should be made by the appropriate athletics department contact (e.g., academic counseling unit, compliance unit) rather than by the coaching staff directly should be regularly reviewed with the coaches."

RECRUITING

1. "A comprehensive monitoring/audit system for telephone records should be developed."
2. "A written agreement should be reached with each hotel that direct bills the University for hotel accommodations used by recruits that clarifies what charges can be billed and seeks the hotel's assistance in ensuring compliance with NCAA legislation."

REPORTING OF VIOLATIONS

1. "An institutional policy to stipulate that all student-athletes and all institutional staff members have an obligation to report possible rules violations should be included in the 'UKAA Policies and Procedures Manual' and/or the

Governance and Commitment to Rules Compliance

"Student-Athlete Handbook."

2. "A review of all violations for trends or patterns should take place and appropriate revisions in the compliance program plan (particularly in the areas of rules-education and monitoring efforts)."

EXTRA BENEFITS

1. "A system for more accurately monitoring all awards received by student-athletes (not just annual participation awards) and ensuring that the number and value of such awards complies with the applicable NCAA category should be created."

CAMPS AND CLINICS

1. "Annual designation of a single camp director for all camps conducted in each sport (must be a UKAA employee) should be required."

2. "Incentives and penalties regarding completion of required camp forms in a timely manner should be considered."

STUDENT-ATHLETE EMPLOYMENT

1. "References to potential issues in student-athlete employment should be incorporated in various publications designed to educate boosters, parents, student-athletes, alumni and coaches."

2. "Rules education and monitoring programs related to summer employment, particularly those jobs arranged by any athletics department staff member, should be implemented. This practice should include the following activities: (1) Final Spring Meeting - student-athletes review short rules education/questionnaires regarding summer employment. Rules education form letter sent to employer, and (2) Fall Orientation Meeting - student-athletes complete short questionnaire regarding compliance with the rules and gross estimates of earnings from previous summer's employment."

Information to be available for review by the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

Governance and Commitment to Rules Compliance

Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

Academic Integrity

Operating Principle

2.1 Academic Standards

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There was one strategy for improvement relating to Academic Integrity during the first-cycle certification decision. This strategy for improvement relates most closely to Operating Principle 2.1 (Academic Standards): "Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative."

As noted in its February 13, 2004 minutes, the Academic Integrity Subcommittee of this self-study reviewed the job description of the Faculty Athletics Representative (FAR). This job description appears to be complete and to satisfy the requirements of the Committee on Athletics Certification. The FAR job description can be found in Chapter XXIII of the "UKAA Policies and Procedures Manual."

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 first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement/recommendations arising during the first-cycle certification that relate to Operating Principle 2.1 (Academic Standards) of the Academic Integrity section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.1 (Academic Standards). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The processes described below fall under the purview of the Associate Provost for Undergraduate Education, Dr. Phil Kraemer. Dr. Kraemer is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS). The following processes are in place to ensure that the University of Kentucky maintains institutional control over the student-athlete admission process.

RECRUITMENT OF STUDENTS

Throughout normal recruitment activities, Admission Counselors (recruiters) from the Office of Undergraduate Admission and University Registrar interact with prospective students and prospective student-athletes. The Admission Counselors will answer general questions about athletics and athletic teams at the University of Kentucky. For instance, does UK have a Men's Tennis Team? Or does UK give scholarships to men's tennis players? However, any specific questions regarding athletics or athletic teams are directed to the Athletics Department Compliance Office.

STUDENT-ATHLETE ADMISSION INFORMATION

One Admission Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted as follows:

1. All prospective student-athletes who meet UK automatic admission standards.
2. All signees/scholarship athletes who meet NCAA Freshmen Eligibility Standards (Division I initial-eligibility standards are located in the NCAA Division I Manual 14.3.1.1.1).
3. Students who are denied admission have the right to appeal the admission decision to the University Senate's Exceptions Committee.

Freshman Walk-Ons: Students who wish to walk on are processed the same as all other freshman applicants.

PROCESSING INFORMATION

Application Packets: Student-athlete applicants receive a special application packet containing the UK application for admission and a test score validation form with cover letter. Applications are stamped UKA-SPORT so that they are readily identified. Student-athlete applicants must pay the application processing fee unless waived because of documented financial need. The waiver process is the same as for all students.

Completed Applications and Documents: Student-athlete applicants must send applications directly to the Office of Undergraduate Admission and University Registrar. Likewise, official transcripts must be sent directly from the appropriate institution (high school or college). The Office of Undergraduate Admission and University Registrar will accept documents delivered in person by the student, but only if they are contained in sealed envelopes.

Application Processing for Recruited Athletes: Applications are audited and entered on-line in the Office of Undergraduate Admission and University Registrar. Student-athletes are identified with a special program code of ATH on screen 206 in the Student Information System (SIS). (Note: International student-athletes will be coded as FST and athletic information will only be on screen 208). Sport-specific information is also entered on screen 208. This screen indicates whether or not a student-athlete is a scholarship athlete. Following data entry, folders containing the hard-copy application and associated documents are delivered directly to the Admission Officer who is responsible for the admission of student-athletes.

The Admission Officer reviews each application and associated documents carefully and sets up additional requirements for student-athlete applicants on-line. Requirements for freshmen include the application processing fee, official ACT or SAT score reports, official high school transcript (including final transcript upon graduation), 48-C certification from the NCAA Clearinghouse, and test score validation form. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

The Student Information System (SIS) allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising

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conference where they will meet with an academic advisor and register for classes just as all other students are required to do.

The Admission Officer is responsible for carefully reviewing transcripts, calculating cumulative grade-point averages and test scores, and in the case of freshmen, verifying the core course GPA. These data items are recorded in SIS.

International Student-Athlete Applicants: The Admission Officer responsible for student-athlete admission is also an International Admission Officer in the Office of Undergraduate Admission reporting to the Associate Director of Undergraduate Admission. International applicants must have a TOEFL of 527 (pen and paper test) or 197 (computer-based test), academic records, and financial information as determined by the Admission Officer. International student-athletes will be coded as FST on screen 206, but athletic information will be coded on screen 208.

Certification: Effective with the 1994 Fall Semester, all certification of student-athletes is completed by the NCAA Initial-Eligibility Clearinghouse in Iowa City, IA. Students must register for this service while in high school and make arrangements for official test scores and transcripts to be sent to the Clearinghouse. Usually in August the Clearinghouse sends a 48-C form to the institution the student listed on the registration form. The 48-C indicates whether or not the student has been certified and lists the 13 core courses (fall 2004 will be 13 or 14 core courses, fall 2005 will be 14 core courses) and the grade point average of the core courses. This information is also available on the secure NCAA Initial-Eligibility Clearinghouse Web site. Access to this site is restricted to the Admission Officer and the Associate Director of Undergraduate Admission and Associate Registrar.

The Office of Undergraduate Admission and University Registrar is no longer required to collect the 48-H form. Instead, the high school sends this document directly to the Clearinghouse.

Upon receipt of the 48-C form from the Clearinghouse, the Admission Officer records information on SIS, using screens 194, 209 and 207. Copies of the 48-C are sent to the Compliance Office. This shows eligibility, status, and core GPA from the Clearinghouse.

The official electronic squad list is created by the Athletics Compliance Office. The Admission Officer reviews the list and enters the 48-C information and the eligibility status for each student-athlete whose name appears on the list. The Associate Director reviews the completed file and certifies the information.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Director of Athletics for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

Admission Processing Review: The Associate Director of Undergraduate Admission and Associate Registrar review student-athlete admission folders, including 48-C forms, to assure that the Admission Officer has processed and admitted appropriately. This is done on a timely and continuing basis so any follow-up with the student-athlete, high school, testing agency, etc., can occur prior to the student's certification.

Copies of all documents are forwarded to the Associate Athletics Director for Compliance.

Protocol and Procedures: The staff in the Office of Undergraduate Admission and the University Registrar directs any athletic inquiries to the appropriate Admission Officer. Under no circumstances does the University tolerate interaction by coaches, coaching staff, or members of the Athletics Department with the admission process. All student-athletes are treated the same way as all other students in regard to process and procedures.

REGISTRATION AND ADD/DROP

All student-athletes are coded on screen 119, flag 5 in the Student Information System (SIS) according to sport. Student-athletes register in the regular manner. New students attend an advising conference and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a CT stop code on screen 17 in SIS along with an Originating Academic Unit of LC. Therefore, all drops after the last day to add a class must go through Mike Haley, Director of Advising Services in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, this is processed through Mike Haley. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

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DIFFERENCES IN ADMISSION FOR STUDENT-ATHLETES VERSUS STUDENTS GENERALLY

There are no qualitative differences in the admissions process for athletes and other students. The University of Kentucky has a selective automatic admissions policy giving automatic admissions to students meeting certain course, ACT/SAT, and GPA thresholds. The University Faculty Senate also allows a defined but variable percentage of students, typically 10%-20%, to be admitted competitively upon consideration of additional factors such as special talents and skills, letters of recommendation, considerations of diversity, and so forth. Athletes who do not meet automatic thresholds but meet NCAA clearinghouse standards are admitted as part of this competitive group as specified by the University Faculty Senate. For the cohort years 2001-2003 the percentage of athletes admitted as part of the 10%-20% competitive group is summarized in Academic Integrity Attachment No. 2: Special-Admissions Information. The percent of student-athletes admitted in the competitive group (31% in 2003) is greater than the percent for all students (9%); however, it is consistent with the University Faculty Senate policy on selective admissions. It is also reasonable to expect a higher percent of competitive admissions for a group of students characterized by a special talent, compared to the general student population.

Students denied admission through either the automatic or competitive processes described above may appeal the admission decision to the Senate appointed Committee of Admission by Exception. Admission of student-athletes by special admissions through this committee is compared to all students in self-study item 8. Only rarely are athletes admitted by exception and far less than non-athletes, as shown self-study item 8. Over the three-year period, only one student-athlete was admitted by exception as a result of the appeals process. The majority of non-athletes admitted by exception (95 in 2003-04) are students qualifying for automatic admissions but who have irregularities in the application, such as late submission.

ROLE OF THE ATHLETICS DEPARTMENT

The Athletics Department plays a minimal role in admissions, confined to signing off on freshman eligibility and transfer student eligibility certification and answering questions specific to athletic teams.

- 6. Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I graduation rates disclosure form) and for all entering freshmen students (by gender and by racial or ethnic group). [Note: Use the supplied charts and the graduation-rates disclosure form methodology to compile these data.]**

The admissions profiles of freshman student-athletes who received athletics grants-in-aid are compared with the profiles of freshman students in general in the tables included below as Academic Integrity Attachment No. 1: Part 1-A, Part 1-B, and Part 2.

Academic Integrity Attachment No. 1, Part 1-A: Standardized Test Scores, by Gender, illustrates standardized test scores for freshman student-athletes and freshman students in general by gender. In the attachment the ACT scores of students are reported as a sumscore, the sum of the four subscores that make up the ACT exam. The ACT sumscore of student-athletes is on average approximately 10 points below that of all students. The difference is less for female student-athletes than for male student-athletes. In particular, sumscores for female student-athletes are approximately eight points lower than their general student counterparts, while sumscores for male student-athletes are approximately 12 points lower. All student-athletes meet minimum eligibility requirements and are admitted under the same admission policies and procedures as all students, but as a group, their ACT sumscores are lower than those of their general student counterparts. The Academic Integrity Subcommittee discussed at length whether this difference is "significant." Based upon the relationship between graduation rate and ACT scores compiled for the 1995, 1996, and 1997 cohorts and included as part of the response to Self-Study Item 11, a 10-point ACT sumscore difference would be expected to translate into a seven percentage-point difference in graduation rates. While these admission criteria differences are not unexpected, given the different recruitment criteria applied to fine arts majors, student-athletes, and others who are admitted as part of the competitive group, the Subcommittee felt the impact of these differences in revenue sports was significant, as reflected in revenue sport differential graduation rates and discussed more fully in Self-Study Item 11. It should be noted that the admission process as practiced complies with University Faculty Senate and NCAA rules; however, the academic profile of student-athletes recruited for these three cohort years contributes to the lower graduation rates discussed under Item 11.

Academic Integrity Attachment No. 1, Part 1-B: Standardized Test Scores, by Racial or Ethnic Group, compares ACT sumscores of freshman student-athletes to those of all entering freshman students by racial or ethnic group.

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Insufficient numbers of American Indian, Asian/Pacific Islander, and Hispanic athletes are available for meaningful comparisons. Over the three-year period, white freshman student-athletes scored, on average, eight points below white freshman students in general on the ACT sumscore; black freshman student-athletes, however, show approximately a five point ACT sumscore difference when compared to all entering black freshmen. These data argue strongly against a racial or ethnic group bias in the average admission ACT sumscores for entering student-athletes.

Academic Integrity Attachment No. 1, Part 2: GPA and Test Scores, by Sport Group, compares GPA and ACT sumscores of student-athletes by sport group. No systematic significant differences in grade point average are apparent across the eight sport group categories for freshman student-athletes who received athletics aid. Women's other sports may be slightly higher than the other seven categories, whereas men's basketball was lower in 2003 only; however, small numbers of students typically result in some fluctuation of averages from year-to-year and sport-to-sport. The second half of the table compares ACT sumscores by sport group. Football and men's basketball appear to be lower, on average, than the remaining sport groups. There appear to be no significant differences among the remaining six sport groups. The shift in the distribution of entrance ACT sumscores is also noted in Self-Study Item 11 where it appears to play a role in subsequent graduation rates. The difference in entering ACT sumscores for student-athletes in revenue sports is more fully described in Self-Study Item 11.

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

The admission process for student-athletes has been described in Self-Study Item 5 above. As noted in that item, if a student-athlete does not meet standard UK admission criteria, there are two additional options for being admitted:

1. If the student-athlete meets NCAA initial eligibility standards, the student is admitted as part of the 10-20% of the freshman class that the University is allowed to admit through the competitive admission process for students with special talents and abilities, such as musicians, theatre majors, student-athletes, and others.

2. Students who are not admitted through the regular process or the first option described above may appeal the admission decision to the Exceptions Committee of the University Faculty Senate's Admissions Advisory Committee. The steps in the admissions appeal process and the role of the Exceptions Committee are described below:

—Student applies for admission.

—Admission decision is made.

—If admission is denied, the student has the right to appeal the decision.

—Appeals are made in writing to the Exception Committee (this committee falls under the jurisdiction of the Admissions Advisory Committee, a University Faculty Senate committee currently chaired by Tony Baxter, who is a faculty member from the Department of Computer Science).

—The committee reviews the student's written appeal and any supporting documentation with consideration for any extenuating circumstances presented by the student.

—If the appeal is approved, the student is admitted.

—If the appeal is denied, the student is notified by a letter that also presents other options. Usually the committee recommends attending another institution (such as Lexington Community College) to raise the grade point average and then suggests that the student re-apply to UK after a certain period of time.

8. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Number 7 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates supplemental form. [Use the supplied chart to compile these data.]

ALTERNATE ADMISSION OPTION 1 (as described in Self-Study Item 7)

Academic Integrity Attachment No. 2: Special Admissions Information presents the percent of entering freshman students who were admitted through special exception provisions, which was defined for the UK Athletics Self-Study as those students admitted in the competitive group described as option #1 in Self-Study Item 7. In 2003,

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69% of freshman student-athletes met automatic admission standards, while 31% of freshman student-athletes were admitted as part of the competitive group of students. All student-athletes in the competitive group met NCAA initial eligibility standards, and therefore, these results are consistent with the University Faculty Senate policy on selective admissions. Additional explanation may be found in Self-Study Item 5 under the section entitled, "Differences in Admissions for Student-Athletes versus Students Generally."

It is worth noting that the percentage of all freshman students admitted in the competitive group declined over the three-year period from 19% to 9%, reflecting efforts of the University to improve the quality of incoming freshmen. This percentage also decreased for student-athletes from 49% in 2001 to 31% in 2003.

ALTERNATE ADMISSION OPTION 2

The Academic Integrity Subcommittee reviewed data over the last two years from the Exceptions Committee of the Admissions Advisory Committee. Historical admissions records are not maintained in the student records system, and therefore could not be reviewed prior to spring 2003. During the time period from spring 2003 through spring 2004 (four semesters including summer), 95 student appeals were considered by the Exceptions Committee. Of these 95 appeals, only one appeal involved a student-athlete. This student-athlete was admitted as a transfer student.

The Academic Integrity Subcommittee concluded upon review of the admission appeals data and the Exception Committee decisions that student-athletes represent an insignificant portion of the admission appeal cases, and there is clear evidence that student-athletes are not given preferential or inappropriate treatment via the admission appeal process.

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

Transfer student-athletes are admitted under the same admission standards as students in general, as follows:

UK TRANSFER STUDENT ELIGIBILITY

Students at other colleges or universities, including community colleges, are eligible to transfer to UK if they:

1. Would have been selectively admitted to UK when they entered the first institution attended provided they have a cumulative grade-point average of 2.0 or better for all college-level work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all college-level work attempted at the last institution attended, provided at least 12 credit hours (or the equivalent thereof) were attempted there; or
2. Would not have been selectively admitted to UK but have completed 24 semester hours or more and achieved a cumulative grade-point average of 2.0 or better for all college and university work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all work attempted at the last institution attended.

Grade-point averages are computed by the Office of Undergraduate Admission and University Registrar and reflect the grade and credit for each course attempted, regardless of the practice of the offering institution of waiving the low grade for a repeated course.

UK APPLICATION PROCEDURES FOR TRANSFER STUDENTS

Transfer applicants from other colleges and universities request and complete an application packet from the Office of Undergraduate Admission and University Registrar and submit the following:

1. completed application for admission;
2. official transcript from each college or university attended, containing a complete record of all courses completed at the time of application;
3. roster of the courses in which the student is currently enrolled;
4. final official transcript of any additional work completed before entering the University; and
5. non-refundable application processing fee.

Candidates tentatively admitted at the time of application should be aware that the University will cancel the admission and/or the early registration of an applicant whose final official record, after completion of a current semester, shows ineligibility because of suspension, dismissal, or a drop in grade-point average below the required 2.0. Admitted transfer students are asked to bring a copy of the catalog of the last school attended when they attend their Advising Conference.

A student-athlete who transfers to the University of Kentucky from another institution who is not considered a freshman is bound by the guidelines established by NCAA and SEC rules. The process is overseen by Faculty Athletics Representative, Dr. John Picoro. The rules are applied by the Associate Athletics Director for Compliance, Sandy Bell, who has described them as follows:

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INCOMING TRANSFER EVALUATION PROCEDURES

Official Visits

1. The coach will identify a prospective transfer student-athlete by submitting the "Official Visit Pre-Approval and Summary Form" along with the prospect's transcript to the Compliance Office.
2. The coach will provide all transcripts and a current college course schedule to the Compliance Office.
3. The coach will complete and attach the "Request for Academic Progress Evaluation Form." The coach shall provide a desired major of the prospect. If the recruit conveys to the coach that he/she is undecided as to the type of degree they want to pursue, the coach will put "undecided" in the column marked "desired major" on the form. By denoting "undecided" on the form, the CATS official will select the major in which the prospective student-athlete will receive the most transferable hours towards a UK degree.
4. The Compliance Office does an unofficial evaluation of the transcript(s) for transferable hours. The Compliance Office will also check for additional NCAA/SEC transfer regulations (i.e. SEC English requirement).
5. The Compliance Office forwards the transcript(s) and transferable hours evaluation to the CATS official. The CATS official will do a preliminary degree progress evaluation.
6. CATS will provide to the Compliance Office the preliminary evaluation concerning the prospective student-athlete's athletic degree eligibility and graduation.
7. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.

Scholarship Request

1. The coach requests the SEC Application for Scholarship and/or NLI documents from the Compliance Office.
2. The coach attaches the completed "Request for Academic Progress Evaluation Form" if the prospect has made an official visit. If the prospect has not been previously evaluated, the coach shall attach the evaluation form at this time.
3. The Compliance Office checks for all current transcripts, qualifier status, and academic work in progress at the prospect's current institution.
4. The Compliance Office will perform a transferable hours audit of all transferable hours.
5. The Compliance Office will forward to the CATS official the transcript(s) and the "Request for Academic Progress Evaluation Form." The CATS official will obtain an official degree check through the Registrar's Office and the student's chosen college. If the prospective student-athlete has notified the coach that he/she is undecided on a desired major, the CATS official will convey to the Registrar's Office to select a major that would give he/she the most hours towards a UK degree.
6. After the degree check is completed by the Registrar and the designated college, the CATS official will distribute the audit to the Compliance Office.
7. The Compliance Office will review the degree check and NCAA/SEC transfer rules. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.
8. The Compliance Office will issue scholarship papers to the coach.

The certification process for transfer student eligibility is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

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

The Compliance Office develops squad lists. A copy of the list goes to the Undergraduate Admission Officer and a copy goes to the Center for Academic and Tutorial Services (CATS).

The Office of Undergraduate Admission and University Registrar compiles a list of undeclared student-athletes that need to select a major. This list is given to CATS. CATS then notifies the student-athletes. A Degree Objective Intent sheet is completed and submitted to the Undergraduate Admission Officer.

Student-Athlete Degree Progress Forms for each student-athlete are sent to the designated contact in the academic dean's office. The college contacts are given three weeks to complete and return the forms. The colleges as well as the Office of Undergraduate Admission and University Registrar keep a major planning sheet for each student-athlete. Colleges have both primary and secondary student services personnel available to help meet the three week deadline.

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Once the Degree Progress Form is completed, Cathy Mott in the Office of Undergraduate Admission and University Registrar calculates the earned hours for the degree, certified hours for major, total hours toward degree, and eligibility status. A copy of this information is sent to Mike Haley, Director of Advising Services in CATS. The Office of Undergraduate Admission and University Registrar and Compliance/CATS verify the numbers. The Compliance Office notifies coaches of ineligible student-athletes.

Freshmen and transfer students' eligibility is certified by the Office of Undergraduate Admission and University Registrar. The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piecoro.

Verifying course work for student-athletes follows this sequence—

OLD RULES

—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is also done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 25% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 50% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 40% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 60% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

The Office of Undergraduate Admission and University Registrar provides the college deans' offices with the necessary forms that are to be verified for continuing eligibility. Primarily, information regarding the 25/50/75 (Old Rules), 40/60/80 (New Rules effective Fall 2003), certified hours, and hours earned toward graduation is provided. College representatives are responsible for verifying courses student-athletes completed during the term. The deans' offices will ensure the required student-athlete forms are on file before the student is certified eligible. These forms are kept in the student's folder in the student records area of the college.

Student-athletes must have passed at least six hours from the previous semester to participate in the next (or following) semester, according to NCAA rules. Also, in order to participate in post-season championships or Football Bowl games, student-athletes must have passed six hours in the previous semester, according to SEC rules. This information is verified by Cleo Price, Associate Registrar, and Athletics Department Compliance is notified immediately if any student is ineligible.

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- 11.** Review the graduation rates for student-athletes who received athletics grants-in-aid, for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.

The Academic Integrity Subcommittee reviewed graduation rates for student-athletes as a whole as well as multiple subgroups and compared these to graduation rates for students as a whole. The table below shows a comparison of six-year graduation rates for student-athletes and for all students generally. The six-year graduation rate is computed for each group of students by tracking a cohort of first-time, full-time, degree-seeking students over a six-year period to determine what percent graduated within the six-year timeframe.

Table 1: Comparison of Six-Year Graduation Rates for Student-Athletes and for All Students

Fall 1997 Cohort

Graduation Rates for Student-Athletes: 50.6%

Graduation Rates for All Students: 61.1%

Fall 1996 Cohort

Graduation Rates for Student-Athletes: 47.7%

Graduation Rates for All Students: 57.7%

Fall 1995 Cohort

Graduation Rates for Student-Athletes: 39.5%

Graduation Rates for All Students: 57.2%

This table reveals that for cohort years 1995, 1996, and 1997 graduation rates for student-athletes averaged approximately 10 percentage points less than graduation rates for all students. This 10 percentage-point difference in overall graduation rate for student-athletes was identified by the Subcommittee as a significant difference. Using NCAA graduation rate data for cohort years 1995, 1996, and 1997, the Subcommittee next analyzed student-athlete graduation rates further to identify subgroups or trends within the student-athlete cohort. Analysis by team, gender, and ethnicity is somewhat difficult due to the small number of students present in many of the cohorts. In general, however, it appears that graduation rates are on average lower in football, men's basketball, and possibly women's basketball, although there is considerable variation as well as small cohort numbers in women's basketball.

There was a trend for lower graduation rates among black, non-Hispanic students, although this was not consistent from sport-to-sport or from year-to-year, again reflecting small cohort samples. Based on the NCAA graduation rate data, the Subcommittee concluded that there was a trend for lower graduation rates among black, non-Hispanic student-athletes. However, the difference in graduation rates for black, non-Hispanic student-athletes did not differ from the graduation rates of all black, non-Hispanic students to any greater degree than the difference in graduation rates between other student-athlete cohorts and their respective racial/ethnic groups among all students. It was also noted that the graduation rates for black, non-Hispanic students may be affected by the disproportionate number of these students included within revenue sports such as men's basketball, football, and women's basketball, where lower graduation rates have already been noted above. From the analysis above, the committee concluded that graduation rate data would be best studied by division into revenue and non-revenue sports.

The Subcommittee next looked at the effects of admission qualifications upon subsequent graduation rate. Using the 1997 cohort, Table 2 below illustrates the six-year graduation rate as a function of entering average ACT score. The graph in Figure 1 (provided to NCAA as a hard copy supplement to this online report) is roughly linear and shows an approximate three percent increment in graduation rate for each one point increment in average ACT score.

Table 2: Graduation Rates by ACT Score Ranges

Fall 1997 Cohort — All Students

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ACT Range: 17 & Under (N=34)
 Graduation Rate after 4 Years: 11.8%
 Graduation Rate after 5 Years: 29.4%
 Graduation Rate after 6 Years: 32.4%

ACT Range: 18-20 (N=300)
 Graduation Rate after 4 Years: 16.3%
 Graduation Rate after 5 Years: 41.7%
 Graduation Rate after 6 Years: 49.7%

ACT Range: 21-22 (N=542)
 Graduation Rate after 4 Years: 24.9%
 Graduation Rate after 5 Years: 53.3%
 Graduation Rate after 6 Years: 60.5%

ACT Range: 23-24 (N=608)
 Graduation Rate after 4 Years: 25.7%
 Graduation Rate after 5 Years: 49.8%
 Graduation Rate after 6 Years: 57.4%

ACT Range: 25-27 (N=642)
 Graduation Rate after 4 Years: 26.8%
 Graduation Rate after 5 Years: 56.2%
 Graduation Rate after 6 Years: 63.2%

ACT Range: 28 & Above (N=584)
 Graduation Rate after 4 Years: 36.6%
 Graduation Rate after 5 Years: 62.7%
 Graduation Rate after 6 Years: 70.4%

The Subcommittee then computed the percentages of first-year students who achieved ACT Composite scores in selected ranges for the combined 1995, 1996, and 1997 cohorts (see Figure 2 provided to NCAA as a hard copy supplement to this online report). Percentages were determined for three groups of freshmen: 1) students who play revenue sports, 2) students who play non-revenue Olympic sports, and 3) all other students. Students playing Olympic sports have a distribution of entrance ACT Composite scores that is shifted towards the lower range of scores. One-third (33.9%) of students playing Olympic sports have Composite scores of 20 or less, compared to less than one in 10 (9.2%) of all entering students.

Figure 3 (provided to NCAA as a hard copy supplement to this online report) shows six-year graduation rates by ACT Composite score ranges for the three combined entering classes. The results are again disaggregated into students playing revenue and Olympic sports, as well as all other students. When graduation rates for students playing Olympic sports are graphed by entering ACT score range, the resulting line is essentially the same as for all students for the first two ranges of ACT scores. For the three upper ranges of ACT scores, the graduation rates for students in Olympic sports exceed the graduation rates for all students. Based on this evidence, it may be concluded that the overall lower graduation rate for students playing Olympic sports is primarily explained by their tendency to earn ACT scores at the lower end of the distribution. After entering the University, students playing Olympic sports graduate at essentially the same rate as other students with comparable ACT scores.

Student-athletes who play revenue sports show an even greater shift of the entrance ACT scores towards the lower end of the distribution. Over two-thirds (50 of 72, or 69.5%) of the students who play revenue sports earn ACT Composite scores of 20 or less. In addition, however, these students also have lower than expected graduation rates based on their entering ACT Composite scores. Thus, for revenue sport student-athletes, the shift in the distribution of the entering ACT scores does not fully explain their lower graduation rates. The Subcommittee met with coaches and representatives of the various athletic teams and discussed, among other topics, graduation rates. The coaching staff noted that all student-athletes, per admission policy of the University of Kentucky, meet NCAA Clearinghouse or University standards, and the altered distribution of entering ACT scores is a function of the reality of competitive intercollegiate athletics at Division I institutions. The decreased graduation rate among revenue sport student-athletes, even when stratified by entering ACT score was attributed, in part, to the following kinds of situations:

- Women's basketball has recently undergone a coaching change and experienced a number of transfers prior to this coaching change.
- Football has had three different coaches in the last four years with a considerable number of transfers over this three year cohort. Specifically, 14 football players from the combined cohort transferred to another institution to complete their eligibility. One football player left the program early to join a professional team. According to the

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2003-04 IPEDS Graduation Rate Survey (the most recently available data), however, the 1997 football cohort showed a six-year graduation rate of 60%, which is on par with all students' graduation rate;

—Figures for men's basketball appear to be distorted by cohort years with small numbers of student-athletes, several of whom left school for early entry into the National Basketball Association or transferred to another school. Across the combined 1995, 1996 and 1997 cohort for revenue sports depicted in Figure 3, four men's basketball players transferred to other colleges, and three others joined professional teams before graduating.

While the coaches believe that when transfer students and those pursuing early entry into professional sports are factored out of the data, the lower overall graduation rate for student-athletes in revenue sports can be explained to a large degree by the altered admission profile distribution, the Subcommittee believed further consideration of graduation rates was necessary. The Academic Integrity Subcommittee subsequently concluded that graduation rates for revenue sport student-athletes are different from those of students in general, and that the factors below appear to be the major determinants. These factors will be used as a conceptual framework for an improvement plan to be implemented by the institution and included as a Plan for Improvement within this report:

A. Admission profile of student-athletes.

Approximately 70% of student-athletes from the 1995-1997 cohort in revenue sports have entering ACT scores of 20 or less. There is a strong correlation between ACT score and subsequent graduation rate. It may be unrealistic to expect students with these scores (<20) to graduate at a rate comparable to all students. Potential remedies directed at this problem are presented in the improvement plan. It should be noted that for cohort years 2003 and 2004, the percent of revenue sport recruits with entering ACT scores <20 are 47.0% and 47.3%, respectively. These significantly improved numbers reflect the activity of a new athletics administration.

B. Student motivation and achievement in revenue sports.

Figure 3 shows that the relationship between ACT scores and subsequent graduation rates is almost flat for revenue sport athletes in marked contrast to that of non-revenue sport athletes and students in general. This suggests a significant issue with motivation and achievement in this subset of students, although these data would be affected by transfers. Potential remedies directed at this problem are addressed in the improvement plan.

C. Scheduling difficulties, especially in upper level courses.

Multiple students in the open forum sessions with student-athletes noted the difficulty scheduling upper level classes in the proper sequence to progress toward graduation appropriately. This problem is exacerbated by the recent reduction in state funding to the University resulting in reduced numbers of sessions for specific classes. Recognition of the significance of the problem for students in general is demonstrated by the creation of a pilot graduation contract for students in several colleges. This problem is made even more significant for student-athletes because of further scheduling restrictions related to athletic competition and practice schedules. Potential approaches to the problem are addressed in the improvement plan.

Finally, it is worth noting that once student-athletes are admitted to the University of Kentucky, the outstanding services offered by the Center for Academic and Tutorial Services (CATS) provide an opportunity for student-athletes to balance study time and athletic time and thus progress and graduate at the same rate as any other student. The data above appear to support that hypothesis.

12. Identify and describe the academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.

The academic standards and policies (listed under "Academic Requirements") of the University of Kentucky are stated in the 2003-04 University Bulletin, pages 54-64. Sections of these requirements are reprinted in the academic section of the "Student-Athlete Handbook," pages 7-28. Brief summaries of University and Athletics Department regulations are presented below. Complete information is available from the two references above. The academic standards and policies of the University are the same for all students. There are no exceptions for student-athletes.

CONFIDENTIALITY OF STUDENT RECORDS

The University complies with the F.E.R.P.A. legislation of 1974. Release of records requires written consent unless released to other school officials with legitimate educational interests, authorized representatives of the Comptroller General of the United States or the Secretary of Education.

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CLASS ATTENDANCE

Regular class attendance is expected and is the responsibility of each student-athlete when on campus. Enforcement is the responsibility of the head coach.

ACADEMIC ELIGIBILITY, GRADE CLASSIFICATION, AND GRADUATION

The University complies with extensive NCAA eligibility rules regarding percent of degree, grade point average, hours/year, and hours/semester. Students must carry 12 semester credit hours each term to be full time. Most degree programs require 120 hours for completion.

UNDERGRADUATE MAJOR REQUIREMENTS - 60 Hour Rule

Students who have earned 45 credit hours should meet regularly with an advisor who will help the student choose a major or seek admission to a selective admissions college. Students who haven't chosen a major or been admitted to a selective admissions college and have at least 60 credit hours will not be permitted to register for classes except under conditions specified on page 14 of the "Student-Athlete Handbook."

MARKING SYSTEM

The marking system uses letters which are assigned grade-point values.

- A - exceptionally high achievement - 4 points/credit hour
- B - high achievement - 3 points/credit hour
- C - average achievement - 2 points/credit hour
- D - minimum passing grade - 1 point/credit hour
- E - failure in the course - 0 points and 0 credit hours

Additional outcomes such as P, F, I, W, etc. are detailed on page 15 of the "Student-Athlete Handbook."

PETITION TO TAKE COURSES AT ANOTHER SCHOOL

The University of Kentucky will accept collegiate level credit in which a grade of D or higher has been earned from a regionally accredited institution. Grades and quality points do not transfer, only the hours earned.

SCHOLASTIC PROBATION

Students are placed on scholastic probation if:

1. Their cumulative GPA falls below 2.0
2. They are freshman students who have completed a semester of 18 or fewer hours with a GPA of less than 1.75
3. They have two consecutive academic terms with semester GPAs below 2.0 regardless of their cumulative GPA.

ACADEMIC SUSPENSION

Students are subject to suspension if:

1. They have three consecutive semesters in which their cumulative GPA remains below 2.0
2. They fail to earn a 2.0 semester GPA for any term while on probation.

GENERAL RULES PERTAINING TO STUDENTS UNDER ACADEMIC SUSPENSION

A student who is under academic suspension may not enroll in any courses offered by the University of Kentucky, nor take any examination for University of Kentucky credit.

REINSTATEMENT

After they have remained out of the University for at least a semester, students who have been academically suspended may only be reinstated by the dean of the college in which they plan to enroll. After being reinstated, students must apply for re-admission to the University.

GENERAL RULES FOR REINSTATED STUDENTS

A student reinstated following academic suspension will be placed on scholastic probation. If the student acquires any additional deficit or fails to meet requirements for removal from probation by the end of the third semester, they will be subject to final academic suspension and not be re-admitted except in unusual circumstances detailed on page 18 of the "Student-Athlete Handbook."

ACADEMIC OMBUD SERVICES

Page 19 of the "Student-Athlete Handbook" contains a detailed description of services available to students through the Ombud's Office.

PROCEDURES FOR REGISTRATION, ADD/DROP, DROPPING A CLASS, AND WITHDRAWAL FROM THE UNIVERSITY are described on pages 20-22 of the "Student-Athlete Handbook."

Information to be available for review by the peer-review team, if requested:

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- A copy of the institution's most recent catalog.
- A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
- Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, high schools' lists of approved core courses, final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).
- University catalog/bulletin.
- Athletics department manual.
- Student-athlete handbook.
- Institutional handbook for students.

Evaluation

1. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is the contrast analyzed and explained by appropriate institutional authorities? **Currently Yes**
2. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is this disparity analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities? **Currently Yes**
3. Does the institution demonstrate that academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher? **Currently Yes**
4. Does the institution demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally? **Currently Yes**

Academic Integrity

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
External motivating factors among student-athletes in revenue sports contribute to lower rates of academic success, including graduation rates.	To help increase the six-year graduation rate of revenue sport student-athletes by 5% by 2009, enhance motivation of student-athletes to achieve satisfactory academic progress, as measured by the percent that meets or exceeds NCAA required GPA guidelines, percentage toward degree requirements, and SEC requirements of credits passed to compete in SEC or NCAA championships.	1) Establish a policy by which student-athletes are held accountable for completing academic requirements throughout the semester; designate appropriate authorities who will enforce the policy; identify and apply meaningful consequences; and assess progress by semester based on a fall 2004 baseline.	Athletics Director; Associate Athletics Director for Student Services; coaches	Implement new policy with the fall 2005 student-athletes; monitor results on an ongoing basis.
		2) Study issues and advocate establishing internal and external (i.e. SEC, NCAA) policies or programs designed to reduce student-athlete attrition following completion of the competitive season in the fourth year of eligibility.	Athletics Director; Associate Athletics Director for Student Services; coaches	Establish and submit proposals to influence changes by January 2006; continue follow-through on an ongoing basis.
Graduation rates of student-athletes in revenue sports can be improved by coaches' efforts in recruiting academically-prepared student-athletes and promoting their academic success.	To help increase the graduation rate of revenue sport student-athletes by 5% by 2009, enhance coaches' efforts to improve the academic performance of revenue-producing teams, as measured by key indicators of academic quality and success.	1) Conduct a survey of SEC and benchmark institutions to identify effective coaches' compensation plans that encourage academic success among student-athletes and share findings with the President.	Athletics Director; coaches	Implement in 2006-07
		2) Establish a plan to tie coaches' compensation to success in three areas: admission profile of entering class, academic progress rates, and graduation rates; negotiate contractual arrangements with coaches; use 2003-04 data to determine baseline measures of entering academic profiles, academic progress rates, and graduation rates.	Athletics Director; coaches	Implement in 2006-07

Academic Integrity

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scheduling problems are a barrier to progress toward graduation for student-athletes and students in general.	Increase student-athlete satisfaction with the availability of University courses to meet scheduling needs, as measured by a periodic survey of student-athletes.	1) Conduct a study of nongraduating student-athletes to determine the impact, among other issues, of scheduling difficulties on academic progress and degree completion.	Associate Athletics Director for Student Services; FAR, AIC	Complete study by fall 2005
		2) As appropriate, based on the study's results, explore creative solutions with academic authorities to address scheduling difficulties of student-athletes and other students specifically recruited to the University for any program.	Associate Athletics Director for Student Services; FAR, AIC	Share results and initiate discussions during 2005-06.

Academic Integrity

Operating Principle

2.2 Academic Support

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.2.

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 first-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no actions or plans for improvement/recommendations developed by the institution during its first-cycle certification process relating to Operating Principle 2.2.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no specific additional plans for improvement or recommendations relating to the area of Operating Principle 2.2 (Academic Support) developed by the institution based on first-cycle certification. There were no direct recommendations made by the Committee on Athletics Certification. The University of Kentucky Athletics Department, however, has made many improvements to the services provided to student-athletes based on continual evaluation of student needs. Since the first-cycle certification, the Athletics Department has made both physical plant upgrades and initiated new programs and policies to provide additional academic support for student-athletes.

In 1998 the Athletics Department opened a new facility to house the Center for Academic and Tutorial Services (CATS) for student-athletes. The new 20,000+ square foot facility includes a computer room with 35 stations (the previous facility had 13 stations), 24 tutoring rooms (11 tutor rooms in the previous facility), a large, quiet study center, and a career and personal development resource center. In addition, a donor provided the services of his software company to develop a time tracking system for CATS. This system is one of the few of its kind in the country. The system tracks student-athlete time in study hall and in the computer room. The system will also check in tutors and student-athletes for a tutoring session and assign a tutoring room. The system provides CATS staff with numerous reports regarding student-athlete use of the CATS facility and CATS staff can check to see if a student is in CATS from their office computer station. In addition, during the past summer (2004), the athletics department upgraded the 40 person classroom in the CATS facility to a "Smart Classroom."

Academic Integrity

Three additional full-time counseling positions were approved by President Wethington in 2001 and \$100,000 was added to the tutoring budget for the 2004-05 fiscal year.

Many policies and programs have changed since 1998. President Lee Todd changed the reporting line for the Associate Athletics Director for Student Services, the director of CATS. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

The University has offered a new student orientation (UK 101) for several years and many departments (e.g.: the business college) have offered sections for their students. Some sections are one credit hour and some are three credit hours. The Associate Provost originally allowed the Athletics Department to offer four one-hour sections strictly for student-athletes (as do other campus units for their students). In 2001 the Athletics Department was permitted to offer one of these UK 101 sections as a three hour section (other campus colleges and units also do this for their students) This fall (2004) the Athletics Department will be allowed to teach two three credit hour sections. CATS has utilized these sections for "at risk" student-athletes. It should be noted that all student-athlete sections of UK 101 are taught by University of Kentucky faculty/staff in the same manner as any non-athlete section.

Since 1998 there have been notable changes in the CATS tutoring program. All non-scholarship student-athletes have been added to those eligible for tutors. Prior to 1998 non-scholarship student-athletes could utilize all CATS facilities but tutoring was offered selectively. CATS now provides all non-scholarship student-athletes requested tutoring support. In 2001 a notable change was made in the English Writing tutoring program. The Athletics Department contacted the English Department and set up a financial agreement where the campus English Writing program would assign a Teaching Assistant (TA) to direct the CATS English Writing program. The assigned English Department TA supervises three additional tutors assigned by the English Writing program and educates English tutors regarding English Department policy as regards assisting student-athletes with English writing assignments. A writing lab is provided in CATS for this purpose. Since 1998 the Athletics Department has also developed a cooperative effort with the campus Career Center. The Life Skills Coordinator (formerly the career and personal development coordinator position) now has an office one day a week in the campus Career Center and meets with student-athletes in that facility familiarizing them with the resources and registering them for interviews with potential employers. In 1990 the CATS life skills program began producing a resume booklet of our graduating seniors and mailing it to over 3500 employers in the US. In 2000 a resume website was developed and invitations to visit the website and evaluate our graduates for employment have been mailed to over 10,000 employers each year since.

In January of 1999, the Frank G. Ham Society of Character was created to recognize student-athletes who epitomize the term "student-athlete" and the first class of recipients was selected that spring. This was an organization created and initiated by the CATS program.

In the spring of 1998 the University of Kentucky was selected as a site for a regional office for the National Consortium for Academics and Sports (NCAS). That office, the South-Central Regional Office, was housed in CATS and Bob Bradley was selected to direct the region. The NCAS is an organization that educates student-athletes about societal issues and encourages and utilizes student-athletes as role models in the community. One of the programs that UK initiated through the Consortium was the federally funded "Athletes in Service to America" program through the AmeriCorps National Service Act. Many former UK student-athletes, who had completed their eligibility but still had requirements to complete for a degree, became Corp members and worked with "at risk" children in the schools and community.

Other programs initiated since 1998 include:

1. Character programming that student-athletes now provide to local elementary schools;
2. "Jump Start" program provided to incoming scholarship men's and women's basketball student-athletes (initiated when the NCAA changed the rules to allow men's and women's basketball student-athletes to attend on grant-in-aid the summer prior to first time, full-time enrollment). Jump Start is a study skills and college awareness program that assists these student-athletes in their adjustment to the University;
3. "Survivor Program" conducted each spring for those student-athletes who are struggling with their academic studies;
4. Mentoring Program for "at risk" student-athletes was formalized utilizing full-time staff and veteran adult tutors; and
5. Summer "Leadership Institute" was created as a program to enhance the leadership skills of student-athletes who have evidenced leadership potential.

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4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.2 (Academic Support). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The Center for Academic and Tutorial Services (CATS) is established for the purpose of providing academic support to student-athletes. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

CATS MISSION

The CATS mission is to create an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life.

The CATS staff will be fair, courteous, and professional. The staff will be sensitive to each student-athlete's special needs and ensure a wholesome learning environment exists at all times. Academic counselors will be available to all sport teams. Likewise, advising, counseling, and referral services will be available to all male and female student-athletes on an equal basis.

PHILOSOPHY REGARDING COACHES AND STUDENT-ATHLETES

The CATS staff is aware that college coaches have a responsibility and concern for the academic as well as the athletic well-being of their student-athletes. Coaches express interest in the academic and educational pursuits of the prospects during the recruiting process and, therefore, are bound to ensure that the student-athlete is afforded every opportunity to succeed academically and educationally.

Coaches are an integral part of the student-athlete's life. The CATS staff will keep the coaches informed about the student athlete's academic situation so they can make decisions in the best interest of the student-athlete's post-college quality of life.

CATS functions as a support service available to all UK student-athletes. While any coach may establish individual academic standards for his or her team that are more stringent than the CATS policies, any student with a GPA below 3.0 will be placed in the CATS academic monitoring program. The student-athlete will receive CATS academic services and must follow the guidelines of the CATS' Academic Policy.

NCAA SELF-STUDY STUDENT-ATHLETE SURVEY — general description

A web-based survey was administered to student-athletes two weeks before final exams during spring semester 2004. The survey assessed several important areas:

- The CATS program
- Scheduling of practices and competitions
- Equity and diversity issues
- Welfare of student-athletes

One hundred twenty-nine student-athletes completed the survey. The response rate was 36%. The students who responded to the survey were not completely representative of student-athletes at UK; only 13 football players responded to the survey.

The survey results are very positive in regards to the CATS program. Ninety-one percent agree or strongly agree that "CATS staff encouraged me to set attainable academic goals of my own choosing;" 89% agree or strongly agree that "CATS staff has assisted me in reaching my personal academic goals;" 76% rated the quality of tutors as good or excellent. Figure 4 (provided to NCAA as a hard copy supplement to this online report) depicts the student-athletes' ratings of the quality of academic support services provided by CATS. In addition, two open meetings were held with student-athletes, who voiced strong support and approval of the CATS program at both meetings.

CATS' STAFF RESPONSIBILITIES

Bob Bradley - Associate Athletics Director for Student Services

- Position is supervised by the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day

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reporting is to the Director of Athletics.

—Serve as Chief Administrator in the Center for Academic and Tutorial Services: get to know as many student-athletes as possible; ensure that the service provided to the student-athletes is of the highest quality; make sure the student-athletes are at the heart of the CATS program and the Athletics Department; strive to ensure that we graduate student-athletes at a rate equal to that of the University of Kentucky general student population; and work with Athletics Director to expect coaches to demand academic excellence from the student-athletes they mentor.

—Program Administration and Development: plan, organize, develop and evaluate programming of CATS; implement new and enhanced programming for CATS; identify and implement programs that enhance the image of the University of Kentucky and the Athletics Department; improve effectiveness of CATS programming; and ensure that staff are treated ethically and that they understand the professional ethical standards required to hold a position in the Center for Academic and Tutorial Services.

—Public Relations: positive recognition of CATS and the CATS program both locally and nationally and respect for the CATS program on campus.

—Interdepartmental and intradepartmental relations: establish positive lines of communication with other offices within the Athletics Department; ensure that coaches understand that our first responsibility is the student-athlete and develop a positive relationship with all coaches within those parameters; establish lines of communication and a working relationship with campus administrative and academic offices; and educate administrators and faculty as to the function of CATS and CATS' programs and responsibilities.

—Serve as Director of The South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): serve on the NCAS National Planning & Development Board; and serve the membership of the South-Central region and assist member schools with relevant programming through the region and national office.

—Serve as Advisor to the Women's Golf Team and Rifle Team.

—Co-Advisor to the Student-Athlete Advisory Committee.

—Co-Advisor to the Society of Character.

—Assist Martina Martin with Cultural Diversity Programming.

—Completion of any special projects assigned by the Athletics Director.

Barb Deniston - Director of Academic Services

—CATS Administrator in Charge in the absence of Associate Athletics Director for Student Services.

—Serve as advisor to the Football Team.

—Serve as Team Leader for the Academic Services Team: plan, organize, develop, monitor and evaluate academic services programming including the tutoring program, mentoring program, learning disability program and English Writing program; and direct testing and evaluation program, which includes the following:

*Ensure that all identified student-athletes are tested.

*Ensure that all potentially "at risk" student-athletes are referred for further testing.

*Ensure that an Individual Educational Plan (IEP) is developed in cooperation with the testing psychologist for each student identified as learning disabled.

*Evaluate the program and make recommendations to the Associate Athletics Director for Student Services.

*Identify a staff member as liaison to the Disability Resource Center.

—Organizational supervision of the College Work Study Students.

—Monitor effectiveness of academic services and confer with Associate Athletics Director regarding issues.

—Other duties as assigned by the Associate Athletics Director for Student Services.

Mike Haley - Director of Advising Services

—Serve as Advisor to the Men's Soccer, Women's Soccer and Gymnastics teams.

—Serve As Team Leader for the Advising Services Team: provide ongoing training for academic advisors and Academic Graduate Assistants (AGAs) to include the following:

*Develop AGA training in conjunction with all advisors.

*Mandatory monthly (or more frequently, if needed) meetings with advising team for information exchange, idea exchange and discussion of advising issues.

*Monitor advisor effectiveness and confer with Associate Athletics Director regarding issues.

—Work with Michael Stone during 2004-05 to train him in the continuing eligibility process so he can take over this responsibility in 2005-06.

—Monitor computer lab (Identify lab consultants to be hired).

—Process "Focus" reports for Staff.

—Coordinate Registration and Summer Advising Conference.

—Other duties as assigned by the Associate Athletics Director for Student Services.

D'Ann Blankenship - Staff Associate

—Directly supervised by Director of Academic Services, Barb Deniston.

—Responsible to monitor the front reception area at all times or ensure that it is being monitored by the other full-time staff associate (Work study students are not to be used to cover front reception area).

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- Day-to-day supervision of the College Work Study Program (CWSP) students as directed by Barb Deniston; develop training program for CWSP under the direction of Barb Deniston.
- Process forms for reimbursement of student-athlete fees (e.g., TA 101 theatre tickets, etc.).
- Process tutor payroll under the direction of Lisa Mattingly/Barb Deniston.
- Keep phone "voicemail" system current at all times.
- Assist in the processing of personnel paperwork for new employees (full-time staff, part-time staff, tutors) as directed.
- Ordering/stocking supplies, maintain upstairs door security system, message board, copiers and furniture.

Andrea Tinsley - Staff Associate

- Directly supervised by Associate Athletics Director, Bob Bradley.
- Assist the Associate Athletics Director with administration of the South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): assist with membership communication; assist with membership drive; assist with organizing meetings; process all mailings; publish and mail (e-mail or snail mail) Regional Newsletter; and report annual statistics for UK and call members to ensure they get data completed and filed with NCAS.
- Assist Lisa Mattingly with the editing of the "Student-Athlete Handbook."
- Mail CATS' donor communications.
- Take minutes at staff meetings.
- Complete any research projects assigned by Associate Athletics Director.

Specific Duties Assigned to Staff Associate Position

- Front reception area will be covered by a full-time staff associate at all times unless otherwise approved by the Associate Athletics Director, Director of Academic Services or the Director of Advising: staff Associate at the reception area will greet all guests immediately and cordially and direct them to the appropriate office or notify staff member that guest has arrived; staff Associate will greet incoming calls cordially and politely direct the call to the appropriate office; and if the staff member is not here or available, the staff associate will respond to the caller in a professional manner and handle each call cordially.
- Staff Associates will report any identified CATS' maintenance problems to the Associate Athletics Director.
- Staff Associates will be allowed to take one 15 minute break in the morning and one in the afternoon. The break will be taken on its own, exclusive of any other duty. It will not be combined with other job related duties.
- Staff Associates will personally take responsibility to complete tasks assigned to them by any professional staff member. CWSP can be used for this but the staff associate is responsible for the accuracy of the work and completion of the work on time.
- Staff Associates will assist all professional staff as directed by that professional staff member.

Beth Stice - Academic Counselor

- Serve as Advisor to Volleyball and Men's & Women's Swimming/Diving.
- Serve as Liaison to the Disability Resource Center under the supervision of Barb Deniston to ensure: all identified student-athletes take the reading and math evaluations; those identified as "at risk" receive further evaluation; those with disabilities receive best possible service as regards receiving appropriate assistance and/or accommodations.
- Mentor student-athletes.
- Continue to develop and coordinate the Survivor and Jump Start programs.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Amy Craiglow - Academic Counselor

- Serve as Advisor to Men's Golf & Softball.
- Mentor student-athletes.
- Assist with Character Programming.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Michael Stone - Academic Counselor

- Advise Basketball and Baseball.
- Work with Mike Haley during 2004-05 to learn the continuing eligibility process and take over this responsibility beginning 2005-06.
- Train and monitor AGAs and student staff to handle front desk, study center and computer lab at assigned times; work with Lisa Mattingly to assign 5th/6th year student staff appropriately.
- Co-Advisor to the Student-Athlete Advisory Committee (SAAC).
- Coordinate recruiting.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

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Dan Childs - Academic Counselor

- Serve as Advisor to Men's and Women's Track and Men's and Women's Tennis.
- Textbook dispersal and return.
- Maintenance of Student-Athlete Listserve.
- Assist Martina Martin in development of cultural diversity programming for staff and student-athletes.
- Summer school grant-in-aid requests program.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Lisa Mattingly - Academic Counselor

- Serve as advisor to the Women's Basketball Team.
- Primary responsibility for coordination and development of the Tutoring and Mentoring program under the direction of the Director of Academic Services.
- Coordinate mentoring for the UK 101 classes.
- Coordinate fifth year grant-in-aid program.
- Coordinate National Student-Athlete Week Activities.
- Assist Associate Athletics Director for Student Services with "Post-Eligibility" grant-in-aid program.
- Annually edit the "Student-Athlete Handbook."
- Assist Martina Martin with cultural diversity programming.
- Assist with character programming.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Martina Martin - Life Skills Coordinator

- Direct the CATS' Career Development program: complete resume website each year by November 1st; coordinate the student-athlete internship program; identify job placement possibilities for student-athletes through local organizations and the Campus Placement Center; communicate with CATS staff regarding current activities and opportunities associated with the program; and develop an interactive Career Program with the UK Career Planning and Placement Center On Campus to include the following:

*Have an office one day a week at the Campus Center.

*Register all scholarship student-athletes with the UK Career Planning and Placement Center prior to the beginning of their last year of school.

*Provide orientation to the campus Career Planning and Placement Center and ongoing guidance regarding services and opportunities available to the student-athletes.

- Direct CATS' Personal Development program: identify potential major seminars for student-athletes one year in advance and:

*Identify innovative personal development programming.

*Work with campus offices to provide personal development programming to student-athletes and to general student body.

Also, develop menu driven program of personal development offerings for student-athletes and coaches and ensure that all teams complete the required number seminars each year; and coordinate cultural diversity programming (with Bob Bradley, Lisa Mattingly and Dan Childs)

- Maintain the Career and Personal Development Resource Center

—Direct Community and School Outreach program to include: student-athlete outreach; staff outreach; serve as the Athletics Department's liaison to the Kentucky Excel program, serving as mentoring/outreach resource; coordinate and evaluate activities for the character development program (in conjunction with Lisa Mattingly and Amy Craiglow); serve on boards/committees of local community agencies and serve as an outreach resource for these agencies; and serve as Advisor to the Student-Athlete Outreach Committee.

- Co-Advise the "Society of Character."

—Process awards and maintain awards boards.

—Coordinate the development of the Leadership Program.

- Other duties as assigned by the Associate Athletics Director for Student Services.

Academic Graduate Assistants (AGAs)

- Assigned to full-time staff to serve as peer advisors and to assist in the monitoring of the academic progress of assigned student-athletes.

—Duties include clerical support to full-time staff, checking class attendance on assigned student-athletes, gathering information on the academic progress of specific student-athletes and working on periodic academic reports with the full-time counselor.

Life Skills Graduate Assistant

- Assist the Life Skills coordinator with the career development, personal development and outreach program as directed.

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ACADEMIC ADVISING

Academic advising of student-athletes is controlled by the colleges. CATS' advisors work in collaboration with the college advisors. A student-athlete cannot register without the college advisor's release of the academic "hold." All student-athletes must have a college or academic department advisor to be permitted to register.

6. Using the following program areas for academic support issues as examples, please describe:

- 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 are made aware of these services;
- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
- e. The mechanism for periodic review and approval of these services by academic authorities outside athletics of these services.

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

1. Academic advising. Course selection, class scheduling, degree program assistance, priority registration.

a. The specific academic support services offered to student-athletes, if any.

Every student-athlete is required to have a campus college advisor (this may be a faculty member or a professional advisor in a college) who assists the student-athlete with course selection, class scheduling, degree program questions, and priority registration. The college advisors are the only individuals who can release the "advising hold" and give final permission for a student to register for classes. Student-athlete "advising holds" are lifted by the normal University process used for all students. CATS' advisors work in collaboration with the campus advisors to ensure that the student-athlete has the most workable schedule possible to meet both academic and athletic responsibilities. This helps alleviate many of the athletic pressures on the student-athlete as he/she tries to achieve both academically and athletically. Due to the fact that the student-athletes are immersed in CATS' programming from the first moment they step on campus, the CATS' advisor becomes an integral part of the student-athlete's experience. The CATS' advisor is a tremendous resource to both the student-athlete and the college advisor in ensuring a quality experience for the student-athlete. Student-athletes' course selections, class scheduling, and registration occur by the same method as all students.

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

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

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

Student-athletes are made aware of these services through the following mechanisms:

- initial on-campus recruiting of each student-athlete,
- beginning of the year Athletics Director's orientation for all student-athletes,
- team meetings at the beginning of the academic year, and
- the University's first year orientation course.

In addition, CATS has become such a standard part of the lives of the student-athletes that they come to the center for virtually every academic and life skills need. CATS is very high profile and very well known by all of the student-athletes. Universities that do not have academic centers and house their advisors in

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various places have a much more difficult time making their student-athletes aware of the available services. Here everything is centralized.

The web-based survey of student-athletes revealed 99% rated the availability of academic advising as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

The campus Academic Integrity Committee (AIC), formalized by the President as an official committee of the University, has responsibility for oversight of the activities of the Center for Academic and Tutorial Services (CATS). This committee meets periodically (usually monthly) throughout the academic year, continually addresses academic issues related to the student-athlete experience, and on a triennial basis evaluates services of the CATS program. The Associate Provost for Undergraduate Education is a member of the Academic Integrity Committee. A review of CATS' services has been provided to the Associate Provost and the Academic Integrity Committee within the past three years.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the CATS program and provides guidance for the program. Roles and responsibilities of the Associate Provost in providing oversight and guidance include the following:

- Joint supervisory responsibility with the Athletics Director for the Director of CATS (i.e. the Associate Athletics Director for Student Services);
- Joint approval with the Athletics Director on changes in personnel and staff functions;
- Joint approval with the Athletics Director on changes and enhancements to CATS operations and services;
- Comprehensive, systematic evaluation of CATS' academic operations through periodic reports, group and individual interviews, and surveys of staff, tutors and student-athletes;
- Review and recommendation on the annual CATS budget; and
- Preparation of annual report summarizing the evaluation of CATS for the President and Athletics Director.

The Associate Provost, as a member of the Academic Integrity Committee, works with the Committee to ensure systematic evaluation of various services and programs of CATS and to make recommendations for reporting, future directions, and possible improvements.

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.

Tutoring is available to all student-athletes. Almost all tutoring is one-on-one tutoring. Group tutoring is only utilized in the case of large review sessions for exams. An average of over 100 hours of individual tutoring takes place every day (Sunday-Friday) in CATS during the academic year. In a review of the tutoring program several years ago, the maximum number of hours provided to student-athletes in any given week was determined to be over 900 hours. The number of hours provided in a typical week will be approximately 600-700 hours.

- 98% of respondents to a survey of student-athletes rated tutoring as being available or very available.
- 76% rated the quality of the tutoring as good or excellent.

Monitored (student-athletes with cumulative GPA <3.0) student-athletes are assigned mandatory tutoring sessions and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance is mandatory and monitored just like classes.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes' voluntarily requesting tutors:

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—The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.

—If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of the semester.

The Athletics Department hires tutors from the undergraduate and graduate school and from the local community. Tutoring for English Writing is staffed by the University's English Department's Writing Program. The Athletics Department pays the English Department which provides the program directly. A Teaching Assistant is assigned to supervise the writing program in CATS.

Tutors are required to submit academic transcripts and other documentation establishing their competence in a specific subject area. Subsequent monitoring is based on student evaluation of tutor competence. All tutors must go through the tutor orientation with a counselor who coordinates tutoring and the compliance department. Tutors are required to read the tutor manual and sign a statement of compliance with all rules and standards. Tutors are paid bi-weekly at a beginning rate of \$6.50 for undergraduates and \$8.00 for those with at least an undergraduate degree. Tutors are also reimbursed for pre-arranged preparation time.

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

Tutoring is available to all student-athletes. Every student-athlete considered to be at-risk (with GPA <3.0) academically is assigned mandatory tutoring sessions at the beginning of the semester and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance to these sessions is mandatory and monitored just like classes. Other student-athletes may request tutors after the mandatory tutoring sessions are set up.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c. Additionally, monitored student-athletes are notified by the CATS center and tutoring sessions are directly added to their personal schedules.

The web-based survey of student-athletes revealed 98% rated the availability of tutoring as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

3. 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.

The University course, UK101, is a highly effective and popular orientation course designed to teach success skills to incoming students and to help them adjust to the demands of university life. The University has designated four sections of the UK101 (pass/fail grade only) course as sections exclusively for student-athletes. One of those sections is a three hour (full semester) course and three of the sections are one hour courses. Based on high school academic performance and test scores, the most "at risk" student-athletes enroll in the full semester course as they are most in need of academic assistance. The course is taught by a University faculty or staff member. This is the same for all sections in the University. The CATS program assists the course instructor in two ways:

1. The CATS staff teaches several class sessions pertaining to NCAA information of which the instructor

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would not be aware (e.g., eligibility rules, compliance issues, gambling, drugs & alcohol rules, etc.), and 2. The CATS staff provides a mentoring program for these at-risk student-athletes that immerses them in the CATS services program early in the semester. The purpose is to get these young people off to the best possible start. The course includes sessions on time management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, and so forth. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained to teach each student-athlete how to utilize the organizational elements of the kit.

Beyond the UK101 program, some of the CATS full-time staff members mentor at-risk student-athletes as part of their official responsibilities. These individuals often teach study skills individually to the student-athletes.

The web-based survey of student-athletes revealed 65% rated the quality of provision of success skills as good or excellent.

Ninety-nine new scholarship freshmen enrolled at the University of Kentucky in fall 2004. Seventy-one of those (72%) were signed up for the freshman orientation course (UK 101). One hundred percent of identified "at risk" student-athletes were assigned to a UK 101 orientation class.

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

All student-athletes are encouraged to take the University's orientation course. The full semester course is mandatory for those individuals identified as "at-risk".

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 72% rated the availability of provision of success skills as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

4. Freshman/transfer orientation. Availability, attendance requirements.

a. The specific academic support services offered to student-athletes, if any.

In the Division of Student Affairs, specifically the Dean of Students Office, New Student Programs (comprised of UK 101 academic orientation course, Kentucky Welcome, and Parent Association) offers orientation programs open to all students. Kentucky Welcome is the welcome week program for all new UK students prior to the start of fall semester classes. Kentucky Welcome includes activities and programs designed to assist with the transition to University life. Of the 69 sections of UK 101, the University has designated four sections of the academic orientation course specifically for student-athletes. One of those sections is a three-hour (full-semester) course and three of the sections are one-hour courses. Based on high school academic performance and test scores, we enroll our most "at risk" student-athletes in the full-semester course as they are most in need of the study skills. The course is taught by a University faculty or staff member just like all of the sections of the course. The CATS staff assists the professor in the full semester course by providing a mentor for each student-athlete in the course and supplementing teaching materials with staff support. The purpose is to get these young people off to the best start possible and to immediately immerse them in the CATS services program. The course includes sessions on time

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management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, athletics department rules education, etc. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained in how to assist the student-athlete in utilizing the organizational elements of the kit.

Two years ago the NCAA passed legislation allowing men's basketball student-athletes to begin college on grant-in-aid during the summer prior to their first fall semester. At that time, the Athletics Department initiated an orientation and study skills program titled "Jump Start" to assist these student-athletes in their adjustment to the collegiate environment. Program elements include organization for success, an introduction to important offices on campus and career information as well as instruction in study skills, time management, test taking skills and note taking. Women's basketball is also utilizing this program this year (summer 2004) as the NCAA has passed legislation allowing women's basketball student-athletes to attend summer school on grant-in-aid prior to the beginning of their first year of college. There is also a mandatory Athletics Director's "beginning of the year orientation" where all student-athletes are made aware of all of the programs available to them.

The web-based survey of student-athletes revealed 80% rated the freshman/transfer orientation as being good or excellent.

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

Any student-athlete can use these services.

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

Student-athletes are made aware of these services at the Athletics Director's "beginning of the year" orientation that is mandatory for all student-athletes. All student-athletes are encouraged to take the University orientation course when they go through their advising with the college advisor. The CATS' staff encourages all student-athletes to take the University orientation course at a special session for student-athletes and their parents at the University's summer advising conference. The CATS staff identifies those for whom the full semester course would be appropriate and enrolls them. All entering men's and women's basketball student-athletes are automatically placed in the "Jump Start" program.

The web-based survey of student-athletes revealed 90% rated the freshman/transfer orientation as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

5. 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.

The CATS staff monitors new and continuing student-athletes participating in the "CATS Mandatory Study Program." Academic Graduate Assistants monitor the student-athletes by checking their class attendance, contacting their professors to determine academic progress, and meeting with counselors weekly to determine how to best help each individual. The head coach or a designated assistant coach will work closely with CATS staff and be informed of the progress of each student-athlete. This cooperative effort will ensure that all parties are kept abreast of each student-athlete's academic performance.

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The web-based survey of student-athletes revealed 88% rated monitoring of academic progress as good or excellent.

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

All first year UK student-athletes, any student-athlete with a cumulative grade point average below 3.0, (new in 2004/was previously 2.25 GPA.), and any other student-athlete identified by the head coach or CATS counselor will be required to participate in the CATS mandatory study program. Responsibilities include:

- Completing a designated number of required hours in CATS (study hall, tutors, mentors and computer lab) as determined by their head coach and CATS' counselor
- Completing the assigned number of study hall hours (e.g., if a student-athlete has 10 hours required each week, anything less, even if it is 9 hours and 59 minutes, is a miss).
- Arriving "ON TIME" for classes, tutors, and mentors (if a student-athlete arrives late to class and the class is checked before the student arrives, it is a miss. If a tutor or mentor is not available because a student-athlete arrives late, it is a miss.)

Each coach may propose an alternative disciplinary plan, but the standard procedure is that any student-athlete participating in the mandatory study program who misses a total of five (5) academic requirements per semester (including any combination of classes, assigned tutor sessions, assigned mentor meetings or required study hall time) is suspended from CATS and prohibited from using any CATS services.

The CATS counselor will arrange a meeting with the head coach regarding any student-athlete who has accumulated three misses. The purpose of the meeting will be to: 1) discuss any possible extenuating circumstances, of which the coach may be aware, that could be responsible for the student-athlete's behavior, and 2) develop positive steps to ensure that the student-athlete in question does not exceed the five cut policy. If the counselor has reason to believe that the student-athlete would benefit from an alternative approach to academic success, that counselor, in consultation with the head coach and the Director of Academic Services, has the prerogative to institute an "Individual Educational Plan" for the student-athlete. In every case, this plan will include a cooperative effort between the CATS program and the coaching staff.

Any student-athlete suspended from CATS may appeal to the Associate Athletics Director for Student Services for reinstatement at the beginning of the next semester. The student-athlete will be required to sign a contract with the head coach and the Associate Athletics Director verifying that he/she understands the CATS policies and will adhere to those policies. Any student-athlete suspended from CATS will not be recommended for summer financial aid by the Associate Athletics Director for Student Services.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes voluntarily requesting tutors:

- The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.
- If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of that semester.

****NOTE** - The post-eligibility grant-in-aid program is under the direction of the Associate Athletics Director for Student Services. Student-athletes are granted post-eligibility aid based on their previous academic effort. It is important for student-athletes to realize that their effort in CATS is noted.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 98% rated the monitoring of academic progress as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

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- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

6. Study hall. Availability, facilities, policy for mandatory attendance.

- a.** The specific academic support services offered to student-athletes, if any.

The University of Kentucky opened the first academic center for student-athletes (according to the National Association of Academic Advisors for Athletics) in the country in 1982. In 1998 the University opened a new 20,000+ square foot Ohio Casualty Group Center for Academic and Tutorial Services. The facility houses the offices of the Associate Athletics Director for Student Services, the Director of Academic Services, Director of Advising, five Academic Counselors, a Life Skills Coordinator, six Academic Graduate Assistants, and a Life Skills Graduate Assistant. The 20,000+ square foot CATS facility is one of the finest in the country and includes a quiet study center, computer lab, a career and personal development resource center, a classroom, and 24 tutoring rooms.

CATS is open Sundays from 2:00 p.m. - 10:00 p.m., Monday-Thursday from 8:00 a.m. - 10:00 p.m. and on Fridays from 8:00 a.m. - 4:30 p.m. A student-athlete may check out a key if he/she needs access to CATS at a time when it is closed. Although the center is not staffed after 10:00 p.m., student-athletes are welcome to stay and study or use the computers after that time. The doors lock automatically when the students leave and there is a night watchman who checks the center periodically. There is also an extensive camera system.

The web-based survey of student-athletes revealed 73% rated study hall availability, facilities, etc. as good or excellent.

- b.** Any policies that govern which students can use these services.

All student-athletes can use CATS and CATS' services.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 90% rated study hall availability, facilities, etc. as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

7. Assistance for special academic needs. Provisions for diagnosis and treatment of learning disabilities.

- a.** The specific academic support services offered to student-athletes, if any.

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All incoming football and basketball student-athletes and all other student-athletes with a composite ACT score of 20 or below (SATC score of 930 or below) will take the Stanford Diagnostic Reading Test and complete a writing sample to assess the need for supplemental assistance above and beyond the standard academic support available to all student-athletes. These same student-athletes may be required to take a math diagnostic evaluation to identify problems in this area. Any student-athlete, like all students, identified with a potential learning disability is referred to the University of Kentucky Disability Resource Center and a psycho-educational evaluation is arranged.

Student-athletes identified as significantly deficient in college level academic skills will receive supplemental assistance through the Student-Athlete Development Program. These student-athletes will be identified by a CATS academic counselor who coordinates diagnostic testing and will be assigned a full-time staff mentor. The academic progress of these student-athletes will be closely monitored by the academic counselor.

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

If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with the "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk". CATS assigns a mentor to these also and develops a program for them.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample, the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

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

a. The specific academic support services offered to student-athletes, if any.

The University administers subject area placement tests to all students (e.g., math, foreign language, etc.) for the purpose of placing students in appropriate levels of a particular curriculum.

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

Beyond the standard placement tests required of all students, additional learning assessments are available as described in Assistance for Special Academic Needs, part a, above. If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the

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testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with our "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk." CATS assigns a mentor to these also and develops a program for them.

The web-based survey of student-athletes revealed 73% rated the quality of provision of learning assessment as being good or excellent; 79% rated the availability as being available or very available.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

9. Mentoring. Availability of mentors, identification and assignment methods, frequency of interaction.

a. The specific academic support services offered to student-athletes, if any.

Mentors are provided to student-athletes who are identified as having academic deficiencies through an evaluation of their high school preparation, tests scores, or the CATS evaluation. All student-athletes who are identified as having the need for assistance in the area of organizational skills are assigned a mentor who assists them in organizing their weekly schedule (including assignments, study time for tests, personal responsibilities, etc.) The mentor meets with the student-athlete at the beginning of each week to prepare for the upcoming week's work. The mentor monitors the ongoing progress of the student-athlete and teaches the student-athlete organizational skills. Mentors are primarily adults (out of school) including many retired school teachers, and full-time athletics department staff.

The web-based survey of student-athletes revealed 81% rated the quality of mentoring as good or excellent.

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

All student-athletes are equally eligible for mentors. Mentoring is mandatory for student-athletes with identified special academic needs.

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

Student-athletes are made aware of these services during orientation in meetings with CATS personnel, and during the recruiting process. The mentoring program is not designed for every student-athlete. After the initial identification of those student-athletes who need a mentor, counselors continually evaluate student-athletes and determine others in need. Additionally, CATS personnel may advise the student-athlete of the mandatory need for mentoring.

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The web-based survey of student-athletes revealed 87% rated mentoring as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

10. Assistance for at-risk students. Availability including institution-wide assistance.

- a.** The specific academic support services offered to student-athletes, if any.

Student-athletes are determined to be "at risk" in the University academic environment through the evaluation of their high school record, national standardized tests scores, and through the CATS' reading, writing and math evaluation. All football, men's basketball, and women's basketball student-athletes and any student-athlete in any other sport entering the University with an ACT of 20 or less is required to take the CATS' evaluative testing. These students are initially considered to be "at risk" and are identified for special services. It should be noted that a significant percentage of these identified "at risk" student-athletes would not qualify for services provided through the Disability Resource Center on campus. They are still identified as "at risk" and CATS assigns a mentor to these also and develops a program for them.

The University of Kentucky offers multiple academic support programs for all students but does not have a global program applicable to all students. There is not a remedial education program for all students and there is only one course (MA 108R) in the University that is considered remedial in nature. Several departments offer tutoring to the general student body and the Multicultural Affairs program operates a support program for minority students. Student-athletes are made aware of these specific campus programs by CATS staff, campus advisors, UK 101 staff, and other students and athletes. In some cases CATS staff will direct a student-athlete to a specific tutoring program on campus, based on the nature of the need (e.g., very esoteric subject matter, need for specific information only available from a departmental tutor, etc.).

At-risk student-athletes receive academic support through the Athletics Department's Center for Academic and Tutorial Services (CATS). These services, including advising assistance, tutoring, mentoring, and the full semester University orientation course (UK101) have been described throughout this document. At-risk student-athletes are directed into these services which are mandatory for the at-risk student-athlete.

- b.** Any policies that govern which students can use these services.

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight of the Academic Integrity Committee.

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- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

11. Post-eligibility programs. Availability of scholarships, assistantships and academic support.

- a. The specific academic support services offered to student-athletes, if any.

All scholarship student-athletes in good standing personally and academically who have completed their eligibility but still have hours to complete for their degree are placed on grant-in-aid to complete their degree.

Scholarship student-athletes who complete eligibility in four years but have hours to complete toward their degree are placed on a fifth year grant-in-aid. Those who complete their eligibility in five years but still have hours to complete toward their degree are placed on administrative grant-in-aid or are funded through the Cawood Ledford Post Eligibility Scholarship. Students in the latter two categories must work to receive their grant-in-aid in compliance with NCAA regulations.

All of CATS' support services are available to post-eligibility student-athletes.

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

All post-eligibility grants are awarded to student-athletes based on evaluation of academic effort and good standing personally as a student and athlete. The "post-eligibility" grant-in-aid program is not a part of the NCAA annual renewable grant-in-aid. It is awarded to deserving student-athletes who have completed eligibility as a member of a varsity team.

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

Student-athletes are made aware of these services through the following mechanisms:

1. Advising. CATS' counselors are very aware of how many hours each scholarship student-athlete must earn to complete his/her degree, and it is part of the advising process to inform each as to what they have to do to receive aid once eligibility is completed.
2. Team Meetings. Students are informed of these services at the beginning of every year.
3. Orientation. Information about these services is presented to all student-athletes at the Athletics Director's beginning of the year orientation.

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

Evaluation

1. Does the institution demonstrate that adequate academic support services are available for student-athletes? **Currently Yes**

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2. Does the institution demonstrate that student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing? **Currently Yes**
3. Does the institution demonstrate that, when it is determined that student-athletes have special academic needs, these needs are addressed? **Currently Yes**
4. Does the institution demonstrate that the support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics? **Currently Yes**

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Operating Principle

2.3 Scheduling

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.3 (Scheduling). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.3.

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 first-cycle certification process as they relate to Operating Principle 2.3 (Scheduling). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement or recommendations arising during the first-cycle certification that related to Operating Principle 2.3 (Scheduling) of the Academic Integrity Section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.3 (Scheduling) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations developed by the institution since the first-cycle certification decision relating to Operating Principle 2.3.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.3 (Scheduling). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

5. Describe the institution's written policies related to the scheduling of intercollegiate athletics competitions and practices and describe how they minimize interference with class time and examination periods.

The University of Kentucky's policies related to the scheduling of intercollegiate athletics competition and practices that minimize interference with class time are either consistent with the guidelines established by the Southeastern Conference or more restrictive than those guidelines.

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Regarding missed class time, the SEC recommends that member institutions ensure that student-athletes miss no more than 20 percent of any class due to travel to athletic events. The University of Kentucky Athletics Department has established a more restrictive 12 percent missed class guideline. Coaches complete a Missed Class Time form that is sent to CATS every semester.

Additionally, the University of Kentucky academic ombud has mandated that student-athletes provide professors with a copy of their schedule of competitions and travel dates at the beginning of each semester. The Associate Athletics Director for Student Services notifies the coaches regarding this at the beginning of each semester.

The issue of student-athletes missing required class work and/or examinations due to travel for competition has been addressed by the University Faculty Senate and is published in Part II - Selected Rules of the University Senate Governing Academic Relationships, a section of the University of Kentucky Student Rights and Responsibilities Handbook.

Part II, Section 5.2.4.2 - C reads:

The following are defined as excused absences:

—Trips for members of student organizations sponsored by an academic unit, trips for University classes, and trips for participation in intercollegiate athletic events. When feasible, the student must notify the instructor prior to the occurrence of such absences, but in no case shall such notification occur more than one week after the absence. Instructors may request formal notification from appropriate University personnel to document the student's participation in such trips.

—Students missing work due to an excused absence bear the responsibility of informing the instructor about their excused absence within one week following the period of the excused absence (except where prior notification is required), and of making up the missed work. The instructor shall give the student an opportunity to make up the work and/or the exams missed due to an excused absence, and shall do so, if feasible, during the semester in which the absence occurred. [US: 11/10/85 and RC: 11/20/87]

—If attendance is required or serves as a criterion for a grade in a course, and if a student has excused absences in excess of one-fifth of the class contact hours for that course, a student shall have the right to petition for a "W," and the faculty member may require the student to petition for a "W" or take an "I" in the course. [US: 2/9/87; RC 11/20/87]

—If a student has an excused absence on a day when a quiz is given, the instructor may not deny permission for a makeup exam and simply calculate the student's grade on the basis of the remaining requirements. (RC: 8/20/87)

Further, the NCAA faculty athletics representatives of the Southeastern Conference member schools have studied the problem that exists regarding athletics competition and final examination periods. They have made a concerted effort each year to ensure that the SEC team schedules and championships do not coincide with any school's final examination period.

A problem does exist with "common examinations." These are given to all sections of a particular subject and held at a time other than the established class time for any one section. Many of these exams are held at a time that coincides with team practice time, creating a conflict for the student-athlete. The office of the Associate Athletics Director for Student Services will provide students taking these exams with a letter of explanation, but student-athletes are often required to miss practice and sit for the exam. The conflict has been unavoidable.

The survey of student-athletes noted above also addressed scheduling issues:

—Over one-third (36 percent) of the athletes reported "often" or "always" experiencing scheduling conflicts between class times and athletics.

—Over one-fourth (27 percent) of the athletes reported "often" or "always" experiencing conflicts between exams and athletics.

—Eighty-seven percent reported that they knew what to do if they had a conflict between academics and athletics.

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

Coaches are required to complete a "Missed Class Time" form for each semester. The form is given to each coach by the Associate Athletics Director for Student Services. Coaches complete the form using their known travel and competition schedules compared to student class schedules that have been submitted to coaches by students and the CATS service. Travel schedules are developed by coaches, using the student class schedules to minimize missed class time. The reports are done at the end of the semester and serve to monitor the effectiveness of the developed schedules to minimize missed class time. The forms are reviewed by the Associate Athletics Director for Student Services to determine whether the class misses exceeded the Southeastern Conference 20 percent guideline. If the class time missed exceeds the SEC 20 percent guideline, this is immediately forwarded to the attention of the Athletics Director. If in a particular sport the missed class time for travel and competition exceeds the UK Athletics Department's 12 percent guideline (but not the 20 percent SEC guideline), the Associate Athletics

Academic Integrity

Director for Student Services examines the travel and competition dates and determines whether a scheduling effort could have been made to reduce the time missed. If it is determined that the conflict was unavoidable, the coach is warned and advised to make an effort to reduce missed class time. If it is discovered that the coach could have done a better job scheduling travel time, the coach is advised of this. If the coach continually violates the 12 percent guideline, the Director of Athletics is informed.

Coaches and administrative liaisons adjust travel arrangements to ensure that less class time is missed. In other cases, arrangements have been made for an individual or individuals to travel separately so as not to miss exams.

The Athletics Department also monitors the individual attendance of all at risk student-athletes to ensure that while the student-athletes are on campus, they are attending their classes regularly. This is done by graduate assistants, counselors and coaches. Class attendance of "at risk" student-athletes is monitored continually throughout the semester.

7. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).

A summary of Missed Class Time reports is presented below for the 2003-04 academic year. Although many coaches have periodically exceeded the Athletics Department's 12 percent guideline, only volleyball shows up as having exceeded the SEC 20 percent guideline. This is because every travel day is Friday and student-athletes may not always be able to avoid Friday classes. Many coaches who have exceeded the 12 percent guideline have been just over the 12 percent and have made every effort to comply. In many sports, although the percentage appears high, further review reveals that not all participants travel to all events.

University of Kentucky Missed Class Time Report - Fall 2003

Baseball: MWF 0 (0%) TTH 0 (0%)
 Men's Basketball: MWF 4 (9%) TTH 3 (10%)
 Women's Basketball: MWF 2 (4%) TTH 1 (3%)
 Men's Golf: MWF 4 (9%) TTH 4 (13%)
 Women's Golf+: MWF 8 (18%) TTH 5 (11%)
 Gymnastics: MWF 0 (0%) TTH 0 (0%)
 Rifle: MWF 2 (4%) TTH 1 (3%)
 Softball: MWF 0 (0%) TTH 0 (0%)
 Men's Soccer: MWF 5.5 (12%) TTH 4 (13%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis*: MWF 9 (20%) TTH 4 (13%)
 Women's Tennis: MWF 7 (15%) TTH 3 (10%)
 Swimming: MWF 2 TTH 2
 Track/CC: MWF 4 (9%) TTH 0 (0%)
 Volleyball**: MWF 11 (25%) TTH 2 (6%)
 *Tennis-individual players travel to different meets so no one player came close to the 20% figure.
 **Volleyball was over the 20% because every travel day is Friday. The team, however, makes every effort to take classes that do not meet on Fridays.
 + Women's Golf travel is under review.

University of Kentucky Missed Class Time Report - Spring 2004

Baseball: MWF 7.5 (17%) TTH 5 (17%)
 Men's Basketball: MWF 8 (18%) TTH 6 (20%)
 Women's Basketball: MWF 4 (9%) TTH 3 (10%)
 Men's Golf: MWF 8 (18%) TTH 5 (17%)
 Women's Golf: MWF 9 (20%) TTH 6 (20%)
 Gymnastics: MWF 5 (11%) TTH 4 (13%)
 Rifle: MWF 3 (6%) TTH 1 (3%)
 Softball:
 Men's Soccer: MWF 1.5 (3%) TTH 0.5 (1%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis: MWF 7 (16%) TTH 5 (17%)
 Women's Tennis: MWF 5 (11%) TTH 3.5 (12%)
 Diving: MWF 9 (20%) TTH 6 (20%)
 Swimming: MWF 8 (18%) TTH 6 (20%)

Academic Integrity

Track/CC: MWF 6 (13%) TTH 5 (17%)
Volleyball: MWF 0 (0%) TTH 0 (0%)

8. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes.

It is an expectation that student-athletes attend all classes unless away from campus for competition. Student-athletes are informed of their responsibility to attend all classes while on campus at team meetings at the beginning of each year and at the Athletics Director's beginning of the year meeting with all student-athletes. This policy was stated in the 2003-2004 "Student-Athlete Handbook" on page 13: "Regular class attendance is expected of all student-athletes at the University of Kentucky. It is the individual responsibility of each student-athlete to attend all classes when on campus. The head coach is responsible for enforcing this policy as stated."

At the Athletics Director's beginning of the year meeting, each student-athlete receives a copy of the handbook, signs an Acknowledgement of Receipt that includes a statement accepting responsibility for reading and understanding all information, and submits the signed statement to the Athletics Director.

Evaluation

1. Does the institution demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12? **Currently Yes**

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-A: Standardized test Scores, by Gender

		Gender							
		Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Academic Year									
Average Standardized Test Score	2003-2004	100	1737	86	38	98	1946	89	34
	2002-2003	98	1694	88	46	95	1969	90	40
	2001-2002	100	1454	85	50	96	1667	89	32

Name of person completing this chart: Roger Sugarman
 Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-B: Standardized Test Scores, by Racial or Ethnic Group

		Racial or Ethnic Group - All Entering Freshman Students											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	106	4	101	51	82	206	97	33	100	3294	100	95
	2002-2003	85	3	98	55	83	163	95	28	97	3331	96	83
	2001-2002			99	49	82	152	96	27	99	2840	97	52
		Racial or Ethnic Group - All Entering Freshman Student-Athletes on Aid											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004					78	13			90	49	87	7
	2002-2003					80	19			92	52	88	14
	2001-2002					73	15			90	58	87	7

Name of person completing this chart: Roger Sugarman

Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART II: GPA and Test Scores, by Sport Group

		Sport Group																
		Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports		
		Academic Year	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core Course GPA	2003-2004	3.16	11	2.315	4	3.369	3	3.371	5	3.127	15			3.071	3	3.587	29	
	2002-2003	2.939	13	3.394	3	3.027	8			3.243	21			3.08	7	3.647	29	
	2001-2002	2.996	21	3.004	4	3.372	9			3.232	15			3.693	5	3.437	25	
Average Standardized Test Score	2003-2004	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	
	2003-2004	79	12	81	4	88	3	90	5	91	15			80	3	89	29	
	2002-2003	82	13	93	3	90	8			91	21			82	8	92	29	
2001-2002	82	21	73	4	88	9			89	16			91	5	89	25		

Name of person completing this chart: Roger Sugarman and Michele Nordin

Title: Dir of Inst Res & Dir of UG Admission

Academic Integrity

SPECIAL-ADMISSIONS INFORMATION

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID, BY YEAR

			Sport Group (Freshman)								
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid **	Baseball	M e n ' s Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	W o m e n ' s Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits	2003-2004	9%	31%	0%	55%	64%	20%	27%	0%	67%	21%
	2002-2003	16%	22%	0%	0%	77%	0%	10%	50%	29%	14%
	2001-2002	19%	49%	55%	75%	62%	100%	56%	50%	20%	32%

Name of person completing this chart: Michelle Nordin

Title: Assoc. Dir. of Undergrad. Admiss./Assoc. Registrar

Fiscal Integrity

Operating Principle

3.1 Financial Practices

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Financial Practices). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.1 (Financial Practices). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Financial Practices) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.1 (Financial Practices). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. List all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution.

Not Applicable.

6. List all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

Fiscal Integrity

Not Applicable.

7. Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures.

Not Applicable.

8. Prepare a description for those sources of revenue under the institution's direct control and prepare a description for revenue sources not under the institution's direct control.

Not Applicable.

9. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics that verifies the institution is in compliance with Constitution 6.2.3, including any methods used to ensure the independent nature of the auditor.

Not Applicable.

10. Describe the institution's efforts to ensure the audit that verifies the institution is in compliance with Constitution 6.2.3 meets the standards of the NCAA Financial Audit Guidelines.

Not Applicable.

11. Describe relevant corrective actions planned or implemented from the three most recent external financial audits.

Not Applicable.

12. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., booster and support group funds, state funds vs. restricted/foundation funds).

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Copies of the institution's three most recent external (per Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.
- Documentation (e.g., management letters, executive summaries) from the institution's three most recent external audits that verifies the institution is in compliance with Constitution 6.2.3 (annual independent financial audit requirement).
- Copies of all athletics staff members' most recently completed and signed statements related to the reporting and approval of athletically related income and benefits from sources outside the institution, per NCAA Bylaw 11.2.2.

Evaluation

1. Does the institution demonstrate that all funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight? **Currently Yes**
2. Does the institution demonstrate that all expenditures from any source for athletics are approved by the institution? **Currently Yes**

Fiscal Integrity

3. Does the institution demonstrate that budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2? **Currently Yes**
4. Does the institution demonstrate that the institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department? **Currently Yes**
5. Does the institution demonstrate that an annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department? **Currently Yes**

Fiscal Integrity

Operating Principle

3.2 Fiscal Management and Stability

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.2 (Fiscal Management and Stability) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

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

Not Applicable.

6. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. To add a sport to the list, please click "Add Sport to List."

Fiscal Integrity

7. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).

Not Applicable.

8. Outline the sources, uses and amounts of funds received by the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.

Not Applicable.

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

Not Applicable.

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

Not Applicable.

11. Using the institution's Equity in Athletics Disclosure Act survey forms, athletic department budget reports, and other appropriate documentation for the three most recent years for which the information is available, evaluate each of the following areas for every sport sponsored by the institution. On the basis of this review, state the institution's determination of its ability to provide relatively full and stable opportunities to student-athletes in each sport in the specific areas of:

- a. Coaching;
- b. Scholarships;
- c. Recruiting;
- d. Operating expenses (e.g., travel, facilities, equipment); and
- e. Percentage of the sport budget that has to be obtained each via fundraising (i.e., by institutional entities, department, team and individual student-athletes).

To add a sport to the list, please click "Add Sport to List."

12. Using your institution's NCAA Sports Sponsorship Report for the three most recent academic years indicate whether the institution meets the Division I membership requirements for sports sponsorship and scholarships.

Not Applicable.

Evaluation

1. Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation? **Currently Yes**

Fiscal Integrity

Operating Principle

3.3 Established Fiscal Policies and Procedures

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.3 (Established Fiscal Policies and Procedures) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA, conference and institutional rules including:
 - a. Identification of person(s) responsible for these areas; and
 - b. Means of monitoring compliance with these rules.

Fiscal Integrity

Not Applicable.

6. Describe the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements (e.g. official visit procedures, policies regarding staff travel advances for recruiting trips/expenses, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

7. Describe the university's policies and standard operating procedures for ensuring that enrolled student-athletes do not receive extra benefits (e.g., per diem policies, student-host reimbursement procedures, financial aid review policies, equipment checkout/retrieval procedures, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Monitoring records or other documentation for the most recent year, related to impermissible recruiting inducements and prohibited extra benefits (e.g., official visit records, off-campus recruiting records, team travel forms, records related to distribution of meal money, entertainment expenses, equipment).

Evaluation

1. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that prospective student-athletes are not provided with impermissible recruiting inducements? **Currently Yes**
2. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation? **Currently Yes**
3. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that all expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules? **Currently Yes**

Equity, Welfare and Sportsmanship

Operating Principle

4.1 Gender Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.1 (Gender Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The University of Kentucky received unconditional certification during the first-cycle certification process. However, the NCAA Committee on Athletics Certification considered recommendations of the institutions and the peer-review team and determined that the institution was to be required to: "Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, and travel per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10, 1997 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity."

The Self-Study Subcommittee on Equity and Student-Athlete Welfare found no evidence of an amended gender-equity plan as requested in the above recommendation; however, the new athletics administration under the leadership of Athletics Director Mitch Barnhart provided a Gender Equity Plan that addressed all program areas to the Subcommittee in August 2004. Revisions were made as the self-study progressed, and the final version of the institution's future Gender Equity Plan is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

2. Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

1995 University of Kentucky Athletics Department
Gender Equity Recommendations
Progress Report to Date

1. The sport of women's softball will be added in the fall of 1996. A female head coach and a female assistant coach have been hired during the 1995-96 academic year. The athletics department anticipates the participation of approximately 18 to 20 female student-athletes in the new sport.

Progress: Softball was added as a varsity sport during the 1996 -1997 academic year. There is a new female head coach and two female assistant coaches. There are currently 22 student-athletes on the team.

2. Each fall the Club Sports Review Committee will meet to evaluate the various female club sports currently competing through UK's Campus Recreation department. The purpose of this review will be to determine the feasibility of adding one of these sports at the varsity level.

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Progress: An alternative strategy to a Club Sports Review Committee was implemented in the year following the first-cycle certification. Once a year the Senior Woman Administrator (SWA) is in touch with the Campus Recreation staff who provides a list of clubs and the number of students in each. She then compares the club numbers with results of the annual Survey of Freshman Student Interests and Abilities. With support from the Office of Institutional Research (OIR), the SWA conducts this survey each summer with all incoming freshmen. (Results for every year since summer 1998 are available on the OIR website: <http://www.uky.edu/IR/survey.shtml>.) For instance last year (summer 2003) the Interests and Abilities Survey indicated that 32 female freshmen would participate in Equestrian if it were offered at UK. The combination of the survey results and the active, highly successful club indicates there is an interest on this campus for the sport of Equestrian. The SWA communicates this information to the Athletics Director.

3. The larger team sports of women's soccer, softball, and women's basketball will conduct tryouts in the fall of 1996 to encourage female walk-ons to participate in these sports. These tryouts will be publicized in the school newspaper and posted in various spots on campus. It is hoped that these tryouts will help to offset the greater tendency of males to walk-on than females. These sports have been chosen because there are very successful club programs on our campus from which to recruit walk-on student-athletes.

Progress: In 1996 formal tryouts were announced in a Kentucky Kernel article and held for the women's basketball, women's soccer, and softball teams. No one showed up for softball and women's basketball sessions, and only a couple showed up for women's soccer. As an alternative strategy, from 1996 forward each coach began to manage tryouts as appropriate for the specific team. The current softball, women's basketball, women's soccer, and volleyball coaches manage tryouts based on interest. They pick a tryout day and time that is given to interested callers. On tryout day, the interested students are run through drills by the coaching staffs. Students likely to show up are freshmen who played in high school, upperclassmen on the Club Team, and students who were recruited, but not offered a scholarship. Of note, women's basketball holds formal, advertised tryouts for MEN to be part of the women's "practice / scrimmage" squad. Approximately five men students are selected and they are counted in the male/female numbers in official NCAA and other reports, such as the Equity in Athletics Disclosure Act (EADA) report.

Historically, UK women's soccer carries one or two walk-ons each year and women's basketball has had walk-ons the past two years. UK softball has had occasional walk-ons over the years but no formal tryout sessions. The new (04-05) softball staff confirms they will follow up aggressively with tryouts.

4. The head coaches in our individual female sports will conduct individual tryouts in the fall of 1996 for any female student who indicates an interest in walking on to that program.

Progress: Due to the highly specialized skills needed for participation in individual sports, the Athletics Department uses an alternative to conducting annual, open tryouts to recruit walk-ons for all individual sports. The current strategy depends on the unique needs of the various individual sports:

- The individual sports of gymnastics and women's tennis have small squads with 12 and 8 full scholarships respectfully. There is less need for a "deep bench" on these teams. Although these coaches do not hold try outs, they both have women on their teams that are recruited as walk-ons.
- Women's golf is very open to tryouts and carries walk-ons every year. In 2003-04 walk-on golfers were incorporated into a junior varsity (JV) team.
- The rifle team is co-ed. In past years the rifle coach has managed to keep a good balance of men and women shooters on the roster. Because the number of women shooters decreased in 2003-04, he is considering the idea of forming a women's only JV shooting team to develop women shooters who can move forward to varsity after gaining experience and skills on the JV squad.
- The swimming and diving and track and field coaches welcome walk-ons. A walk-on's success on these two teams is determined by time standards.

In the years since UK's first-cycle certification process, the Athletics Department has discovered the following:

- Women college students simply do not tend to "come out" for a sport.
- Women students who do tryout tend to be those who play team sports with large squads and equivalency scholarships.
- A large number of women tryout participants are already known by the coach through the normal recruiting process and are encouraged to tryout.
- Many women walk-ons are recruited as a "walk-on." They come to UK knowing they are on the team (no need to tryout), but do not have a scholarship.
- The two individual fully funded sport teams (tennis/gymnastics) are highly competitive, skill specific sports that do not attract try-out participants the way the larger squad team sports do.

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5. The Junior Varsity Men's Basketball team will be discontinued in the fall of 1996. This will decrease the number of male student-athletes by approximately 12 to 15. There is a very strong intramural men's basketball league on campus to provide competitive opportunities for students interested in this sport.

Progress: The Junior Varsity Men's Basketball team was discontinued in 1996. There is currently no JV men's basketball team at the University of Kentucky.

6. The Athletics Director will continue to pursue qualified female applicants for all positions within the athletics department as they become vacant. Currently 47 of 114 positions within the Athletics Department are filled by females or 41.2%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Effort to achieve this goal has been ongoing since the first-cycle certification. In 2003-04, however, the Athletics Department provided data showing that 68 out of 173 employees (or 39.3%), including administrators, coaches and staff, were female. Thus, there has been a slight decrease in this measure.

7. Within the athletics department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices will be strongly encouraged to actively pursue qualified female student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-1997 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: In the years since the first-cycle certification, it has become routine practice in the Career Development program to refer the names of interested student-athletes to the various departments in athletics. The current Athletics Director routinely brings names of qualified student-athlete candidates who have approached him regarding internships to senior staff meetings. He requests that particular administrators look for positions in their areas.

8. The Assistant Athletics Director for Academics will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-1997 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: The workshop was held once again in 1997. Since that time, cultural diversity training was incorporated into the athlete sections of the UK 101 course that most freshman student-athletes take during their first fall semester. Cultural diversity is one of the menu selections of workshops available to teams. Coaches must select three workshops per year for their team and some select the cultural diversity session.

9. The Assistant Athletics Director for Academics will continue to submit the University's application for the Americorps grant through President Clinton's National Service Act. This program will continue to involve female student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The University has maintained the AmeriCorps grant since 1996. However, 2003-04 will be the last year utilizing this grant as the new presidential administration changed the emphasis of the grant. It is no longer directed at school success and violence prevention, which was a perfect fit for the student-athlete mentoring/tutoring program.

10. The University of Kentucky Athletics Department currently assigns the same level of athletics training staff to each women's sport as that assigned to the comparable men's sport. This commitment of equitable access to health and medical care for male and female student-athletes will be continued.

Progress: A commitment to equality in assigning athletics training staff to women's and men's sports has been continued each year since the first-cycle certification. Except for football, for which there is no comparable women's sport, each sport has either 1) a full time certified athletic trainer (ATC); 2) a full time ATC graduate assistant; or 3) direct access to a full time ATC.

11. Scheduling priorities for each athletics facility will be determined by the Senior Associate Athletics Director. Priority for facilities that house more than one sport will be given to the sport considered to be "in season" as defined by the NCAA. When more than one sport is considered to be "in season", the scheduling will be prearranged so that needs of every team will be met. Facilities will be assigned according to these policies and without regard to sports or gender.

Progress: UK Athletics has followed the above practice on a consistent basis since the first-cycle certification. This policy is described in the "UKAA Policies and Procedures Manual," Chapter VII.

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12. A courtesy car will be assigned to the head coach of the women's softball team no later than June 1, 1997. This assignment will complete the University of Kentucky Athletics Department's commitment to equitable allocation of such cars. This commitment provides a courtesy car to every women's sport for which such a benefit is provided to a comparable coach in a men's sport.

Progress: This goal was achieved as stated. Currently, all head coaches receive courtesy cars.

13. All services of the University of Kentucky Athletics Department's Center for Academic and Tutorial Services will continue to provide equitably to all student-athletes without regard to gender.

Progress: This goal is achieved on an on-going basis, as CATS services are available to all student-athletes.

14. The sampling of student-athletes selected for exit interviews will continue to include an equitable representation of men and women. Issues concerning equitable treatment of male and female student-athletes will continue to be addressed in these interviews. Improvements which are made as a result of these interviews will be reported to the student-athletes at their fall meetings beginning in the fall of 1997.

Progress: Since the first-cycle certification, a compliance and exit interview policy has been maintained and implemented to ensure that proper procedure is being enacted. However, changes made as a result of exit interview findings are not shared with the student-athletes, because the information shared in exit interviews is considered confidential. In order to protect the confidentiality of participants, who may be identified due to the small number of student-athletes graduating from a particular sport in a given year, the Athletics Department re-evaluated this goal. Results of the exit interviews are submitted to the Athletics Director for appropriate consideration and action.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing gender equity issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.1 (Gender Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

The University of Kentucky has established two presidential commissions composed of faculty, staff, administrators, community leaders and students. One of those commissions is the President's Commission on Women whose charge is to:

- Advise the President on issues, policies and practices that affect women at the University of Kentucky.
- Report regularly to the President and the University community on the status of women at UK.
- Offer recommendations to redress all forms of gender-related inequities.
- Propose initiatives to ensure that the University of Kentucky fully engages the talents of its women employees and fairly meets the needs of its women students.
- Administer selected programs that benefit women at UK.

Additionally, the University recently established a new strategic plan — The Dream & the Challenge — that set forth a new goal related to diversity and issues of fairness and equity. See Principle 4.2, Minority Issues, Self-Study Item 9 on Institutional and Athletics Department Commitment, for additional information.

The University recognizes the steps it must take to ensure gender equity, and it is proactively seeking solutions and avenues by which to continue to level the playing field for women. Among these are the Women's Studies Program

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and the Women's Health Center, examples of programs that were developed or significantly expanded in the past decade and that increase the visibility of women's roles and contributions. The Graduate School achieved gender equity in its fellowship awards and other student funding during the last decade.

In addition to the Athletics Director, the Athletics Department staff includes an Associate AD for Compliance, an Associate AD for Student Services, a Senior Woman Administrator, an Executive Associate AD, and specific senior staff assigned to each team as sport liaisons, all of whom have the responsibility to ensure that University and departmental policies regarding gender equity are followed within their areas. The specific sport liaisons serve as the first level of contact in communicating student-athlete issues to the coaches and administration. The Compliance Office monitors exit interviews with student-athletes and submits an annual report to the Athletics Director. In addition, the SWA is in contact with campus recreation as part of an annual effort to identify and gauge female interest in club sports. The end result would be the establishment of a new varsity sport for women.

The efforts described above are supportive of women student-athletes and are representative of a maturation process across the University campus that encompasses the Athletics Department and the Medical Center. More specifically, the Gender Equity Plan of the Athletics Department outlines additional plans and goals that clearly indicate a commitment to Title IX Compliance/Gender Equity.

The Equity and Student-Athlete Welfare Subcommittee experienced difficulties in accessing gender-related information in a timely fashion. In part, this was due to interruptions in institutional memory and awareness of past practices that frequently occur with changes in leadership and key administrators, of which there have been three since the first-cycle certification. The Subcommittee believes, therefore, that improvements are needed to ensure that gender equity issues are monitored, evaluated and addressed effectively on a continuing basis. As such, the charge of the Student-Athlete Welfare Committee recently established by the Athletics Board will be expanded to include gathering, monitoring and reviewing equity data for all program areas on an annual basis and making recommendations to the Athletics Board when appropriate. As indicated in Principle 1.2, Self-Study Item 7, the committee membership currently includes the vice president for student affairs (chair), one member of the UK Board of Trustees, a faculty UK Athletics Association director, and two student directors. Two additional members will be as follows:

- 1 multicultural/ethnic representative appointed by the Office for Multicultural and Academic Affairs
- 1 female representative appointed by the President's Commission on Women

6. Using your institution's completed Equity in Athletics Disclosure Act survey form and worksheets for the three most recent academic years for which the information is available, analyze, explain and address discrepancies in the data between male and female student-athletes and comment on any trends or significant changes.

Over the last three years the participation rate of female athletes has increased by 1.6 points. In 2003 female athletic participants made up approximately 38% of all student-athletes; whereas, females made up 52% of the general student population. In contrast, male athletic participants made up approximately 62% of all student-athletes; whereas, males made up 48% of the general student population. Consequently, the participation percentages for the past three years as reported in the EADA survey reflect a 25%-27% gap between men's participation rates and women's participation rates, with men having the larger participation rate in each year. Upon closer analysis, this gap can be put into context by examining the impact that football has on the overall numbers. When football is part of the equation, a participation rate gap of 25%-27% is noted, but when football is not part of the equation, the participation rate gap is less than 1% with women's sports having the larger participation rate for each year. While the impact of football may help explain the participation rate gap between men and women, the size of the gap and the small increase in participation rates over the three year period suggest that the Athletics Department should accelerate its research and planning for expanding athletic opportunities for women.

7. Using the program areas for gender issues, please:

- a. describe how the institution has ensured a complete study of each of the areas,
- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for gender issues addresses each of the areas.

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[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to Item No. 9 of the program area checklist.]

1. Athletics Scholarships. Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all items through a broad-based campus-wide review, with the Equity and Student-Athlete Welfare Subcommittee ("the Subcommittee") assuming primary responsibility for assessing the University's programs and policies in these areas. The broad-based review included the following activities:

- Athletics Department records and institutional data pertinent to this area were reviewed, including the Equity in Athletics Disclosure Act report for the years 2001 through 2003;
- Athletics facilities were toured (led by Athletics Director who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- a written survey of student-athletes was conducted and analyzed by gender;
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department monitors and reviews the distribution of scholarships on an annual basis. In the most recent three years, women's sports received 39% to 42% of the total athletics aid. Although the percent of total athletic aid to women decreased over the last three-year period, the actual dollar amount increased — from \$1.6 million in 2001 to \$1.9 million in 2003.

c. Identify areas of deficiency and comment on any trends.

The trend in the most recent three years has been an increase in the total number of women participating in sports at the University of Kentucky. In 2000-01 there were 204 participants, for 2001-02 there were 206 participants, and for 2002-03 there were 224 participants. As noted above, athletic aid awarded to women increased accordingly, and has been fully funded. Furthermore, while women made up approximately 38% of the total student-athlete population over the last three-year period, athletic aid to women accounted for 39% to 42% of the total, indicating that scholarship dollars have been awarded to women and men at nearly the same proportion as their respective rate of participation in intercollegiate athletics. In this area, the UK Athletics Department is providing excellent support to the University's strategic planning values and goals related to ensuring equity and fairness in the treatment of all members of the University community.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to maintain a balance between men and women student-athletes in the amount of athletic aid awarded. To accomplish this, the plan addresses women's scholarship needs by ensuring that women receive the maximum allowable number of scholarships, assuring all options to award open scholarships are considered, and by budgeting new levels of funding as new NCAA legislation is approved.

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2. Accommodation of Interests and Abilities. Participation proportionate to enrollment; history and continuing practice of program expansion for underrepresented sex; and/or, fully and effectively accommodate underrepresented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed results of the Survey of Freshman Student Interests and Abilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

During the 1999-2000 academic year, the Athletics Department began researching emerging sports to provide additional opportunities for athletes by accommodating documented interests and abilities. Field Hockey, Equestrian and Lacrosse were identified as the most popular possible new sports to improve participation rates for female athletes. The 2003 and 2004 Survey of Freshman Student Interests and Abilities indicated a "spike" in interest in trying out for Equestrian. The number of entering freshmen who indicated they would try out for Equestrian increased from 30 in fall 2002 to 33 in fall 2003 and 2004. Further research in the areas of club sport interest, recruiting potential, surrounding programs, cost for facilities and staff, NCAA status, SEC status, and numbers required have suggested that Equestrian may be the most logical sport to add.

c. Identify areas of deficiency and comment on any trends.

The recent "spike" in interest in Equestrian involved the three items:

- 1) There was an increase in first-year women who said they would try out for Equestrian if offered, as well as a relatively high, consistent number over the three-year period;
- 2) There was an increase in those who reported participating in Equestrian for three or four years during high school, as well as a relatively high, consistent number over the three year period; and
- 3) There was a decrease in those who reported having earned awards in Equestrian, but the number reported over the three-year period, again, has been fairly high and consistent.

As part of its efforts to accommodate the sports interests and abilities of the University's student population, the Athletics Department has in place a process to review and discuss these survey data and other factors in order to make informed decisions regarding sports offerings. According to the progress report on the 1997 Gender Equity Plan, the last new women's sport — softball — was added in 1996-97.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution has been administering a survey to gauge freshman student interest in sports since 1995. The institution's future Gender Equity Plan emphasizes this survey as a tool that will assist in evaluating the feasibility of adding another women's sport. The Plan also recognizes the need to accelerate research and planning for expanding women's athletic opportunities at the University of Kentucky.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area. In particular, specific information on equipment and supplies expenditures was studied.

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- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Using the EADA worksheets, the Athletics Department supplied information on actual expenditures for equipment and supplies to allow the following comparisons:

—Total equipment and supplies expenditures for women's sports increased from \$99,317 to \$135,772 from 2001 to 2003 — a 36.7% increase, compared to a decrease of 0.5% for men's sports and an increase of 20.0% for men's sports without football.

—Equipment and supplies expenditures per participant for women's sports increased from \$487 to \$606, a 24.4% increase, compared to a decrease of 4.6% for men's sports and an increase of 8.1% for men's sports without football.

- c.** Identify areas of deficiency and comment on any trends.

The data presented in section (b) above show that progress was made in 2003 in providing equitably for women's teams, when using equipment and supplies expenditures as an indicator. The percent of change over the three-year period for women's teams exceeded the change for men's teams overall as well as for men's teams without football. The most compelling data in support of gender equity in this area, however, is found in the Nike contracts that are in place for every men's and women's sport at the University. The Nike contract has been in place since 1997, and it ensures equal access to high quality equipment and supplies for comparable men's and women's teams. Zero-based budgeting is also now in place for equipment to facilitate budget planning designed to meet specific, documented needs.

- d.** Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to increase further the equipment budgets for women's teams to be competitive within the SEC, and efforts are underway to monitor budgets in comparison to other SEC schools. As the Nike contract nears its expiration in 2007, Athletics will re-negotiate an equipment-apparel contract to ensure fair and equitable treatment for men's and women's teams.

4. Scheduling of Games and Practice Time. Number of games; number, length, and time of day of practices; time of day of games; preseason and postseason opportunities.

- a.** Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area.

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All sports share common practice facilities. SEC games are scheduled by the conference. All other games and practices are scheduled by the coaches.

- c.** Identify areas of deficiency and comment on any trends.

There are occasional scheduling conflicts among the sports that share facilities. The conflicts are resolved by the head coaches according to the scheduling policies in Chapter VII of the "UKAA Policies and Procedures Manual." These policies state the priorities to be applied when conflicts emerge: "Priority for facilities that house more than one sport goes to the sport considered to be "in season" as defined by the NCAA. Contract varsity competition events will take priority over all scheduled practices, clinics or camps. UKAA or individual sponsored special event or tournaments may take priority over a scheduled practice if pre-approved" by (the Associate Athletics Director).

Based on these policies and procedures, which are gender-neutral, the scheduling of games and practice times appears to be equitable.

- d.** Explain how the institution's future plan for gender issues addresses this area.

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The institution's future Gender Equity Plan seeks to assign additional staff to events in order to ensure that games and practices are staffed equitably. In addition, construction of a practice facility for men's and women's basketball is in the design phase. This new practice facility for basketball will allow volleyball to have a dedicated gym for practice and games. These initiatives will relieve scheduling conflicts and aid in the recruiting of men and women athletes in the above mentioned sports.

5. Travel and Per Diem Allowance. Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area and also reviewed the University's business policies and procedures.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department adheres to NCAA travel guidelines and to the University's business policies and procedures for travel and per diem allowances. These policies apply to all athletic teams and student-athletes, independent of gender.

c. Identify areas of deficiency and comment on any trends.

Travel and Per Diem Allowance policies and procedures appear to be equitable.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan will provide options for per diem or team meals based on nutrition, travel and team needs, and a zero-based budgeting model has been implemented to support this effort.

6. Tutors. 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. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed the Director of the Center for Academic and Tutorial Services (CATS).

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In 1998, UK athletics opened its new \$2.4 million Ohio Casualty Center for Academic and Tutorial Services. The Center for Academic and Tutorial Services (CATS), founded in 1980, is one of the premiere academic support programs in the SEC and NCAA. Located in Memorial Coliseum, CATS is specifically designed with the student-athlete in mind. With nine full-time staff members, six graduate assistants, and numerous tutors, the UKAA has budgeted \$1 million annually to provide support for the school's 22 varsity sports. While its main objective is to provide academic support - earning degrees, maintaining eligibility and winning honors - CATS also prepares the student-athlete for life after college with the Wildcats Career Development Program. CATS provides numerous services to complement the educational experience at UK. Tutorial program services are free to all student-athletes regardless of gender or race. Any student-athlete who requests a tutor has an opportunity to meet with one in a group or one-on-one setting.

c. Identify areas of deficiency and comment on any trends.

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Tutoring is provided independent of gender to all student-athletes as needed. Additional information on tutoring is presented in Academic Integrity Principle 2.2, Academic Support, Self-Study Item 6.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan includes a goal to continue to provide equitable academic support to men and women student-athletes through CATS. The Athletics Department plans to evaluate tutoring and academic support for all men's and women's teams and monitor team grade point averages.

7. Coaches. Availability - full time, part time, assistant, and graduate assistants; Assignment - training, experience, professional standing, and other professional qualifications; Compensation - rate of compensation, 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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and reviewed supplemental information provided on the coaching staff. The Subcommittee reviewed the number of coaches, their assignments, average salaries per FTE, and the courtesy cars list.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The EADA reports for the last three reporting periods are difficult to interpret and analyze for trends, because head coaches who coach both men and women for sports such as track and field, rifle, and swimming and diving are reported twice — once as a head coach for the men's teams and again as a head coach for the women's teams. Therefore, the Athletics Department provided additional data showing the absolute number of head coaches by gender over the last three years. These data demonstrate that the number and percent of female head coaches decreased over the three-year period from five to four and from 31% to 25%, respectively, while the number of male head coaches increased by one. This change resulted when a male head coach was hired to replace a departing female head coach for Women's Gymnastics. Although there were male head coaches reported for women's teams, there were no female head coaches reported for men's teams over the last three years. Rifle, which is a coed team, Track and Field, and Swimming and Diving have a male head coach who serves both men and women student-athletes.

As with the head coaching assignments, the assistant coaching assignments are also difficult to track over time using the EADA reports. Additional data provided by the Athletics Department, however, showed that the number of female assistant coaches increased from seven to nine over the three-year period, while the number of male assistant coaches decreased from 32 to 31; consequently, women made up 23% (9 of 40) of the total assistant coaching staff in 2003, compared to 18% (7 of 39) in 2001.

As reported in the EADA report, salary outlay for head coaches of men's teams in 2003 was \$649,521, compared to \$501,896 for head coaches of women's teams (including duplicate salaries for those serving in more than one position). Over the three-year period under study:

—The average salary per FTE of head coaches for women's teams increased from \$50,157 to \$55,766 — an increase of 11.2%, compared to a 4.6% increase for men's teams and a 10.7% increase for men's teams without football.

—The average salary of head coaches for women's teams as a percent of the average salary of head coaches for men's teams increased from 64.6% to 68.7%.

It is noteworthy that a new women's basketball head coach was hired for 2003-04 at a highly competitive salary.

c. Identify areas of deficiency and comment on any trends.

Over the three year period, the average salary per FTE for head coaches of women's teams increased by 11.2%; average salary per FTE for head coaches of women's teams as a percent of men's also increased

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from 64.6% to 68.7%. Although this shows some improvement, the discrepancy between the average salaries per FTE for head coaches of women's and men's teams is greater than one might expect among similar employee groups in a higher education institution. For example, the female instructional faculty average salary was 79.4% of male's in 2003-04 at the University. Therefore, an additional analysis was completed to understand the impact of the head football coach on the gap between averages salaries for women's and men's teams. There is not a comparable sport to football among the women's teams, and it seemed reasonable to remove it from consideration as a way to explain the differences. With the football head coach removed from the total salary outlay for men's teams, the average salary per FTE for women's teams as a percent of men's ranged from 79.5% to 80.7% — slightly better than the instructional faculty salary gender gap at the University. Thus, it appears that the Athletics Department is confronted with and is addressing issues similar to those of the academic mission of the University in its effort to achieve fair and equitable salaries for head coaches of women's teams. Coaching assignments and compensation packages take into account numerous factors that generate differences in men's and women's salaries, including training, experience, professional standing, and terms of contracts.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address head coaches' salaries through an evaluation of academic success, leadership, fiscal integrity and competitive excellence that is tied to pay increases and by studying SEC and national data on salary ranges, both of which will be used to budget increases as necessary. The Plan also seeks to ensure that equitable opportunities for women are made available as openings in head coaching positions occur.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the athletic administrators responsible for this area.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In particular, the tour of facilities helped the Subcommittee understand the quality and availability of current facilities and plans for new ones. The self-study survey of student-athletes collected student evaluations on the quality of locker rooms and practice and competitive facilities.

c. Identify areas of deficiency and comment on any trends.

On the student-athlete survey, 56% of female student-athletes rated the quality of locker rooms as good or excellent, whereas 60% of male athletes rated them good or excellent, indicating a need to improve locker facilities for both females and males. However, this pattern — with women rating the quality of facilities lower than men — occurred also in their evaluations of the quality of practice and competitive facilities. Based on student survey feedback and information gathered during the facilities tour, it was clear that locker room facilities are not up to the standards of the top teams in the conference, and in recognition of this by the Athletics Department, there is an effort currently underway to upgrade these facilities. In further support of the survey findings, it is also noteworthy that future plans include improving the quality and availability of practice and competitive facilities as well. The upgrade plans will address the needs of several women's sports, indicating commitment and progress in improving equity for women's teams in this area. Additionally, a new multipurpose room is to be constructed at Nutter Field House. The project involves the construction of a multipurpose facility with a seating capacity of approximately 250 persons, full kitchen, and athletic training table. The facility will be an addition to Nutter Field House and will service game day catering needs and host recruiting, Athletics Department, and university departmental group functions.

d. Explain how the institution's future plan for gender issues addresses this area.

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As part of the Gender Equity Plan, the following projects were recently completed:

- upgrading of women's basketball locker room and creation of a video room;
- renovation of women's track and cross-country locker room; and
- renovation of private locker room and study/relaxation area for gymnastics.

The institution's future Gender Equity Plan seeks to provide a private women's swimming locker room and new locker rooms for women's basketball, volleyball and gymnastics as part of the new men's and women's basketball practice facility.

9. Medical and Training Facilities and Services. Availability of medical personnel; availability and quality of weight training, and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the director of sports medicine and reviewed the student-athlete exit interviews.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The sports medicine providers are licensed in their field and are recruited and selected from three major sources: 1) the athletics training program in the College of Health Sciences, 2) the College of Medicine Division of Sports Medicine, and 3) the national at-large pool. A medical training manual is reviewed and updated annually. See also Principle 4.3, Self-Study Items 10 and 11.

c. Identify areas of deficiency and comment on any trends.

Based on the review of various sources of data, the Subcommittee found that all student-athletes had equal access to medical and training facilities and services. It is noteworthy that the new Athletics Department administration has demonstrated a commitment to discussing and exploring ways to improve women's health, bringing a change in attitudes toward women student-athletes and their special health needs related to eating disorders, body image, abuse and others.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address specific women's health and nutrition needs including use of new techniques such as massage therapy for injuries and conditions specific to women student-athletes. The Plan addresses psychological and emotional needs for men and women through efforts such as transitional educational programming for exiting athletes, and sports psychologist referrals. Also, the Plan calls for the establishment of a multi-disciplinary committee to address health issues of at-risk student-athletes.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed the University's policies related to housing and dining facilities and services and the results of the self-study survey of student-athletes.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All student-athletes live in facilities that house non-student athletes. Dining facilities on campus are the same for all students regardless of gender or participation in athletics.

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c. Identify areas of deficiency and comment on any trends.

On the self-study survey of student-athletes, 65% of females and 56% of males rated the quality of housing services as "good" or "excellent;" additionally, 56% of females and 49% of males rated dining services as "good" or "excellent." These results suggest greater satisfaction among female student-athletes, compared to males, with the University's housing and dining services. Housing and dining services participate in periodic and annual reviews as part of the University's ongoing planning and evaluation process. The relatively low ratings for these services by student-athletes are consistent with how students in general rate these services at the University of Kentucky. Over the last decade, University dormitories and food services have ranked lower than other services on surveys of student satisfaction. In response to this type of feedback, the University is in the process of constructing four new undergraduate residence halls to be opened in fall 2005, and it is implementing several improvements in dining services, all of which will benefit both female and male student-athletes.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to acquire dormitory space for members of its women's basketball and volleyball teams in the University's new residence hall facilities that are currently being constructed .

11. Publicity. Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed exit interviews, publicity expenditures, and the media guides for all programs.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The publicity that each team receives is based partly on the demands of the public and the Athletics Director and his staff. The data presented below depict the actual marketing and promotions expenditures for 2001 through 2004. This is a somewhat different timeframe than that used in other program areas; however, it will demonstrate more clearly the new commitment in the current administration to market women's sports, particularly women's basketball.

—Total expenditures for marketing and promotions for women's teams increased from \$77,646 in 2001 to \$188,125 in 2004 — an increase of 142.2%, compared to an increase of 77.4% for men's sports and a decrease of 42.5% for men's sports without football.

—Women's teams marketing and promotion expenditures as a percent of the total increased from 31.7% in 2001 to 38.8%; as a percent of the total without football, the increase was from 67.6% to 284.5%.

c. Identify areas of deficiency and comment on any trends.

Over the most recent four-year period (2001 through 2004), marketing and promotions expenditures increased significantly for both men's and women's teams. The largest increase was 142% for women's teams, which brought the percent of total for women's teams (38.8%) in line with women's participation rates. In 2003-04, UK Athletics chose to focus on women's basketball, which resulted in a new NCAA record for the largest one year attendance increase from 2002-03 to 2003-04, as well as a significant increase in women's basketball revenue. The increase in funds for the women's basketball marketing efforts helped promote the team within the community. The following were a few of the advertising outlets used:

- 5 outdoor billboards that ran August, 2003 - January, 2004 in Fayette County
- 20' x 60' banner hanging on Memorial Coliseum, practice and game facility
- 30 second TV spot that ran on 9 local cable channels
- Season ticket direct mail piece sent to 16,000 Fayette County residents
- Banners in Commonwealth Stadium during football season
- Elevator wraps in Commonwealth Stadium during football season
- Pre-season luncheon for Top 40 business women in Lexington to promote 2003-04 season

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—E-mail blasts to hundreds of fans

—Premium promotional items given away at every game including Mickie DeMoss bobblehead, rally towels, schedule magnets, antenna balls, and mouse pads.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to continue to provide qualified media support by season for all teams, including full-time staff to be hired for softball. Promotional efforts will be enhanced for men's and women's teams.

12. Support Services. Administrative, secretarial, and clerical support; office space.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee visited staff and their facilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In recognition of the need for improvements in the equitable allocation of office space, the Athletics Director gave up his office for the new women's basketball head coach to provide office space that is comparable to the men's basketball office. The data below are based on the number of full-time operational and clerical staff positions that supported men's and women's teams in 2001 through 2003:

—Total full-time staff support for women's teams increased from 3.7 to 4.7 FTE, compared to increases from 9.2 to 10.2 for men's teams and 4.2 to 5.2 for men's teams without football.

—The above increases resulted in staff-to-participant ratios in 2003 as follows: women's teams, 1:48; men's teams, 1:36; and men's teams without football, 1:43.

c. Identify areas of deficiency and comment on any trends.

The staffing ratios in the data presented in section (b) above suggest that women's teams are supported at a slightly lower level than that of men's teams, with or without football. As with previous program areas, there is recent evidence of improvement. The staff-to-participant ratio for women's teams improved substantially over the three-year period, dropping from 1:55 to 1:48. Although the ratio also improved somewhat for men's teams, the gap between the number of student-athletes supported for women's teams compared to men's teams and men's teams without football narrowed considerably, from 16 to 12 and from 8 to 5, respectively.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to achieve balanced administrative support for men's and women's team coaches. The Plan also seeks to build new coaches' offices for women's basketball, women's golf, women's track and field, volleyball, gymnastics and rifle, with a timetable of fall 2006. Design, planning and fund raising are now in progress.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed athletics administrators, compliance officers, and coaches and reviewed the recruiting expenditures reported in the 2001-2003 Equity in Athletics Disclosure Act reports.

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b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

New facilities such as locker rooms, practice facilities and lounges are being planned to improve various aspects of the student-athlete's experience and improve recruitment. Increased budget proposals for women's sports are also being considered. The data below present actual recruiting expenditures for men's and women's teams during the time period from 2001 to 2003.

—Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003 — an increase of 13.1%, compared to a decrease of 34.8% for men's teams.

—Recruiting expenditures as a percent of total for women's teams improved from 21.4% in 2001 to 32.0% in 2003, while men's recruiting expenditures as a percent of total saw a corresponding decrease from 78.6% to 68.0%.

c. Identify areas of deficiency and comment on any trends.

Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003, an increase of 13%; whereas actual recruiting expenditures for men's teams decreased from \$699,331 to \$456,006. Actual recruiting expenditures will necessarily vary from year to year depending on factors such as the number of scholarships available on specific teams. With the decrease in recruiting expenditures for men's teams, recruiting expenditures for women's teams as a percent of total increased significantly from 21.4% to 32.0%; however, this trend must be considered carefully in the context of the men's team decrease. Recruiting expenditures per participant increased slightly for women's teams. As with other measures, there appears to be a trend toward improving support for women's teams while making adjustments for the men's teams. Additional years of data should be monitored and evaluated to provide ongoing evidence of continuing improvement in equitable recruiting expenditures for men's and women's teams. Also, recruiting is influenced by the quality of facilities. The sharing of current practice facilities by men's basketball, women's basketball, women's volleyball and gymnastics presents a scheduling challenge. The trend is to create new facilities, thus alleviating the heavy usage of the primary practice facility, creating a more inviting place for future athletes, and improving recruitment outcomes.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to evaluate current budget allocations, obtain feedback from coaches, and study SEC and national comparative data to provide recruiting budgets that will allow both men's and women's sports to recruit competitively in the SEC and at the national level.

8. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan must address all 13 program areas for gender issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's gender-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]

Within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Gender Equity Plan, as developed by the current athletics administration, in light of the findings of the self-study and made recommendations for changes to the existing plan. The revised Gender Equity Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Gender Equity Plan assures that the Plan will be an active document. The resulting Gender Equity Plan for the future is presented as a Plan for Improvement below.

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9. Describe the institution's efforts to ensure the plan for addressing gender equity for the future of the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.

The institution's future Gender Equity Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all 13 program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Gender Equity Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on the self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, the interests and abilities survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Council (which includes deans), President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Gender Equity Plan was approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

Information to be available for review by the peer-review team, if requested:

- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]

Evaluation

1. Has the institution implemented its approved gender-equity plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

Equity, Welfare and Sportsmanship

Plan Date Range: 2005-06 thru 2009-10

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scholarships	Maintain a balance between men/women scholarship awards.	Monitor scholarships for women teams assuring all options to award open scholarships are considered.	AD priority; implemented by head coaches.	Annual
Scholarships	Increase scholarships to new NCAA limits for selected women's teams.	Budget for maximum allotted scholarships.	AD priority; implemented by coaches.	As NCAA legislation is passed (possible projected effective date Fall 2006).
Accommodation of Interests and Abilities	Determine interest/ability changes among UK women undergraduates.	Administer interest survey to freshmen; compare year to year; study results for interest trends.	Senior Woman Administrator	Annual
Accommodation of Interests and Abilities	Begin dedicated research into possibility of adding a women's sport.	Review the interest survey; evaluate budget issues; study every aspect of feasibility.	AD; Executive Associate AD, SWA and selected evaluation committee.	Identify new women's sport spring 2006; prepare financial plan fall 2006.
Equipment and Supplies	Increase equipment budgets for women's teams to be competitive within SEC.	Monitor budgets in comparison to other SEC schools.	AD priority; implemented as needed.	Began in 2002-03 and continued in 2003-04; ongoing.
Equipment and Supplies	Provide equitable equipment and supplies for similar m/w teams.	Negotiate equipment-apparel contract to best benefit women's teams.	AD, Executive Associate AD, coaches feedback.	Annual since Nike contract 1997.
Game/Practice Schedule	Provide equitable staffing and support for all teams.	Assign administrator and game management staff to coordinate events.	AD priority; implemented by event management staff, coaches.	Ongoing by season - by sport.
Game/Practice Schedule	Provide quality practice and playing facilities including locker rooms, weight rooms, and related team facility needs.	Evaluate facilities for upgrade needs; improvements; repairs; replacement.	Associate AD for Operations and Facilities, coaches, athletic staff.	Created a facility priority list in 2003-04; update annually.
Game/Practice Schedule	Provide VB access to a dedicated gym for practice and games and WBB a dedicated practice gym.	VB will be a priority team to practice in Memorial Coliseum once the m/w BB practice facility is ready.	Associate AD for Operations and Facilities	Fall 2006
Game/Practice Schedule	Add new weight room shared by WBB, VB, Gym and others as needed.	Include new weight room in new BB facility plans.	AD, Associate AD for Operations & Facilities, Executive Associate AD.	Fall 2006

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Travel and Per Diem Allowance.	Provide options for per diem or team meals based on nutrition, travel and team needs for women.	Travel expenses reflected in team budgets; coaches responsible to coordinate.	Sports liaisons, coaches and business office.	Annual when budget submitted
Tutors	Continue to provide equitable academic support to m/w student-athletes through the Center for Academic and Tutorial Services.	Evaluate tutoring and academic support for all teams; monitor team grade point averages.	AD priority; implemented by Associate AD for Student Services; Sports Liaisons	Semester and year end by administration, coaches
Head Coach and Assistant Coach Issues	Evaluate m/w head coaches on academic success, leadership, fiscal integrity and competitive excellence.	Increase pay for deserving coaches; study SEC and national range; budget for increases.	Executive Associate AD	Annual at end of sport season; implemented in new fiscal year
Head Coach and Assistant Coach Issues	Hire maximum allowable assistants.	Make sure every team has full compliment of assistant coaches.	AD priority; implemented by sport liaisons and head coaches.	Ongoing as needed
Head Coach and Assistant Coach Issues	Increase the number of women coaches.	Require networking and researching sport contacts to find qualified women candidates; interview at least one woman for each position.	Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Ensure female candidates included for coach positions on women's teams.	Actively seek female candidates; research the field to ensure females are included in the selection pool.	AD priority; sports liaisons, coaches	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Appoint at least one woman to search committees for open coach positions on women's teams.	Require women as members of search committees; include them in the research and interview process.	AD priority; Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Locker Rooms	Upgrade WBB locker room and create video room.	Determine improvements needed; include project in budget.	Associate AD for Operations & Facilities	Goal met in 2003-04
Locker Rooms	Replace old swim lockers; consider new lap pool/locker room for long range plan.	Renovated poor lockers; research costs, etc., for new lap pool and locker room.	Associate AD for Operations & Facilities	Swim team locker repair completed. New locker room/lap pool 2010.
Locker Rooms	Complete new Women's Track and Cross-Country locker room.	Renovation completed.	Facilities staff	Goal met; fall 2004

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Locker Rooms	Construct private locker room and study/relax area in gymnastics practice facility.	Renovation completed.	Facilities staff	Goal met; fall 2004
Locker Rooms	Provide new locker rooms for WBB, VB and Gym as part of new m/w BB practice facility.	Renovate Memorial for VB and Gym; raise needed funds; plan and design new building.	AD, Associate AD for Operations & Facilities, Executive Associate AD, AD for Development	Fall 2006
Medical and Training Facilities and Services	Address specific women's health and nutrition needs.	Brief women on health and nutrition issues regularly, provide massage therapy as referred by trainer.	Head Athletics Trainer, sports nutritionist, coaches	Ongoing evaluation by administration, coaches
Medical and Training Facilities and Services	Address changing health needs of men/women athletes at the end of the college athletic careers.	Expand role of sport nutritionist to include a transitional session with exiting athletes.	Head Athletic Trainer, sports nutritionist	Spring 2005
Medical and Training Facilities and Services	Address men/women student-athlete psychological and emotional issues.	Make sports psychologist referral available to men and women.	AD, Head Athletic Trainer	Currently exploring options to phase in sports psychologist.
Medical and Training Facilities and Services	Form multidisciplinary committee to address health issues of at-risk student-athletes.	Establish a committee comprised of head trainer, sport psychologist, sport nutritionist and academic advisors to deal with stress and other issues.	Head Athletic Trainer; committee members	Fall 2009
Housing and Dining Facilities and Services	Provide new dorm space for WBB and VB.	Locate new dorm space for teams as available.	SWA, sport liaison, coaches	Fall 2005
Publicity	Provide qualified media support by season for m/w teams including full-time staff for Softball.	Evaluate team media staff; require media to travel with teams to championships; approval requested for 3rd full-time hire.	Asst AD Media Relations as part of office restructuring.	Fall 2004
Publicity	Increase promotional efforts for all men's and women's teams.	Continue to provide promotion budgets and staff.	Associate AD for Marketing	Ongoing evaluation by administrators; coaches feedback
Support Services	Build coaches offices for WBB, WGolf, WT&F, VB, Gym, Rifle and Softball.	Include new coaching offices in BB facility plans.	AD, Associate AD for Operations & Facilities	Fall 2006
Support Services	Achieve balanced administrative support for men's and women's team coaches.	Co-locate offices in Bball practice facility to allow balanced staff assignments.	Associate AD for Facilities & Operations	Upon building completion, fall 2006

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Recruitment of Student-Athletes	Provide competitive budgets for all men's and women's teams to enable competitive recruiting at the national level.	Evaluate current budgets; seek coaches' feedback; study SEC and national recruiting budget ranges.	AD, Executive Associate AD, sports liaisons, and head coaches	Annual when team budgets are submitted

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Operating Principle

4.2 Minority Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.2 (Minority Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

2. Report on the implementation of the plan to address minority issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

University of Kentucky Athletics Department
 Minority Plan — 1997 Revision
 Progress Report to Date

1. The CATS Center will formalize a support group for African-American student-athletes which operated on an experimental basis this year. This group will be formally established during the 1996-97 academic year with regular meetings and scheduled activities. The support provided by this group would be a strong factor in the retention of these student-athletes.

Progress: Athletics formed a minority mentoring program and offered it for at least two years within CATS. Participation by minority student-athletes in the program was not sufficient to maintain the program. Even though Athletics devoted significant energy to making the program successful, minority student-athletes did not want to participate in a program that singled them out. Also, they did not want to do something extra given the time constraints already placed on a student-athlete's schedule. Athletics has expressed a desire to re-approach the idea behind this program. However, they suggest that perhaps it is best structured as a University program rather than an Athletics Department one.

2. The Associate Athletics Director for Student Services will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-97 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: These workshops were replaced by the cultural diversity training that is within the curriculum of the UK 101 freshman orientation course. With few exceptions, student-athletes attend this for-credit course during their first fall semester. Athletics also now offers diversity training as one of the workshop choices available to teams. (Coaches must select three workshops per year for their teams.)

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3. The Athletics Department liaison for the support group mentioned in item #1 will also use that group to inform African-American student-athletes of the support services available to them outside the Athletics Department. The University has also recognized that retention of minority student-athletes is facilitated by providing support services in the areas of academics, personal issues and social opportunities. During the 1996-97 academic year, this group will have a meeting with a representative from Minority Affairs who can make them aware of these additional support services.

Progress: The relationship between Athletics and Minority/Multicultural Affairs has been consistently maintained since the issuance of the 1997 Minority Plan. The Director of Minority Support Services teaches one of the UK 101 sections for student-athletes. Athletics reports that the Associate Provost for Multicultural Affairs and the Director of Minority Support Services meet routinely (at least once a month) with the Associate Athletics Director for Student Services. Most often, these monthly meetings focus on the Kentucky Excel Scholarship Program (UK student-athletes serve as mentors for high school students participating in this program and students who complete the program receive scholarships.). However, it is reported that these meetings also serve to facilitate an ongoing dialogue between the University and Athletics on minority issues.

4. Within the Athletics Department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices are strongly encouraged to actively pursue qualified African-American student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-97 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: The Career Development Coordinator within the Athletics Department's CATS Center continues to routinely refer the names of student-athletes to various departments in Athletics for a variety of opportunities. Also, it is the practice of the current Athletics Director to routinely refer the names of qualified student-athletes for internship opportunities. The Marketing Office, Compliance Office, Sports Information Office, Facilities Management Office, and the CATS Center all have active efforts to recruit qualified African-American student-athletes. Successful recruitment often depends upon the availability of such candidates within, and coming out of, the academic programs that train for the disciplines that support these athletic functions.

5. The University Affirmative Action Plan also identifies financial concerns as a reason for retention problems with African-American students. Therefore, the Associate Athletics Director for Compliance will meet with each team early in the fall and discuss financial aid possibilities. This person will also assist any student-athlete who feels they might qualify for permissible aid with the paperwork required for application.

Progress: In a meeting each fall with each team, the Athletics Department informs student-athletes of certain types of financial aid available in addition to athletics aid. Through the Compliance Office staff, student-athletes are offered assistance with completing any necessary forms for financial aid. Also, Athletics Department officials continue to meet with student-athletes throughout the year to assist with the completion of additional requirements and/or forms. When a student-athlete's financial situation changes significantly, the Athletics Department assists them with the identification of financial aid for which they might have previously been ineligible. Finally, the Athletics Department identifies and recommends student-athletes for post-secondary scholarships through the Southeastern Conference (SEC) and the NCAA.

6. The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Current minority/African-American employment statistics within the Athletics Department reveal a maintained commitment to minority employment consistent with previous levels. The extent to which the Athletics Director has provided "leadership" of minority recruitment is best reflected in the positive minority employment statistics, and in the employment of an African-American head coach for Men's Basketball and an African-American head coach for Women's Gymnastics. However, the Athletics Department has lacked ongoing and systemic evaluation of its overall minority recruitment practices. The current Athletics Director has already acted to develop such evaluative responsibilities within his administration. A new Minority Plan was developed in association with this process, and in that plan, goal 2a commits the Athletics Department to "engage in periodic review of hiring activity to ensure commitment to diversity." This goal further states that "hiring will be reviewed at the end of the fiscal year to insure that minorities and females were considered in the hiring process."

7. In an effort to more closely approximate the representation of minority student-athletes in the University of Kentucky Athletics Department (28%), the Director of Athletics has set the following goals for the replacement of Athletics Department staff as vacancies occur in the next five years:

(a) An African-American member of the senior administrative staff (e.g., Assistant Athletics Director).

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Progress: An African-American is employed as Assistant Athletics Director and this individual participates in high-level decision making and specifically is responsible for administering the Nike contract and the student-athlete employment program.

(b) An African-American member of our full-time athletic training staff.

Progress: The athletic training program faces significant challenges in identifying qualified African-American candidates. However, this program has hired two African-American graduate assistants since the graduate program's inception in 1999. Consequently, the University is contributing to the effort to educate qualified African-Americans for athletic training position pools. In two instances, qualified African Americans were identified and recruited. One was not hired because of citizenship complications and another accepted a position with a professional sports team. Competition with professional sports teams continues to be a primary challenge in recruiting qualified African-Americans to positions within intercollegiate athletics.

(c) An African-American member of the media relations staff.

Progress: Media Relations has been very successful in recruiting and retaining qualified African-Americans since 1997, although this success has not been in full-time positions. The majority of this success has been in internships, student workers, and temporary "game day" workers. These efforts do contribute to the overall pool of qualified African-Americans.

(d) An additional African-American member of the Center for Academic and Tutorial Services (CATS) staff.

Progress: The CATS Center has consistently attempted to increase and maintain minority staffing. However, they often lose them to the Fayette County School System because they offer higher compensation for less work (10 month positions). Regardless of this "turn-over" issue, the CATS Center was able to increase its African-American professional staff to two, and maintain at least two African-American graduate assistants.

(e) At least one additional African-American coaching staff member.

Progress: The number of African-American head coaches was increased to two and this number has been maintained although one African-American head coach was replaced (Women's Basketball) and another African-American head coach hired (Women's Gymnastics). The Athletics Department recruited the new head Gymnastics coach (Mo Muhammad) originally to the University for his first college assistant coaching position. At UK, Muhammad was mentored and provided with an opportunity to develop his leadership skills. When the previous Gymnastics head coach retired in 2002-03, he was hired to lead the program after competing in a national search. The development and hiring of an African-American head Gymnastics coach is evidence of a continued commitment to this goal as well as a concerted effort to develop qualified African-Americans for coaching positions.

8. In addition to conventional job advertisement efforts, the University of Kentucky Athletics Department will attempt to achieve the goals in item #7 by: (a) Seeking the assistance of our Minority Affairs office on campus in identifying qualified minority applicants, and (b) Developing our own qualified minority applicant pool by encouraging African-American student-athletes whose eligibility has been exhausted to enter our internship programs and graduate assistantships. These training programs will prepare them to enter full-time positions within the athletics department as they become available.

Progress: Athletics does not have evident systematic processes to achieve these goals. Athletics has successfully recruited qualified African-Americans in specific programs and has attempted to utilize external entities to assist with this recruitment process (Office of Multicultural Affairs, national organizations, etc.). However, these efforts were not consistently evaluated to assess whether all available non-conventional means were utilized. In its new Minority Plan, the Athletics Department has outlined a program to systemize and evaluate the use of all available means/tools for minority recruitment. For example in the new plan, goal #7 states that to "recruit/interview/hire minority candidates for leadership positions" the Athletics Department will "advertise with NCAA publications, job announcements to Conference Offices for HBCs [and] interview at least one minority candidate for every professional position or provide written explanation."

9. The Associate Athletics Director for Student Affairs will continue to submit the University's application for the AmeriCorps grant through President Clinton's National Service Act. This program will continue to involve African-American student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The AmeriCorps grant has been maintained since 1996. However, this will be the last year in which the Athletics Department participates in this program. This is due to a shift in the focus of the AmeriCorps program away from school success and violence prevention. Consequently, it was determined that AmeriCorps is no longer a good fit with the Athletic Department's mentoring and tutoring programs.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.2 (Minority Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

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Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing minority issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented at the end of Principle 4.2, Minority Issues as an Improvement Plan.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.2 (Minority Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The mission of the University of Kentucky's Equal Opportunity Office is to promote an environment free of discrimination and inequity in accordance with the University's Strategic Plan, and with federal and state equal opportunity statutes and regulations. In addition to this office, a President's Commission on Diversity advises the President on minority issues and the Office of Multicultural and Academic Affairs advises the Provost on multicultural issues (as well as offers a wide range of services designed to assist minority students).

In collaboration with these University entities and others, the Athletics Director is responsible for ensuring that the appropriate administrative structure exists within Athletics to monitor and address minority issues. Under the Athletics Director's leadership and supervision, the Executive Associate Athletics Director (Rob Mullens) is responsible for monitoring and addressing minority staff issues and the Associate Athletics Director for Student Services (Bob Bradley) is responsible for monitoring and addressing minority student-athlete issues on an on-going basis. Student-athlete involvement in such issues is organized within the Student Athlete Advisory Committee's (SAAC) Diversity Committee. The vision for this Committee is to provide student-athletes with a mechanism for influencing how minority issues are addressed and to offer student-athletes an opportunity to develop and recommend solutions.

6. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part-time assistant coaches (including graduate assistant and volunteer coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001 (year 3), 2001-2002 (year 2) and 2002-2003 (year 1) academic years in the chart below, Racial or Ethnic Composition, Part A: Athletics and Selected Institutional Personnel.

7. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided below on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years (Part B: Students Generally and Student-athletes on Athletic Aid).

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8. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years in Part C: Men's and Women's Sports Teams.

9. Using the program areas for minority issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's commitment across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for minority issues addresses each of the areas.

1. Institutional and Athletics Department Commitment Development and maintenance of written statements that address the issues of diversity.

- a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all program areas for minority issues through a broad-based, campus-wide review that included the following data-gathering activities:

- Athletics Department records and institutional data pertinent to this area were reviewed (including enrollment and employment data by racial/ethnic composition and publications distributed to the University community, staff and students by the Athletics Department);
- Athletics facilities were toured (led by Athletics Director, Mitch Barnhart, who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

The Subcommittee on Equity and Student-Athlete Welfare formed a three-person subgroup including a faculty member, an administrator, and a student-athlete, and its charge was to accumulate and review data focusing on minority issues. The subgroup pursued relevant data through the above processes (in particular through specific, detailed requests made to the Athletics Department representatives) to measure progress toward the goals outlined in the first-cycle minority plan and to evaluate the integration of the eight program areas for minority issues in Athletics Department administration. Through these processes and subsequent thorough analysis, the subgroup identified progress, concerns and/or trends that formed the basis for documenting compliance with Operating Principle 4.2. The Subcommittee reviewed and approved the work of the subgroup, and the Self-Study Steering Committee reviewed and approved the work of the Subcommittee.

- b. Provide data demonstrating the institution's commitment across this area.

The University of Kentucky adopted the following goals, objectives and key indicator in its 2003-2006 Strategic Plan, The Dream & the Challenge:

GOAL V: Nurture Diversity of Thought, Culture, Gender and Ethnicity.

The University of Kentucky is committed to creating a diverse, multicultural community of scholars and

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learners. To advance this commitment we must move forward with specific actions that demonstrate our belief in the value and richness of human differences. We must provide a model for the Commonwealth of a truly diverse society that celebrates human differences, promotes fairness and equity in policies and practices, and upholds basic principles of social justice. To become one of the nation's best research universities, we must foster a creative, supportive environment that will nurture diversity of thought, culture, gender and ethnicity.

Objectives:

1. The University will improve the climate for diversity. Programs designed to create a diverse community in which all individuals and groups can thrive, both personally and professionally, are necessary to build upon recruitment and hiring successes. We must create an inclusive living and learning environment for faculty, staff and students through leadership training, professional development, and mentoring programs that promote sensitivity and respect for the full range of human diversity.

2. The University will create a diverse workplace and learning community. A nationally prominent research university demonstrates a commitment to diversity and equity by following practices that protect and advance the interests of all its members. We must increase awareness of our diversity and equity aspirations, address equitable compensation issues, establish unit goals in support of university-wide goals, and evaluate progress at all levels. We must expect our leadership to demonstrate improvements, and we must reward those who do.

Key Indicator. By 2006, we will:

Meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan.

Following the lead of the institution in articulating a campus-wide commitment to diversity, the Athletics Department articulated its commitment to diversity in its own mission statement and operating principles. Athletics Director Mitch Barnhart issued the "Five Steps to Success" as a framework within which all student-athletes are to compete and all programs are to operate. The first of these five principles is "Be First Class in All We Do!" This operating principle is further defined in documents with three action statements: 1) Treat People with Respect; 2) Wear the Kentucky Colors with Pride; and, 3) Bring Honor to Your Family, Teammates, and School. The message of this first operating principle — one of respect and honor as essential elements of integrity — is fundamental to creating an atmosphere conducive to the success of all students, and therefore, facilitates a climate supportive of diverse student-athletes and staff. The Athletics Department has further articulated its commitment to diversity in the first paragraph of its current mission statement:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, State, SEC and NCAA rules."

c. Identify areas of deficiency and comment on any trends.

The Athletics Department has experienced significant leadership change in the period since the first-cycle review, and in particular in the last five years with three different Athletics Directors. The current Athletics Director, Mitch Barnhart, devoted significant effort toward the reorganization of the Athletics Department to be more consistent with his operating philosophy and with goals set forth by University President Lee T. Todd, Jr. It is clear that Barnhart's operating philosophy and the President's goals are fundamentally consistent with previous and current goals regarding diversity. However, communication of the Athletics Department's commitment to diversity could become more pervasive, better defined, and more consistently articulated in published materials.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that the department's commitment to diversity be included as a written priority within the departmental mission statement. Departmental materials will be reviewed regularly to make certain that the statement of commitment is included in appropriate publications and other media to promote high visibility.

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2. Evaluation Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Specifically in this area, the Subcommittee reviewed policies and procedures of the Athletics Department and their progress in meeting the goals of the 1997 and 2004 Minority Plans.

b. Provide data demonstrating the institution's commitment across this area.

In the most recent version of the "UKAA Policies and Procedures Manual," the following mission statement appears in Chapter VIII-Compliance:

"The mission of the Compliance Office is to ensure that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations. Honesty, integrity and accuracy of interpretation are our highest priorities. The Director of Athletics is the individual designated by the CEO to have direct accountability for rules compliance. The staff of the UKAA Compliance Office will assist the Athletics Director by conducting the day-to-day operations to ensure such compliance. In an effort to fulfill this mission, the Compliance Office staff will monitor the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff will also conduct an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes and boosters. Compliance with the rules and regulations of the University of Kentucky, SEC and NCAA will be internally monitored through frequent operational checks with all sport and administrative areas. The Athletics Department will also be externally audited every four years by the Compliance Staff of the Southeastern Conference or an outside group contracted by the Southeastern Conference. The Compliance Staff will attend regional and national seminars to continually improve the effectiveness of this department. When a violation does occur, the institution will self-detect, self-investigate and self-report in a timely and thorough manner."

This mission appears to delineate a role for the Compliance Office in assisting the Athletics Director in ensuring compliance with all rules and regulations, (including those of the University of Kentucky) and in particular with monitoring the recruitment, admission, eligibility, and financial aid of all student-athletes, and this should include the department's commitment to diversity.

c. Identify areas of deficiency and comment on any trends.

The Athletics Department administration could devote additional effort to the development of systemic evaluation of its progress toward minority goals. In the current Minority Plan, additional administrative responsibility is defined for the evaluation of progress toward minority goals. Further clarification is needed regarding the role of the Compliance Office in any such evaluation as this office is currently charged with ensuring "that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations" (Chapter VIII - Policies and Procedures Manual). Other responsibilities for monitoring minority issues are assigned to the Executive Associate Athletics Director (Rob Mullens) for staff issues and the Associate Athletics Director for Student Services (Bob Bradley) for student issues. Further clarification on who has overall responsibility for coordinating all evaluative efforts in this area would add to the progress already made.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to evaluate minority participation by annually compiling and comparing the percentages of minority population for all students and for student-athletes. In response to the self-study finding that further clarification of responsibilities would be helpful, the future Minority Plan now includes assignment of responsibility for gathering minority data on each team to the sport liaisons. The sport liaisons will provide the data to senior administrative staff, who will review the data and address any emerging concerns. Additionally, all new hires will be reviewed each fiscal year to ensure that minorities and females were considered in the hiring process.

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3. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. In particular, the Subcommittee reviewed diversity programming activities and participated in conducting student-athlete focus groups to ensure a complete study of this area.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. The Athletics Department has in the past developed and maintained policies and programs intended to enhance diversity. Some of the structured diversity seminars and workshops previously conducted and offered by the Athletics Department have been replaced by programs organized outside of the Department (University courses, professional organizations, etc.). In the 2003-04 "Student-Athlete Handbook" (Personal Development chapter), the following seminar is described:

"Cultural Diversity - One of our primary programs. The UK Athletics Department is committed to helping our student-athletes address issues of diversity. This is a very important program that is directed at educating our student-athletes regarding different peoples, cultures, sexes and religions."

The Athletics Department reports that these seminars are no longer offered in lieu of the cultural diversity sessions offered as part of the UK 101 freshman orientation course that almost all incoming student-athletes take. Diversity workshops are offered to teams, however, and participation in them is determined by each team coach. In the "UKAA Policies and Procedures Manual," the Compliance Office is designated to "ensure that all coaches, student-athletes, and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations" and that "educational materials will be available in hard copy and on-line for the continuing education of all constituencies."

The definition of these efforts and responsibilities under the Compliance Office provides an opportunity to enhance formalized and structured diversity training tailored to address unique issues presented in an intercollegiate athletics environment. This is particularly necessary for Athletics Department administrators and coaches as it is reported that diversity training for these groups is also not currently organized and consistently conducted by the Athletics Department.

c. Identify areas of deficiency and comment on any trends.

Opportunities exist for further development in this area as well as in Programs and Activities. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan addresses the findings of the self-study in several ways. It clearly assigns responsibility to the Athletics Department's senior staff to ensure an organization comprised of a diverse group that represents diverse opinions. This will be accomplished through continued recruitment of females and minorities to senior staff positions. Progress will be reviewed annually by comparing athletics data to the official UK Equal Opportunity Report. Funding will be provided for staff development via conferences that include diversity workshops. Athletics will assist minority employees with placement in the NCAA Leadership Institute for Ethnic & Gender Minorities. And finally, as an outreach activity,

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opportunities to provide funding to organizations which support diversity will be continued and reviewed each year. See section (d) under Programs and Activities for future plans to address the needs of student-athletes.

4. Enrollment Goals of the institution for enrollment of minority students and minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, a review of the University's success in meeting diversity goals contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Under Goal V (Nurture Diversity of Thought, Culture, Gender and Ethnicity) within the University of Kentucky's Strategic Plan (2003-2006), one key indicator of progress toward this goal is listed. This indicator states that the institution will "meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan." This indicator is applicable for the entire student population, including student-athletes.

c. Identify areas of deficiency and comment on any trends.

In the University's Strategic Plan update of 2004 published on the Institutional Research, Planning & Effectiveness web site, the following progress was reported for the institution on this indicator:

"In January 2004, the Council on Postsecondary Education completed its most recent analysis of UK's progress in meeting the objectives of the Kentucky Plan. With the exception of the six-year graduation rate, the results below were calculated for Kentucky resident African-American students enrolled in fall 2002. The University is encouraged by fall 2003 enrollment increases for all African-Americans at both the undergraduate (+5.9%) and graduate (+3.2%) levels, which will be reflected in the January 2005 analysis of the Kentucky Plan."

As the percent of student-athletes who were African-American in 2002-03 exceeded the general University population (23% v. 5%), the Athletics Department positively contributed toward meeting the University's goal.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that future enrollment goals of minority student-athletes meet or exceed the enrollment goals for all students. This will be reviewed annually with the Registrar and the Academic Integrity Committee.

5. Comparison of Populations Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, close scrutiny and analysis of the NCAA tables entitled Part B: Students Generally and Student-Athletes on Athletics Aid, and Part C: Men's and Women's Sports Teams, contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Student-athletes of racial/ethnic minority status (mostly African-American) constitute a significantly higher percentage of total student-athletes than the percentage of minority students in the overall student population. For the most recent year (2002-03), 23 percent of student-athletes were African-American while 5 percent of the total student population was African-American.

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c. Identify areas of deficiency and comment on any trends.

For the three most recent years, the percents of racial/ethnic minority student-athletes in individual sport categories have not varied significantly, with only one sport (baseball) having a minority percentage that is less than the general minority student population in 2002-03 (the number of African-American baseball team members dropped from 2 in 2001-02 to 0 in 2002-03.) The Subcommittee found no signs of discrimination in recruitment practices of the institution in the statistics by sport.

d. Explain how the institution's future plan for minority issues addresses this area.

Although the percentage of minority student-athletes in some sports exceeds the percentage of minority students in the general student body, the institution's future Minority Plan seeks to recruit minority student-athletes in those sports where they are underrepresented. One strategy to accomplish the goal will be to monitor the ethnic composition of all prospects making official visits in those sports.

6. Participation in Governance and Decision-Making

Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In discussions with student-athletes representing almost all sports (two focus groups), it was evident that racial/ethnic minority student-athletes felt as though they had equal opportunity to compete for leadership positions on their teams. In general, student-athletes reported that the selection of team leadership was based on athletic performance. Student-athletes also reported having adequate opportunities to participate in Athletics Department decision-making through the Student-Athlete Advisory Committee (SAAC) and an "open door" policy maintained by the Athletics Director.

c. Identify areas of deficiency and comment on any trends.

No deficiencies were identified by the Subcommittee in this area. It is noteworthy, however, that a current trend is to re-distribute some of the governance responsibilities of student-athletes to avoid placing too many demands on the time of key individuals. For example, starting in 2004-05, the president and vice-president of SAAC will no longer automatically serve as student-athlete representatives to the UKAA Board of Directors; rather, other student-athletes will be appointed to these positions. The positive effects of this change are to help these student-athlete leaders balance their academic and athletics demands and to involve more student-athletes in the governance process.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that minority student-athletes are involved on the Student-Athlete Advisory Committee (SAAC) and that the composition of SAAC is evaluated annually. Minority student-athletes will be given strong consideration for service as members of the Athletics Board and as participants in campus-wide activities.

7. Employment Opportunities

Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

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b. Provide data demonstrating the institution's commitment across this area.

In the Minority Plan developed in 1997, the following goal was stated:

"The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five year period. "

The Athletics Department, under new leadership in 2001, has maintained a commitment to this goal and to the promotion and hiring of minority coaches and administrators. For the most recent year (2002-03), the Athletics Department exceeded the 1997 goal with 15 of 119 positions (12.6%) filled by racial/ethnic minorities.

c. Identify areas of deficiency and comment on any trends.

Over the previous three years, the percentage of racial/ethnic minority employment has increased each year: 2000-01 = 8.9%; 2001-02 = 10.2%, and 2002-03 = 12.6%. Specifically, an African-American assistant coach was hired as the head coach for Women's Gymnastics. Also, significant improvement was realized in the numbers of racial/ethnic minority assistant coaches with a doubling of the number from 5 in 2000-01 to 10 in 2002-03.

d. Explain how the institution's future plan for minority issues addresses this area.

In the institution's future Minority Plan, minority candidates are to be recruited, interviewed and hired for leadership positions within the Athletics Department. This is to be accomplished through placement of job advertisements in publications regularly reviewed by minorities, appointment of diverse selection committees, and either interviewing at least one minority candidate for each professional position or providing written explanation of why this did not take place. The Athletics Department will assist graduating minority student-athletes with contacts and recommendations for internships at SEC and NCAA offices and with placement in the NCAA Leadership Institute for Ethnic Minority Males. Also, professional development opportunities for minority employees will be provided and funded.

8. Programs and Activities Establishment of programs that address the needs and issues affecting minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. See section (b) under Organization and Structure for additional discussion on diversity programming.

c. Identify areas of deficiency and comment on any trends.

Some diversity related programs (such as the experimental support group for minority students presented in the 1997 Minority Plan) were reported to be unsuccessful as they failed to attract minority student participation. Minority students were often reluctant to participate in programs and services that singled them out from the general student-athlete population. In response, diversity programs were modified or replaced. For example, Athletics Department diversity training is now offered only to teams rather than to targeted groups of student-athletes. Opportunities exist for further development in this area. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among

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all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to provide diversity programming using a model that will ensure each student-athlete ample opportunity to benefit from such programs during their four years of eligibility. This includes participation in UK101 and a diversity awareness session; the offering of personal development workshops on diversity to all teams on an annual basis; and sponsoring guest speakers to provide development opportunities for staff as well as student-athletes. By offering three levels of programming each year, a typical student-athlete should have greater opportunity than students in general to participate in meaningful programming that will promote diversity in its broadest sense. However, in response to the self-study findings, the Athletics Department will also encourage University faculty who teach the UK101 class for student-athletes to offer more content on diversity in UK101.

- 10. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing minority issues for the future in the intercollegiate athletics program. The plan must address all eight program areas for minority issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's minority-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]**

Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Minority Issues Plan as developed by the current athletics administration in light of the findings of the self-study and made recommendations for changes to the current plan. The revised Minority Issues Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Minority Issues Plan assures that the Plan will be an active document. The resulting Minority Issues Plan for the future is presented in Plans for Improvement section below.

- 11. Describe the institution's efforts to ensure the plan for addressing minority issues for the future in the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.**

The institution's future Minority Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all eight program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Minority Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on their self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Dean's Council, President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Minority Plan was reviewed and approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

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Evaluation

1. Has the institution implemented its approved minority-opportunities plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its minority-issues plan was modified or not carried out fully? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

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Plan Date Range: 2004-05 thru 2008-09

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Institutional & Athletics Department Commitment	Articulate in the mission statement the department's commitment to diversity of thought and collective intelligence as a priority for the Athletic Department.	1. Each year review statement and confirm the maintenance of diversity in leadership and in department.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
Institutional & Athletics Department Commitment	A stated goal of the UKAA will include a commitment to diversity.	1. UKAA's written goals and objectives include a commitment to diversity.	AD	September 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	AD	September 1 of each fiscal year.
Evaluation	UKAA will engage in a periodic review of activities consistent with a commitment to diversity.	Annually compile percentage of minority population for all students and student-athletes to be reviewed by senior staff.	Compiled by Sport Liaisons and reviewed by senior administration staff.	May 15 of each fiscal year.
Evaluation	Engage in periodic review of hiring activity to ensure commitment to diversity.	Hirings will be reviewed at the end of the fiscal year to ensure that minorities and females were considered in the hiring process.	AD, Executive Associate AD	July 31 of each fiscal year.
Organization and Structure	UKAA's senior staff sets policy to determine the organization of the department and will continue to be a diverse group and thus represent diverse opinions.	1. Continue to recruit females and minorities to senior staff positions.	AD, Senior Administration Staff.	May 15 of each fiscal year.
		2. Review progress annually by comparing to the official UK Equal Opportunity Report.	AD, Senior Administration Staff.	May 15 of each fiscal year.
Organization and Structure	Use professional development opportunities for staff to attend national conferences or regional meetings which include diversity workshops.	Provide funding through budget planning for travel and registration for such meetings and track usage.	AD, Assistant AD/Business.	April 15 of each fiscal year.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Organization and Structure	Assist current minority employees with placement in the NCAA's Leadership Institutes for Ethnic and Gender Minorities.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Organization and Structure	Provide funding to conferences and/or organizations which support diversity.	UKAA has financially assisted the Annual Black Women's Conference and will review other opportunities	AD, Executive Associate AD.	September 15 of each fiscal year.
Enrollment	Ensure that future enrollment goals of minority student-athletes equal or exceed the enrollment goals the University establishes for all minority students.	Meet annually with the University registrar through the Academic Integrity Committee to compare these goals.	University Registrar, Academic Integrity Committee.	September AIC meeting of each fiscal year.
Comparison of populations.	The percentage of minority student-athletes shall equal or exceed the percentage of minority students in the general student body.	Continue to recruit minority prospects in all sports.	AD, Sports Liaisons.	Throughout appropriate recruiting periods for each fiscal year.
Comparison of Populations	Address recruitment of minorities within those sports where minority student-athletes are under-represented, with consideration given to cultural variations in some sports.	Monitor ethnic composition of all prospects making official visits in those sports.	Associate AD for Compliance.	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Ensure minority student-athletes involvement on the Student Athlete Advisory Committee (SAAC)	Evaluation of the composition of SAAC.	Associate AD for Student Services; SAAC liaison.	September 15 of each fiscal year.
Participation in Governance and Decision-Making	Minority student-athletes will be strongly considered for representation on Athletics Board.	Selection process will include diversity.	AD	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Diversity will be considered in selecting student-athletes for participation in campus-wide activities.	Selection process will consider diversity.	AD	Throughout each fiscal year as opportunities arise.
E m p l o y m e n t Opportunities	Recruit/interview/hire minority candidates for leadership positions.	1. Advertise with NCAA publications, job announcements to Conference Offices for HBC's, publications of the Black Coaches Association.	AD.	As needed.
		2. Appoint diverse search committees.	AD.	As needed.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		3. Interview at least one minority candidate for every professional position or provide a written explanation.	AD.	As needed.
Employment Opportunities	Assist graduating minority student-athletes with contacts and recommendations for internships at the SEC & NCAA Offices.	Actively pursue all openings at SEC & NCAA through phone and personal contact with those staffs.	AD, Associate AD for Compliance.	May 31 of each fiscal year.
Employment Opportunities	Assist graduating minority male student-athletes with placement in the NCAA's Leadership Institute for Ethnic Minority Males.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Employment Opportunities	Support professional development for gender/ethnic minorities.	Provide leave/funding for development at NCAA, Professional Development academies.	AD, coaches.	April 15 of each fiscal year.
Programs and Activities.	Offer diversity training department-wide and minority development opportunities for staff; minority specific opportunities for student-athletes.	Provide funding and staff necessary to provide these opportunities.	AD, Associate AD for Student Services, Executive Associate AD.	April 15 of each fiscal year.
Programs and Activities	Educate first-year student-athletes on diversity issues.	Offer a diversity session as one of the components of the UK101 class and encourage professors to include an additional diversity session in UK101.	Associate AD for Student Services.	Fall and spring semester of each academic year.
Programs and Activities	Encourage open discussion of diversity issues among teammates.	Offer a personal development workshop on diversity to all teams.	Associate AD for Student Services.	Fall and spring semester of each academic year.

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Operating Principle

4.3 Student-Athlete Welfare

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions for Operating Principle 4.3 imposed by the NCAA Certification Committee during the first-cycle certification.

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 first-cycle certification process as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for improvement from the last report included, "The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews." The self-study group found that the Student-Athlete Advisory Committee (SAAC) is used to disseminate information from administration to the individual teams. Information shared in exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well being of the student-athlete. Due to the limited number of students interviewed, issues/concerns that are discussed in exit interviews are not specifically identified as exit interview topics.

In addition, the peer-review team suggested, but did not require, that exit interview forms should include a question that would enable the student-athlete to indicate whether the student-athlete believed every effort was made to minimize the disruption of his or her academic schedule. Exit interviews, conducted annually at the end of each individual sport's season in December and April, now include the question, "Did athletics scheduling interfere greatly with academics?" and student-athletes have been open with their comments on scheduling concerns. Summaries for exit interviews indicate the scheduling conflict primarily occurs during the competitive season when games are scheduled during the week, thereby requiring student-athletes to miss class. However, the student-athletes expressed this was unavoidable due to the nature of athletics and thought the Athletics Department helped avoid and resolve conflicts, when necessary. Additionally, while 70 percent of the student-athletes that responded to the self-study survey indicated they do experience scheduling conflicts between class and athletics, 87 percent indicated they know what to do when a conflict arises.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.3 (Student-Athlete Welfare) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University of Kentucky's plan for Commitment to Equity includes a plan for Gender Equity and the need to address medical/training facilities and services for gender equity. This specifically includes the need to address

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changing health needs of female athletes, the plan to expand the role of the health educator meeting with exiting female athletes, and the need to provide support for psychological and emotional concerns.

In addition, the Director of Athletics has implemented a five-principle philosophy for the University of Kentucky Athletics Department that includes "Keep the focus on the student-athlete." This principle includes, but is not limited to, improving graduation rates, providing outstanding academic support to student-athletes, providing support services necessary to exceed the needs of the student-athlete, and role modeling for student-athletes by all staff.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The University of Kentucky makes a strong commitment to the welfare of all students. This commitment is evidenced by the existence and administration of UK 101, Stuckert Career Center, Freshman Orientation, Counseling & Testing Center, Academic Ombud, and Student Health Services. In addition, the University of Kentucky has made an intense commitment to the student-athlete. The "Student-Athlete Handbook" delineates the institution's commitment to the student-athlete and the responsibilities of the student-athlete.

Primary responsibility for student-athlete welfare lies with the Associate Athletics Director for Student Services, who reports directly to the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day reporting is to the Director of Athletics, who reports directly to the President.

The Associate Athletics Director for Student Services is responsible for the programs and administration of the Center for Academic and Tutorial Services (CATS), whose mission is to create an environment where all student-athletes have the opportunity to maximize their academic, personal and social growth and improve post-college quality of life. The CATS Center includes the following: study center, tutoring and advising services, and the Career and Life Skills Resource Center. This center provides opportunities for career development, shadowing/mentoring, and graduate/professional school preparation. Also contained in the Career & Life Skills Center are seminar videos on social issues, as well as issues the student-athlete will face as a new college student. The ultimate goal of the CATS staff is to ensure that the Athletics Department provides every opportunity for student-athletes to mature and grow personally and academically while pursuing athletic excellence.

The University has a formally recognized, standing committee called the Academic Integrity Committee (AIC) that reviews CATS' policies and addresses issues with CATS. This group has as one of its charges to monitor the CATS program. The AIC consists of the Associate Provost for Undergraduate Education, the University Registrar, the Associate Director of Financial Aid, the Associate Director of Athletics for Compliance, the UK Compliance Director, the Faculty Athletics Representative (Chair), the Associate Athletics Director for Student Services, the Associate Athletics Director for Administration, and other representatives from the Office of Undergraduate Admissions and the Registrar. The Academic Integrity Committee meets regularly to review reports from the Athletics Department on CATS operations, to monitor and evaluate activities, and to assess concerns and develop strategies for improvement. Minutes from the committee meetings are kept on file.

Additionally, as described in Governance and Rules Compliance, Principle 1.2, Self-Study Item 7, the UK Athletics Association has established a Student-Athlete Welfare Committee, chaired by the Vice President for Student Affairs, and charged with reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletics program. The Committee delivered its initial report to the UKAA Board of Directors at their November 19, 2004 meeting. Through the work of the AIC noted above and the new Student-Athlete Welfare Committee, the Athletics Department has in place a comprehensive mechanism for ensuring ongoing evaluation of the programs and services designed to promote student-athlete welfare.

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6. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

The Center for Academic and Tutorial Services - CATS is the academic center for student-athletes and provides the academic support for student-athletes. In addition to being an academic center, CATS provides an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life. The Career & Life Skills Resource Center is housed in the CATS Center, and provides the Career Development and Personal Development Programs.

CHAMPS Life Skills: Program of Excellence workshops - This life skills program is designed to help UK student-athletes achieve success in all areas of life. Seminars are available on a variety of topics, including substance abuse, violence against women, diversity, nutrition and eating disorders, stress management, time management, financial responsibility, sexual responsibility and STDs, gambling and academic success, succeeding after college, developing personal interests (campus/community involvement), achieving athletic excellence, and media relations. Each student-athlete is required to participate in at least one workshop per semester at their choosing. In addition, each team is required to participate in an Alcohol & Drug Education program and a Diversity Workshop during the academic year.

In addition to the services provided through CATS and CHAMPS, student-athletes also have fair access to all services and programs at the University. Some examples include:

University Counseling and Testing Center - This office provides personal, learning skills, and career counseling to all UK students. The Center provides individual and group counseling, alcohol and drug counseling, and counseling for issues related to body image. Their purpose statement includes, "We exist to help all students succeed academically, develop and make progress toward life goals, and be productive members of the university and society. Often students encounter obstacles that make reaching those goals difficult. Our services are designed to help students work through or around those obstacles to reach their goals."

Stuckert Career Center - This center works closely with students, alumni, faculty and employers to integrate career planning, job search and employment information into educational experiences, extracurricular activities, and work experiences. Services include on-campus interviews, on-line career library, practice interviews, resume development, and an interactive computer program which covers all major aspects of career planning and career decision making.

Student Health Services - The mission of University Health Service is to provide preventive and primary health care and education to the students and other members of the University of Kentucky community in a manner that exhibits compassion, professionalism and excellence. Services include student health, smoking cessation intervention, AIDS testing/information, sleep disorders, health education, and eating disorders.

UK 101 - New student orientation course which focuses on issues relevant to students during the first year of college, increasing awareness and use of University resources, learning the most effective strategies for studying, taking notes, increasing test scores, managing time, and understanding the purpose and nature of a college education in order to make the most of opportunities at UK. Special sessions of UK 101 are conducted for student-athletes, and topics specifically geared to issues for student-athletes are discussed. Former athletes are often called upon to share their experiences.

Study Abroad Office - Services available through this office inform students about studying, working, teaching, and traveling abroad. The office serves as a great source for information, counseling, and assistance for students interested in working, traveling, or studying abroad.

Various practices and procedures are in place to encourage and assure student-athletes' access to the above programs. Information on each of these services is disseminated to the student-athlete through various forms of communication, including:

- The Athletics Director discusses the services during the opening of the term meeting with individual teams;
- Coaches and trainers promote each service;
- The "Student-Athlete Handbook" outlines each center/service; and
- Student-athletes have mandatory study hours in the CATS Center.

Additionally, the "University Bulletin" and website provide information on the services provided to all UK students.

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During the course of the self-study, student-athlete input indicated unanimous satisfaction with the services and information provided by the various CATS programs.

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

Following the completion of each sport's season, the Athletics Department's Compliance Office prepares a list of student-athletes whose eligibility has been exhausted during the academic year. This list provides the sport in which the athlete participated at the University of Kentucky. This list is sent to the Faculty Athletics Representative to select a sample of student-athletes to be interviewed.

The sample consists of at least two representatives from each of the sports. The faculty representative then returns the list of selected student-athletes to the Athletics Department's Compliance Office for verification, at which time the Associate Athletics Director for Compliance may request additional students for exit interviews to ensure diversity and fair representation of gender, ethnicity and other factors. The Compliance Office is responsible for contacting the student and arranging the exit interview.

Each student-athlete's interview is conducted by a group of two to three University administrators including the Faculty Athletics Representative, Associate Athletics Director for Compliance, and the Director of Compliance. Topics discussed include the recruitment process and experience, concerns related to their sport, 20 hours per week time restrictions, changes they recommend for intercollegiate athletics, student-athlete welfare and treatment by the institution, overall impression of athletics program, good and bad experiences, and scheduling conflicts between athletics and academics. Information shared in the exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well-being of the student-athlete and also ensures that the student-athlete feels comfortable sharing opinions.

Once interviews are complete, results are summarized and a written report is given to the Athletics Director for review. The Athletics Director reviews the interview results and meets with appropriate athletics administrators to discuss recommendations. Due to the limited number of exiting athletes, the information generally does not go directly to the coaching staff, as the comment/concern may be easily associated with a particular player. However, attention is given to all issues. Concerns and problems are reviewed with coaches in a non-incriminating mode.

Exit interview responses and open communication channels available to student-athletes have been well received. The Athletics Director has an open-door policy and invites student-athletes to visit should they have questions, comments or concerns.

Additionally, there are other opportunities for student-athletes to voice opinions and provide input to the Athletics Department. The Student-Athlete Advisory Committee (SAAC) consists of an elected representative from each sport, who serves a two-year term. The Faculty Athletics Representative serves as the faculty advisor to the SAAC. Attendance at all meetings is mandatory. Any student-athlete is invited to attend the SAAC meetings, but not allowed voting privileges. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." Committee meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department, who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Other avenues for student-athlete input include the open-door policy by all Athletics Department administrators and coaches for every student-athlete, surveys conducted across the student-athlete population on issues related to athletes, and the Athletics Director and the Associate Athletics Director for Compliance meeting with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The efforts by the Athletics Department to include student comments and opinions in this self-study have been greatly appreciated and respected.

8. Describe the institution's and/or athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e. financial aid and transfers) and in other areas (e.g. harassment, hazing, abusive behavior, sexual orientation). Also, identify the individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and describe the means by which the grievance and/or appeals procedures are communicated to student-athletes and staff.

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In General — As with all students in general, the rights of student-athletes are addressed and protected by UK Student Rights and Responsibilities rules governing student conduct, the University Judicial System for non-academic grievances and appeals, and Student Academic Affairs for academic grievances and appeals.

Financial Aid — The Associate Athletics Director for Compliance is responsible for grievances and appeals for financial aid and scholarships. The Athletics Department participates in a mandated hearing procedure. If aid is cancelled or reduced, the student-athlete has the right to a hearing upon request.

Transfer — Any student-athlete wishing to transfer must receive a written release through the Compliance Office with permission of the appropriate head coach. An appeal hearing conducted by an institutional entity outside the Athletics Department is available if the request for a release is denied.

Academics — The Academic Ombud handles grievances and appeals for academics and inappropriate or unprofessional instruction behavior, while the Dean of Students' Office and the Equal Opportunity Office handle grievances and appeals for hazing, abusive behavior, harassment and alleged discrimination.

Procedure — If a student-athlete has a grievance or appeal issue, the Athletics Department instructs the student-athlete to go to the appropriate coach. If allegations are against the coach, the student-athlete would go to the sports liaison for their team who is an Assistant or Associate Athletics Director. Student-athletes receive this information in a mandatory meeting held by the Athletics Department prior to each academic year. At this meeting, "Student-Athlete Handbooks" are distributed. Team meetings are held and the Athletics Director and staff member (s) from the Compliance Office speak with students regarding rules and regulations and respond to questions. Student-athletes are also involved in orientation prior to attending UK, where all students receive information about the Student Rights and Responsibilities Code of Student Conduct. Most student-athletes take a UK 101 course. This one-credit-hour course offered to first-year students is an introduction to University of Kentucky policies and procedures.

Fifty-eight percent of the student-athletes surveyed reported not knowing how to file a grievance or appeal, and another nine percent were unsure. Focus group responses from student-athletes were consistent with survey results. The focus group meeting with Athletics Department staff confirmed that numerous sources of information are in place to advise student-athletes of grievance and appeal procedures, including the sports academic advisor in CATS. Student-athletes were consistent in reporting that they readily seek the assistance of their sports academic advisors to help them resolve difficulties when needed.

Grievance and/or appeals procedures for staff are included in the Human Resources Policy and Procedure Administrative Regulations entitled Grievances. New Employee Orientation, Staff Employee Handbook, and SuperVision (a training program for supervisory personnel) advise staff members of their right to appeal adverse employment decisions.

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.

The Student Code of Conduct Admission policy states that an applicant for admission to the University shall not be discriminated against because of race, color, religion, sex, marital status, sexual orientation, national origin, age or beliefs. Moreover, no otherwise qualified person with a disability will be denied admission solely because of the person's disability.

Student-athletes are encouraged by their academic advisors to enroll in a UK 101 course that introduces students to college life. A diversity workshop is taught in this course that recognizes each individual as unique and different, including those with diverse sexual orientations.

The Counseling & Testing Center provides academic, career and personal counseling, outreach programs, consultation, training and community service to help all students succeed academically, develop and make progress toward life goals, and be productive members of the University and society. Often students encounter obstacles that make reaching those goals difficult. The Counseling & Testing Center services are designed to help students work through or around those obstacles to reach their goals. Issues that students often discuss in a counseling session include being different from others due to ethnicity, sexual orientation, disability, nationality and race.

Two University of Kentucky student organizations offer supportive environments for students with diverse sexual orientations. UK Lambda is an officially recognized gay, lesbian, bisexual, and transgender student organization that provides an outlet for students in social, political and educational arenas. UK Lambda empowers its members to develop an identity in the gay and lesbian community. Lavender Society is a safe and fun place to promote dialogue

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and community among lesbians, bisexual women, transgender people, and their straight allies. Lavender Society addresses heterosexism as well as sexism, and meetings have a woman-centered focus.

- 10.** Identify the mechanisms in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

Athletic Training — The Athletics Director supervises the Head Athletics Trainer-Administration and the Head Athletics Trainer-Football. The Head Athletics Trainer-Administration coordinates and supervises athletic training coverage of all sports except football. As part of the student-athlete's educational program, athletic training staff arranges for lectures to all student-athletes on medically related topics for individuals, groups and teams. The athletic training staff also offers instruction in athletic training skills, first aid, and CPR. Compliance is responsible for ensuring that each student-athlete is eligible to train, practice and compete in sports by passing their physical exam.

Athletic Medicine Program — The Athletic Medicine Program, under the leadership of the Medical Director for Athletic Medicine, provides comprehensive sports medicine care for athletically related illnesses and injuries. This is subject to NCAA, SEC and Athletic Association rules and within the limitation of the Athletic Association insurance policies. Specific treatment and rehabilitation programs are developed for the student-athlete's illness or injury following athletic training staff evaluation and medical referral. The primary vehicles for disseminating information on the program include the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Alcohol and Drug-Free Environment — The Athletics Department is committed to providing an alcohol and drug-free environment. To meet this commitment a comprehensive Alcohol and Drug Policy and Program, under the leadership of the Head Athletic Trainer-Administration, has been developed and implemented with the following objectives:

- Provide a non-abusive alcohol use and drug-free environment.
- Educate student-athletes, coaches and staff members.
- Identify student-athletes, coaches, or staff members who are abusing alcohol or drugs.
- Assist individuals who use or abuse drugs or alcohol with referral for counseling and rehabilitation.
- Provide a fair administrative process for sanctions and appeals.
- Provide information and warnings about the use of supplements.

On October 1, 2003 the Athletics Department hosted a mandatory presentation for student-athletes and staff. Will Keim, the guest presenter, included in his presentation the pitfalls of drug and alcohol use, and how drug and alcohol use affects lives. The featured speaker for October 11, 2004 was Richard Lapchick. Mr. Lapchick's presentation addressed athletes as role models and student-athlete integrity. Information on the program, including a description of the CATS CARE program, is disseminated through the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Travel Safety — Distance of competition and size of the team determine if the team travels by air or takes charter buses or vans. During the course of the self-study, student-athlete input indicated unanimous satisfaction with safety and accommodations while traveling. The Athletics Commitment to Equity Plan establishes a fall 2004 goal to provide options for per diem or team meals based upon nutrition, travel and team needs for women's teams.

Before away competition, teams are gathered for a meeting and given safety rules while traveling. The policy regarding the health and safety of student-athletes while traveling is provided in the Athletic Training Department Handout and the "Student-Athlete Handbook" under Injuries on the Road. A trainer ensures that each student-athlete is being cared for in case of an injury. Overall responsibility to ensure team safety during travel rests with the head coach.

- 11.** Describe the institution's emergency medical plan for practices and games. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

Every student-athlete is entitled to state-of-the-art medical care. The Athletic Training/Medical staff coordinates and delivers professional and comprehensive preventive, treatment, rehabilitation and counseling services to all UK

Equity, Welfare and Sportsmanship

student-athletes. A summary of specific guidelines is contained in the "Student-Athlete Handbook" and distributed each year in mandatory Athletics Department meetings.

The Athletics Medical staff is comprised of a Head Team Physician and Orthopedic Team Physicians. A Team Physician and a Staff Athletic Trainer coordinate all consultation appointments. The full-time certified Athletic Training Staff consists of an Administrative Head Athletic Trainer, Football Head Athletic Trainer, Staff Assistants, and Graduate Assistants. After the athletic training staff evaluates an injured student athlete, specific guidelines are followed for medical referral.

An Athletic Trainer is assigned to every home game and practice session to assist student-athletes as needed. If a student-athlete is injured during away competition, and no University of Kentucky Athletic Trainer is in attendance, the coach will contact the host Athletic Trainers for evaluation and treatment.

Eight athletic training rooms are maintained to meet the student-athlete's needs. The three main athletic training rooms contain state-of-the-art equipment specifically for the treatment and rehabilitation of athletic injuries. Five satellite athletic training rooms are equipped to handle routine athletic training needs and treatment. Unique equipment strategically placed to service the most student-athletes possible includes the following:

—Portable X-Ray Unit with CR Reader: a portable x-ray unit set up with a computer that enables x-rays to be taken on location within minutes for a physician's viewing. This unit is available for home football games and men's basketball games.

—Biodex Isokinetic Rehabilitation Unit: a computer generated machine that applies isokinetic resistance to joints tested or rehabilitated to determine strength level. This unit is available for all sports.

—Swim-Ex Aquatic Rehabilitation Pool: A pool that allows all student-athletes to condition while rehabilitating from an injury. Aquatic rehabilitation does not stress injured joints and other parts of the body as much as actual running or lifting of free weights. All advanced treatment and rehabilitation are performed under the supervision of members of the full-time professional Athletic Training staff.

In response to the student-athlete survey, 77 percent of the student-athletes reported being injured in practice or competition. Most of those injured required medical care for their injuries. Eighty-six percent rated the quality of medical care received as good or excellent.

Procedures for emergency care of student-athletes are reviewed and updated annually.

12. Describe the institution's written emergency plan for the athletics program and specific coverage for out-of-season workouts, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The procedures to follow when an emergency occurs in the evening after practice or in the off-season are disseminated to student-athletes in the "Student-Athlete Handbook" as follows:

—If the injury is not life threatening, first try to contact the Athletics Trainer in charge of the sport. (If not available, contact a Staff Athletic Trainer.)

—If unable to contact an Athletic Trainer, go to the UK Emergency Room unless the athlete has a specific HMO or insurance policy which requires treatment elsewhere.

—If the emergency is not directly related to a supervised official practice or competition, the parent or athlete will be responsible for the cost.

—It is necessary to contact the Athletic Trainer within 24 hours so consistent medical care and documentation can be maintained.

—If the Athletic Trainer is contacted, they will perform an evaluation and if necessary, the student-athlete will be referred to a UK Team Physician or to University Health Services for a follow up.

13. Using the program areas for student-athlete welfare issues please:

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

Equity, Welfare and Sportsmanship

1. Evaluation. Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to student-athlete welfare, including the evaluation of the effectiveness of mechanisms to ensure the health and safety of student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The welfare of student-athletes is continuously monitored and evaluated by the Athletics Department as part of their strategic planning and periodic review of activities related to goals and objectives for student-athlete welfare. Student-athlete welfare is monitored and evaluated by the Athletics Department through the following methods: strategic planning and evaluation that includes the gender and minority plans, exit interviews and summaries, Student-Athlete Advisory Committee feedback, review by the Academic Integrity Committee, review by the UKAA Student-Athlete Welfare Committee, and the open door policy of athletics administration. Additionally, the grievance procedure provides a means for students to express their concerns and bring to light any areas that may need to be addressed. Furthermore, university-wide evaluations for student-athlete welfare and general student welfare issues are conducted by the various University offices which administer student welfare programs, as well as the Office of Institutional Research, Planning, and Effectiveness, which oversees the ongoing strategic planning and evaluation conducted by all university departments.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

Annual summaries are written following the completion of exit interviews, survey results are tabulated, feedback for SAAC meetings are reviewed, minutes are taken at each Academic Integrity Committee meeting, and program evaluations are recorded as part of ongoing strategic planning and evaluation. Responses are provided to the appropriate personnel within the Athletics Department for analysis. Information gathered is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming and results are used to make adjustments in programs and services offered to student-athletes. For example, since the first-cycle certification process, the following issues have been addressed and improved based on exit interview results:

—In response to student-athlete feedback that some coaches, at their discretion, withheld the full amount of meal money allocated for road trips (i.e. provided less for breakfast than allowed and so forth) for various purposes, the Athletics Department implemented changes to ensure that all student-athletes receive the same amount;

—In response to female student-athlete feedback that athletic trainers assigned to them were not sufficiently experienced in working with female athletes, trainers more experienced with female athletes are now assigned to female teams; and

—In response to student-athlete feedback that athletic trainers are not always sufficiently experienced in a particular sport to which they are assigned, trainers with sport specific experience are now assigned appropriately to teams.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. Annual evaluations of employees and programming are also required. Three groups described at various times throughout this report — the Student-Athlete Advisory Committee (SAAC), the Academic Integrity Committee (AIC), and the UKAA Student-Athlete Welfare Committee — will help ensure regular evaluation in the future.

2. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.

a. Describe how the institution studies these topics as they apply to all student-athletes.

Equity, Welfare and Sportsmanship

The Athletics Department has professional staff members in the CATS center that have specific responsibility for student-athlete welfare, including career development, academic advising, and life skills, as well as professional staff in the area of athletic training. Interaction between student-athletes and Athletics Department personnel provides an open system of support and immediate points of contact for all student-athletes. In addition, the University provides outstanding services for the general student population in areas related to health and wellness, personal counseling, career services, academic achievement, diversity workshops, and orientation. Evaluation of organization and structure is conducted annually as part of the ongoing strategic planning and evaluation process of the University.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Athletics Department promotes an open-door policy, which provides student-athletes and Athletics Department personnel an open system of support. Frequent interaction between student-athletes and Athletics Department personnel provides greater accessibility for student-athletes seeking support and assistance. Through annual reviews conducted by all university departments, the organization of all student welfare programs is reviewed and evaluated. For example, results of the most recent university-wide Graduating Senior Survey indicated the percent of students using services that were satisfied or very satisfied with various organizations or structures related to student welfare as follows:

- Counseling & Testing Center (personal counseling) — 60%
- Career Center Services — 63%
- Health Services — 72%
- Fitness and Athletic Facilities — 84%
- Student Center Recreation Areas — 60%

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services provided for student-athletes and will continue to work to improve the quality and effectiveness of services.

3. Participation in Governance and Decision-Making Involvement of student-athletes in the governance and decision-making processes of the athletics department (including the student-athlete advisory committee).

a. Describe how the institution studies these topics as they apply to all student-athletes.

The Athletics Department has a Student-Athlete Advisory Committee (SAAC) composed of an elected representative from each sport, who serves a two-year term. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." In addition to the team representatives, SAAC meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Additionally, each athletic team elects a team captain and conducts regular team meetings. The team captain has the responsibility to bring student-athlete concerns to the attention of coaches and professional staff. Through the process of the self-study, it became apparent that the effectiveness of the team captain and the SAAC liaison depends on the elected person and their willingness to be an active leader and strong advocate for their team.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Student-Athlete Advisory Committee (SAAC) serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals. In response to the student-athlete survey, 14% of

Equity, Welfare and Sportsmanship

the student-athlete respondents felt the SAAC was very effective, 45% felt the SAAC was effective, 39% felt SAAC was somewhat effective, and only 8% felt SAAC was not effective.

Athletes also participate through discussions at team meetings as information and/or concerns from these meetings are passed along to the Athletics Department administration through team captains. Additionally, the Athletics Director and the Associate Athletics Director for Compliance meet with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The evaluation process for programs within the Athletics Department incorporates information from these meetings, which ensures important information on student-athlete welfare is brought to the attention of athletics administrators.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The Athletics Department does not plan any changes to the structure of the Student-Athlete Advisory Committee or to other opportunities for student input. However, as a result of this self-study, the Subcommittee recognizes the need for minutes from SAAC meetings to be kept by an assigned administrator and available for review at any time.

4. Programs and Activities Establishment of programs that address the needs and issues affecting student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The University provides a variety of programs and activities within the Athletics Department and in the overall University created to promote the welfare of student-athletes. Specifically, the CATS center and the CHAMPS Life Skills programs are the main avenues to maximize academic achievement, personal growth, and improve post-college quality of life among student-athletes. Additionally, the University provides new student orientation and UK 101 courses to aid the transition from high school to college life, as well as workshops on life issues, assistance with study abroad, student health services, career development, and personal counseling.

The University requires ongoing strategic planning of all University departments, which requires an annual review of these programs. Information from exit interviews, surveys, SAAC feedback, and Academic Integrity Committee meeting minutes is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming. Results are used to make improvements in programs and services offered to the student-athletes. Additionally, input from staff, students and coaches is constantly examined, as well as annual evaluations of employees and programming, in analyzing the effectiveness of the programs offered.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

As listed previously, all programs and activities involving student-athlete welfare are annually reviewed and evaluated by the associate athletic director responsible for their administration. Additionally, the ongoing strategic planning of all University departments requires every program to provide data and be thoroughly reviewed and analyzed for student welfare and effectiveness.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services or programming provided for student-athletes. Three major groups — SAAC, AIC, and the UKAA Student-Athlete Welfare Committee — will continue to monitor student-athlete needs and identify areas for improvement.

Information to be available for review by the peer-review team, if requested:

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- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.
- Media guides.
- Institution's student-athlete handbook or, if no such handbook exists, institution's method(s) for conveying athletics policies and procedures to student-athletes.
- Written materials (e.g., forms) used to document student-athlete exit interviews.
- Institution's and/or athletics department written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.

Evaluation

1. Does the institution demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students? **Currently Yes**
2. Does the institution provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis? **Currently Yes**
3. Does the institution have established grievance or appeal procedures available to student-athletes in appropriate areas? **Currently Yes**
4. Does the institution provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes? **Currently Yes**

Equity, Welfare and Sportsmanship

Operating Principle

4.4 Sportsmanship and Ethical Conduct

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.4 (Sporting and Ethical Conduct) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

Not Applicable.

6. Provide the institution's written policies and procedures on sporting and ethical conduct.

Not Applicable.

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7. Describe any sanctions that may be levied for inappropriate behavior by all individuals associated with the intercollegiate athletics program.

Not Applicable.

8. Describe the institution's method(s) for communicating the institution's sporting and ethical conduct policies and procedures to all individuals associated with the intercollegiate athletics program.

Not Applicable.

9. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.

Not Applicable.

10. Describe educational activities related to sporting and ethical conduct for student-athletes, coaches, institutional staff members, boosters, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.

Not Applicable.

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

Not Applicable.

12. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sporting and ethical conduct (e.g., citations or sanctions from the conference office, sanctions or reprimands from the NCAA for conduct during its championships, awards received by the institution or its athletes for exemplary behavior in this area).

Not Applicable.

Evaluation

1. Does the institution demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sporting and ethical conduct? **Currently Yes**
2. Does the institution have established a set of written policies and procedures for this area? **Currently Yes**
3. Does the institution demonstrate that educational activities related to sporting and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience? **Currently Yes**
4. Does the institution provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis? **Currently Yes**

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION ATHLETICS AND SELECTED INSTITUTIONAL PERSONNEL

		Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Year		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
S e r A d m i n i s t r a t i v e D e p t	F	0	0	0	0	0	0	1	1	1	0	0	0	10	11	11	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
O t P r o f e s s o r i a l A t h l e t i c s D e p t	F	0	0	0	1	0	0	1	1	1	0	0	0	53	54	40	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
H e a d C o a c h e s	F	0	0	0	0	0	0	2	2	2	0	0	0	15	15	16	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A s s i s t a n t C o a c h e s	F	0	0	0	0	0	0	10	8	5	0	0	0	26	25	25	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T o t a l s (f o r A t h l e t i c s D e p t P e r s o n n e l)	F	0	0	0	1	0	0	14	12	9	0	0	0	104	105	92	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
F a c u l t y - B a s e A t h l e t i c s B o a r d C o m m u n i t y M e m b e r s		0	0	0	0	0	0	4	5	4	0	0	0	25	30	29	0	0	0

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O t		0	0	0	0	0	0	4	4	4	0	0	0	15	16	16	0	0	0
Advi	or																		
P o	i c y -																		
M a	g																		
G r	p																		
Mem																			

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

Year	Racial or Ethnic Group																	
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
All Students	37	41	39	489	490	449	1299	1328	1310	228	207	183	21216	20339	19731	926	947	831
Student-Athletes	1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION MEN'S AND WOMEN'S SPORTS TEAMS

Sports	Year	Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball		0	0	0	0	0	0	0	2	2	0	0	0	27	24	21	0	0	0
Men's Basketball		0	0	0	0	0	0	10	11	9	0	0	0	2	2	1	0	0	0
Football		1	1	0	0	0	0	43	42	44	0	1	1	34	44	44	1	0	0
Men's Track / Cross Country		0	0	0	0	0	0	4	3	4	0	0	0	11	12	16	0	0	0
Men's Other Sports and Mixed Sports		0	0	0	0	0	0	7	4	0	4	3	3	70	66	52	2	0	1
Women's Basketball		0	0	0	0	0	0	9	10	10	0	0	0	3	2	2	0	0	0
Women's Track / Cross Country		0	0	0	0	0	0	7	7	11	0	1	0	17	14	13	0	0	0
Women's Other Sports		0	0	0	1	2	1	4	1	2	1	1	1	100	94	91	5	2	2
Total		1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance

2003-2004
DIVISION I
ATHLETICS
CERTIFICATION
SELF-STUDY
INSTRUMENT

Introduction to Self-Study Report

Introduction to Self-Study Report**Institutional Information**

1. Type of Institution: Public
2. Year institution was founded: 1865
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: 22619
6. Number of Faculty [using a full-time-equivalency (FTE) basis]: 2086
7. Highest level of academic degree offered: doctoral
8. Institution's governing entity: board of trustees
9. a. Regional accreditation agency: SACS
9. b. Date of most recent regional accreditation self-study: April 2002
9. c. Current accreditation status: Reaccredited

Athletics Information

1. Subdivision status of athletics program (Academic Year 2004): I-A
2. Conference affiliation(s) or independent status (Academic Year 2004):

Baseball	Southeastern Conference
Football	Southeastern Conference
Men's Basketball	Southeastern Conference
Men's Cross Country	Southeastern Conference
Men's Golf	Southeastern Conference
Men's Soccer	Mid-American Conference
Men's Swimming	Southeastern Conference
Men's Tennis	Southeastern Conference
Men's Track, Indoor	Southeastern Conference
Men's Track, Outdoor	Southeastern Conference
Mixed Rifle	Independent
Softball	Southeastern Conference
Women's Basketball	Southeastern Conference
Women's Cross Country	Southeastern Conference
Women's Golf	Southeastern Conference

Introduction to Self-Study Report

Women's Gymnastics	Southeastern Conference
Women's Soccer	Southeastern Conference
Women's Swimming	Southeastern Conference
Women's Tennis	Southeastern Conference
Women's Track, Indoor	Southeastern Conference
Women's Track, Outdoor	Southeastern Conference
Women's Volleyball	Southeastern Conference

3. Athletics program structure ('X' all that apply):

- 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 previous certification self-study and impact (if any) on the areas of the certification program.

The University of Kentucky began a self-investigation of possible recruiting violations in its football program in November 2000. This investigation resulted in a self-report of several violations, some of which the institution determined were major. This self-report was sent to the National Collegiate Athletics Association (NCAA) National Office in February 2001. The NCAA conducted its own investigation and issued an Official Letter of Inquiry to the University of Kentucky on August 3, 2001. The University responded to the Official Letter of Inquiry on September 28, 2001 and participated in a hearing before the NCAA Committee on Infractions in November 2001. The Committee's decision regarding this case was delivered on January 30, 2002.

One of the major infractions discovered during this investigation involved academic fraud on the part of an athletics department coaching staff member. The University's investigation, the report of the investigating committee (the Lawson report), and corrective actions resulting from the Lawson report are documented under Operating Principle 1.2, self-study items 5 and 6, within the Minutes of the Board of Trustees and the University of Kentucky Athletics Association Board of Directors. Other infractions involved recruiting activities during official and unofficial visits. Changes in the policies and procedures governing these visits have had an impact on the Rules Compliance area. Monitoring of compliance, mechanisms for reporting possible violations, and educational presentations (attendance is mandatory) by the Associate Athletics Director for Compliance are discussed extensively in the responses throughout Operating Principle 1.3, Rules Compliance. Additional issues resulting from the infractions case have been studied in the academic integrity portion of this self-study.

The NCAA sanctions have had an impact on several areas within the Athletics Department, but none as significantly as the football program. As a result of the infractions case, dismissal of coaching staff, and resulting changes in administration, the University of Kentucky has had three football coaches in four years. Due to the NCAA sanctions, there was a decrease in scholarships and several student-athletes transferred from the program. These changes have had an impact on graduation rates and performance on the field, and they have altered significantly the way the University of Kentucky Athletics Association conducts business.

5. Other signification events (with dates) in the history of intercollegiate athletics program:

The University of Kentucky Athletics Association — currently 22 sports strong with an annual budget of more than \$50 million — traces its roots to humble origins late in the 19th century.

The University of Kentucky was founded in 1865 as part of Kentucky University, the agricultural and mechanical extension school of what is now known as Transylvania University. The schools separated in 1878, leading to UK's first known intercollegiate competition on November 12, 1881, when a football team from Kentucky State College (i. e., UK) defeated a squad from Kentucky University (Transylvania) by the score of 7 1/4 to 1.

Introduction to Self-Study Report

The schools played three football games that year. More games are believed to have been played in the 1880s, but appear to be lost in the annals of history. Records confirm a football team in 1891, followed by track in 1894, and baseball in 1896.

Basketball teams were officially organized in 1903 for both men and women, but in the early years it was the women's squad that best flexed its muscles and gained notoriety. Women's teams in gymnastics and tennis also came along, but in 1924 women's sports were abolished when the University administration decided that varsity athletics were too strenuous for the gender.

It was in 1909 that the UK teams received their nickname. Following a football victory over Illinois, Commandant Carbusier, then head of the military department, told a group of students in chapel service that the team had "fought like wildcats." The nickname grew in popularity and was adopted by the University.

Initially, the administration of athletics at the University was student-run. Over the years, as sports — especially football — grew in popularity, the University faculty and administration became more involved. From the early years, periods of prosperity were interspersed with times of turmoil, and on occasion there were calls to abolish some or all of the men's sports as well.

Events of the 1930s proved pivotal. In 1930, Coach Adolph Rupp was hired, a decision which laid the foundation for Kentucky to become the premier program in college basketball history. In 1932, UK became a charter member of the Southeastern Conference. Effects of the Great Depression led to financial chaos, however, and the University administration reorganized athletics in 1938.

As part of the reorganization, Bernie Shively was appointed the director of athletics. Shively served until 1967, and it was during his term that UK Athletics became a stable entity. Post-World War II was a period of great success, as Rupp's teams won national championships in 1948, 1949, 1951, and 1958. Paul "Bear" Bryant was the football coach from 1946-53, going to the Orange, Sugar, and Cotton bowls in successive seasons and winning a share of the 1950 national championship.

After a half-century of dormancy, women's varsity athletics returned in the 1970s with the founding of basketball, indoor/outdoor track, cross country, tennis, volleyball, and swimming teams. Golf, gymnastics, soccer, and softball teams have been added, giving the Wildcats 11 women's sports.

Men's sports also grew over the years and the current lineup includes baseball, basketball, cross country, football, golf, soccer, swimming, tennis, and indoor/outdoor track for a total of 10 teams. Rifle, a combined men's/women's team, completes the list of sports. Men's basketball has been UK's best-known endeavor, with seven national championships and more wins than any collegiate team. Several other UK sports have been successful as well, winning numerous conference and/or NCAA championships.

Shively was succeeded as athletics director by Harry Lancaster (1967-75), Cliff Hagan (1975-89), C. M. Newton (1989-2000), Larry Ivy (2000-02), and Mitch Barnhart (2002-present). Under Barnhart's leadership, University of Kentucky Athletics strives for success on and off the playing field based on the director's five principles:

- 1) be first-class in everything we do;
- 2) operate with great integrity;
- 3) provide the student-athlete with the best possible experience;
- 4) sound financial management; and
- 5) expect to win championships in all sports.

The administration, faculty, and students of the old Kentucky University would be amazed to see how the school has developed — a student body of more than 26,000; nearly 11,000 faculty and staff; and up to 70,000 people attending a football game at Commonwealth Stadium or 24,000 packed into Rupp Arena. But, at the end of the day, the goals are the same: provide quality education for University of Kentucky students and "fight like Wildcats."

Previous Certification Self-Study

4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study.

The University of Kentucky and its athletics program have experienced significant senior-level position changes since the previous certification self-study. The Commissioner of the Southeastern Conference (2002), the President of the University (2001), and the Director of the Athletics Department (2002) have all changed in the last three years. Each of these changes resulted in personnel decisions and actions at other major management levels. This infusion of new philosophies and ideas has had a major impact on the very way UK Athletics conducts its business.

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However, the leadership of the Athletics Department firmly believes that the changes have resulted in growth, improved accountability, and overall quality enhancement of the program.

At the institutional level, Lee T. Todd, Jr. took office as UK's eleventh president on July 1, 2001. At that time the administrative structure of the University was immediately changed to reflect President Todd's vision of "one university." The new administration brought all academic areas under the oversight of a Provost, with Associate/Vice Provosts, Deans, and other academic support unit heads reporting to the Provost. The Provost reports to the President and, as second in command, represents the President in his absence. Three Executive Vice President positions were created to manage the areas of Finance and Administration, Research, and Health Affairs. These individuals along with the Athletics Director, General Counsel, and Chief of Staff report directly to the President. President Todd established two commissions, The President's Commission on Diversity and The President's Commission on Women, to monitor, develop and report on progress in these areas. Each commission is headed by a Chair, who reports directly to the President. Senior-level administrative staff is completed by the Vice President for Development, the Vice President for University Initiatives, and the Vice President for Institutional Research, Planning and Effectiveness. While all of these positions report to the President, both the Vice President for University Initiatives and the Vice President for Institutional Research, Planning and Effectiveness also have a reporting relationship to the Provost in recognition of their support of the University's academic mission.

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 certification self-study:

Besides the significant leadership changes described in #4 above, other significant changes that have had an impact on the institution and/or athletics program include:

—The institution experienced six years of consecutive increases in its six-year graduation rate, setting a new record each time and increasing from 48% to 61% in fall 2003. As presented in the NCAA Graduation Rate reports, the student-athlete rates have increased from 40% in fall 2001 to 48% in fall 2002. Graduation rates are improving with continuing efforts being made to match or exceed the improving graduation rate for all students. As emphasized in the new goals for the department, graduating student-athletes is a priority.

—In 1997, softball was added, making it the twenty-second sport sponsored by UK, the most of any school in the SEC.

—With the new administration in 2002, there have been significant changes in all aspects of the Athletics Department, and they are described throughout this self-study report.

—A new mission statement was developed for the Athletics Department to reflect the philosophies and priorities of new leadership:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, state, SEC and NCAA rules."

—The Athletics Director established the following five principles that reflect the mission of the department:

- 1) Operate in a first-class manner
- 2) Possess great integrity
- 3) Keep the focus on the student-athletes
- 4) Provide sound fiscal management
- 5) Compete for championships in all sports

—Another positive change is the contribution Athletics makes to the University. Beginning in FY04, Athletics committed \$1 million a year for 10 years to the University for scholarships.

—A new account structure was developed, creating more accountability for all sports and units and promoting sound fiscal management by all areas.

Certification Self-Study Information

1. Steering Committee Chair: Dr. Connie Ray
2. Chief report writer/editor of self-study report: Carl Nathe

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

As stated in the University's Self-Study Plan, a broad-based, complete, and accurate self-study is only possible when there is participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was first paid to the appointment of members to the Steering Committee and three subcommittees. Committee members were seen as links for an ongoing dialogue with that portion of the campus or community they represented. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the steering committee or subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups or individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

The final committee structure reflected good racial and gender representation and included members from both inside and outside the Athletics Department. Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members were recommended by the Student Government Association. Individuals interested in participating in the self-study process also contacted the Chair of the Steering Committee to volunteer their services. Final committee make-up included faculty, staff, students, student-athletes, administrators, a member of the Board of Trustees, a member of the UKAA Board of Directors, a community representative, and alumni.

Before beginning the self-study process, the Steering Committee adopted a Communications Plan designed to ensure that the campus and community were aware of the importance of the self-study and to provide opportunities for participation in its completion. A web page was developed and publicized through a campus-wide email from the President to ensure broad-based, two-way communication with the campus community and the general public. Articles, updates and progress reports were regularly posted to the Web or published in campus and other local publications. Each committee developed and posted a schedule of meetings and minutes of their proceedings in order to maintain a record of opportunities provided to the campus and community for input into the self-study process and to assure that all meetings were accessible to individuals and campus groups.

Throughout the self-study process, the Steering Committee and individual subcommittees met with student-athletes, coaches and other athletics personnel, administrators, faculty, or University personnel specific to individual operating principles as needed in order to gather information and prepare responses to self-study items. Steering Committee members attended meetings of the Student-Athlete Advisory Committee to engage them in the process and seek their help in developing strategies to ensure participation of all student-athletes. As a result, two focus groups were conducted with student-athletes, and a web-based survey of all student-athletes was carried out. These activities ensured that every student-athlete had an opportunity for input into the self-study.

Upon completion of the self-study, the draft report was posted to the web site followed by a campus-wide email from the President inviting review and comment. A public community forum was held to share self-study results and invite comment or suggestions related to the self-study findings and needed plans for improvement. Feedback was reviewed by the Steering Committee and incorporated as appropriate prior to finalizing the self-study for approval by the Board of Trustees.

Following is a schedule of formal presentations made to share self-study results and solicit input into findings and plans for improvement:

- Alumni Association Board, September 18, 2004, 2:30 p.m.
- University Faculty Senate, October 11, 2004, 3:00 p.m.
- Student-Athlete Advisory Committee, November 2, 2004, 8:30 p.m.
- Provost's Council (including Deans), November 9, 2004, 8:00 a.m.
- President's Staff, November 10, 2004, 8:00 a.m.

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Community Forum, November 11, 2004, 7:00 p.m.

UKAA Board of Directors and Board of Trustees, November 19, 2004, 10:00 a.m.

4. Provide a copy of the institution's written plan for conducting the self-study.

THE UNIVERSITY OF KENTUCKY PLAN FOR COMPLETING THE SELF-STUDY FOR NCAA DIVISION I CERTIFICATION

REVISED FEBRUARY 3, 2004

GOALS

1. Solicit input and feedback from all interested constituencies to ensure balanced, broad-based participation in the self-study process.
2. Conduct an accurate, complete and thoughtful review of the Athletics Department that recognizes its many strengths as well as areas where improvements are needed. Evaluate progress made since first-cycle review.
3. Aid in establishing a departmental culture that values integrity, sound fiscal policy and excellence in developing student-athletes to their full potential, including academics and competition.
4. Demonstrate compliance with the NCAA Operating Principles leading to continuation of NCAA certification in the second-cycle review.

INSTITUTIONAL PLANS AND RECOMMENDATIONS RESULTING FROM FIRST-CYCLE REVIEW

The University of Kentucky completed the NCAA first cycle review of its athletics program in 1996-97. As a result, the NCAA Committee on Athletics Certification reviewed written materials prepared by UK and the campus evaluation visit conducted by the peer-review team and concluded that UK should be certified. This meant that UK was considered to be operating its athletics program in conformity with NCAA's Division I operating principles and that any problems identified were considered to be not serious enough to affect certification status. As part of its certification decision, the committee determined that UK must address three strategies for improvement. The NCAA peer-review team will review UK's progress on the following three strategies during the second-cycle review:

- Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, travel, per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity
- Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative.
- Ensure that the Wildcat Foundation and other booster organizations of UK are subject to a more thorough financial audit conducted by an outside auditor (as opposed to only a disclosure of financial summary data verified by outside auditors), as part of the annual external financial audit required by NCAA Constitution 6.2.3.1.

UK Self-Study

The written materials prepared by UK for the NCAA Committee on Athletics Certification included a self-study report in which each subcommittee made suggestions for improvement. These suggestions are listed below. Additionally, the University of Kentucky's minority and gender plans were revised and submitted to the NCAA shortly after first-cycle certification review, as requested.

Governance and Commitment to Rules Compliance

- The president, as chair of the Athletics Association Board, should conduct an orientation meeting, beginning fall 1996, for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletic Association Board.
- The chair of the Student-Athlete Advisory Committee should be appointed as one of the two student members of the Athletic Association Board beginning fall 1997. The president will make the appointment effective July 1, 1997.
- The director of athletics and the faculty athletics representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.
- The assistant director of athletics for compliance should present an annual oversight report to the Athletic Association Board, beginning with the academic year 1996-97.
- The University should utilize the Southeastern Conference Compliance Review Program to conduct rules-compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996.
- The assistant director of athletics for compliance should meet annually with each booster group to provide rules education, beginning fall 1996.

Academic Integrity

- The Academic Integrity Group should be formally recognized by the president in the academic year 1996-97 as a

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continuing committee.

—The president should include in the responsibilities of the Academic Integrity Group oversight of the academic support services and should appoint the dean of undergraduate students to assist in achieving this goal.

Fiscal Integrity

—Budget revisions should be handled throughout the year by the senior associate director of athletics when the overall budget is increased or decreased by obtaining approval of the UKAA and the UK Board of Trustees as the need occurs, beginning fiscal year 1996-97. This is currently done only at year-end.

Commitment to Equity

—The Director of Athletics should continue the commitment to increase the number of African Americans in senior administrative, professional and head coaching positions in the Athletics Department as positions become available.

—The Director of Athletics should continually strive to achieve the objectives outlined in both the plan for gender equity and the plan for addressing minority opportunities.

—The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews.

COMMITTEE FUNCTION AND COMPOSITION

The Steering Committee Chair

Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness, was appointed as Chair of the Steering Committee by President Lee T. Todd, Jr. Dr. Ray has a direct reporting line to the President, has direct access to the President, and has the authority to oversee the self-study process.

Steering Committee and Subcommittees

All subcommittee chairs also serve as members of the Steering Committee. All committee members were appointed with the oversight and approval of President Todd. Names and titles of steering committee and subcommittee members can be found at the end of this section.

While the majority of members of the steering committee and three subcommittees have no day-to-day connection to university athletics, there is good representation of members from both inside and outside the Athletics Department.

Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members' names were provided by the Student Government Association.

There is good racial and gender representation throughout the committee structure, including the steering committee and subcommittee chairs. One means of assuring broad-based participation in the self-study process was inclusion of faculty, staff, students, student-athletes, administration, a member of the Board of Trustees, a community representative, and alumni on the various committees.

All individuals appointed to either the Steering Committee or one of the subcommittees were given the opportunity to refuse participation in this project. It is assumed that those who have agreed to participate have an adequate amount of time to devote to completion of the project.

RESPONSIBILITIES

Steering Committee

—Hold regular meetings.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Maintain a record of opportunities provided to the campus community for broad-based input into the self-study process, as well as updates and progress reports posted to the Web or published in campus or local publications.

—Review the progress of subcommittees by receiving, analyzing, and interpreting their reports.

—Prepare a final self-study report, relying on the reports of the subcommittees and aided by the chief report writer who will attend all meetings of the steering committee.

—Host the peer-review team.

Subcommittees

—Meet monthly or more often as needed.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Assure that all subcommittee meetings are accessible, providing opportunities for individuals and campus groups to be heard.

—Hold public meetings/forums as necessary to invite input and gather information.

—Meet with the Student-Athlete Advisory Committee to solicit input.

—Meet with/interview members of the Athletics Department and student athletes as appropriate to gather information necessary for completing subcommittee assignment.

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- Assign a member from the Athletics Department to assist in collecting necessary data.
- Collect, organize and interpret data pertinent to subcommittee assignment.
- Assure conformity with the NCAA Operating Principles.
- Check for areas of overlap with other subcommittees (see page 36 of the NCAA self-study instrument).
- Write the subcommittee report.
- Develop appropriate institutional plans for improvement.
- Provide monthly reports/updates to the steering committee.

NCAA Division I Certification Steering Committee

Connie A. Ray, Chair and Vice President for Institutional Research, Planning & Effectiveness (appointed by President)

Lee T. Todd, Jr., President (required)

Douglas A. Boyd, Acting Chief of Staff to the President (President's designee)

John J. Piccoro, Jr., Faculty Representative to NCAA and Professor, Pharmacy (required)

Mitch Barnhart, Director of Athletics (required)

Micki King, Assistant Athletics Director and Senior Woman Administrator (SWA) (required)

C. Darrell Jennings, Chair of the Academic Integrity Subcommittee and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Lionel Williamson, Chair of the Equity and Student-Athlete Welfare Subcommittee and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Ken Roberts, Chair of the Governance and Commitment to Rules Compliance Subcommittee and Dean of the College of Pharmacy (recommended by Faculty Senate)

Mary Marchant, Professor in the College of Agriculture (recommended by Provost; member of President's Commission on Women)

William. B. Daugherty, Jr., Alumni Representative (recommended by Alumni Association)

Barbara Young, UK Board of Trustees (recommended by President)

Antoine Huffman, Student-Athlete (recommended by Athletics Director)

Jessica Burke, Student-at-Large (recommended by Student Government Association)

Chief Report Writer: Carl Nathe, UK Public Relations (Recommended by Director, UK Public Relations)

Campus Liaison: Lisa Peterson, Assistant Athletics Director for Business (Recommended by Athletics Director)

Governance and Commitment to Rules Compliance Subcommittee

Ken Roberts, Chair and Dean of the College of Pharmacy (recommended by Faculty Senate)

Sandra D. Bell, Associate Director of Athletics for Compliance (recommended by Athletics Director)

Mary J. Davis, Stites and Harbison Professor of Law (recommended by Provost)

Karen Combs, Vice Provost for Budget and Administrative Services (recommended by Provost)

Lynda George, Director of Financial Aid (recommended by Associate Provost for Undergraduate Education)

Barbara Jones, Legal Office (recommended by Steering Committee Chair)

Luther Deaton, Community Representative (recommended by Athletics Director)

Steve Parker, Associate Professor in Kinesiology and Health Promotion (recommended by The President's Commission on Diversity)

Alexis Bwenge, Student-Athlete (recommended by Athletics Director)

Matthew Rippetoe, Student-at-Large (recommended by Student Government Association)

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Academic Integrity Subcommittee

C. Darrell Jennings, Chair and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Robert L. Bradley, Associate Athletics Director for C.A.T.S. (recommended by Athletics Director)

Victor Hazard, Associate Vice President and Dean of Students (recommended by Vice President for Student Affairs)

Michelle Nordin, Associate Director, Registrar (recommended by Associate Provost for Undergraduate Education)

Lois Chan, Professor of Library and Information Science (recommended by The President's Commission on Diversity)

Chuck Staben, Professor of Biology (recommended by Faculty Senate)

Roger Sugarman, Director of Institutional Research (recommended by Steering Committee Chair)

Vicki Goss, Student-Athlete (recommended by Athletics Director)

Justin Rasner, Student-at-Large (recommended by Student Government Association)

Equity and Student-Athlete Welfare Subcommittee

Lionel Williamson, Chair and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Sonya Feist-Price, Associate Professor in Rehabilitation Counseling (recommended by Faculty Senate)

Micheline Schott, Athletics Administration (recommended by Athletics Director)

Patricia V. Burkhart, Associate Professor of Nursing (recommended by President's Commission on Women)

Terry Allen, Associate Vice President for Equal Opportunity (recommended by Steering Committee Chair)

Randy Gonzalez, Director of Student Affairs Administration (recommended by Vice President for Student Affairs)

Sandy Copher, Director of the Office of Academic Scholarships (recommended by Associate Provost for Undergraduate Education)

Ricardo Nazario-Colon, Director of the Martin Luther King Cultural Center (recommended by The President's Commission on Diversity)

Wes Coffman, Community Representative (recommended by President)

Anne Ogundele, Student-Athlete (recommended by Athletics Director)

Braphus Kaalund, Student-at-Large (recommended by the Student Government Association)

CAMPUS LIAISON

The institution's Campus Liaison is Lisa Peterson, Assistant Athletics Director for Business. Duties include:

- Serve as a member of the Steering Committee
- Serve as a resource person to the subcommittees
- Coordinate the collection and dissemination of information about the self-study and certification process to institutional personnel
- Handle questions from institutional personnel in interpreting certification policies and procedures as contained in the handbook and self-study instrument
- Forward difficult interpretive questions to the NCAA staff and communicate answers to appropriate personnel
- Coordinate preparations for the NCAA liaison's orientation visit
- Coordinate preparations for the evaluation visit:
 - *arranging lodging and travel for the peer-review team;
 - *arranging dinner/reception for first evening of
 - *evaluation visit and extending invitations;
 - *arranging meals/breaks;

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*scheduling interviews and other peer review team activities;

*organizing work-related needs for peer reviewers (computer resources, secretarial support, copier, fax machine, telephone, audiovisual needs, meeting rooms, etc.)

*arranging exit interview

—Conduct a pre-visit briefing for the Student-Athlete Advisory Committee, student-athletes, coaches, and others

—Coordinate involvement of the Southeastern Conference

—Coordinate communication with the NCAA regarding comments concerning potential peer-review team members proposed by the Committee on Athletics Certification

—Coordinate evaluative comments on the self-study process

—Organize follow-up studies and reports as identified by the University or required by the Committee on Athletics Certification

CHIEF REPORT WRITER

Carl Nathe, UK Office of Public Relations, will serve as the Chief Report Writer for the Athletics Certification self-study. Duties include:

—Serve as a member of the Steering Committee

—Serve as a resource person for the subcommittees

—Maintain a file of all supporting documents and prepare these for evaluation visit (one set for on-campus working room, one set for off-campus location)

—Ensure that additional documentation is available as needed at various campus locations

—Prepare for and coordinate Steering Committee editing sessions.

—Compile approved subcommittee drafts into final self-study report

—Arrange for Public Relations review of report to ensure compliance with Style Guide

—Work with appropriate individuals to submit electronic copy of report to NCAA

OUTLINE AND SCHEDULE

Preparing for the Self-Study

July 2003 — University receives letter of notification that second-cycle NCAA certification review process is to begin.

August 2003 — President Lee T. Todd, Jr. appoints Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness to chair the NCAA Division I Self-Study Steering Committee.

Sept to Oct 2003 — Steering Committee and subcommittee members appointed and notified.

October 2003 — Chair schedules planning meeting with subcommittee chairs. President Todd announces beginning of Athletics self-study process to University community - Board of Trustees and Athletics Board.

Oct to Nov 2003 — Development of draft self-study Plan. Date for orientation visit of NCAA representative selected.

December 2003 — First meeting of Steering Committee. President presents charge. Working materials distributed. Self-study Plan reviewed and approved. Subcommittee chairs contact their committee members. Self-Study Plan sent to NCAA representative.

Conducting the Self-Study

January 2004 — Meeting of all members of steering committee and subcommittees officially kicks off the self-study process. Campus orientation visit by NCAA representative. Convening subcommittees to begin work on individual reports. Tour of Athletics Department/facilities.

February 2004 — Steering Committee meets on a monthly basis. Subcommittees meet at least monthly/more often as needed to gather information and begin to draft reports. Begin preliminary inquiries/arrangements for peer-review team's visit.

June 2004 — Draft reports completed by subcommittees and submitted to Steering Committee for review. Receive list of potential peer-review team members from the NCAA. Institution has one month to review and respond to this list with recommendations to add/remove potential team members.

June to August 2004 — Draft reports reviewed by Steering Committee and compiled by Chief Report Writer.

September 2004 — Institution will receive notification of specific peer review team members selected to visit campus in April 2005. Draft report posted to web page and announcement made to University community soliciting review and comment.

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October 2004 — Revision of final report. Report sent to printing to prepare hard copies for Board of Trustee review, additional internal copies.

November 30, 2004 — Report to President's Office for distribution to Board of Trustees, others.

December 14, 2004 — Meeting of the Board of Trustees. Present draft of self-study to the Board for their review and endorsement.

Preparing for Evaluation Visit

January 2005 — Submit completed self-study report to NCAA. Finalize arrangements for peer-review team visit - accommodations, transportation, meals, working room, clerical assistance, etc.

February 2005 — Develop itinerary for peer-review team visit. Schedule interviews. Gather and organize documentation.

The Evaluation Visit

April 2005 — Receive the peer-review team on campus. Exit report to President and University community. Receipt of Report and Certification Decision

May to June 2005 — Institution to receive draft of peer-review team's report prior to its submission to the NCAA. Institution has one month to prepare a written response. Response is only to include: 1) corrections of factual errors; 2) presentation of new, relevant information not considered by the peer-review team; 3) proposed additional corrective actions for remedying deficiencies. Peer-review team finalizes its report and submits to NCAA Division I Committee on Athletics Certification for review and certification decision. Institution may be asked to complete evaluation of the self-study process. Written certification decision will be sent to the chief executive officer and announced publicly through an NCAA press release. Institution will revise plans for improvement as instructed by NCAA and begin implementation of corrective actions in response to recommendations.

CONFERENCE INVOLVEMENT

The Southeastern Conference (SEC) office will serve in an advisory capacity, represented by Mr. Greg Sankey. The Steering Committee will keep all channels of communication open with Mr. Sankey including: ensuring access to all meetings, reports, proceedings, minutes, referral to the self-study Web page, providing copies of press releases, and other announcements.

GUIDELINES FOR WRITING AND EDITING THE REPORT

Committee Support

The Athletics Department will make arrangements to provide staff support to the subcommittees, as needed. This support will include attending subcommittee meetings on a monthly basis (more often as needed/requested by the subcommittee chair), maintaining a file of minutes for each subcommittee and forwarding these for posting to the NCAA Self-Study Web page, scheduling meeting rooms and sending out announcements of subcommittee meetings, preparing draft reports, making copies and performing additional duties necessary.

The Athletics Department will provide computer resources, telephones, copier, fax machine, office supplies and other necessary support for the peer-review team visit.

Writing

The final self-study report will be submitted through the NCAA Athletics Certification System. Writing for the online submission, as well as hard copy reports, of the self-study will follow the rules presented in the University of Kentucky Style Guide. The guide can be found online at www.uky.edu/Regs/Style/style.html. For all areas the guide does not cover, the Chicago Manual of Style is to be used. The report format is provided in the NCAA Self-Study Instrument, as presented in the web-based NCAA Athletics Certification System. The instrument lists relevant NCAA Operating Principles under each of the three major report sections, includes the appropriate forms to be completed by each subcommittee, provides an evaluation checklist to judge the institution's compliance with each of the relevant Operating Principles, and describes how plans for improvement are to be structured and completed. Each subcommittee will also be provided with: 1) a copy of the institution's first-cycle certification report and, 2) a copy of the peer-review team's report and recommendations to use as reference materials in preparation of their draft documents.

Editing

Individual subcommittees will edit draft reports prior to their submission to the Steering Committee. As mentioned above, by using the NCAA Self-Study Instrument in preparing draft reports, each subcommittee will have responded to the Operating Principles relevant to their individual section. A progress report from each subcommittee will be

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included on the agenda of each meeting of the Steering Committee. The Steering Committee will provide oversight, input and guidance as subcommittees gather, analyze, and interpret the information needed to complete their assignments. As necessary, questions will be referred to the NCAA for answers.

When draft reports are completed, the Steering Committee will review these and meet with individual subcommittees to discuss and make suggestions for changes or additional information needed. Drafts will be returned to the subcommittees for revision if needed.

Preparing the Final Report

Following Steering Committee review of subcommittee reports and after suggested changes have been made, the approved drafts will then be combined into a single final draft by the Chief Report Writer. The Steering Committee's final draft will be posted to the NCAA Self-Study section of the President's Web page and an announcement made to the University community asking for review and input into the report. Public comment and suggestions will be reviewed and incorporated, as appropriate, into the self-study report, which will be presented to the Board of Trustees for their review and endorsement prior to electronic submission to the NCAA. Upon final input of the self-study report to the web-based NCAA Athletics Certification System, the Steering Committee Chair will make the official online submission.

COMMUNICATIONS PLAN

The Communications Plan is designed to ensure that the campus and community are aware of the importance of the self-study and to ensure opportunities for participation in its completion. The committee structure was designed to be representative of various university constituencies, providing a direct communication link to interested parties; a web page will ensure broad-based communication to the campus community and the general public; and a well-conceived publicity plan will convey consistent, accurate information to both internal and external audiences. Additional details follow.

A. Committee Structure

A broad-based, complete and accurate self-study can only be accomplished through participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was paid to the appointment of members to both the Steering Committee and three subcommittees. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the committee/subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups/individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

As word spread that the self-study process for Athletics was underway, interested individuals also contacted the Chair of the Steering Committee to volunteer their service as committee members/subcommittee chairs. Subcommittees will be in touch with individual university offices/personnel as necessary to gather information for draft reports.

B. Web Page

An area devoted to the self-study will be established on the President's Web page. An initial announcement regarding the beginning of the self-study will include an invitation for interested individuals to provide their input. Throughout the self-study process, relevant documents will be posted to the page. This will include the self-study plan, schedules for committee meetings, and minutes from steering and subcommittee meetings. When the self-study is completed, a draft of the report will be posted to the web page and the entire university community will be invited to review and provide feedback on the report which will then be revised to incorporate relevant suggestions prior to submission to the NCAA.

C. Publicity

In October 2003 President Todd made an official announcement of the self-study to the Board of Trustees and the Athletics Board and stressed the need for broad-based involvement. Periodic reports to specific groups will be used as a means of keeping them informed of the self-study's progress. The Board of Trustees will receive periodic reports as will the University Faculty Senate. Announcements, progress reports, and updates will be published in University publications throughout the self-study process. Upon completion of the self-study and following the time

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period of posting to the web site for public comment/feedback, the revised report will be submitted to the Board of Trustees for their review and endorsement prior to submission to the NCAA.

A tentative plan currently includes:

December 2003 — Article in UK News announcing beginning of self-study process. News release to local media announcing beginning of self-study process.

January 2004 — Article in UK News regarding NCAA liaison's orientation visit. News release to local media announcing NCAA liaison's orientation visit.

February to May 2004 — Monthly article in UK News. Each month the work of a different subcommittee will be featured.

September 2004 — Article in UK News announcing posting of the self-study report to the website and encouraging campus feedback.

*Any of the UK News articles can also be part of a broader release to outside media.

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Operating Principle

1.1 Mission of the Athletics Program and the Institution

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

Not Applicable.

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.

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Not Applicable.

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

Not Applicable.

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

Not Applicable.

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

Not Applicable.

Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

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Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for Improvement

1) The president, as chair of the Athletics Association Board, should conduct an orientation meeting beginning in fall 1996 for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletics Association Board.

Actions and progress to date: The CEO of the previous administration conducted individualized orientations for new members of the Athletics Association Board; and therefore, progress on this suggestion is not well-documented. However, President Todd formally implemented this suggestion for improvement at an Athletics Association Board meeting for new members on September 14, 2004.

2) The chair of the Student-Athlete Advisory Committee (SAAC) should be appointed as one of the two student members of the Athletics Association Board beginning fall 1997. The President will make the appointment effective July 1, 1997.

Actions and progress to date: This suggestion was implemented as planned and continued through 2003-04, when Elizabeth McCaslin, president of SAAC, was one of two student members on the Athletics Association Board. Monitoring and evaluation of this practice was found to place an unnecessarily heavy burden on the student-athlete serving in both capacities while also tending to academic and athletic demands. Therefore, for the 2004-05 academic year, the president and vice-president of SAAC will no longer serve automatically as the two student members on the Athletics Association Board, and this responsibility will be assigned to other student-athletes.

3) The Director of Athletics and the Faculty Athletics Representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.

Actions and progress to date: This recommendation was implemented in the 1996-97 academic year and continued annually as time allowed. Since the fall semester schedule for the University Senate Council is generally full, the Faculty Athletics Representative's annual report was usually scheduled for the spring semester. However, due to pressing academic matters, the search process for a new president for the University, and a lengthy full-scale investigation of the Athletics program concerning National Collegiate Athletics Association violations, the report was bumped from the University Senate Council agenda several times. The most recent report was presented in spring

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2004. In order to minimize scheduling problems in the future, the Faculty Athletics Representative will schedule a permanent reporting time on the Senate Council calendar, most likely in February of each year.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Several improvements have been made under the new leadership at the University and in the Athletics Department, and they are discussed throughout this Self-Study report. See items from the following Board of Trustees meetings summarized in Self-Study Item 5: BOT meeting on 3/5/02, page 17, Item T, and on 9/16/03, page 4.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

Not applicable

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

A review of the UK Board of Trustees Minutes for fiscal years 2001, 2002, and 2003 revealed decisions and discussions in which the Board of Trustees or individual board members have been significantly involved. These are listed below. Additionally, individual board members are routinely involved in such decisions when attending meetings of the UKAA Board of Directors. These are presented in Self-Study Item 6 (see EXCERPTS FROM UKAA BOARD OF DIRECTORS MINUTES, 2001 THROUGH 2003).

EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003

1/23/01

Page 9, Item L: President Wethington reported about the ongoing football investigation. He reported that specific allegations could not be discussed and that upon completion of the briefing, the Board will be thoroughly briefed. At the request of President Wethington, Athletics Director Larry Ivy and Associate Athletics Director for Compliance Sandy Bell to review actions taken by the department to date.

Page 15, Item Q: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for two capital projects, a transfer of \$675,000 for the Football Office Complex Project and a transfer of \$1.25 million for the Commonwealth Stadium Field Reconstruction Project.

5/1/01

Page 6, Item N: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for the Commonwealth Stadium Field Lighting Replacement project, a transfer of \$1,500,000.

6/19/01

Page 17, Item AA: The Chair of the Joint Committee of the Board of Trustees and the UKAA Board of Directors presented the Committee's Report to the Board. The report included a description of current Department of Athletics activities; a description of the University of Kentucky Athletics Association and its relationship to the University and the NCAA regulations; a description of recent events; and a Committee recommendation on periodic reports to the Board of Trustees. The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association.

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7/5/01

Page 1, Item C: Administrative Reorganization (ECR 1): BOT approved President Todd's administrative reorganization. New organization chart shows Athletics reporting directly to the President. This conforms to Operating Principle 1.2 b: the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.

9/18/01

Page 12, Item P: Gifts and Pledges, FCR 14, 15, 16, 17, and 18: BOT approved to accept pledges and gifts from 5 donors totaling \$1,608,051 to create and/or endow 5 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

12/11/01

Page 16, Item CC: Gifts and Pledges, FCR 14, 15, and 16: BOT approved to accept pledges from 3 donors totaling \$954,771 to create and endow 3 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

3/5/02

Page 17, Item T: President Todd reported the findings of the Athletics Review Committee. He reported the first recommendation of the review team is the reorganization of the Athletics Association Board of Directors. There were three elements in the recommendation. The first element is to appoint a Budget Committee of the Board. The second element is to appoint a Ticket Committee to the Athletics Board and give them the responsibility for developing sound practices concerning the distribution of tickets for basketball and football. The third element in the Board's reorganization requires that all Athletics Department contracts, regular or consulting contracts, and any significant modifications thereof be submitted to the Athletics Board for their approval and recommended to the University's Board of Trustees as appropriate.

The next set of recommendations had to do with the Athletics Department management, reporting, and oversight. First, require full compliance by the Athletics Department with all regulations, policies, procedures, and practices of the University of Kentucky. Second, formulate and adopt standards of professional and ethical behavior for all the employees of the Athletics Department, including policies concerning receipt of personal gifts and conflicts of interest.

Another recommendation is to consider the possibility of having the Director of the CATS program, the academic support program that is the tutoring program, report to the Associate Provost for Undergraduate Education rather than to the Athletics Director.

The next recommendation by the review team involves the Athletics Department Blue/White program. The recommendation requires stronger coordination and cooperation between that program and the University's general development program and office.

President Todd's next recommendation requires strict oversight of all booster organizations by the Department's compliance officer and an annual report to the Athletics Board on all booster club expenditures on behalf of the athletics program and including any expenditure on behalf of the Athletics Department employees or former employees.

The next section of recommendations deals with C. M. Newton's contract. This recommendation outlines actions that are needed to bring the Department's relationship with former Athletics Director C. M. Newton into line with the requirements of the formal contract that governs that relationship. An additional item recommends that the priority list for tickets in Rupp Arena be modified to provide Mr. Newton or members of his family only the tickets to which he is entitled under the terms of his contract.

The final recommendation of the review team is that Larry Ivy should be removed from the position of Athletics Director.

President Todd reported that he has asked Terry Mobley, who is the Director of the UK Development Office, to serve as the Interim Athletics Director.

President Todd said that he is putting into place an Interim Business Manager for the Athletics Department.

President Todd said he is beginning a search for a new Athletics Director immediately.

4/2/02

Page 5, Item F: President Todd reported that he is on the Southeastern Conference (SEC) search committee for a new Commissioner for the SEC. Also, he reported that he has not made any decision on a search firm for an Athletics Director. Further, Dr. Todd announced that he had appointed a committee to look at athletics tickets. Furthermore, President Todd reported that Mr. Mobley and Marc Matthews are continuing to work with the athletics staff to better understand their business operations.

Page 9, Item L (Transfer of Blue-White Fund Quasi-Endowment to the Wildcat Foundation): President Todd shared some background on the Wildcat Foundation for BOT members who are not aware of the history.

President Todd noted that as they have reviewed the operations of the Athletics Department, they have also looked at projects involving the Wildcat Foundation. He, Dr. Blanton, and others have met with representatives of the

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Foundation, and they have been completely cooperative and open in assisting with the review of their transactions with the University. Based on that review, President Todd said that he feels that the Foundation has been fully compliant with past procedures of the University and also with any National Collegiate Athletic Association (NCAA) requirements.

After providing the background information on the Foundation and reviewing its support over the years, President Todd said that the real issue was for the Board to authorize a grant of an amount not to exceed \$3.5 million from the Blue-White Quasi-Endowment of the University for the purpose of funding the balance of the construction at the Cliff Hagan Baseball Stadium and authorize the Senior Vice President for Administration to enter into an agreement with the Wildcat Foundation whereby the funds withdrawn from the Blue-White fund would be transferred to the Foundation for the express purpose of satisfying the balance of the reasonable and actual construction costs of the new stadium.

Mr. Shoop moved approval of the proposal of FCR 9. Dr. Stumbo said the Finance Committee discussed this item, received assurances about it, and thinks that it is legitimate. He moved the adoption of FCR 9.

Mr. Shoop said that Dr. Stumbo had made the motion on behalf of the Finance Committee, and he would like to second the motion. The motion carried.

4/30/02

Page 5, Item H: President Todd reported that he has appointed an advisory group to work with him on the search for an Athletics Director. He also explained that he and the advisory group will select a search firm, and then the search firm will begin doing its work.

Page 6, Item I: President Todd reported that the University of Kentucky has submitted its appeal on the football bowl restriction. He reminded the Board of the NCAA penalty that states that UK cannot appear in a bowl this year.

6/11/02

Page 3, Item E: President Todd reported that Carr Sports Associates, Inc. of Gainesville, Florida has been selected to help UK find a new Athletics Director.

8/13/02

Page 5: The BOT approved the Administrative Regulation AR II-1.6-1 University of Kentucky Retirement Plan (PR 4) regarding mandatory retirement policy at age 65 for executive officers of the University including the President and the Athletics Director.

2/25/03

Page 11: BOT accepted six separate gifts to the Department of Athletics - four scholarships, one baseball stadium renovation and one gift to the Department generally.

4/1/03

Page 2: President Todd advised the BOT he is receiving positive reactions for his recognition of academic achievements at basketball games and will expand this procedure to football games.

Page 3: President Todd advised the BOT of the appointment of Mickie DeMoss as the Women's Basketball coach.

Page 11: Other business: UKAA Board Director and UK Trustee Alice Sparks updated the Board on UKAA matters.

5/6/03

Page 17: The BOT received the report from the UKAA Board of Directors June 2002 meeting during which the new Board structure was approved. It was communicated that the BOT member on the UKAA Board of Directors would be charged with submitting a report to the BOT following each UKAA Board of Directors meeting in the future.

Page 18: The BOT received the report from the UKAA Board of Directors February 2003 meeting. The Board approved coach employment contracts including Head Football Coach Rich Brooks. The Board approved the launch of fund raising efforts for the multi-purpose building.

Page 18: The BOT received the report from the UKAA Board of Directors April 2003 meeting. The Board approved a contract extension for Men's Head Basketball coach, Tubby Smith, the Amended Articles of Incorporation, the amended Bylaws, the new uniform ticket price plan, and the K Fund Program recommendation.

9/16/03

Page 4: President Todd reported on the implementation of the revised By-Laws during the past year which enacted a rotation of members of the Board of Directors. He thanked those members who were rotating off and announced the new members of the UKAA Board including two new faculty representatives, Dr. Raynor Mullins, College of Dentistry and Linda McDaniel, Professor of Accounting, and two new student members Elizabeth McCaslin from volleyball and Antoine Hoffman from football. It was announced that a Student-Athlete Welfare Committee had been established and Vice President Pat Terrell will serve as Chair. President Todd reported that there would now be a Finance Committee of the Athletics Board with primary responsibilities to review financial reports, processes, and procedures for tickets and ticket audits. Executive Vice President Dick Siemer will Chair the Finance Committee. Also a Long-Range Planning Committee was established.

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10/29/03

Page 2: President Todd informed the Board of Trustees that the University is beginning work on the second cycle for NCAA Self Study and Division I Certification for the Department of Athletics. BOT member, Barbara Young, will represent the Board of Trustees on the Self-Study Steering Committee.

Page 8: The Board of Trustees conducted lengthy discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University.

12/9/03

Page 5: The Board of Trustees continued discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University. The Board approved a withdrawal of \$6.5 million in funding for the projects. The motion carried without dissent.

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

In addition to decisions involving the Board of Trustees as presented in Self-Study Item 5 (see EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003), a review of the UK Athletics Association Board of Directors Minutes for fiscal years 2001, 2002, and 2003 revealed additional decisions and discussions in which the chief executive officer has been significantly involved. Individual Board of Trustees members have also been significantly involved in these decisions.

EXCERPTS FROM THE UKAA BOARD OF DIRECTORS MEETING, 2001 THROUGH 2003

2/7/01

Page 1: Athletics Director Larry Ivy and Assistant Athletics Director for Compliance Sandy Bell updated the Board of Directors on the status of the investigation of the football program.

Page 1: Athletics Director Ivy presented the resignation letter of Head Football Coach Hal Mumme.

Page 2: Motion unanimously carried for the UKAA Board of Directors to authorize and direct the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Mr. Guy W. Morriss as Men's Head Football Coach at the University of Kentucky and to provide the conditions of his employment to include a contract period of one (1) year beginning February 7, 2001.

3/2/01

No decisions (motions) related to intercollegiate athletics.

Page 1: Acknowledgement that the Board of Trustees had been invited to this meeting of the UKAA. The purpose of the meeting was to hear the disclosure report relative to the violations in the football program that had been sent to the NCAA on March 1, 2001, to include a question and answer period.

4/4/01

Page 1: Dr. Wethington asked for a motion that \$1,500,000 from the Athletics Association Quasi-Endowment Fund be transferred to the project fund for the construction of new lighting at Commonwealth Stadium. Motion unanimously carried.

Page 1: Motion unanimously carried to extend the contract of Coach Tubby Smith for four years and that Dr. Wethington and Mr. Ivy work out the final details of the contract with Coach Smith.

Page 2: President Wethington advised that the University Board of Trustees asked that 3 members of the UKAA Board of Directors, who were also Trustees, serve as members to study the relationship between the Board of Trustees and the UKAA Board of Directors and to submit a report to the University Board of Trustees. The Chair and Vice-Chair of the Board of Trustees would serve on the committee.

Page 2: Motion unanimously carried that \$100,000 from the University of Kentucky Athletics Association be transferred to the Charles T. Wethington, Jr. Graduate and Professional Fellowship Fund and that it be supplemented by five percent of the Blue/White Fund increase each year if that is possible within a balanced budget.

Page 2: Dr. Wethington asked for a motion to approve the 2001-2002 budget as presented by Mr. Ivy. Motion unanimously carried.

8/13/01

Page 1: Dr. Todd asked for a motion for the UKAA Board of Directors to adopt a resolution amending the Association's Articles of Incorporation. The changes in the resolution align the ex-officio members of the Board of Directors with the current titles in the new University of Kentucky administrative organization. Motion unanimously carried.

Page 2: President Todd asked for a motion that the President of the UKAA be authorized to negotiate and execute an amendment of the Lease for Rupp Arena dated May 21, 1998, between the Association and Lexington Center Corporation extending the Lease through the 2017-2018 basketball season. Motion unanimously carried.

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Page 2: President Todd called for a motion to approve the contract for Guy Morriss as the men's head Football Coach. Motion unanimously carried.

Pages 2-3: The UKAA Board was informed that the NCAA Enforcement Committee had completed its investigation and President Todd was in receipt of an Official Letter of Inquiry that advised the University to appear before the NCAA Infractions Committee.

6/5/02

Page 1: Motion carried unanimously to approve the list of awards to the eligible student-athletes on the list presented.

Page 2: President Todd asked for a motion to approve the 2001-2002 revised budget and the 2002-2003 budget as presented. The motion carried unanimously.

Page 3: President Todd distributed a job description for the athletics director and advised the Board that Carr Sport Associates had been retained to assist in the search for a new athletics director with an anticipated hiring date of July 31, 2002.

Page 3: President Todd presented the Board a new policy regarding automobiles for athletics department personnel.

Page 3: Motion carried unanimously for the Board of Directors to pay Mr. Terry Mobley, who was willing to serve as interim director, the same salary that the Athletics Director had been paid and to make it retroactive to the starting date.

7/15/02

Page 3: President Todd asked for a motion to approve the hiring of Mitch Barnhart as the new University of Kentucky Athletics Director and that a recommendation be sent to the Board of Trustees Executive Committee. Motion passed with Professor Lawson voting "n." President Todd described the selection process, the assistance from an advisory committee, assistance and counseling from the search firm, and other details of the interviews, including specific details about how Mr. Barnhart's compensation and benefits were determined by national comparables.

12/10/02

No decisions (motions) related to intercollegiate athletics. President Todd announced the resignation of Head Football Coach Guy Morriss. Athletics Director Barnhart introduced new member of the department staff, outlined goals for the department, and presented a general assessment of the department's facilities. The budget report updated the Board on the new organization and operation structure for budget management, reporting, and accountability. President Todd presented a proposed Board of Directors reorganization structure for discussion. The Board was advised that it will be informed of all contracting for broadcast and revenue agreements.

2/15/02

Page 1: President Todd reminded the Board that their feedback was needed regarding the Board of Directors reorganization proposal.

Page 2: Motion that the UK Athletics Association Board of Directors authorizes and directs the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Rich Brooks as Men's Head Football Coach at UK and provide the conditions of his appointment to include a five-year contract beginning December 30, 2002. The motion carried without dissent.

Pages 2 & 3: Motion for approval of appointments and contracts for assistant coaches to Men's Head Football Coach. Motion carried without dissent.

Page 5: Motion recommending that the University Of Kentucky Athletics Association Board of Directors authorize the Athletics Director to move forward with fund raising efforts for the Multi-Purpose Room. The motion carried without dissent.

Page 6: Motion requesting the Board to authorize additional expenditure authority of \$1.5 million as part of the budgeting process. Motion carried without dissent.

4/18/03

Pages 1 & 2: President Todd moved to approve an eight year contract extension for Men's Head Basketball Coach, Tubby Smith. The total value of the contract was \$20,250,000 over eight years.

Page 2 & 3: President Todd moved to approve appointment and a five year contract for Mickie DeMoss as Women's Head Basketball Coach. The motion carried unanimously. The total value of the contract was \$300,000 annually.

Page 3: Motion to approve amended and restated UKAA Articles of Incorporation. This action brings the Articles up-to-date with Kentucky law and also brings the Board more in line with the Lawson Report that was completed approximately one year ago. The motion passed unanimously.

Page 4: Motion to approve adoption of revised bylaws. The revisions will bring the corporate bylaws into the modern age, and will incorporate many suggestions from the Lawson Committee and the Board of Trustees Ad Hoc Committee on Board Structure. The motion passed without dissent.

Pages 4 - 8: Motion for approval of the recommendation from the Ad Hoc Ticket Committee. Motion carried without

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dissent.

Pages 8 - 10: Athletics Director Barnhart presented the FY '04 budget and a report focusing on assistant coaches' compensation.

10/17/03

No decisions (motions) related to intercollegiate athletics. President Todd announced the University NCAA Accreditation Self Study to begin and he announced the appointment of Trustee Barbara Young to the Self Study Steering Committee. Dr. Todd recognized the presence of Board of Trustee members at the UKAA Board of Directors meeting in addition to those trustees who are Directors.

7. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.

The governance of the University of Kentucky is vested by statute in the Board of Trustees. Within the limits set by the State Constitution and federal and state laws, the Board of Trustees is the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies (Kentucky Revised Statutes 164.160, KRS 164.210, KRS 164.220, KRS 164.225, and Governing Regulations II-7-9). The Board of Trustees consists of sixteen members appointed by the Governor, two members of the faculty, one member of the non-teaching personnel, and one member of the student body (KRS 164.131, GR II-2-3). The President of the University is required to attend all meetings of the Board of Trustees, including its executive committee (GR II-5). The Board is required by statute to meet at least quarterly (KRS 164.170). All Board and committee meetings are open meetings pursuant to Kentucky law (KRS 164.170, KRS 61.805 and GR II-4). The Board of Trustees annually elects an Executive Committee of five members, which has the power delegated to it by the Board. The Board cannot revise any action taken by the Executive Committee that constitutes a valid or authenticated expenditure of money (KRS 164.190 and GR II-2.A).

The President is the chief executive officer and has full authority over the administration of the University. The President, with Board approval, may delegate authorities or responsibilities to any member of his administrative staff (GR III-1). The President is appointed by the Board of Trustees with the advice of a joint committee of the Board, faculty, staff, student body and alumni (KRS 164.220 and GR VIII-1). Every administrative and professional employee of the University who reports directly to the President is required to be appointed by the Board of Trustees, acting upon the recommendation of the President (GR VIII-1).

The purpose of the University of Kentucky Athletics Association (UKAA) is to promote athletics and a physical culture, including supporting the academic needs, interests, and programs of the University of Kentucky (UKAA Articles of Incorporation AI-IV). The corporation (UKAA) has the authority to employ instructors, coaches, directors, and other persons necessary for carrying out the purposes of the corporation (AI-V). The UKAA Board of Directors conducts the affairs and business of the corporation. The President of the University is the President of the corporation and of the Board of Directors (AI-VII; Bylaw II, Sec. 2). The Athletics Director is appointed by the UKAA Board of Directors and the appointment is subject to the approval of the Board of Trustees. The employment contract between the Athletics Director and the University requires the Athletics Director to report directly to the President of the University. The Faculty Representative to the National Collegiate Athletics Association is a member of the UKAA Board of Directors.

The UKAA Board of Directors meets once each semester and special meetings may be held at any time upon the call of the President (Bylaw I, Sec. 2). The Board meetings are open to the public (KRS 61.805). The Board of Directors conducts the affairs and business of the corporation. The Board of Directors consists of sixteen (16) members:

1. President as Chair,
2. Five Administrative Officers, ex officio
 - (a) Provost (Chief Academic Officer of the University)
 - (b) Vice President for Student Affairs
 - (c) Faculty Representative to NCAA
 - (d) President of UK Varsity Letter Association
 - (e) Executive Vice President for Finance and Administration
3. Ten members appointed by the President
 - (a) Two members of the Board of Trustees
 - (b) One Alumnus

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- (c) One Member-at-Large
- (d) Four University Faculty
- (e) Two Full-time Scholarship Student-athletes (1 male, 1 female)(AI-I-VI).

The Board of Directors discusses, approves, and if necessary, recommends to the University Board of Trustees the following:

1. Appointment of the Athletics Director;
2. Appointment and contract terms of the head coaches for football and basketball;
3. Formal policies for sale and distribution of basketball and football tickets;
4. Construction of facilities if the expected cost would exceed \$100,000; and
5. Annual budget, including donor funds (Bylaw I, Sec. 3).

Although employment authority is delegated to the UKAA Board, all UKAA employees are considered as University of Kentucky employees. Thus, UKAA employees are subject to and receive the benefits of all University human resources policies and procedures (hiring, pay, benefits, etc.). As with other deans and directors, 1) hiring responsibility for nonexempt employees and exempt employees in positions below grade/level 47 is delegated to the Athletics Director, 2) hiring for exempt level 47, 48 and 49 positions must be reported to the Board of Trustees, and 3) hiring in exempt levels 50 and above must be approved by the Board of Trustees.

The University of Kentucky Athletics Association is an Affiliated Corporation as defined by statute (Bylaw III, Sec. 1 and KRS 164A.550). The Board of Directors is required to obtain the approval of the University Board of Trustees prior to acceptance of any gifts of land, buildings, structures or renovations valued at \$400,000 or more and must follow Board of Trustees procedures for the naming of any property (Bylaw III, Sec. 1).

The UKAA Board has created three committees to be appointed by the President:

1. Finance Committee—the Finance Committee is chaired by the Executive Vice President for Finance and Administration and shall include at a minimum a faculty member director, a Trustee Director, and an at-large member. The President may appoint additional finance committee members for special purposes. The Committee is responsible for reviewing all matters related to the use, sale and distribution of basketball and football tickets and shall ensure that the University exercises institutional oversight of fiscal responsibilities of the Athletics Association; in addition to the Executive Vice President, the 2003-04 committee membership included Claudia Heath (faculty), Jim Hardymon (trustee), Luther Deaton, and Bill Sturgill;
2. Student-athlete Welfare Committee—the Student-athlete Welfare Committee is chaired by the Vice President for Student Affairs and shall include at a minimum one faculty member director, one Trustee director, and two student directors. The Committee is responsible for reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletic program; in addition to the Vice President for Student Affairs, the 2003-04 committee membership included Linda McDaniel (faculty), Gerald Smith (faculty), Alice Sparks (Trustee), Antoine Huffman (student-athlete), and Elizabeth McCaslin (student-athlete); and
3. Long-range Planning Committee (Bylaw VII)—the Committee and Committee Chair shall be appointed by the President and shall be responsible for reviewing all matters related to the strategic and long-range development of the University Athletics Association; the 2003-04 committee membership included Raynor Mullins, S.T. Roach, Tim Morris, Bob Wiseman, Dorothy Brockopp (faculty and Chair of the Commission on Women), and Marc Mathews.

Other appropriate campus constituencies are involved in decision-making regarding Athletics in the following ways:

1. As members of the Academic Integrity Committee (AIC)—In 1991, under the leadership of College of Education Professor Virginia Atwood, an informal group known as the Academic Integrity Group (AIG) was formed to serve as a forum for discussion of issues that interface with athletics and academics. The group was composed of both University and athletics administrators. The members included the faculty athletics representative, University registrar, director of admissions, associate director of student financial aid, the assistant director of athletics for compliance, assistant director of athletics for student services, and assistant director of athletics for non-revenue sports. In a memorandum dated September 16, 1997, President Charles T. Wethington, Jr. recognized AIG as an official committee of the University of Kentucky and established the group as the Academic Integrity Committee (AIC). The responsibilities of AIC included ensuring that student-athletes meet UK, SEC and NCAA admission standards and make satisfactory progress toward a meaningful degree; facilitating communication among departments responsible for certification of student-athletes, serving as a working group in preparation for SEC and NCAA certification, and providing general oversight to the Athletics Department academic support services. AIC continues to meet on a regular basis to fulfill this purpose; however, AIC has not yet been formalized as an official committee in the appropriate administrative regulations and "UKAA Policies and Procedures Manual." Therefore, the Governance and Commitment to Rules Compliance Subcommittee suggests that steps be taken immediately to formalize AIC as an official university committee in the UK Administrative Regulations, Part III — Administrative Committees and Councils — and in the "UKAA Policies and Procedures Manual." Appropriate attention should be given to describing the purpose and membership of AIC.
2. As members of various University committees that include athletics representatives and recommend and/or

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implement institution-wide policies affecting all units, including Athletics—A review of such committees reveals the extent to which the Athletics Department is integrated with the campus community and is affected by decisions of various campus constituencies. These committees or groups include: Campus Development Officers, Business Strategic Planning, Capital Planning Advisory, Area Fiscal Officers, Provost Budget Officers, Employee Benefits, Grievance Panel, Performance Development Partnership, International Student Affairs, United Way, and the President's Commission on Women, among others.

3. As supervisors of key athletics personnel—the Associate Athletics Director for Student Services has a direct reporting line to the Associate Provost for Undergraduate Education to promote ongoing monitoring and oversight of academic support services by academic authorities outside athletics; and the Executive Associate Athletics Director has a dotted reporting line to the Controller to promote ongoing monitoring and oversight of financial affairs by a fiscal authority outside athletics.

4. As members of special committees appointed by the President to meet a specific need related to Athletics — For example, an Ad Hoc Ticket Committee recently developed a priority point system for fair and equitable allocation of football and men's basketball seating. The committee members included Acting Executive Vice President for Finance and Administration Jack Blanton, Claudia Heath (faculty), Billy Wilcoxson (Trustee), and Luther Deaton (member-at-large). On April 18, 2003, the Committee submitted its recommendations to the UKAA Board of Directors, and they were adopted.

8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

UNIVERSITY OF KENTUCKY ATHLETICS ASSOCIATION
Board of Directors
2004-05

FACULTY
Claudia Heath, Ph.D., Professor, Human Environmental Science
Linda McDaniel, Ph.D., Professor, School of Accountancy
M. Raynor Mullins, D.M.D., Associate Professor, Dentistry
Gerald Smith, Ph.D., Associate Professor, History

TRUSTEES
James Hardymon, Retired Chairman and CEO of Textron Corporation
Alice Sparks, President and CEO of SSK Company

ALUMNI
William B. Sturgill, CEO of East Kentucky Investment Company

MEMBER-AT-LARGE
Luther Deaton, President of The Central Bank of Lexington

STUDENT MEMBERS (Student-athletes)
Danielle Petrisko
Matt Wells

EX OFFICIO MEMBERS
Lee T. Todd, Jr., Ph.D., President, UK (Chair)
Mike Nietzel, Ph.D., Provost, UK
Frank Butler, Acting Executive Vice President for Finance and Administration, UK
John Picoro, Pharm.D., Faculty Athletics Representative and Professor of Pharmacy, UK (Secretary)
Patricia Terrell, Ed.D., Vice President for Student Affairs, UK
Bill Ransdell, K-Association President

EMERTI MEMBER
S.T. Roach, Retired High School Teacher and Coach

Information to be available for review by the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).

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- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

Governance and Commitment to Rules Compliance

Operating Principle

1.3 Rules Compliance

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions from the first-cycle certification process and actions taken were:

1. Consider documenting and disseminating (e.g. through the athletics department policies and procedures manual) the responsibilities and roles of the University's registrar and financial aid officer with regard to athletics matters (e.g. admissions, continuing eligibility certification). The responsibilities and roles of these university officials became part of the Athletics Department policies and procedures manual in fall 1999 and have been periodically revised and updated through the Academic Integrity Committee.
2. The Associate Director of Athletics for Compliance should present an annual oversight report to the Athletics Association Board, beginning with the academic year 1996-97. This position is currently making an annual report to the Athletics Board as part of the Athletics Director's Annual Report. This has been a regular part of the Athletics Director's report since the first-cycle suggestion was made.
3. The University should utilize the Southeastern Conference (SEC) Compliance Review Program to conduct Rules Compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996. Such a review was requested during the first-cycle for fall 1996. Due to scheduling difficulties at the SEC office, that review actually took place in summer 1997. To comply with the NCAA's compliance review frequency requirement of every four years, the University requested another review in fall 2000 hoping to be scheduled by the required date of summer 2001. The SEC office was undergoing dramatic staff changes in the Compliance area and delayed that request on several occasions. When the new SEC Commissioner was hired in July 2002, he asked that the University wait until he could institute a consistent review program through the conference office. UK finally received its second review in spring 2004. Additionally, the Athletics Department was the subject of an extensive review by a University committee outside athletics established by President Todd in spring 2002. Compliance was part of that review and significant changes were made throughout the department as a result of their study. It is the position of this university that the presidential review would meet the requirement for a periodic review by a group outside the Athletics Department. The SEC review occurred two years after that of the presidential committee. The University of Kentucky will continue to have a compliance review by the SEC office every two years as part of the new SEC Compliance Program.
4. The Associate Athletics Director for Compliance should meet annually with each booster group to provide rules education, beginning in fall 1996. This practice began with some external booster organizations in fall 1996 and included all external booster organizations that hold periodic meetings by fall 1997. The Associate Athletics Director for Compliance continues to meet annually with these groups.

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3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Additional plans for improvement implemented since the first-cycle certification include:

1. In 2002 the University of Kentucky contracted with an external company to establish a confidential toll-free call number for the use of employees, student-athletes, and boosters of the athletics program (Comply Cats 1-866-257-CATS [2287]). It is the hope of the Athletics Department that anyone who needs to report a violation or has a compliance concern will feel free to contact the Compliance Office or the Athletics Director. However, for those who do not feel comfortable taking that approach for any reason, the toll-free line provides a confidential vehicle whereby the department can become aware of all compliance concerns. The line is available 24 hours a day, seven days a week. All booster groups, athletics teams, and staffs are educated on the purpose of the line and how to access it. Individual calls are reported immediately to the Compliance Office for action. A monthly report of all calls is sent to the President of the University and the Commissioner of the SEC.
2. In 2003 the Compliance Office and the Athletics Accounting Office collaborated on a monitoring system for all expenditures made by the Athletics Department that involved a coach, student-athlete, staff member, or booster club. Every document flowing through the accounting office involving those groups is sent to the Compliance Office for review prior to payment. This system has helped prevent and detect problems that would otherwise go unnoticed. This has been an extremely effective process that has greatly enhanced the monitoring capabilities of the Compliance Office.
3. In 2001 the Compliance Office established a system whereby all external booster organizations had to receive prior written approval from the Compliance Office and their Administrative Liaison before any expenditure on behalf of UK Athletics could be made. This procedure, in combination with the external audits required for all these groups, has allowed much greater control over the activities of external booster organizations.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable.

5. 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 Athletics Department, through the Compliance Office, speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of athletics' interests. To this end, the Associate Athletics Director of Compliance writes a quarterly Compliance Corner column for "Blueprint," a periodic publication that is mailed to over 100,000 supporters of UK Athletics. The Associate Athletics Director posts educational information on prominent booster message boards, when necessary, in response to posts which indicate problems or areas of concern or interest. Those message boards will also contain an internal link to UK compliance information contained on the official UK web site. This web site is continually updated.

In addition,

- Compliance Office staff members periodically write rules education articles for alumni and booster publications.
- Rules education pamphlets are mailed with season ticket information and alumni mailings.
- The Associate Athletics Director for Compliance speaks on a regular basis to high school coaches, principals, and athletics directors, as requested.
- A member of the senior administrative staff serves as a liaison to each of the external booster organizations. This gives them an additional person to contact other than the Compliance Office for operational or financial concerns.
- The most effective control is the prior written approval of any and all expenditures made by any external booster organization on behalf of the UK Department of Athletics. This prior approval form must be filed by the appropriate officer of the club and must receive the written approval of the administrative liaison assigned to that club and the

Governance and Commitment to Rules Compliance

written approval of the Compliance Office.

—At the end of each fiscal year, each external booster organization must submit a financial audit that lists every check written throughout the year. This audit must be completed by an outside auditor in compliance with NCAA requirements.

—The Compliance Office meets annually with each of the external booster clubs to educate them on the NCAA rules governing booster interaction with both current student-athletes and prospects. The Department of Athletics also uses that time to inform them of the Comply Cat line and encourages them to share any information or concerns directly or through the confidential line. Athletics makes it very clear that the department is committed to compliance and wants to be informed of any problems or concerns the boosters might have.

- 6. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.**

The Athletics Director is the individual designated by the President as being responsible for the institution's NCAA rules compliance. The Athletics Director reports directly to the President of the University. The staff of the UKAA Compliance Office assists the Athletics Director by conducting the day-to-day operations to ensure such compliance. The Compliance Office ensures that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference and NCAA rules and regulations. The Compliance Office staff monitors the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff also conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Compliance with the rules and regulations of the University, SEC and NCAA is internally monitored through frequent operational checks with all sport and administrative areas. The Compliance Office relies extensively on the services and expertise of University officials outside the Athletics Department to document and monitor compliance. The Athletics Department is also externally audited every two years by the Compliance Staff of the SEC or an outside group contracted by the SEC. The Compliance Staff attends regional and national seminars to continually improve their effectiveness. Every employee of the University of Kentucky Athletics Department signs the NCAA Certification of Compliance Form annually and has a duty to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. When a violation does occur, the institution self-detects, self-investigates and self-reports in a timely and thorough manner.

The ATHLETICS DIRECTOR is designated by the President of the University to have direct accountability for rules compliance. The Athletics Director and the President together meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance. The Athletics Director also meets with each team individually in the fall and spring to emphasize the Athletics Department's commitment to rules compliance. He conducts an annual mandatory meeting for all student-athletes to review the student-athlete handbook. The Athletics Director reviews and signs-off on the initial, continuing, and transfer eligibility certifications and the sources of institutional and outside aid recorded on the SEC Eligibility Squad Lists. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. The Athletics Director is involved in resolution efforts when a student-athlete desires to transfer and there is a discrepancy between the institutions submitted by the student-athlete and those to whom the head coach is willing to release the student.

The FACULTY ATHLETICS REPRESENTATIVE (FAR) reports directly to the President and represents faculty concerns for the institution's conduct of its intercollegiate athletics program. The FAR demonstrates the faculty's belief that the intellectual and emotional development of students is the primary mission of the institution and that the value of athletics shall be measured by their contribution to that goal. The FAR works closely with athletics administration and staff to ensure that these goals are realized.

The FAR is responsible for creating and maintaining a clear and effective relationship between the institution, the NCAA, and the SEC, and also has responsibilities at UK as designated by these organizations, such as knowledge of regulations and procedures, attendance at meetings, involvement in investigations relating to alleged infractions, involvement in institutional self-studies, certification of eligibility, and qualifications for championships. When the

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institution maintains membership in other national governing bodies, the FAR has the appropriate responsibilities associated with such organizations.

The FAR informs the President of the general nature of faculty concern and support of the intercollegiate athletics program, specifically: faculty reaction to proposed NCAA legislation and the effect such legislation might have on institutional concerns; current issues, trends, and important problems that may arise with regard to intercollegiate athletics; the extent of institutional compliance with the letter and spirit of NCAA and SEC regulations; and academic integrity issues and the eligibility of student-athletes. As chair of the Academic Integrity Committee, the FAR oversees the institution's athletics program. He serves as one of the delegates representing the University of Kentucky at the annual meeting of the NCAA and as Secretary of the University of Kentucky Athletics Association.

The FAR reviews and evaluates academic and general support services for student-athletes; studies and monitors student-athlete time demands, practice and competition schedules, and student-athlete conduct and welfare; monitors majors, course enrollment/schedules, and summer school attendance of student-athletes; reviews student-athlete orientations, tutoring, study halls, drug education, special admissions, class attendance, and final grades; conducts exit interviews, concurrently with the Associate Athletics Director for Compliance, with student-athletes and prepares a report for the Athletics Director; and, supports and assists the activities of the Associate Athletics Director for Compliance.

The FAR is also responsible for: determining the eligibility of student-athletes under NCAA and SEC rules and regulations and certifying eligibility; in conjunction with the Athletics Director or his/her representative, appealing to the NCAA Eligibility Committee for restoration of eligibility of student-athletes; in conjunction with the University's Director of Admissions and the Registrar, monitoring decisions that affect student-athlete eligibility; in conjunction with the University's Director of Financial Aid, monitoring NCAA and/or SEC rules on grant-in-aid to student-athletes; interpreting for academic advisors and others NCAA and/or SEC regulations that require student-athletes to make satisfactory progress toward a degree; in conjunction with academic advisors and Athletics Department staff members, monitoring student-athletes' satisfactory progress toward their degree; in cooperation with counseling staff members, determining that counseling is available to student-athletes in areas that relate to participation in intercollegiate athletics and academic welfare; and serving as faculty advisor to the student-athlete advisory council.

A job description for the FAR is available in the "UKAA Policies and Procedures Manual." The FAR is appointed by the President for a three-year term that may be renewed indefinitely. Given the extensive knowledge and expertise required to function effectively in this position, long-term service of the FAR is highly desirable. However, the Governance and Rules Compliance Subcommittee suggests that the University should consider a reasonable limit on the years the FAR may serve. Such a limit would accomplish two things: 1) provide other interested faculty with the opportunity to serve as FAR; and 2) distribute the cost burden to other colleges since the FAR's college currently bears the cost of the FAR's time. The Subcommittee suggests further that a study of best practices among other SEC and benchmark institutions should be conducted, prior to making decisions regarding the FAR, to gather additional information on how the role of Faculty Athletics Representative is structured, funded, and fulfilled.

The ASSOCIATE ATHLETICS DIRECTOR (AAD) FOR COMPLIANCE reports to the Athletics Director and also has a dotted-line reporting relationship to the President. The AAD for Compliance meets with the President once a month without the Athletics Director present to keep him informed of the University's rules compliance activities and any enforcement issues being addressed and to secure his input on legislation and other issues.

The AAD for Compliance monitors University of Kentucky Athletics compliance with NCAA and SEC rules and regulations. Specific responsibilities include: monitors recruitment, admission, eligibility, financial aid, summer housing, summer employment, and complimentary admissions of current and prospective student-athletes; disseminates and interprets NCAA and SEC rules concerning the UK athletics program; investigates and reports any rules violations that may or have occurred and coordinates the University of Kentucky actions in response to the NCAA or the SEC regarding the violation; and provides rules education opportunities for student-athletes, coaches, boosters, and other groups connected with the University of Kentucky athletics program.

Under the direction of the AAD for Compliance, the Director of Compliance assists in monitoring the University of Kentucky athletics compliance with NCAA and SEC rules and regulations including recruiting and coaching activities and collecting proper documentation in regard to those areas. The Director monitors student-athlete financial aid, administers the NCAA Special Assistance Fund, and administers the NCAA Opportunity Fund.

Also under the direction of the AAD for Compliance, the Athletics Eligibility Coordinator creates and maintains the squad lists for all NCAA sports at the University of Kentucky including entering and monitoring of prospective student-athletes in the NCAA Initial Eligibility Clearinghouse, maintaining up-to-date eligibility files on all current student-athletes, and completing preliminary evaluation of prospective student-athlete transcripts for coaches to determine eligibility status.

Governance and Commitment to Rules Compliance

COACHES report directly to the Athletics Director. Every new coach meets with the Compliance Office staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office. Coaches meet periodically with the Athletics Director and the President where emphasis is given to commitment to rules compliance. Coaches are responsible for making themselves and their student-athletes available to the Compliance Office for rules education on a regular basis. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. Coaches must complete phone logs, practice logs, playing and practice season forms, pre- and post-official visit forms, and other required documentation for monitoring by the Compliance Office. Each coaching staff meets monthly with the Director of Compliance to turn in these forms and receive any updated information compliance might need them to know. Coaches receive a status report from the NCAA Initial Eligibility Clearinghouse and a copy of the Admissions report showing the admission status of all prospective student-athletes on a weekly basis.

The UNIVERSITY REGISTRAR reviews each returning student-athlete's satisfactory progress and certifies continuing eligibility based on current NCAA legislation. The Registrar collects forms completed by the individual colleges certifying percent of degree completed and cumulative grade point average for all returning student-athletes. The Registrar also collects forms from the individual colleges confirming the number of transfer hours accepted by the University and by the individual college toward a specific degree. Under the direction of the University Registrar, the Associate University Registrar certifies continuing eligibility for all returning student-athletes and eligibility for all transfers. Full-time enrollment is also certified by the Registrar's Office.

The DIRECTOR OF ADMISSIONS makes all admissions decisions for prospective student-athletes under the rules and regulations stipulated by the University Faculty Senate. All initial eligibility certification decisions are made by the NCAA Initial Eligibility Clearinghouse. Admissions decisions are determined only after the official Clearinghouse decision has been made. Once the admissions decision is made, the Director of Admissions sends copies of all academic credentials utilized in the admission process to the Compliance Office. These credentials are reviewed to ensure compliance with SEC and NCAA rules and regulations. If any academic credentials are received by the University of Kentucky in the admission process that contradict the eligibility decision of the Clearinghouse, an investigation will be conducted in conjunction with the Clearinghouse to verify or correct the decision. Student-athletes who are denied admission because they do not meet the standards set forth by the University Faculty Senate may appeal through the Exceptions Committee. In conjunction with the Registrar, the Director of Admissions determines which courses taken by a transfer student at another institution are transferable to the University of Kentucky.

The Director of Admissions reviews and signs off on the SEC Eligibility Squad Lists of students with initial, continuing, or transfer eligibility. The Director of Admissions provides the AAD for Compliance and the AAD for Student Services a weekly computer printout showing the admissions status of all prospective student-athletes. The Director of Admissions attends the SEC Summer Workshop to gain information on new rules and regulations pertaining to admissions and to share ideas and concerns with counterparts from other SEC institutions.

Under the direction of the DIRECTOR OF FINANCIAL AID, the Associate Director of Financial Aid works with the Athletics Department to provide information and assistance to both the student-athlete and his/her family to ensure that the student receives the maximum amount of permissible financial aid from all sources. In conjunction with the Athletics Department, the Financial Aid Office develops a working system to provide financial resources to student-athletes while maintaining the institutional control required by NCAA regulations. This involves establishing policies and procedures that clearly state who is responsible for the various tasks required and ensuring that there is a clear delineation of responsibilities. Student-athletes are flagged in the financial aid system so that they may be monitored for over-awards and to ensure that all sources of financial assistance being given to the student-athlete are permissible under NCAA and federal guidelines.

In conjunction with the Athletics Compliance Office, the Associate Director of Financial Aid produces and sends athletics award and denial letters to students within the time frame required by the NCAA. This letter states the terms of the award and indicates the right of appeal for those students whose aid is being reduced or not renewed. If the student chooses to appeal, the Financial Aid Office schedules and conducts the appeal hearing in accordance with NCAA regulations. The role of the Financial Aid Office in the appeal process is to help the Chair of the financial aid committee conduct the appeal process but not act as a voting member.

The Financial Aid Office maintains financial aid records in the University of Kentucky Student Information System (SIS) for all student-athletes to provide information required to produce squad lists and other required information. The Director and Associate Director of Financial Aid monitor proposed changes to both athletics rules and all other types of financial assistance to ensure that the changes are in the best interest of the student-athlete and are proactive in supporting or opposing those changes as appropriate. This monitoring also includes developing

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systems and processes within the institution to ensure that the institution will be in compliance with the new regulations.

The Compliance Office staff meets with the University's INTERNAL AUDITORS several times during the year to discuss the steps being taken to monitor areas such as compliance with UK accounting procedures, minimizing the risk of fraud, reputational risk, and so forth. The AAD for Compliance attends similar meetings of the Athletics Director and Internal Audit. As part of the University's corrective action from the football investigation, internal auditing of institutional camps was expanded. The Athletics Department and Compliance Office cooperate with the internal auditing office in both on-site audits of camp registration and reconciliation audits at the end of the camps.

7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

The staff of the University of Kentucky Athletics Department Compliance Office conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Listed below are the rules education policies and ongoing efforts.

RULES EDUCATION POLICIES

- The UKAA Compliance Office will ensure that all coaches, student-athletes and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations.
- The Athletics Director and the CEO will meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance.
- The Athletics Department will fund rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility and financial aid.
- The Associate Athletics Director (AAD) for Compliance will conduct regular rules education sessions for external groups who support UK Athletics.
- Educational materials will be available in hard copy and on-line for the continuing education of all constituencies.

RULES EDUCATION EFFORTS

- The Athletics Director meets annually with each team in the fall to emphasize the Athletics Department's commitment to rules compliance.
- The Athletics Director conducts an annual mandatory meeting for all student-athletes to review the Student-Athlete Handbook and emphasize UK's commitment to rules compliance.
- The President meets annually with the Athletics Department staff to emphasize his commitment to rules compliance.
- The President participates in the mandatory meeting for all student-athletes to emphasize his commitment to rules compliance.
- The Compliance Office is responsible for the rules education portion of the program at the monthly recruiting panel meetings for UK coaches.
- The Compliance staff meets with every team when they return to campus for the fall semester to educate them about UK, SEC and NCAA rules. They also complete the required SEC and NCAA forms for eligibility.
- Each student-athlete chosen to serve as a student host for a visiting prospect reports to the Compliance Office for a rules education session prior to any contact with the prospect.
- Every new coach meets with the compliance staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office.
- All staff assistants, clerical personnel, and student workers attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations that pertain to their area. They are informed about the appropriate forms necessary to provide information to the Compliance Office.
- Specific rules education sessions are conducted with the media relations staff, the marketing staff, and academic tutors to familiarize these employees with the rules and regulations that apply to their area.
- The University of Kentucky Athletics Department provides transportation, meals, and lodging for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office who are involved in the certification of student-athletes to attend the SEC Summer Workshop in Birmingham each year. This workshop provides information on new rules and regulations pertaining to their areas and allows them to share ideas and concerns with counterparts from 11 other SEC institutions. This group is updated continually on SEC and NCAA rules and regulations throughout the year through the Academic Integrity Committee.
- The AAD for Compliance speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of UK's athletics interests.
- Rules education articles are written periodically for alumni and booster publications.
- Rules education pamphlets for boosters are mailed periodically with season ticket information and alumni

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mailings.

—The AAD for Compliance conducts rules education sessions for high school coaches, principals, and athletics directors as requested.

—The AAD for Compliance writes a quarterly Compliance Corner column for the "Blueprint" which is mailed to over 100,000 supporters of UK Athletics.

—The compliance section of the UK Athletics Department official website is periodically expanded and updated.

—The AAD for Compliance posts educational information on prominent booster message boards in response to posts that indicate problems or as deemed necessary. The message boards contain an internal link to UK compliance information maintained on the official UK website.

8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.

The "UKAA Policies and Procedures Manual," Chapter XII, outlines in detail the policies and procedures by which the department ensures the centrality of rules compliance with all its personnel. Rules compliance is a priority at all levels of the department; this is evidenced by the emphasis placed on compliance in all interviews conducted as part of the self-study, including interviews with the President, the Athletics Director, the coaches and their staffs, and the student-athletes. All members of the Athletics Department were found to be proactive in their efforts to ensure compliance with NCAA rules and regulations.

Additional evidence of this central emphasis is found in a variety of places. The "UKAA Policies and Procedures Manual" explicitly states that rules education sessions with department personnel and student-athletes are to be conducted periodically involving the Athletics Director and the President to emphasize their commitment to rules compliance. Personal meetings are conducted and materials are made available in hard-copy and electronically to facilitate the rules education process.

The procedures by which the Athletics Department facilitates its policy to ensure rules compliance are varied and comprehensive. Those procedures include an annual meeting by the CEO with Athletics Department staff to emphasize the institution's commitment to rules compliance. The Athletics Director meets annually with each team in the fall to emphasize the department's commitment to rules compliance. The Director also conducts an annual mandatory meeting for all student-athletes to review the "Student-Athlete Handbook" and emphasize UK's rules compliance commitment. The CEO participates in this annual meeting to add his emphasis to the importance of rules compliance. Each student must certify that he or she received the material and accepts responsibility for reading it. Every student in every sport must attend this annual meeting in each year of his or her participation in athletics.

The Compliance Office is responsible for the implementation of the comprehensive rules education program within the department. Compliance Staff meets with every team when they return to campus in the fall to educate them about UK, NCAA, and SEC rules. This meeting includes an explanation of reporting responsibilities, the format for reporting, where to get information, and the like. Every new coach meets with Compliance to become familiar with the appropriate forms needed to report critical information to the Compliance Office. A Compliance Handbook is provided to each coach. The Compliance Staff also conducts the rules compliance portion of monthly meetings for UK head coaches. During self-study interviews with the coaching staff, these meetings were highly complemented both for the information provided and the excellent communication vehicle for coaching staffs to share information on issues, insights, and methods of resolving problems before they arise. Any updates regarding rules changes are handled at these monthly meetings. The Director of Compliance also meets monthly with the entire coaching staff of each sport individually in the Compliance Office. During this meeting, all coaches are updated on current and impending legislation. They also turn in the forms that the Compliance Office utilizes for monitoring telephone calls, contacts, evaluations and practice times. Any questions they might have about these forms or any other compliance issue are answered during these meetings.

As to student-athletes' education efforts, in addition to the annual meeting with the Director and President mentioned above, each student-athlete chosen to serve as a student host for a visiting prospect must report to the Compliance Office for a rules education session prior to any contact with a prospect. The Compliance Office staff meets with each team when they report back to school in the fall to complete the necessary eligibility forms for the NCAA and SEC. During this meeting, the rules concerning boosters, extra benefits, complimentary admissions, agents, gambling, eligibility, recruiting and other issues that the student-athlete needs to know to remain compliant are very carefully explained. The student-athletes have the opportunity at this meeting to ask any questions they might have and to bring up any issues they consider important. They are also provided information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (Comply-Cats 1-866-275-CATS[2287]).

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Employees in the Center for Academic and Tutorial Services are educated each year concerning those rules that pertain to academic fraud, initial and continuing eligibility, tutors, and other issues. The staffs of the Sports Information Office, Marketing Office and the Accounting Office attend similar rules education meetings. Other department personnel, such as staff assistants, clerical personnel, and student workers, must attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations in their area. They are educated about the appropriate forms necessary to provide information needed by the Compliance Office. In each of these educational meetings, the staffs are given information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (see above for number).

During the course of the self-study, the Athletics Department was in the process of checking a random selection of job descriptions for its employees to verify that there is a statement making rules compliance a central element of their employment. From that random selection, it was determined that approximately 80% of the job descriptions contained some form of statement requiring rules compliance. Since that time, Athletics completed the review of all job descriptions and added commitment statements to all job descriptions, as necessary.

9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

The Athletics Department has made it a central policy to ensure rules compliance by all individuals within and outside the Athletics Department who are involved in rules-compliance activities. The department provides funding for rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility, and financial aid. These opportunities include full funding of expenses for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office involved in the certification of student-athletes to attend the SEC workshop each year. This workshop provides information on new rules and regulations pertaining to their areas and allows a sharing of ideas and concerns with counterparts at other SEC institutions.

The members of the Academic Integrity Committee, chaired by the Faculty Athletics Representative, include the University Registrar, certifying officials from the Registrar's Office, the Director of Admissions, certifying officials from the Admissions Office, and the Assistant Director of Financial Aid. These University Officials, in addition to various Athletics Department personnel, meet approximately six times during the academic year to discuss current and impending legislation which affects their interaction with the Athletics Department; policies concerning the admission of student-athletes; policies concerning the admission of junior college transfers; changes in University degree programs; and other issues which impact the responsibilities of these officials in certifying student-athletes. The job descriptions of these University officials outside the Athletics Department contain a statement requiring rules compliance to be a central element of their employment.

10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below and in Academic Standards, Self-Study Item 5, fall under the purview of the Associate Provost for Undergraduate Education, who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Freshman eligibility is certified by the Office of Undergraduate Admission and University Registrar. One Admissions Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted in the following ways:

- 1) all prospective student-athletes who meet UK automatic admissions standards;
- 2) all signees/scholarship athletes who meet NCAA Freshman Eligibility Standards as outlined in the NCAA Divisions I Manual 14.3.1.1.1; and
- 3) Students who are denied admission have the right to appeal the admission decision to the University Faculty Senate's Committee on Admission by Exception.

Freshman students who wish to walk on are processed the same as all other freshman applicants.

See Principle 2.1, Academic Standards, Self-Study Item 5, for step-by-step processing information related to the following: application packets; completed applications and documents; application processing for recruited athletes; international student-athlete applicants; certification; admission processing review; and protocol and procedures.

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- 11.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The policies and step-by-step procedures in the area of continuing-eligibility certification fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

See Principle 2.1, Academic Standards, Self-Study Item 10, for a complete description of the step-by-step procedures to certify student-athletes' continuing eligibility.

REGISTRATION AND ADD/DROP

All student-athletes are coded in SIS. The Student Information System (SIS) also identifies the student's sport. Student-athletes register in the regular manner. New students attend an advising conference, and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a stop code in SIS along with an Originating Academic Unit of Lexington Campus (LC). Therefore, all drops after the last day to add a class must go through the Senior Academic Counselor in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, the drop is processed through the CATS Senior Academic Counselor. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

FOR THE FUTURE

The University of Kentucky Office of Undergraduate Admission and University Registrar is currently working to bring up a new degree audit system called DARwin. Once fully implemented, DARwin will be an extremely useful tool for students and advisors. Degree audits can be generated that will clearly outline what requirements have been fulfilled by the student and what still remains to be completed. Miami University of Ohio owns DARwin and has already written a program for NCAA certification. UK plans to utilize this tool in calculating percentage toward degree completion when working with student-athletes.

- 12.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Transfer student eligibility is certified by the Office of Undergraduate Admission and University Registrar. Student-athletes who transfer to the University of Kentucky from another institution and who are not considered freshmen are bound to the guidelines established by NCAA and SEC rules. The rules are applied by the Associate Athletics Director for Compliance. (See Principle 2.1, Academic Standards, Self-Study Item 9, for additional details). The process is overseen by the Faculty Athletics Representative.

The Admission Officer reviews each application and associated documents carefully and sets up additional on-line requirements for transfer student-athlete applicants. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

SIS allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising conference where they will meet with an academic advisor and register for classes, just as all other students are required to do.

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The Admission Officer is responsible for carefully reviewing transcripts and calculating cumulative grade-point averages and test scores. These data items are recorded in SIS.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletic Director, Associate Athletics Director for Compliance, Associate Director of Undergraduate Admission and Associate Registrar, Associate Registrar for Student Records, Associate Director of Financial Aid, and Faculty Athletic Representative.

Verifying course work for transfer student-athletes follows this sequence:

OLD RULES (Prior to fall 2003)

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

REGISTRATION AND ADD/DROP

Please refer to this same section in the previous response to Self-Study Item #11.

13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

The "UKAA Policies and Procedures Manual," Chapter XII, includes detailed policies and procedures for the detection and reporting of rules violations. Responsibilities for self-reporting violations are extended to all employees, student-athletes, and any other individual associated with the University of Kentucky Athletics Department. It is considered to be an affirmative obligation for UKAA employees to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. They are assured that such reports may be made without fear of retribution.

Such individuals are required to make their initial report by phone to either the Compliance Office, the cell phone of the Associate Athletics Director for Compliance, the cell phone of the Director of Compliance, or to the Comply-Cat toll-free line (Comply-Cats 1-866-275-CATS[2287]). This toll-free hotline is monitored by an independent contractor, seven days a week, 24 hours a day, throughout the year. If the caller so chooses, the report may be made anonymously.

After the initial report, individuals are required to put the information in writing. This written report should include what happened, how it happened, when it happened, who was involved, and so forth.

The Associate Athletics Director for Compliance will investigate the reported violation and determine, with the assistance of the SEC and NCAA staffs if necessary, whether or not a violation has occurred. The FAR, President, and Athletics Director are informed of the investigation and receive a copy of the report.

Other officials within the Athletics Department or the University (e.g. AAD for Student Affairs, University Ombud, etc.) may be involved in the investigation depending on the nature of the violation reported.

The violation is then reported in a timely manner by a written report to the SEC and the NCAA. In this report, the department will provide an explanation for why the violation occurred and what can be done to keep it from happening in the future.

The Compliance Office staff is responsible for monitoring compliance with any penalties or sanctions imposed by the institution, the SEC, or the NCAA as a result of any reported violations.

Any employee, student-athlete, or other individual associated with the University of Kentucky Athletics Department who willfully violates UK, SEC, or NCAA rules or who is grossly negligent in applying those rules, will be subject to disciplinary action which may include termination.

14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

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The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

The support required to award and monitor financial aid to a student who is participating in NCAA athletics is much different than that required for a student receiving federal, state, or institutional aid. While athletic aid must be considered in monitoring these types of aid to ensure there are no over-awards based on need, additional levels of regulations apply to student-athletes. These additional sets of rules from the NCAA and the SEC require that a complex institutional system be in place to ensure compliance with all regulations and to maintain institutional control. The processes listed below differ from or are in addition to the regular processes used to administer other types of financial assistance.

FINANCIAL AID/ADMISSIONS PROCESS

In certain situations pertaining to football and basketball the Financial Aid Office as well as the Admissions Office must certify that neither the admission of nor the financial aid awarded to the student was related to the student being an athlete in order for the student not to be counted against the team limit. In sports other than football and basketball the Financial Aid Office must certify that the financial aid awarded was unrelated to athletic ability so that the student will not be considered a team counter. (Note: These certifications pertain to all financial aid the student is receiving from all sources — not just aid awarded by the institution. This usually requires several contacts with outside agencies to obtain proper documentation of the criteria of the award the student is receiving to ensure it was not athletically related.) The Financial Aid Office must provide documentation of aid awarded to the Admission Office for athletes from other countries.

GENERAL FINANCIAL AID RESPONSIBILITIES

It is the responsibility of the Financial Aid Office to understand the bylaws and regulations of both the NCAA and the SEC as they pertain to administering financial aid to student-athletes, including how the various types of aid affect student eligibility. This requires detailed knowledge of the information in the NCAA and SEC manuals and constant monitoring of the NCAA News and yearly attendance at SEC/NCAA seminars.

Early each year after the Board of Trustees sets the fee structure for the next academic year, the Financial Aid Office works with the Athletics Department to determine the worth of a full athletics grant (tuition, room and board and books) and the worth of the full cost of attendance.

Each year both new student-athletes and all returning student-athletes are flagged in the Financial Aid Office computer system so that they can be monitored during the year. This includes both athletics scholarship students and all walk-on athletes. Additionally, the Financial Aid Office works with the Computing Center to produce weekly update reports to help monitor all aid student-athletes may be receiving.

The Associate Director of Financial Aid constantly monitors the proposed legislation from both the NCAA and the SEC in order to be able to comment and advise UK's voting representatives about how these proposals would affect UK student-athletes and/or impact the institution itself. The University of Kentucky and the SEC are very proactive in dealing with new legislation. This is a very important but time consuming process that continues throughout the year.

As legislation becomes law, it is critical that the Financial Aid Office understands how new rule(s) affect the aid process and helps the institution develop policies and procedures to ensure compliance with the new rules. This is an on-going process due to the constant changes in the legislation. These changes often require institutional resources in the form of personnel, computer support/programming, and personnel education.

One of the most important functions the Financial Aid Office renders the athletic process is that of monitoring new sources of federal, state, and institutional aid and determining how these different types of aid will be treated by NCAA regulations and how they will affect student eligibility. The importance of the role of the Financial Aid Office professionals in advising and helping these different agencies as they develop policies and procedures for new programs cannot be over-stated. Understanding the complex bylaws of the NCAA will permit the Financial Aid Office to be a resource in helping develop policies that will not jeopardize the ability of student-athletes to receive these types of funds in the same manner as other non-athletic students. This process involves monitoring new programs as well as proposed revisions and changes from state agencies and the State Legislature. This monitoring process is not limited to outside agencies but includes new institutional aid. When the Financial Aid Office is in doubt about how a particular fund must be treated, it must write the NCAA for an official interpretation. The UK Financial Aid Office has been the lead office in the state of Kentucky in requesting these interpretations and disseminating the responses to other schools in the state.

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FINANCIAL AID PROCESSES AND TASKS

The financial aid processes required to support overall athletic institutional control are significant and demand constant monitoring and changing in order to be successful. Each year every student-athlete who has remaining eligibility must be notified whether their athletic grant is being renewed at the same level as the prior year. If the athletic grant will not be renewed the student must be notified prior to July 1. All athletic grant notifications or reductions must be sent by the Financial Aid Office. If the student's athletics grant award will not be renewed or will be less than the prior year, he/she must be given the right of appeal before the regular Committee on Student Financial Aid that hears all other financial aid appeals. It is the responsibility of the Financial Aid Office and the Chair of the Committee on Student Financial Aid to coordinate the appeal process and conduct the hearing as soon as possible. The Financial Aid Office is then responsible to notify all parties of the committee's decision. The Financial Aid Committee also has an additional charge to hear appeals by student-athletes who wish to transfer and play at a different school when the UK Athletics Department will not release the student to play at that particular school. This committee has the final determination in both types of appeals.

To ensure that student-athletes are not receiving some type of aid that would render them ineligible, each year the Financial Aid Office must work to ensure that no aid is received by a student-athlete unless it is processed through the Financial Aid Office. This is a major yearlong task as aid continues to flow to students all year. Aid comes from many sources and in various forms and many cases require tracking the sources and criteria of the aid. In some cases the student may not receive the aid and the funds must be returned to the donor; in other cases, the student may receive the aid but the amount of athletic aid must be adjusted.

The Financial Aid Office is responsible for monitoring every type of aid each athlete receives to determine whether the aid makes that athlete count against the team limit, i.e., does it make them a counter? Each individual athlete has two different limits that cannot be exceeded. The limits are (1) the worth of a full athletic grant, and (2) the full cost of attendance. All aid must fall into one or both of these categories and cannot exceed a set limit. Every award is monitored to determine if that award counts against the worth of a full athletic grant limit and if the award counts against the full cost of attendance. Each year the Financial Aid Office must sign the official Scholarship/Squad List certifying the information for each sport.

Athletic financial aid credits are passed through the financial aid computer system (FAMS) to credit student accounts and produce credit balance checks for student-athletes. These checks are written and mailed to the Athletics Department only after they are monitored one last time by both the athletics staff and the financial aid staff to ensure the athlete may receive that particular type of aid. A mistake here could result in the student receiving aid which would render the student ineligible and cause the team to have played with an ineligible player. This represents a major difference between other students and student-athletes.

The Financial Aid Office is also responsible for determining the eligibility of student-athletes applying for the NCAA Special Assistance Fund and for signing the forms required to complete that process.

15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

All policies and procedures for monitoring recruiting are specifically detailed in Chapter XIX of the "UKAA Policies and Procedures Manual." The areas of compliance and the responsible parties are summarized below.

Area of Compliance: Permissible Recruiters

Responsible Person(s): Authorized institutional staff members

NCAA, SEC, and/or University Involvement: Certification administered by the Southeastern Conference (SEC)

Area of Compliance: Code Of Ethics

Responsible Person(s): Each coach

NCAA, SEC and/or University Involvement: Certification administered by the SEC

Area of Compliance: New Coach Orientation.

Responsible Person(s): All new coaches

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance.

Area of Compliance: Academics

Responsible Person(s): Coaches

NCAA, SEC and/or University Involvement: NCAA Initial Eligibility Clearinghouse, University Admissions Office, and Compliance Office

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Area of Compliance: Recruiting - Dissemination of Information

Responsible Person(s): All Head Coaches meet once a month.

NCAA, SEC and/or University Involvement: The Associate Athletics Director for Compliance and guest speakers (e. g., Admissions, Financial Aid, Housing, Registrar, etc.)

Area of Compliance: Data Collection

Responsible Person(s): One coach per sport is required to meet each month.

NCAA, SEC and/or University Involvement: Director of Compliance will discuss Official and Unofficial Visits, Scholarships, etc.

Area of Compliance: Rule Interpretations

Responsible Person(s): Coaching staff, athletics staff, institutional staff, recruits, parents, administrators, boosters, and any other individuals

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance and Director of Compliance

Area of Compliance: Contacts and Evaluations

Responsible Person(s): Coaches will submit Travel Expense, Contact (CON-1), and Evaluation (CON-2) forms. Also, a Prospect Recruiting Log (CON-3) is kept on each prospect.

NCAA, SEC and/or University Involvement: Business Office (Contact and Evaluation forms are attached to the Travel Expense Form) and Compliance

Area of Compliance: Initial Eligibility

Responsible Person(s): Coaches and/or staff assistants

NCAA, SEC and/or University Involvement: Compliance Office, NCAA Clearinghouse, and SEC

Area of Compliance: National Letter Of Intent (NLI)

Responsible Person(s): Athletics Director (signs NLI and Application for Scholarship) and Head Coach (signs Application for Scholarship) NCAA, SEC and/or University Involvement: Compliance and SEC (NLI and Application for Scholarship)

Area of Compliance: Official Visits

Responsible Person(s): Coaches - prospect needs Clearinghouse approval. Prior to the visit, prospect is mailed banned drug list and information about the risks of nutritional supplements. Further Official Visit Guidelines (OFF-2) and U of K's Graduation Rates (OFF-3) shall accompany the NCAA banned drug list document. The coach must complete the Official Visit Pre-Approval and Summary Form (OFF-4), and the Student Host must be designated on this form. Student Host must complete a Student Host Form (OFF-5).

NCAA, SEC and/or University Involvement: Compliance Office

Area of Compliance: Procedures After Official Visit Is Completed

Responsible Person(s): Coaches must list all financial activities on the Athletics Association Travel/Recruiting Report Form (OFF-6). Prospects on an official visit are required to sign the Blue Travel/Recruiting Report Form.

NCAA, SEC and/or University Involvement: UKAA Accounting Office (Blue Travel/Recruiting Form and Official Visit Pre-Approval and Summary Form) and Compliance Office

Area of Compliance: Telephone Procedures And Guidelines

Responsible Person(s): All Coaches are required to record all calls to recruits on the Telephone Log Form (TEL-1).

NCAA, SEC and/or University Involvement: Coaches are required to submit a monthly Telephone Log Form to the Compliance Office.

16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

All policies and procedures for monitoring campus, clinics, private lessons, and activities with local sports clubs are specifically detailed in the "University of Kentucky Athletics Association Manual for Camps, Clinics, Private Lessons and Activities with Local Sports Clubs." Areas of compliance and responsible parties are summarized below.

Area of Compliance: Camp and Clinic Operating Structure (finances)

Responsible Person(s): Full-time employee sponsor or coach

University Unit Involvement: UK Accounting System

Area of Compliance: Private Lessons/ Local Sports Clubs Operating Structure (finances)

Responsible Person(s): Full-time employee as an independent business

University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

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Area of Compliance: Camp and Clinic Compensation of UK Employees
 Responsible Person(s): Camp and Clinic Sponsor (Head Coaches and Assistant Coaches, including Strength and Conditioning Coaches)
 University Unit Involvement: UK Athletics Compliance Office

Area of Compliance: Private Lessons/Local Sports Clubs Operating Structure Compensation of UK Employees
 Responsible Person(s): Full-time employee as an independent business
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Approval Process for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Camps, Clinics, Private Lessons, and Local Sports Clubs Compensation to the UK Athletics Association-Facilities and Administrative Fee
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Full-time employee sponsor or coach and the Facilities Coordinator

Area of Compliance: Frequency and Timing of Camps, Clinics, Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Use of UK Facilities for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Approval of the Athletics Director and sent to the Facilities Coordinator

Area of Compliance: Camps and Clinics Accountability
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp and Clinic Discounts
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office approval as stated in the camp brochure

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Training
 Responsible Person(s): Camp sponsor and/or designated camp administrator
 University Unit Involvement: Accounting Office, the Compliance Office and representative camp sponsors

Area of Compliance: Camp and Clinic Brochures
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Athletics Publications Office and Compliance Office

Area of Compliance: Camp and Clinic Stores
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Risk Management
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Risk Management Department

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Compliance
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office

Area of Compliance: Employment at Non-UK Sponsored Camps and Clinics
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

Area of Compliance: Outside Employment Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

Governance and Commitment to Rules Compliance

During the last two years special emphasis has been placed on attempting to control the ever-expanding role of the internet in athletics issues. Several innovative actions have been taken in the area of controlling on-line auctions of autographed items which threaten the eligibility of our current student-athletes and in the area of educating the millions of people who post on the message boards. This has been a rather "cutting edge" effort on the part of the compliance effort at the University, and the compliance officer has been asked to speak about these at several compliance meetings. All the major internet sites devoted to UK Athletics now contain an internal link to the rules education information contained on the official UK Athletics website. They also contain a downlink to an article written by the UK Compliance Office explaining the rules which pertain directly to those who post on the internet message boards. The AAD for Compliance monitors the boards for any threads which discuss potential rules violations or allege existing violations. When these are found, information is posted directly into the thread to educate those who are reporting and/or reading the information. These educational posts receive thousands of "hits" from UK boosters. That would be a staggering number to attempt to educate in any other manner. Currently, the AAD for Compliance has a regular thread where the boosters can ask compliance questions or report concerns. The internet is a part of modern life, and it now serves the University as a dynamic educational tool for on-going compliance efforts. An intern in the Compliance Office monitors E-bay daily for any auction items bearing the name or signature of a current student-athlete. The marketing department stops any such auctions within an hour of a report to them.

- 18.** Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

The University of Kentucky was evaluated by the Southeastern Conference compliance staff in summer 1997. Another review was requested from the conference in fall 2000. Due to scheduling difficulties and dramatic staff changes in the SEC office, the review was postponed on several occasions. In response to a request to SEC to go to another outside source for the review, SEC asked the institution to wait until their staff was available. In the interim, the UK Athletics Department was the subject of an extensive review by a committee established by incoming President Lee Todd in spring 2002. Compliance was an important component of that review. The SEC now has a new Commissioner who contracted with Bond, Schoenick and King, an outside compliance group, to conduct external compliance reviews. The University of Kentucky was the subject of such a review in spring 2004.

- 19.** Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

The University of Kentucky's most recent external review was conducted by Chris Schoemann, Vice President of Bond, Schoenick and King. This firm was selected by the Southeastern Conference (SEC) to conduct external reviews at all 12 SEC institutions. They are recognized as experts in this field and have an established interview and review process for the evaluation of compliance programs. Mr. Schoemann has extensive experience in compliance, including positions at the NCAA national office, campus-level compliance responsibilities, and his current position with the compliance services company. This evaluation was very objective, as the University of Kentucky was not involved in the selection of the firm or the individual who conducted the review.

- 20.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

Governance and Commitment to Rules Compliance

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

21. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

The evaluation report was received in September 2004. The evaluation concluded that the University of Kentucky "has a solid foundation of rules education and systems for monitoring athletics compliance." It further stated that "Kentucky has done a laudable job of attempting to establish a recognizable culture of athletics compliance both by the systems it has developed and the people it has hired."

The evaluation identified some substantive points that should be resolved "in order for the compliance program to operate more effectively." However, it also stated that none of these recommendations "is an indication of an ineffective athletics compliance program." As the NCAA Self-Study Steering Committee was concluding its review of the Athletics Department, discussions were underway to identify and develop corrective actions. Selected recommendations from relevant areas are presented below.

OVERALL PROGRAM

1. "There is a demonstrated need for an additional, full-time, administrative position within the athletics compliance operation to handle day-to-day issues. The current makeup of the athletics compliance staff lags behind industry standards for comparable Division I-A athletics programs."
2. "The job description for each individual in the athletics compliance unit should be reviewed annually to ensure that the job descriptions are consistent with practice and current expectations and that noncompliance responsibilities are compatible with the goals and priorities of the compliance program."
3. "Each University compliance form should include a specific statement and signatory section that clearly sets forth the staff member's obligation to ensure that information being provided is correct and affirms that the staff member understands that if he or she does not submit truthful information, employment with the University could be jeopardized."
4. "A date and identifying code should be incorporated into each department compliance form and written policy or procedure so that it can readily be determined when and by whom the document was last revised."

ELIGIBILITY CERTIFICATION

1. "The specific responsibilities of the degree analysts in each college should be included in the written description of procedures for the certification of eligibility for continuing and transfer student-athletes."
2. "The policy that all contacts with University offices/faculty should be made by the appropriate athletics department contact (e.g., academic counseling unit, compliance unit) rather than by the coaching staff directly should be regularly reviewed with the coaches."

RECRUITING

1. "A comprehensive monitoring/audit system for telephone records should be developed."
2. "A written agreement should be reached with each hotel that direct bills the University for hotel accommodations used by recruits that clarifies what charges can be billed and seeks the hotel's assistance in ensuring compliance with NCAA legislation."

REPORTING OF VIOLATIONS

1. "An institutional policy to stipulate that all student-athletes and all institutional staff members have an obligation to report possible rules violations should be included in the 'UKAA Policies and Procedures Manual' and/or the

Governance and Commitment to Rules Compliance

"Student-Athlete Handbook."

2. "A review of all violations for trends or patterns should take place and appropriate revisions in the compliance program plan (particularly in the areas of rules-education and monitoring efforts)."

EXTRA BENEFITS

1. "A system for more accurately monitoring all awards received by student-athletes (not just annual participation awards) and ensuring that the number and value of such awards complies with the applicable NCAA category should be created."

CAMPS AND CLINICS

1. "Annual designation of a single camp director for all camps conducted in each sport (must be a UKAA employee) should be required."

2. "Incentives and penalties regarding completion of required camp forms in a timely manner should be considered."

STUDENT-ATHLETE EMPLOYMENT

1. "References to potential issues in student-athlete employment should be incorporated in various publications designed to educate boosters, parents, student-athletes, alumni and coaches."

2. "Rules education and monitoring programs related to summer employment, particularly those jobs arranged by any athletics department staff member, should be implemented. This practice should include the following activities: (1) Final Spring Meeting - student-athletes review short rules education/questionnaires regarding summer employment. Rules education form letter sent to employer, and (2) Fall Orientation Meeting - student-athletes complete short questionnaire regarding compliance with the rules and gross estimates of earnings from previous summer's employment."

Information to be available for review by the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

Governance and Commitment to Rules Compliance

Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

Academic Integrity

Operating Principle

2.1 Academic Standards

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There was one strategy for improvement relating to Academic Integrity during the first-cycle certification decision. This strategy for improvement relates most closely to Operating Principle 2.1 (Academic Standards): "Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative."

As noted in its February 13, 2004 minutes, the Academic Integrity Subcommittee of this self-study reviewed the job description of the Faculty Athletics Representative (FAR). This job description appears to be complete and to satisfy the requirements of the Committee on Athletics Certification. The FAR job description can be found in Chapter XXIII of the "UKAA Policies and Procedures Manual."

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 first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement/recommendations arising during the first-cycle certification that relate to Operating Principle 2.1 (Academic Standards) of the Academic Integrity section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.1 (Academic Standards). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The processes described below fall under the purview of the Associate Provost for Undergraduate Education, Dr. Phil Kraemer. Dr. Kraemer is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS). The following processes are in place to ensure that the University of Kentucky maintains institutional control over the student-athlete admission process.

RECRUITMENT OF STUDENTS

Throughout normal recruitment activities, Admission Counselors (recruiters) from the Office of Undergraduate Admission and University Registrar interact with prospective students and prospective student-athletes. The Admission Counselors will answer general questions about athletics and athletic teams at the University of Kentucky. For instance, does UK have a Men's Tennis Team? Or does UK give scholarships to men's tennis players? However, any specific questions regarding athletics or athletic teams are directed to the Athletics Department Compliance Office.

STUDENT-ATHLETE ADMISSION INFORMATION

One Admission Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted as follows:

1. All prospective student-athletes who meet UK automatic admission standards.
2. All signees/scholarship athletes who meet NCAA Freshmen Eligibility Standards (Division I initial-eligibility standards are located in the NCAA Division I Manual 14.3.1.1.1).
3. Students who are denied admission have the right to appeal the admission decision to the University Senate's Exceptions Committee.

Freshman Walk-Ons: Students who wish to walk on are processed the same as all other freshman applicants.

PROCESSING INFORMATION

Application Packets: Student-athlete applicants receive a special application packet containing the UK application for admission and a test score validation form with cover letter. Applications are stamped UKA-SPORT so that they are readily identified. Student-athlete applicants must pay the application processing fee unless waived because of documented financial need. The waiver process is the same as for all students.

Completed Applications and Documents: Student-athlete applicants must send applications directly to the Office of Undergraduate Admission and University Registrar. Likewise, official transcripts must be sent directly from the appropriate institution (high school or college). The Office of Undergraduate Admission and University Registrar will accept documents delivered in person by the student, but only if they are contained in sealed envelopes.

Application Processing for Recruited Athletes: Applications are audited and entered on-line in the Office of Undergraduate Admission and University Registrar. Student-athletes are identified with a special program code of ATH on screen 206 in the Student Information System (SIS). (Note: International student-athletes will be coded as FST and athletic information will only be on screen 208). Sport-specific information is also entered on screen 208. This screen indicates whether or not a student-athlete is a scholarship athlete. Following data entry, folders containing the hard-copy application and associated documents are delivered directly to the Admission Officer who is responsible for the admission of student-athletes.

The Admission Officer reviews each application and associated documents carefully and sets up additional requirements for student-athlete applicants on-line. Requirements for freshmen include the application processing fee, official ACT or SAT score reports, official high school transcript (including final transcript upon graduation), 48-C certification from the NCAA Clearinghouse, and test score validation form. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

The Student Information System (SIS) allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising

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conference where they will meet with an academic advisor and register for classes just as all other students are required to do.

The Admission Officer is responsible for carefully reviewing transcripts, calculating cumulative grade-point averages and test scores, and in the case of freshmen, verifying the core course GPA. These data items are recorded in SIS.

International Student-Athlete Applicants: The Admission Officer responsible for student-athlete admission is also an International Admission Officer in the Office of Undergraduate Admission reporting to the Associate Director of Undergraduate Admission. International applicants must have a TOEFL of 527 (pen and paper test) or 197 (computer-based test), academic records, and financial information as determined by the Admission Officer. International student-athletes will be coded as FST on screen 206, but athletic information will be coded on screen 208.

Certification: Effective with the 1994 Fall Semester, all certification of student-athletes is completed by the NCAA Initial-Eligibility Clearinghouse in Iowa City, IA. Students must register for this service while in high school and make arrangements for official test scores and transcripts to be sent to the Clearinghouse. Usually in August the Clearinghouse sends a 48-C form to the institution the student listed on the registration form. The 48-C indicates whether or not the student has been certified and lists the 13 core courses (fall 2004 will be 13 or 14 core courses, fall 2005 will be 14 core courses) and the grade point average of the core courses. This information is also available on the secure NCAA Initial-Eligibility Clearinghouse Web site. Access to this site is restricted to the Admission Officer and the Associate Director of Undergraduate Admission and Associate Registrar.

The Office of Undergraduate Admission and University Registrar is no longer required to collect the 48-H form. Instead, the high school sends this document directly to the Clearinghouse.

Upon receipt of the 48-C form from the Clearinghouse, the Admission Officer records information on SIS, using screens 194, 209 and 207. Copies of the 48-C are sent to the Compliance Office. This shows eligibility, status, and core GPA from the Clearinghouse.

The official electronic squad list is created by the Athletics Compliance Office. The Admission Officer reviews the list and enters the 48-C information and the eligibility status for each student-athlete whose name appears on the list. The Associate Director reviews the completed file and certifies the information.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Director of Athletics for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

Admission Processing Review: The Associate Director of Undergraduate Admission and Associate Registrar review student-athlete admission folders, including 48-C forms, to assure that the Admission Officer has processed and admitted appropriately. This is done on a timely and continuing basis so any follow-up with the student-athlete, high school, testing agency, etc., can occur prior to the student's certification.

Copies of all documents are forwarded to the Associate Athletics Director for Compliance.

Protocol and Procedures: The staff in the Office of Undergraduate Admission and the University Registrar directs any athletic inquiries to the appropriate Admission Officer. Under no circumstances does the University tolerate interaction by coaches, coaching staff, or members of the Athletics Department with the admission process. All student-athletes are treated the same way as all other students in regard to process and procedures.

REGISTRATION AND ADD/DROP

All student-athletes are coded on screen 119, flag 5 in the Student Information System (SIS) according to sport. Student-athletes register in the regular manner. New students attend an advising conference and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a CT stop code on screen 17 in SIS along with an Originating Academic Unit of LC. Therefore, all drops after the last day to add a class must go through Mike Haley, Director of Advising Services in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, this is processed through Mike Haley. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

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DIFFERENCES IN ADMISSION FOR STUDENT-ATHLETES VERSUS STUDENTS GENERALLY

There are no qualitative differences in the admissions process for athletes and other students. The University of Kentucky has a selective automatic admissions policy giving automatic admissions to students meeting certain course, ACT/SAT, and GPA thresholds. The University Faculty Senate also allows a defined but variable percentage of students, typically 10%-20%, to be admitted competitively upon consideration of additional factors such as special talents and skills, letters of recommendation, considerations of diversity, and so forth. Athletes who do not meet automatic thresholds but meet NCAA clearinghouse standards are admitted as part of this competitive group as specified by the University Faculty Senate. For the cohort years 2001-2003 the percentage of athletes admitted as part of the 10%-20% competitive group is summarized in Academic Integrity Attachment No. 2: Special-Admissions Information. The percent of student-athletes admitted in the competitive group (31% in 2003) is greater than the percent for all students (9%); however, it is consistent with the University Faculty Senate policy on selective admissions. It is also reasonable to expect a higher percent of competitive admissions for a group of students characterized by a special talent, compared to the general student population.

Students denied admission through either the automatic or competitive processes described above may appeal the admission decision to the Senate appointed Committee of Admission by Exception. Admission of student-athletes by special admissions through this committee is compared to all students in self-study item 8. Only rarely are athletes admitted by exception and far less than non-athletes, as shown self-study item 8. Over the three-year period, only one student-athlete was admitted by exception as a result of the appeals process. The majority of non-athletes admitted by exception (95 in 2003-04) are students qualifying for automatic admissions but who have irregularities in the application, such as late submission.

ROLE OF THE ATHLETICS DEPARTMENT

The Athletics Department plays a minimal role in admissions, confined to signing off on freshman eligibility and transfer student eligibility certification and answering questions specific to athletic teams.

- 6. Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I graduation rates disclosure form) and for all entering freshmen students (by gender and by racial or ethnic group). [Note: Use the supplied charts and the graduation-rates disclosure form methodology to compile these data.]**

The admissions profiles of freshman student-athletes who received athletics grants-in-aid are compared with the profiles of freshman students in general in the tables included below as Academic Integrity Attachment No. 1: Part 1-A, Part 1-B, and Part 2.

Academic Integrity Attachment No. 1, Part 1-A: Standardized Test Scores, by Gender, illustrates standardized test scores for freshman student-athletes and freshman students in general by gender. In the attachment the ACT scores of students are reported as a sumscore, the sum of the four subscores that make up the ACT exam. The ACT sumscore of student-athletes is on average approximately 10 points below that of all students. The difference is less for female student-athletes than for male student-athletes. In particular, sumscores for female student-athletes are approximately eight points lower than their general student counterparts, while sumscores for male student-athletes are approximately 12 points lower. All student-athletes meet minimum eligibility requirements and are admitted under the same admission policies and procedures as all students, but as a group, their ACT sumscores are lower than those of their general student counterparts. The Academic Integrity Subcommittee discussed at length whether this difference is "significant." Based upon the relationship between graduation rate and ACT scores compiled for the 1995, 1996, and 1997 cohorts and included as part of the response to Self-Study Item 11, a 10-point ACT sumscore difference would be expected to translate into a seven percentage-point difference in graduation rates. While these admission criteria differences are not unexpected, given the different recruitment criteria applied to fine arts majors, student-athletes, and others who are admitted as part of the competitive group, the Subcommittee felt the impact of these differences in revenue sports was significant, as reflected in revenue sport differential graduation rates and discussed more fully in Self-Study Item 11. It should be noted that the admission process as practiced complies with University Faculty Senate and NCAA rules; however, the academic profile of student-athletes recruited for these three cohort years contributes to the lower graduation rates discussed under Item 11.

Academic Integrity Attachment No. 1, Part 1-B: Standardized Test Scores, by Racial or Ethnic Group, compares ACT sumscores of freshman student-athletes to those of all entering freshman students by racial or ethnic group.

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Insufficient numbers of American Indian, Asian/Pacific Islander, and Hispanic athletes are available for meaningful comparisons. Over the three-year period, white freshman student-athletes scored, on average, eight points below white freshman students in general on the ACT sumscore; black freshman student-athletes, however, show approximately a five point ACT sumscore difference when compared to all entering black freshmen. These data argue strongly against a racial or ethnic group bias in the average admission ACT sumscores for entering student-athletes.

Academic Integrity Attachment No. 1, Part 2: GPA and Test Scores, by Sport Group, compares GPA and ACT sumscores of student-athletes by sport group. No systematic significant differences in grade point average are apparent across the eight sport group categories for freshman student-athletes who received athletics aid. Women's other sports may be slightly higher than the other seven categories, whereas men's basketball was lower in 2003 only; however, small numbers of students typically result in some fluctuation of averages from year-to-year and sport-to-sport. The second half of the table compares ACT sumscores by sport group. Football and men's basketball appear to be lower, on average, than the remaining sport groups. There appear to be no significant differences among the remaining six sport groups. The shift in the distribution of entrance ACT sumscores is also noted in Self-Study Item 11 where it appears to play a role in subsequent graduation rates. The difference in entering ACT sumscores for student-athletes in revenue sports is more fully described in Self-Study Item 11.

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

The admission process for student-athletes has been described in Self-Study Item 5 above. As noted in that item, if a student-athlete does not meet standard UK admission criteria, there are two additional options for being admitted:

1. If the student-athlete meets NCAA initial eligibility standards, the student is admitted as part of the 10-20% of the freshman class that the University is allowed to admit through the competitive admission process for students with special talents and abilities, such as musicians, theatre majors, student-athletes, and others.

2. Students who are not admitted through the regular process or the first option described above may appeal the admission decision to the Exceptions Committee of the University Faculty Senate's Admissions Advisory Committee. The steps in the admissions appeal process and the role of the Exceptions Committee are described below:

—Student applies for admission.

—Admission decision is made.

—If admission is denied, the student has the right to appeal the decision.

—Appeals are made in writing to the Exception Committee (this committee falls under the jurisdiction of the Admissions Advisory Committee, a University Faculty Senate committee currently chaired by Tony Baxter, who is a faculty member from the Department of Computer Science).

—The committee reviews the student's written appeal and any supporting documentation with consideration for any extenuating circumstances presented by the student.

—If the appeal is approved, the student is admitted.

—If the appeal is denied, the student is notified by a letter that also presents other options. Usually the committee recommends attending another institution (such as Lexington Community College) to raise the grade point average and then suggests that the student re-apply to UK after a certain period of time.

8. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Number 7 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates supplemental form. [Use the supplied chart to compile these data.]

ALTERNATE ADMISSION OPTION 1 (as described in Self-Study Item 7)

Academic Integrity Attachment No. 2: Special Admissions Information presents the percent of entering freshman students who were admitted through special exception provisions, which was defined for the UK Athletics Self-Study as those students admitted in the competitive group described as option #1 in Self-Study Item 7. In 2003,

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69% of freshman student-athletes met automatic admission standards, while 31% of freshman student-athletes were admitted as part of the competitive group of students. All student-athletes in the competitive group met NCAA initial eligibility standards, and therefore, these results are consistent with the University Faculty Senate policy on selective admissions. Additional explanation may be found in Self-Study Item 5 under the section entitled, "Differences in Admissions for Student-Athletes versus Students Generally."

It is worth noting that the percentage of all freshman students admitted in the competitive group declined over the three-year period from 19% to 9%, reflecting efforts of the University to improve the quality of incoming freshmen. This percentage also decreased for student-athletes from 49% in 2001 to 31% in 2003.

ALTERNATE ADMISSION OPTION 2

The Academic Integrity Subcommittee reviewed data over the last two years from the Exceptions Committee of the Admissions Advisory Committee. Historical admissions records are not maintained in the student records system, and therefore could not be reviewed prior to spring 2003. During the time period from spring 2003 through spring 2004 (four semesters including summer), 95 student appeals were considered by the Exceptions Committee. Of these 95 appeals, only one appeal involved a student-athlete. This student-athlete was admitted as a transfer student.

The Academic Integrity Subcommittee concluded upon review of the admission appeals data and the Exception Committee decisions that student-athletes represent an insignificant portion of the admission appeal cases, and there is clear evidence that student-athletes are not given preferential or inappropriate treatment via the admission appeal process.

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

Transfer student-athletes are admitted under the same admission standards as students in general, as follows:

UK TRANSFER STUDENT ELIGIBILITY

Students at other colleges or universities, including community colleges, are eligible to transfer to UK if they:

1. Would have been selectively admitted to UK when they entered the first institution attended provided they have a cumulative grade-point average of 2.0 or better for all college-level work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all college-level work attempted at the last institution attended, provided at least 12 credit hours (or the equivalent thereof) were attempted there; or
2. Would not have been selectively admitted to UK but have completed 24 semester hours or more and achieved a cumulative grade-point average of 2.0 or better for all college and university work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all work attempted at the last institution attended.

Grade-point averages are computed by the Office of Undergraduate Admission and University Registrar and reflect the grade and credit for each course attempted, regardless of the practice of the offering institution of waiving the low grade for a repeated course.

UK APPLICATION PROCEDURES FOR TRANSFER STUDENTS

Transfer applicants from other colleges and universities request and complete an application packet from the Office of Undergraduate Admission and University Registrar and submit the following:

1. completed application for admission;
2. official transcript from each college or university attended, containing a complete record of all courses completed at the time of application;
3. roster of the courses in which the student is currently enrolled;
4. final official transcript of any additional work completed before entering the University; and
5. non-refundable application processing fee.

Candidates tentatively admitted at the time of application should be aware that the University will cancel the admission and/or the early registration of an applicant whose final official record, after completion of a current semester, shows ineligibility because of suspension, dismissal, or a drop in grade-point average below the required 2.0. Admitted transfer students are asked to bring a copy of the catalog of the last school attended when they attend their Advising Conference.

A student-athlete who transfers to the University of Kentucky from another institution who is not considered a freshman is bound by the guidelines established by NCAA and SEC rules. The process is overseen by Faculty Athletics Representative, Dr. John Picoro. The rules are applied by the Associate Athletics Director for Compliance, Sandy Bell, who has described them as follows:

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INCOMING TRANSFER EVALUATION PROCEDURES

Official Visits

1. The coach will identify a prospective transfer student-athlete by submitting the "Official Visit Pre-Approval and Summary Form" along with the prospect's transcript to the Compliance Office.
2. The coach will provide all transcripts and a current college course schedule to the Compliance Office.
3. The coach will complete and attach the "Request for Academic Progress Evaluation Form." The coach shall provide a desired major of the prospect. If the recruit conveys to the coach that he/she is undecided as to the type of degree they want to pursue, the coach will put "undecided" in the column marked "desired major" on the form. By denoting "undecided" on the form, the CATS official will select the major in which the prospective student-athlete will receive the most transferable hours towards a UK degree.
4. The Compliance Office does an unofficial evaluation of the transcript(s) for transferable hours. The Compliance Office will also check for additional NCAA/SEC transfer regulations (i.e. SEC English requirement).
5. The Compliance Office forwards the transcript(s) and transferable hours evaluation to the CATS official. The CATS official will do a preliminary degree progress evaluation.
6. CATS will provide to the Compliance Office the preliminary evaluation concerning the prospective student-athlete's athletic degree eligibility and graduation.
7. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.

Scholarship Request

1. The coach requests the SEC Application for Scholarship and/or NLI documents from the Compliance Office.
2. The coach attaches the completed "Request for Academic Progress Evaluation Form" if the prospect has made an official visit. If the prospect has not been previously evaluated, the coach shall attach the evaluation form at this time.
3. The Compliance Office checks for all current transcripts, qualifier status, and academic work in progress at the prospect's current institution.
4. The Compliance Office will perform a transferable hours audit of all transferable hours.
5. The Compliance Office will forward to the CATS official the transcript(s) and the "Request for Academic Progress Evaluation Form." The CATS official will obtain an official degree check through the Registrar's Office and the student's chosen college. If the prospective student-athlete has notified the coach that he/she is undecided on a desired major, the CATS official will convey to the Registrar's Office to select a major that would give he/she the most hours towards a UK degree.
6. After the degree check is completed by the Registrar and the designated college, the CATS official will distribute the audit to the Compliance Office.
7. The Compliance Office will review the degree check and NCAA/SEC transfer rules. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.
8. The Compliance Office will issue scholarship papers to the coach.

The certification process for transfer student eligibility is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

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

The Compliance Office develops squad lists. A copy of the list goes to the Undergraduate Admission Officer and a copy goes to the Center for Academic and Tutorial Services (CATS).

The Office of Undergraduate Admission and University Registrar compiles a list of undeclared student-athletes that need to select a major. This list is given to CATS. CATS then notifies the student-athletes. A Degree Objective Intent sheet is completed and submitted to the Undergraduate Admission Officer.

Student-Athlete Degree Progress Forms for each student-athlete are sent to the designated contact in the academic dean's office. The college contacts are given three weeks to complete and return the forms. The colleges as well as the Office of Undergraduate Admission and University Registrar keep a major planning sheet for each student-athlete. Colleges have both primary and secondary student services personnel available to help meet the three week deadline.

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Once the Degree Progress Form is completed, Cathy Mott in the Office of Undergraduate Admission and University Registrar calculates the earned hours for the degree, certified hours for major, total hours toward degree, and eligibility status. A copy of this information is sent to Mike Haley, Director of Advising Services in CATS. The Office of Undergraduate Admission and University Registrar and Compliance/CATS verify the numbers. The Compliance Office notifies coaches of ineligible student-athletes.

Freshmen and transfer students' eligibility is certified by the Office of Undergraduate Admission and University Registrar. The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piecoro.

Verifying course work for student-athletes follows this sequence—

OLD RULES

—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is also done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 25% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 50% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 40% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 60% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

The Office of Undergraduate Admission and University Registrar provides the college deans' offices with the necessary forms that are to be verified for continuing eligibility. Primarily, information regarding the 25/50/75 (Old Rules), 40/60/80 (New Rules effective Fall 2003), certified hours, and hours earned toward graduation is provided. College representatives are responsible for verifying courses student-athletes completed during the term. The deans' offices will ensure the required student-athlete forms are on file before the student is certified eligible. These forms are kept in the student's folder in the student records area of the college.

Student-athletes must have passed at least six hours from the previous semester to participate in the next (or following) semester, according to NCAA rules. Also, in order to participate in post-season championships or Football Bowl games, student-athletes must have passed six hours in the previous semester, according to SEC rules. This information is verified by Cleo Price, Associate Registrar, and Athletics Department Compliance is notified immediately if any student is ineligible.

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- 11.** Review the graduation rates for student-athletes who received athletics grants-in-aid, for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.

The Academic Integrity Subcommittee reviewed graduation rates for student-athletes as a whole as well as multiple subgroups and compared these to graduation rates for students as a whole. The table below shows a comparison of six-year graduation rates for student-athletes and for all students generally. The six-year graduation rate is computed for each group of students by tracking a cohort of first-time, full-time, degree-seeking students over a six-year period to determine what percent graduated within the six-year timeframe.

Table 1: Comparison of Six-Year Graduation Rates for Student-Athletes and for All Students

Fall 1997 Cohort

Graduation Rates for Student-Athletes: 50.6%

Graduation Rates for All Students: 61.1%

Fall 1996 Cohort

Graduation Rates for Student-Athletes: 47.7%

Graduation Rates for All Students: 57.7%

Fall 1995 Cohort

Graduation Rates for Student-Athletes: 39.5%

Graduation Rates for All Students: 57.2%

This table reveals that for cohort years 1995, 1996, and 1997 graduation rates for student-athletes averaged approximately 10 percentage points less than graduation rates for all students. This 10 percentage-point difference in overall graduation rate for student-athletes was identified by the Subcommittee as a significant difference. Using NCAA graduation rate data for cohort years 1995, 1996, and 1997, the Subcommittee next analyzed student-athlete graduation rates further to identify subgroups or trends within the student-athlete cohort. Analysis by team, gender, and ethnicity is somewhat difficult due to the small number of students present in many of the cohorts. In general, however, it appears that graduation rates are on average lower in football, men's basketball, and possibly women's basketball, although there is considerable variation as well as small cohort numbers in women's basketball.

There was a trend for lower graduation rates among black, non-Hispanic students, although this was not consistent from sport-to-sport or from year-to-year, again reflecting small cohort samples. Based on the NCAA graduation rate data, the Subcommittee concluded that there was a trend for lower graduation rates among black, non-Hispanic student-athletes. However, the difference in graduation rates for black, non-Hispanic student-athletes did not differ from the graduation rates of all black, non-Hispanic students to any greater degree than the difference in graduation rates between other student-athlete cohorts and their respective racial/ethnic groups among all students. It was also noted that the graduation rates for black, non-Hispanic students may be affected by the disproportionate number of these students included within revenue sports such as men's basketball, football, and women's basketball, where lower graduation rates have already been noted above. From the analysis above, the committee concluded that graduation rate data would be best studied by division into revenue and non-revenue sports.

The Subcommittee next looked at the effects of admission qualifications upon subsequent graduation rate. Using the 1997 cohort, Table 2 below illustrates the six-year graduation rate as a function of entering average ACT score. The graph in Figure 1 (provided to NCAA as a hard copy supplement to this online report) is roughly linear and shows an approximate three percent increment in graduation rate for each one point increment in average ACT score.

Table 2: Graduation Rates by ACT Score Ranges

Fall 1997 Cohort — All Students

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ACT Range: 17 & Under (N=34)
 Graduation Rate after 4 Years: 11.8%
 Graduation Rate after 5 Years: 29.4%
 Graduation Rate after 6 Years: 32.4%

ACT Range: 18-20 (N=300)
 Graduation Rate after 4 Years: 16.3%
 Graduation Rate after 5 Years: 41.7%
 Graduation Rate after 6 Years: 49.7%

ACT Range: 21-22 (N=542)
 Graduation Rate after 4 Years: 24.9%
 Graduation Rate after 5 Years: 53.3%
 Graduation Rate after 6 Years: 60.5%

ACT Range: 23-24 (N=608)
 Graduation Rate after 4 Years: 25.7%
 Graduation Rate after 5 Years: 49.8%
 Graduation Rate after 6 Years: 57.4%

ACT Range: 25-27 (N=642)
 Graduation Rate after 4 Years: 26.8%
 Graduation Rate after 5 Years: 56.2%
 Graduation Rate after 6 Years: 63.2%

ACT Range: 28 & Above (N=584)
 Graduation Rate after 4 Years: 36.6%
 Graduation Rate after 5 Years: 62.7%
 Graduation Rate after 6 Years: 70.4%

The Subcommittee then computed the percentages of first-year students who achieved ACT Composite scores in selected ranges for the combined 1995, 1996, and 1997 cohorts (see Figure 2 provided to NCAA as a hard copy supplement to this online report). Percentages were determined for three groups of freshmen: 1) students who play revenue sports, 2) students who play non-revenue Olympic sports, and 3) all other students. Students playing Olympic sports have a distribution of entrance ACT Composite scores that is shifted towards the lower range of scores. One-third (33.9%) of students playing Olympic sports have Composite scores of 20 or less, compared to less than one in 10 (9.2%) of all entering students.

Figure 3 (provided to NCAA as a hard copy supplement to this online report) shows six-year graduation rates by ACT Composite score ranges for the three combined entering classes. The results are again disaggregated into students playing revenue and Olympic sports, as well as all other students. When graduation rates for students playing Olympic sports are graphed by entering ACT score range, the resulting line is essentially the same as for all students for the first two ranges of ACT scores. For the three upper ranges of ACT scores, the graduation rates for students in Olympic sports exceed the graduation rates for all students. Based on this evidence, it may be concluded that the overall lower graduation rate for students playing Olympic sports is primarily explained by their tendency to earn ACT scores at the lower end of the distribution. After entering the University, students playing Olympic sports graduate at essentially the same rate as other students with comparable ACT scores.

Student-athletes who play revenue sports show an even greater shift of the entrance ACT scores towards the lower end of the distribution. Over two-thirds (50 of 72, or 69.5%) of the students who play revenue sports earn ACT Composite scores of 20 or less. In addition, however, these students also have lower than expected graduation rates based on their entering ACT Composite scores. Thus, for revenue sport student-athletes, the shift in the distribution of the entering ACT scores does not fully explain their lower graduation rates. The Subcommittee met with coaches and representatives of the various athletic teams and discussed, among other topics, graduation rates. The coaching staff noted that all student-athletes, per admission policy of the University of Kentucky, meet NCAA Clearinghouse or University standards, and the altered distribution of entering ACT scores is a function of the reality of competitive intercollegiate athletics at Division I institutions. The decreased graduation rate among revenue sport student-athletes, even when stratified by entering ACT score was attributed, in part, to the following kinds of situations:

- Women's basketball has recently undergone a coaching change and experienced a number of transfers prior to this coaching change.
- Football has had three different coaches in the last four years with a considerable number of transfers over this three year cohort. Specifically, 14 football players from the combined cohort transferred to another institution to complete their eligibility. One football player left the program early to join a professional team. According to the

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2003-04 IPEDS Graduation Rate Survey (the most recently available data), however, the 1997 football cohort showed a six-year graduation rate of 60%, which is on par with all students' graduation rate;

—Figures for men's basketball appear to be distorted by cohort years with small numbers of student-athletes, several of whom left school for early entry into the National Basketball Association or transferred to another school. Across the combined 1995, 1996 and 1997 cohort for revenue sports depicted in Figure 3, four men's basketball players transferred to other colleges, and three others joined professional teams before graduating.

While the coaches believe that when transfer students and those pursuing early entry into professional sports are factored out of the data, the lower overall graduation rate for student-athletes in revenue sports can be explained to a large degree by the altered admission profile distribution, the Subcommittee believed further consideration of graduation rates was necessary. The Academic Integrity Subcommittee subsequently concluded that graduation rates for revenue sport student-athletes are different from those of students in general, and that the factors below appear to be the major determinants. These factors will be used as a conceptual framework for an improvement plan to be implemented by the institution and included as a Plan for Improvement within this report:

A. Admission profile of student-athletes.

Approximately 70% of student-athletes from the 1995-1997 cohort in revenue sports have entering ACT scores of 20 or less. There is a strong correlation between ACT score and subsequent graduation rate. It may be unrealistic to expect students with these scores (<20) to graduate at a rate comparable to all students. Potential remedies directed at this problem are presented in the improvement plan. It should be noted that for cohort years 2003 and 2004, the percent of revenue sport recruits with entering ACT scores <20 are 47.0% and 47.3%, respectively. These significantly improved numbers reflect the activity of a new athletics administration.

B. Student motivation and achievement in revenue sports.

Figure 3 shows that the relationship between ACT scores and subsequent graduation rates is almost flat for revenue sport athletes in marked contrast to that of non-revenue sport athletes and students in general. This suggests a significant issue with motivation and achievement in this subset of students, although these data would be affected by transfers. Potential remedies directed at this problem are addressed in the improvement plan.

C. Scheduling difficulties, especially in upper level courses.

Multiple students in the open forum sessions with student-athletes noted the difficulty scheduling upper level classes in the proper sequence to progress toward graduation appropriately. This problem is exacerbated by the recent reduction in state funding to the University resulting in reduced numbers of sessions for specific classes. Recognition of the significance of the problem for students in general is demonstrated by the creation of a pilot graduation contract for students in several colleges. This problem is made even more significant for student-athletes because of further scheduling restrictions related to athletic competition and practice schedules. Potential approaches to the problem are addressed in the improvement plan.

Finally, it is worth noting that once student-athletes are admitted to the University of Kentucky, the outstanding services offered by the Center for Academic and Tutorial Services (CATS) provide an opportunity for student-athletes to balance study time and athletic time and thus progress and graduate at the same rate as any other student. The data above appear to support that hypothesis.

- 12. Identify and describe the academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.**

The academic standards and policies (listed under "Academic Requirements") of the University of Kentucky are stated in the 2003-04 University Bulletin, pages 54-64. Sections of these requirements are reprinted in the academic section of the "Student-Athlete Handbook," pages 7-28. Brief summaries of University and Athletics Department regulations are presented below. Complete information is available from the two references above. The academic standards and policies of the University are the same for all students. There are no exceptions for student-athletes.

CONFIDENTIALITY OF STUDENT RECORDS

The University complies with the F.E.R.P.A. legislation of 1974. Release of records requires written consent unless released to other school officials with legitimate educational interests, authorized representatives of the Comptroller General of the United States or the Secretary of Education.

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CLASS ATTENDANCE

Regular class attendance is expected and is the responsibility of each student-athlete when on campus. Enforcement is the responsibility of the head coach.

ACADEMIC ELIGIBILITY, GRADE CLASSIFICATION, AND GRADUATION

The University complies with extensive NCAA eligibility rules regarding percent of degree, grade point average, hours/year, and hours/semester. Students must carry 12 semester credit hours each term to be full time. Most degree programs require 120 hours for completion.

UNDERGRADUATE MAJOR REQUIREMENTS - 60 Hour Rule

Students who have earned 45 credit hours should meet regularly with an advisor who will help the student choose a major or seek admission to a selective admissions college. Students who haven't chosen a major or been admitted to a selective admissions college and have at least 60 credit hours will not be permitted to register for classes except under conditions specified on page 14 of the "Student-Athlete Handbook."

MARKING SYSTEM

The marking system uses letters which are assigned grade-point values.

- A - exceptionally high achievement - 4 points/credit hour
- B - high achievement - 3 points/credit hour
- C - average achievement - 2 points/credit hour
- D - minimum passing grade - 1 point/credit hour
- E - failure in the course - 0 points and 0 credit hours

Additional outcomes such as P, F, I, W, etc. are detailed on page 15 of the "Student-Athlete Handbook."

PETITION TO TAKE COURSES AT ANOTHER SCHOOL

The University of Kentucky will accept collegiate level credit in which a grade of D or higher has been earned from a regionally accredited institution. Grades and quality points do not transfer, only the hours earned.

SCHOLASTIC PROBATION

Students are placed on scholastic probation if:

1. Their cumulative GPA falls below 2.0
2. They are freshman students who have completed a semester of 18 or fewer hours with a GPA of less than 1.75
3. They have two consecutive academic terms with semester GPAs below 2.0 regardless of their cumulative GPA.

ACADEMIC SUSPENSION

Students are subject to suspension if:

1. They have three consecutive semesters in which their cumulative GPA remains below 2.0
2. They fail to earn a 2.0 semester GPA for any term while on probation.

GENERAL RULES PERTAINING TO STUDENTS UNDER ACADEMIC SUSPENSION

A student who is under academic suspension may not enroll in any courses offered by the University of Kentucky, nor take any examination for University of Kentucky credit.

REINSTATEMENT

After they have remained out of the University for at least a semester, students who have been academically suspended may only be reinstated by the dean of the college in which they plan to enroll. After being reinstated, students must apply for re-admission to the University.

GENERAL RULES FOR REINSTATED STUDENTS

A student reinstated following academic suspension will be placed on scholastic probation. If the student acquires any additional deficit or fails to meet requirements for removal from probation by the end of the third semester, they will be subject to final academic suspension and not be re-admitted except in unusual circumstances detailed on page 18 of the "Student-Athlete Handbook."

ACADEMIC OMBUD SERVICES

Page 19 of the "Student-Athlete Handbook" contains a detailed description of services available to students through the Ombud's Office.

PROCEDURES FOR REGISTRATION, ADD/DROP, DROPPING A CLASS, AND WITHDRAWAL FROM THE UNIVERSITY are described on pages 20-22 of the "Student-Athlete Handbook."

Information to be available for review by the peer-review team, if requested:

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- A copy of the institution's most recent catalog.
- A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
- Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, high schools' lists of approved core courses, final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).
- University catalog/bulletin.
- Athletics department manual.
- Student-athlete handbook.
- Institutional handbook for students.

Evaluation

1. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is the contrast analyzed and explained by appropriate institutional authorities? **Currently Yes**
2. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is this disparity analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities? **Currently Yes**
3. Does the institution demonstrate that academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher? **Currently Yes**
4. Does the institution demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally? **Currently Yes**

Academic Integrity

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
External motivating factors among student-athletes in revenue sports contribute to lower rates of academic success, including graduation rates.	To help increase the six-year graduation rate of revenue sport student-athletes by 5% by 2009, enhance motivation of student-athletes to achieve satisfactory academic progress, as measured by the percent that meets or exceeds NCAA required GPA guidelines, percentage toward degree requirements, and SEC requirements of credits passed to compete in SEC or NCAA championships.	1) Establish a policy by which student-athletes are held accountable for completing academic requirements throughout the semester; designate appropriate authorities who will enforce the policy; identify and apply meaningful consequences; and assess progress by semester based on a fall 2004 baseline.	Athletics Director; Associate Athletics Director for Student Services; coaches	Implement new policy with the fall 2005 student-athletes; monitor results on an ongoing basis.
		2) Study issues and advocate establishing internal and external (i.e. SEC, NCAA) policies or programs designed to reduce student-athlete attrition following completion of the competitive season in the fourth year of eligibility.	Athletics Director; Associate Athletics Director for Student Services; coaches	Establish and submit proposals to influence changes by January 2006; continue follow-through on an ongoing basis.
Graduation rates of student-athletes in revenue sports can be improved by coaches' efforts in recruiting academically-prepared student-athletes and promoting their academic success.	To help increase the graduation rate of revenue sport student-athletes by 5% by 2009, enhance coaches' efforts to improve the academic performance of revenue-producing teams, as measured by key indicators of academic quality and success.	1) Conduct a survey of SEC and benchmark institutions to identify effective coaches' compensation plans that encourage academic success among student-athletes and share findings with the President.	Athletics Director; coaches	Implement in 2006-07
		2) Establish a plan to tie coaches' compensation to success in three areas: admission profile of entering class, academic progress rates, and graduation rates; negotiate contractual arrangements with coaches; use 2003-04 data to determine baseline measures of entering academic profiles, academic progress rates, and graduation rates.	Athletics Director; coaches	Implement in 2006-07

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scheduling problems are a barrier to progress toward graduation for student-athletes and students in general.	Increase student-athlete satisfaction with the availability of University courses to meet scheduling needs, as measured by a periodic survey of student-athletes.	1) Conduct a study of nongraduating student-athletes to determine the impact, among other issues, of scheduling difficulties on academic progress and degree completion.	Associate Athletics Director for Student Services; FAR, AIC	Complete study by fall 2005
		2) As appropriate, based on the study's results, explore creative solutions with academic authorities to address scheduling difficulties of student-athletes and other students specifically recruited to the University for any program.	Associate Athletics Director for Student Services; FAR, AIC	Share results and initiate discussions during 2005-06.

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Operating Principle

2.2 Academic Support

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.2.

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 first-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no actions or plans for improvement/recommendations developed by the institution during its first-cycle certification process relating to Operating Principle 2.2.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no specific additional plans for improvement or recommendations relating to the area of Operating Principle 2.2 (Academic Support) developed by the institution based on first-cycle certification. There were no direct recommendations made by the Committee on Athletics Certification. The University of Kentucky Athletics Department, however, has made many improvements to the services provided to student-athletes based on continual evaluation of student needs. Since the first-cycle certification, the Athletics Department has made both physical plant upgrades and initiated new programs and policies to provide additional academic support for student-athletes.

In 1998 the Athletics Department opened a new facility to house the Center for Academic and Tutorial Services (CATS) for student-athletes. The new 20,000+ square foot facility includes a computer room with 35 stations (the previous facility had 13 stations), 24 tutoring rooms (11 tutor rooms in the previous facility), a large, quiet study center, and a career and personal development resource center. In addition, a donor provided the services of his software company to develop a time tracking system for CATS. This system is one of the few of its kind in the country. The system tracks student-athlete time in study hall and in the computer room. The system will also check in tutors and student-athletes for a tutoring session and assign a tutoring room. The system provides CATS staff with numerous reports regarding student-athlete use of the CATS facility and CATS staff can check to see if a student is in CATS from their office computer station. In addition, during the past summer (2004), the athletics department upgraded the 40 person classroom in the CATS facility to a "Smart Classroom."

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Three additional full-time counseling positions were approved by President Wethington in 2001 and \$100,000 was added to the tutoring budget for the 2004-05 fiscal year.

Many policies and programs have changed since 1998. President Lee Todd changed the reporting line for the Associate Athletics Director for Student Services, the director of CATS. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

The University has offered a new student orientation (UK 101) for several years and many departments (e.g.: the business college) have offered sections for their students. Some sections are one credit hour and some are three credit hours. The Associate Provost originally allowed the Athletics Department to offer four one-hour sections strictly for student-athletes (as do other campus units for their students). In 2001 the Athletics Department was permitted to offer one of these UK 101 sections as a three hour section (other campus colleges and units also do this for their students) This fall (2004) the Athletics Department will be allowed to teach two three credit hour sections. CATS has utilized these sections for "at risk" student-athletes. It should be noted that all student-athlete sections of UK 101 are taught by University of Kentucky faculty/staff in the same manner as any non-athlete section.

Since 1998 there have been notable changes in the CATS tutoring program. All non-scholarship student-athletes have been added to those eligible for tutors. Prior to 1998 non-scholarship student-athletes could utilize all CATS facilities but tutoring was offered selectively. CATS now provides all non-scholarship student-athletes requested tutoring support. In 2001 a notable change was made in the English Writing tutoring program. The Athletics Department contacted the English Department and set up a financial agreement where the campus English Writing program would assign a Teaching Assistant (TA) to direct the CATS English Writing program. The assigned English Department TA supervises three additional tutors assigned by the English Writing program and educates English tutors regarding English Department policy as regards assisting student-athletes with English writing assignments. A writing lab is provided in CATS for this purpose. Since 1998 the Athletics Department has also developed a cooperative effort with the campus Career Center. The Life Skills Coordinator (formerly the career and personal development coordinator position) now has an office one day a week in the campus Career Center and meets with student-athletes in that facility familiarizing them with the resources and registering them for interviews with potential employers. In 1990 the CATS life skills program began producing a resume booklet of our graduating seniors and mailing it to over 3500 employers in the US. In 2000 a resume website was developed and invitations to visit the website and evaluate our graduates for employment have been mailed to over 10,000 employers each year since.

In January of 1999, the Frank G. Ham Society of Character was created to recognize student-athletes who epitomize the term "student-athlete" and the first class of recipients was selected that spring. This was an organization created and initiated by the CATS program.

In the spring of 1998 the University of Kentucky was selected as a site for a regional office for the National Consortium for Academics and Sports (NCAS). That office, the South-Central Regional Office, was housed in CATS and Bob Bradley was selected to direct the region. The NCAS is an organization that educates student-athletes about societal issues and encourages and utilizes student-athletes as role models in the community. One of the programs that UK initiated through the Consortium was the federally funded "Athletes in Service to America" program through the AmeriCorps National Service Act. Many former UK student-athletes, who had completed their eligibility but still had requirements to complete for a degree, became Corp members and worked with "at risk" children in the schools and community.

Other programs initiated since 1998 include:

1. Character programming that student-athletes now provide to local elementary schools;
2. "Jump Start" program provided to incoming scholarship men's and women's basketball student-athletes (initiated when the NCAA changed the rules to allow men's and women's basketball student-athletes to attend on grant-in-aid the summer prior to first time, full-time enrollment). Jump Start is a study skills and college awareness program that assists these student-athletes in their adjustment to the University;
3. "Survivor Program" conducted each spring for those student-athletes who are struggling with their academic studies;
4. Mentoring Program for "at risk" student-athletes was formalized utilizing full-time staff and veteran adult tutors; and
5. Summer "Leadership Institute" was created as a program to enhance the leadership skills of student-athletes who have evidenced leadership potential.

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4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.2 (Academic Support). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The Center for Academic and Tutorial Services (CATS) is established for the purpose of providing academic support to student-athletes. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

CATS MISSION

The CATS mission is to create an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life.

The CATS staff will be fair, courteous, and professional. The staff will be sensitive to each student-athlete's special needs and ensure a wholesome learning environment exists at all times. Academic counselors will be available to all sport teams. Likewise, advising, counseling, and referral services will be available to all male and female student-athletes on an equal basis.

PHILOSOPHY REGARDING COACHES AND STUDENT-ATHLETES

The CATS staff is aware that college coaches have a responsibility and concern for the academic as well as the athletic well-being of their student-athletes. Coaches express interest in the academic and educational pursuits of the prospects during the recruiting process and, therefore, are bound to ensure that the student-athlete is afforded every opportunity to succeed academically and educationally.

Coaches are an integral part of the student-athlete's life. The CATS staff will keep the coaches informed about the student athlete's academic situation so they can make decisions in the best interest of the student-athlete's post-college quality of life.

CATS functions as a support service available to all UK student-athletes. While any coach may establish individual academic standards for his or her team that are more stringent than the CATS policies, any student with a GPA below 3.0 will be placed in the CATS academic monitoring program. The student-athlete will receive CATS academic services and must follow the guidelines of the CATS' Academic Policy.

NCAA SELF-STUDY STUDENT-ATHLETE SURVEY — general description

A web-based survey was administered to student-athletes two weeks before final exams during spring semester 2004. The survey assessed several important areas:

- The CATS program
- Scheduling of practices and competitions
- Equity and diversity issues
- Welfare of student-athletes

One hundred twenty-nine student-athletes completed the survey. The response rate was 36%. The students who responded to the survey were not completely representative of student-athletes at UK; only 13 football players responded to the survey.

The survey results are very positive in regards to the CATS program. Ninety-one percent agree or strongly agree that "CATS staff encouraged me to set attainable academic goals of my own choosing;" 89% agree or strongly agree that "CATS staff has assisted me in reaching my personal academic goals;" 76% rated the quality of tutors as good or excellent. Figure 4 (provided to NCAA as a hard copy supplement to this online report) depicts the student-athletes' ratings of the quality of academic support services provided by CATS. In addition, two open meetings were held with student-athletes, who voiced strong support and approval of the CATS program at both meetings.

CATS' STAFF RESPONSIBILITIES

Bob Bradley - Associate Athletics Director for Student Services

- Position is supervised by the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day

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reporting is to the Director of Athletics.

—Serve as Chief Administrator in the Center for Academic and Tutorial Services: get to know as many student-athletes as possible; ensure that the service provided to the student-athletes is of the highest quality; make sure the student-athletes are at the heart of the CATS program and the Athletics Department; strive to ensure that we graduate student-athletes at a rate equal to that of the University of Kentucky general student population; and work with Athletics Director to expect coaches to demand academic excellence from the student-athletes they mentor.

—Program Administration and Development: plan, organize, develop and evaluate programming of CATS; implement new and enhanced programming for CATS; identify and implement programs that enhance the image of the University of Kentucky and the Athletics Department; improve effectiveness of CATS programming; and ensure that staff are treated ethically and that they understand the professional ethical standards required to hold a position in the Center for Academic and Tutorial Services.

—Public Relations: positive recognition of CATS and the CATS program both locally and nationally and respect for the CATS program on campus.

—Interdepartmental and intradepartmental relations: establish positive lines of communication with other offices within the Athletics Department; ensure that coaches understand that our first responsibility is the student-athlete and develop a positive relationship with all coaches within those parameters; establish lines of communication and a working relationship with campus administrative and academic offices; and educate administrators and faculty as to the function of CATS and CATS' programs and responsibilities.

—Serve as Director of The South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): serve on the NCAS National Planning & Development Board; and serve the membership of the South-Central region and assist member schools with relevant programming through the region and national office.

—Serve as Advisor to the Women's Golf Team and Rifle Team.

—Co-Advisor to the Student-Athlete Advisory Committee.

—Co-Advisor to the Society of Character.

—Assist Martina Martin with Cultural Diversity Programming.

—Completion of any special projects assigned by the Athletics Director.

Barb Deniston - Director of Academic Services

—CATS Administrator in Charge in the absence of Associate Athletics Director for Student Services.

—Serve as advisor to the Football Team.

—Serve as Team Leader for the Academic Services Team: plan, organize, develop, monitor and evaluate academic services programming including the tutoring program, mentoring program, learning disability program and English Writing program; and direct testing and evaluation program, which includes the following:

*Ensure that all identified student-athletes are tested.

*Ensure that all potentially "at risk" student-athletes are referred for further testing.

*Ensure that an Individual Educational Plan (IEP) is developed in cooperation with the testing psychologist for each student identified as learning disabled.

*Evaluate the program and make recommendations to the Associate Athletics Director for Student Services.

*Identify a staff member as liaison to the Disability Resource Center.

—Organizational supervision of the College Work Study Students.

—Monitor effectiveness of academic services and confer with Associate Athletics Director regarding issues.

—Other duties as assigned by the Associate Athletics Director for Student Services.

Mike Haley - Director of Advising Services

—Serve as Advisor to the Men's Soccer, Women's Soccer and Gymnastics teams.

—Serve As Team Leader for the Advising Services Team: provide ongoing training for academic advisors and Academic Graduate Assistants (AGAs) to include the following:

*Develop AGA training in conjunction with all advisors.

*Mandatory monthly (or more frequently, if needed) meetings with advising team for information exchange, idea exchange and discussion of advising issues.

*Monitor advisor effectiveness and confer with Associate Athletics Director regarding issues.

—Work with Michael Stone during 2004-05 to train him in the continuing eligibility process so he can take over this responsibility in 2005-06.

—Monitor computer lab (Identify lab consultants to be hired).

—Process "Focus" reports for Staff.

—Coordinate Registration and Summer Advising Conference.

—Other duties as assigned by the Associate Athletics Director for Student Services.

D'Ann Blankenship - Staff Associate

—Directly supervised by Director of Academic Services, Barb Deniston.

—Responsible to monitor the front reception area at all times or ensure that it is being monitored by the other full-time staff associate (Work study students are not to be used to cover front reception area).

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- Day-to-day supervision of the College Work Study Program (CWSP) students as directed by Barb Deniston; develop training program for CWSP under the direction of Barb Deniston.
- Process forms for reimbursement of student-athlete fees (e.g., TA 101 theatre tickets, etc.).
- Process tutor payroll under the direction of Lisa Mattingly/Barb Deniston.
- Keep phone "voicemail" system current at all times.
- Assist in the processing of personnel paperwork for new employees (full-time staff, part-time staff, tutors) as directed.
- Ordering/stocking supplies, maintain upstairs door security system, message board, copiers and furniture.

Andrea Tinsley - Staff Associate

- Directly supervised by Associate Athletics Director, Bob Bradley.
- Assist the Associate Athletics Director with administration of the South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): assist with membership communication; assist with membership drive; assist with organizing meetings; process all mailings; publish and mail (e-mail or snail mail) Regional Newsletter; and report annual statistics for UK and call members to ensure they get data completed and filed with NCAS.
- Assist Lisa Mattingly with the editing of the "Student-Athlete Handbook."
- Mail CATS' donor communications.
- Take minutes at staff meetings.
- Complete any research projects assigned by Associate Athletics Director.

Specific Duties Assigned to Staff Associate Position

- Front reception area will be covered by a full-time staff associate at all times unless otherwise approved by the Associate Athletics Director, Director of Academic Services or the Director of Advising: staff Associate at the reception area will greet all guests immediately and cordially and direct them to the appropriate office or notify staff member that guest has arrived; staff Associate will greet incoming calls cordially and politely direct the call to the appropriate office; and if the staff member is not here or available, the staff associate will respond to the caller in a professional manner and handle each call cordially.
- Staff Associates will report any identified CATS' maintenance problems to the Associate Athletics Director.
- Staff Associates will be allowed to take one 15 minute break in the morning and one in the afternoon. The break will be taken on its own, exclusive of any other duty. It will not be combined with other job related duties.
- Staff Associates will personally take responsibility to complete tasks assigned to them by any professional staff member. CWSP can be used for this but the staff associate is responsible for the accuracy of the work and completion of the work on time.
- Staff Associates will assist all professional staff as directed by that professional staff member.

Beth Stice - Academic Counselor

- Serve as Advisor to Volleyball and Men's & Women's Swimming/Diving.
- Serve as Liaison to the Disability Resource Center under the supervision of Barb Deniston to ensure: all identified student-athletes take the reading and math evaluations; those identified as "at risk" receive further evaluation; those with disabilities receive best possible service as regards receiving appropriate assistance and/or accommodations.
- Mentor student-athletes.
- Continue to develop and coordinate the Survivor and Jump Start programs.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Amy Craiglow - Academic Counselor

- Serve as Advisor to Men's Golf & Softball.
- Mentor student-athletes.
- Assist with Character Programming.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Michael Stone - Academic Counselor

- Advise Basketball and Baseball.
- Work with Mike Haley during 2004-05 to learn the continuing eligibility process and take over this responsibility beginning 2005-06.
- Train and monitor AGAs and student staff to handle front desk, study center and computer lab at assigned times; work with Lisa Mattingly to assign 5th/6th year student staff appropriately.
- Co-Advisor to the Student-Athlete Advisory Committee (SAAC).
- Coordinate recruiting.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

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Dan Childs - Academic Counselor

- Serve as Advisor to Men's and Women's Track and Men's and Women's Tennis.
- Textbook dispersal and return.
- Maintenance of Student-Athlete Listserve.
- Assist Martina Martin in development of cultural diversity programming for staff and student-athletes.
- Summer school grant-in-aid requests program.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Lisa Mattingly - Academic Counselor

- Serve as advisor to the Women's Basketball Team.
- Primary responsibility for coordination and development of the Tutoring and Mentoring program under the direction of the Director of Academic Services.
- Coordinate mentoring for the UK 101 classes.
- Coordinate fifth year grant-in-aid program.
- Coordinate National Student-Athlete Week Activities.
- Assist Associate Athletics Director for Student Services with "Post-Eligibility" grant-in-aid program.
- Annually edit the "Student-Athlete Handbook."
- Assist Martina Martin with cultural diversity programming.
- Assist with character programming.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Martina Martin - Life Skills Coordinator

- Direct the CATS' Career Development program: complete resume website each year by November 1st; coordinate the student-athlete internship program; identify job placement possibilities for student-athletes through local organizations and the Campus Placement Center; communicate with CATS staff regarding current activities and opportunities associated with the program; and develop an interactive Career Program with the UK Career Planning and Placement Center On Campus to include the following:

*Have an office one day a week at the Campus Center.

*Register all scholarship student-athletes with the UK Career Planning and Placement Center prior to the beginning of their last year of school.

*Provide orientation to the campus Career Planning and Placement Center and ongoing guidance regarding services and opportunities available to the student-athletes.

- Direct CATS' Personal Development program: identify potential major seminars for student-athletes one year in advance and:

*Identify innovative personal development programming.

*Work with campus offices to provide personal development programming to student-athletes and to general student body.

Also, develop menu driven program of personal development offerings for student-athletes and coaches and ensure that all teams complete the required number seminars each year; and coordinate cultural diversity programming (with Bob Bradley, Lisa Mattingly and Dan Childs)

- Maintain the Career and Personal Development Resource Center

—Direct Community and School Outreach program to include: student-athlete outreach; staff outreach; serve as the Athletics Department's liaison to the Kentucky Excel program, serving as mentoring/outreach resource; coordinate and evaluate activities for the character development program (in conjunction with Lisa Mattingly and Amy Craiglow); serve on boards/committees of local community agencies and serve as an outreach resource for these agencies; and serve as Advisor to the Student-Athlete Outreach Committee.

- Co-Advise the "Society of Character."

—Process awards and maintain awards boards.

—Coordinate the development of the Leadership Program.

- Other duties as assigned by the Associate Athletics Director for Student Services.

Academic Graduate Assistants (AGAs)

- Assigned to full-time staff to serve as peer advisors and to assist in the monitoring of the academic progress of assigned student-athletes.

—Duties include clerical support to full-time staff, checking class attendance on assigned student-athletes, gathering information on the academic progress of specific student-athletes and working on periodic academic reports with the full-time counselor.

Life Skills Graduate Assistant

- Assist the Life Skills coordinator with the career development, personal development and outreach program as directed.

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ACADEMIC ADVISING

Academic advising of student-athletes is controlled by the colleges. CATS' advisors work in collaboration with the college advisors. A student-athlete cannot register without the college advisor's release of the academic "hold." All student-athletes must have a college or academic department advisor to be permitted to register.

6. Using the following program areas for academic support issues as examples, please describe:

- 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 are made aware of these services;
- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
- e. The mechanism for periodic review and approval of these services by academic authorities outside athletics of these services.

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

1. Academic advising. Course selection, class scheduling, degree program assistance, priority registration.

a. The specific academic support services offered to student-athletes, if any.

Every student-athlete is required to have a campus college advisor (this may be a faculty member or a professional advisor in a college) who assists the student-athlete with course selection, class scheduling, degree program questions, and priority registration. The college advisors are the only individuals who can release the "advising hold" and give final permission for a student to register for classes. Student-athlete "advising holds" are lifted by the normal University process used for all students. CATS' advisors work in collaboration with the campus advisors to ensure that the student-athlete has the most workable schedule possible to meet both academic and athletic responsibilities. This helps alleviate many of the athletic pressures on the student-athlete as he/she tries to achieve both academically and athletically. Due to the fact that the student-athletes are immersed in CATS' programming from the first moment they step on campus, the CATS' advisor becomes an integral part of the student-athlete's experience. The CATS' advisor is a tremendous resource to both the student-athlete and the college advisor in ensuring a quality experience for the student-athlete. Student-athletes' course selections, class scheduling, and registration occur by the same method as all students.

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

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

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

Student-athletes are made aware of these services through the following mechanisms:

- initial on-campus recruiting of each student-athlete,
- beginning of the year Athletics Director's orientation for all student-athletes,
- team meetings at the beginning of the academic year, and
- the University's first year orientation course.

In addition, CATS has become such a standard part of the lives of the student-athletes that they come to the center for virtually every academic and life skills need. CATS is very high profile and very well known by all of the student-athletes. Universities that do not have academic centers and house their advisors in

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various places have a much more difficult time making their student-athletes aware of the available services. Here everything is centralized.

The web-based survey of student-athletes revealed 99% rated the availability of academic advising as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

The campus Academic Integrity Committee (AIC), formalized by the President as an official committee of the University, has responsibility for oversight of the activities of the Center for Academic and Tutorial Services (CATS). This committee meets periodically (usually monthly) throughout the academic year, continually addresses academic issues related to the student-athlete experience, and on a triennial basis evaluates services of the CATS program. The Associate Provost for Undergraduate Education is a member of the Academic Integrity Committee. A review of CATS' services has been provided to the Associate Provost and the Academic Integrity Committee within the past three years.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the CATS program and provides guidance for the program. Roles and responsibilities of the Associate Provost in providing oversight and guidance include the following:

- Joint supervisory responsibility with the Athletics Director for the Director of CATS (i.e. the Associate Athletics Director for Student Services);
- Joint approval with the Athletics Director on changes in personnel and staff functions;
- Joint approval with the Athletics Director on changes and enhancements to CATS operations and services;
- Comprehensive, systematic evaluation of CATS' academic operations through periodic reports, group and individual interviews, and surveys of staff, tutors and student-athletes;
- Review and recommendation on the annual CATS budget; and
- Preparation of annual report summarizing the evaluation of CATS for the President and Athletics Director.

The Associate Provost, as a member of the Academic Integrity Committee, works with the Committee to ensure systematic evaluation of various services and programs of CATS and to make recommendations for reporting, future directions, and possible improvements.

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.

Tutoring is available to all student-athletes. Almost all tutoring is one-on-one tutoring. Group tutoring is only utilized in the case of large review sessions for exams. An average of over 100 hours of individual tutoring takes place every day (Sunday-Friday) in CATS during the academic year. In a review of the tutoring program several years ago, the maximum number of hours provided to student-athletes in any given week was determined to be over 900 hours. The number of hours provided in a typical week will be approximately 600-700 hours.

- 98% of respondents to a survey of student-athletes rated tutoring as being available or very available.
- 76% rated the quality of the tutoring as good or excellent.

Monitored (student-athletes with cumulative GPA <3.0) student-athletes are assigned mandatory tutoring sessions and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance is mandatory and monitored just like classes.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes' voluntarily requesting tutors:

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—The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.

—If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of the semester.

The Athletics Department hires tutors from the undergraduate and graduate school and from the local community. Tutoring for English Writing is staffed by the University's English Department's Writing Program. The Athletics Department pays the English Department which provides the program directly. A Teaching Assistant is assigned to supervise the writing program in CATS.

Tutors are required to submit academic transcripts and other documentation establishing their competence in a specific subject area. Subsequent monitoring is based on student evaluation of tutor competence. All tutors must go through the tutor orientation with a counselor who coordinates tutoring and the compliance department. Tutors are required to read the tutor manual and sign a statement of compliance with all rules and standards. Tutors are paid bi-weekly at a beginning rate of \$6.50 for undergraduates and \$8.00 for those with at least an undergraduate degree. Tutors are also reimbursed for pre-arranged preparation time.

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

Tutoring is available to all student-athletes. Every student-athlete considered to be at-risk (with GPA <3.0) academically is assigned mandatory tutoring sessions at the beginning of the semester and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance to these sessions is mandatory and monitored just like classes. Other student-athletes may request tutors after the mandatory tutoring sessions are set up.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c. Additionally, monitored student-athletes are notified by the CATS center and tutoring sessions are directly added to their personal schedules.

The web-based survey of student-athletes revealed 98% rated the availability of tutoring as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

3. 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.

The University course, UK101, is a highly effective and popular orientation course designed to teach success skills to incoming students and to help them adjust to the demands of university life. The University has designated four sections of the UK101 (pass/fail grade only) course as sections exclusively for student-athletes. One of those sections is a three hour (full semester) course and three of the sections are one hour courses. Based on high school academic performance and test scores, the most "at risk" student-athletes enroll in the full semester course as they are most in need of academic assistance. The course is taught by a University faculty or staff member. This is the same for all sections in the University. The CATS program assists the course instructor in two ways:

1. The CATS staff teaches several class sessions pertaining to NCAA information of which the instructor

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would not be aware (e.g., eligibility rules, compliance issues, gambling, drugs & alcohol rules, etc.), and 2. The CATS staff provides a mentoring program for these at-risk student-athletes that immerses them in the CATS services program early in the semester. The purpose is to get these young people off to the best possible start. The course includes sessions on time management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, and so forth. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained to teach each student-athlete how to utilize the organizational elements of the kit.

Beyond the UK101 program, some of the CATS full-time staff members mentor at-risk student-athletes as part of their official responsibilities. These individuals often teach study skills individually to the student-athletes.

The web-based survey of student-athletes revealed 65% rated the quality of provision of success skills as good or excellent.

Ninety-nine new scholarship freshmen enrolled at the University of Kentucky in fall 2004. Seventy-one of those (72%) were signed up for the freshman orientation course (UK 101). One hundred percent of identified "at risk" student-athletes were assigned to a UK 101 orientation class.

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

All student-athletes are encouraged to take the University's orientation course. The full semester course is mandatory for those individuals identified as "at-risk".

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 72% rated the availability of provision of success skills as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

4. Freshman/transfer orientation. Availability, attendance requirements.

a. The specific academic support services offered to student-athletes, if any.

In the Division of Student Affairs, specifically the Dean of Students Office, New Student Programs (comprised of UK 101 academic orientation course, Kentucky Welcome, and Parent Association) offers orientation programs open to all students. Kentucky Welcome is the welcome week program for all new UK students prior to the start of fall semester classes. Kentucky Welcome includes activities and programs designed to assist with the transition to University life. Of the 69 sections of UK 101, the University has designated four sections of the academic orientation course specifically for student-athletes. One of those sections is a three-hour (full-semester) course and three of the sections are one-hour courses. Based on high school academic performance and test scores, we enroll our most "at risk" student-athletes in the full-semester course as they are most in need of the study skills. The course is taught by a University faculty or staff member just like all of the sections of the course. The CATS staff assists the professor in the full semester course by providing a mentor for each student-athlete in the course and supplementing teaching materials with staff support. The purpose is to get these young people off to the best start possible and to immediately immerse them in the CATS services program. The course includes sessions on time

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management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, athletics department rules education, etc. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained in how to assist the student-athlete in utilizing the organizational elements of the kit.

Two years ago the NCAA passed legislation allowing men's basketball student-athletes to begin college on grant-in-aid during the summer prior to their first fall semester. At that time, the Athletics Department initiated an orientation and study skills program titled "Jump Start" to assist these student-athletes in their adjustment to the collegiate environment. Program elements include organization for success, an introduction to important offices on campus and career information as well as instruction in study skills, time management, test taking skills and note taking. Women's basketball is also utilizing this program this year (summer 2004) as the NCAA has passed legislation allowing women's basketball student-athletes to attend summer school on grant-in-aid prior to the beginning of their first year of college. There is also a mandatory Athletics Director's "beginning of the year orientation" where all student-athletes are made aware of all of the programs available to them.

The web-based survey of student-athletes revealed 80% rated the freshman/transfer orientation as being good or excellent.

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

Any student-athlete can use these services.

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

Student-athletes are made aware of these services at the Athletics Director's "beginning of the year" orientation that is mandatory for all student-athletes. All student-athletes are encouraged to take the University orientation course when they go through their advising with the college advisor. The CATS' staff encourages all student-athletes to take the University orientation course at a special session for student-athletes and their parents at the University's summer advising conference. The CATS staff identifies those for whom the full semester course would be appropriate and enrolls them. All entering men's and women's basketball student-athletes are automatically placed in the "Jump Start" program.

The web-based survey of student-athletes revealed 90% rated the freshman/transfer orientation as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

5. 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.

The CATS staff monitors new and continuing student-athletes participating in the "CATS Mandatory Study Program." Academic Graduate Assistants monitor the student-athletes by checking their class attendance, contacting their professors to determine academic progress, and meeting with counselors weekly to determine how to best help each individual. The head coach or a designated assistant coach will work closely with CATS staff and be informed of the progress of each student-athlete. This cooperative effort will ensure that all parties are kept abreast of each student-athlete's academic performance.

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The web-based survey of student-athletes revealed 88% rated monitoring of academic progress as good or excellent.

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

All first year UK student-athletes, any student-athlete with a cumulative grade point average below 3.0, (new in 2004/was previously 2.25 GPA.), and any other student-athlete identified by the head coach or CATS counselor will be required to participate in the CATS mandatory study program. Responsibilities include:

- Completing a designated number of required hours in CATS (study hall, tutors, mentors and computer lab) as determined by their head coach and CATS' counselor
- Completing the assigned number of study hall hours (e.g., if a student-athlete has 10 hours required each week, anything less, even if it is 9 hours and 59 minutes, is a miss).
- Arriving "ON TIME" for classes, tutors, and mentors (if a student-athlete arrives late to class and the class is checked before the student arrives, it is a miss. If a tutor or mentor is not available because a student-athlete arrives late, it is a miss.)

Each coach may propose an alternative disciplinary plan, but the standard procedure is that any student-athlete participating in the mandatory study program who misses a total of five (5) academic requirements per semester (including any combination of classes, assigned tutor sessions, assigned mentor meetings or required study hall time) is suspended from CATS and prohibited from using any CATS services.

The CATS counselor will arrange a meeting with the head coach regarding any student-athlete who has accumulated three misses. The purpose of the meeting will be to: 1) discuss any possible extenuating circumstances, of which the coach may be aware, that could be responsible for the student-athlete's behavior, and 2) develop positive steps to ensure that the student-athlete in question does not exceed the five cut policy. If the counselor has reason to believe that the student-athlete would benefit from an alternative approach to academic success, that counselor, in consultation with the head coach and the Director of Academic Services, has the prerogative to institute an "Individual Educational Plan" for the student-athlete. In every case, this plan will include a cooperative effort between the CATS program and the coaching staff.

Any student-athlete suspended from CATS may appeal to the Associate Athletics Director for Student Services for reinstatement at the beginning of the next semester. The student-athlete will be required to sign a contract with the head coach and the Associate Athletics Director verifying that he/she understands the CATS policies and will adhere to those policies. Any student-athlete suspended from CATS will not be recommended for summer financial aid by the Associate Athletics Director for Student Services.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes voluntarily requesting tutors:

- The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.
- If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of that semester.

****NOTE** - The post-eligibility grant-in-aid program is under the direction of the Associate Athletics Director for Student Services. Student-athletes are granted post-eligibility aid based on their previous academic effort. It is important for student-athletes to realize that their effort in CATS is noted.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 98% rated the monitoring of academic progress as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

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- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

6. Study hall. Availability, facilities, policy for mandatory attendance.

- a.** The specific academic support services offered to student-athletes, if any.

The University of Kentucky opened the first academic center for student-athletes (according to the National Association of Academic Advisors for Athletics) in the country in 1982. In 1998 the University opened a new 20,000+ square foot Ohio Casualty Group Center for Academic and Tutorial Services. The facility houses the offices of the Associate Athletics Director for Student Services, the Director of Academic Services, Director of Advising, five Academic Counselors, a Life Skills Coordinator, six Academic Graduate Assistants, and a Life Skills Graduate Assistant. The 20,000+ square foot CATS facility is one of the finest in the country and includes a quiet study center, computer lab, a career and personal development resource center, a classroom, and 24 tutoring rooms.

CATS is open Sundays from 2:00 p.m. - 10:00 p.m., Monday-Thursday from 8:00 a.m. - 10:00 p.m. and on Fridays from 8:00 a.m. - 4:30 p.m. A student-athlete may check out a key if he/she needs access to CATS at a time when it is closed. Although the center is not staffed after 10:00 p.m., student-athletes are welcome to stay and study or use the computers after that time. The doors lock automatically when the students leave and there is a night watchman who checks the center periodically. There is also an extensive camera system.

The web-based survey of student-athletes revealed 73% rated study hall availability, facilities, etc. as good or excellent.

- b.** Any policies that govern which students can use these services.

All student-athletes can use CATS and CATS' services.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 90% rated study hall availability, facilities, etc. as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

7. Assistance for special academic needs. Provisions for diagnosis and treatment of learning disabilities.

- a.** The specific academic support services offered to student-athletes, if any.

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All incoming football and basketball student-athletes and all other student-athletes with a composite ACT score of 20 or below (SATC score of 930 or below) will take the Stanford Diagnostic Reading Test and complete a writing sample to assess the need for supplemental assistance above and beyond the standard academic support available to all student-athletes. These same student-athletes may be required to take a math diagnostic evaluation to identify problems in this area. Any student-athlete, like all students, identified with a potential learning disability is referred to the University of Kentucky Disability Resource Center and a psycho-educational evaluation is arranged.

Student-athletes identified as significantly deficient in college level academic skills will receive supplemental assistance through the Student-Athlete Development Program. These student-athletes will be identified by a CATS academic counselor who coordinates diagnostic testing and will be assigned a full-time staff mentor. The academic progress of these student-athletes will be closely monitored by the academic counselor.

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

If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with the "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk". CATS assigns a mentor to these also and develops a program for them.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample, the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

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

a. The specific academic support services offered to student-athletes, if any.

The University administers subject area placement tests to all students (e.g., math, foreign language, etc.) for the purpose of placing students in appropriate levels of a particular curriculum.

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

Beyond the standard placement tests required of all students, additional learning assessments are available as described in Assistance for Special Academic Needs, part a, above. If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the

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testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with our "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk." CATS assigns a mentor to these also and develops a program for them.

The web-based survey of student-athletes revealed 73% rated the quality of provision of learning assessment as being good or excellent; 79% rated the availability as being available or very available.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

9. Mentoring. Availability of mentors, identification and assignment methods, frequency of interaction.

a. The specific academic support services offered to student-athletes, if any.

Mentors are provided to student-athletes who are identified as having academic deficiencies through an evaluation of their high school preparation, tests scores, or the CATS evaluation. All student-athletes who are identified as having the need for assistance in the area of organizational skills are assigned a mentor who assists them in organizing their weekly schedule (including assignments, study time for tests, personal responsibilities, etc.) The mentor meets with the student-athlete at the beginning of each week to prepare for the upcoming week's work. The mentor monitors the ongoing progress of the student-athlete and teaches the student-athlete organizational skills. Mentors are primarily adults (out of school) including many retired school teachers, and full-time athletics department staff.

The web-based survey of student-athletes revealed 81% rated the quality of mentoring as good or excellent.

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

All student-athletes are equally eligible for mentors. Mentoring is mandatory for student-athletes with identified special academic needs.

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

Student-athletes are made aware of these services during orientation in meetings with CATS personnel, and during the recruiting process. The mentoring program is not designed for every student-athlete. After the initial identification of those student-athletes who need a mentor, counselors continually evaluate student-athletes and determine others in need. Additionally, CATS personnel may advise the student-athlete of the mandatory need for mentoring.

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The web-based survey of student-athletes revealed 87% rated mentoring as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

10. Assistance for at-risk students. Availability including institution-wide assistance.

- a.** The specific academic support services offered to student-athletes, if any.

Student-athletes are determined to be "at risk" in the University academic environment through the evaluation of their high school record, national standardized tests scores, and through the CATS' reading, writing and math evaluation. All football, men's basketball, and women's basketball student-athletes and any student-athlete in any other sport entering the University with an ACT of 20 or less is required to take the CATS' evaluative testing. These students are initially considered to be "at risk" and are identified for special services. It should be noted that a significant percentage of these identified "at risk" student-athletes would not qualify for services provided through the Disability Resource Center on campus. They are still identified as "at risk" and CATS assigns a mentor to these also and develops a program for them.

The University of Kentucky offers multiple academic support programs for all students but does not have a global program applicable to all students. There is not a remedial education program for all students and there is only one course (MA 108R) in the University that is considered remedial in nature. Several departments offer tutoring to the general student body and the Multicultural Affairs program operates a support program for minority students. Student-athletes are made aware of these specific campus programs by CATS staff, campus advisors, UK 101 staff, and other students and athletes. In some cases CATS staff will direct a student-athlete to a specific tutoring program on campus, based on the nature of the need (e.g., very esoteric subject matter, need for specific information only available from a departmental tutor, etc.).

At-risk student-athletes receive academic support through the Athletics Department's Center for Academic and Tutorial Services (CATS). These services, including advising assistance, tutoring, mentoring, and the full semester University orientation course (UK101) have been described throughout this document. At-risk student-athletes are directed into these services which are mandatory for the at-risk student-athlete.

- b.** Any policies that govern which students can use these services.

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight of the Academic Integrity Committee.

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- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

11. Post-eligibility programs. Availability of scholarships, assistantships and academic support.

- a. The specific academic support services offered to student-athletes, if any.

All scholarship student-athletes in good standing personally and academically who have completed their eligibility but still have hours to complete for their degree are placed on grant-in-aid to complete their degree.

Scholarship student-athletes who complete eligibility in four years but have hours to complete toward their degree are placed on a fifth year grant-in-aid. Those who complete their eligibility in five years but still have hours to complete toward their degree are placed on administrative grant-in-aid or are funded through the Cawood Ledford Post Eligibility Scholarship. Students in the latter two categories must work to receive their grant-in-aid in compliance with NCAA regulations.

All of CATS' support services are available to post-eligibility student-athletes.

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

All post-eligibility grants are awarded to student-athletes based on evaluation of academic effort and good standing personally as a student and athlete. The "post-eligibility" grant-in-aid program is not a part of the NCAA annual renewable grant-in-aid. It is awarded to deserving student-athletes who have completed eligibility as a member of a varsity team.

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

Student-athletes are made aware of these services through the following mechanisms:

1. Advising. CATS' counselors are very aware of how many hours each scholarship student-athlete must earn to complete his/her degree, and it is part of the advising process to inform each as to what they have to do to receive aid once eligibility is completed.
2. Team Meetings. Students are informed of these services at the beginning of every year.
3. Orientation. Information about these services is presented to all student-athletes at the Athletics Director's beginning of the year orientation.

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

Evaluation

1. Does the institution demonstrate that adequate academic support services are available for student-athletes? **Currently Yes**

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2. Does the institution demonstrate that student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing? **Currently Yes**
3. Does the institution demonstrate that, when it is determined that student-athletes have special academic needs, these needs are addressed? **Currently Yes**
4. Does the institution demonstrate that the support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics? **Currently Yes**

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Operating Principle

2.3 Scheduling

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.3 (Scheduling). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.3.

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 first-cycle certification process as they relate to Operating Principle 2.3 (Scheduling). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement or recommendations arising during the first-cycle certification that related to Operating Principle 2.3 (Scheduling) of the Academic Integrity Section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.3 (Scheduling) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations developed by the institution since the first-cycle certification decision relating to Operating Principle 2.3.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.3 (Scheduling). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

5. Describe the institution's written policies related to the scheduling of intercollegiate athletics competitions and practices and describe how they minimize interference with class time and examination periods.

The University of Kentucky's policies related to the scheduling of intercollegiate athletics competition and practices that minimize interference with class time are either consistent with the guidelines established by the Southeastern Conference or more restrictive than those guidelines.

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Regarding missed class time, the SEC recommends that member institutions ensure that student-athletes miss no more than 20 percent of any class due to travel to athletic events. The University of Kentucky Athletics Department has established a more restrictive 12 percent missed class guideline. Coaches complete a Missed Class Time form that is sent to CATS every semester.

Additionally, the University of Kentucky academic ombud has mandated that student-athletes provide professors with a copy of their schedule of competitions and travel dates at the beginning of each semester. The Associate Athletics Director for Student Services notifies the coaches regarding this at the beginning of each semester.

The issue of student-athletes missing required class work and/or examinations due to travel for competition has been addressed by the University Faculty Senate and is published in Part II - Selected Rules of the University Senate Governing Academic Relationships, a section of the University of Kentucky Student Rights and Responsibilities Handbook.

Part II, Section 5.2.4.2 - C reads:

The following are defined as excused absences:

—Trips for members of student organizations sponsored by an academic unit, trips for University classes, and trips for participation in intercollegiate athletic events. When feasible, the student must notify the instructor prior to the occurrence of such absences, but in no case shall such notification occur more than one week after the absence. Instructors may request formal notification from appropriate University personnel to document the student's participation in such trips.

—Students missing work due to an excused absence bear the responsibility of informing the instructor about their excused absence within one week following the period of the excused absence (except where prior notification is required), and of making up the missed work. The instructor shall give the student an opportunity to make up the work and/or the exams missed due to an excused absence, and shall do so, if feasible, during the semester in which the absence occurred. [US: 11/10/85 and RC: 11/20/87]

—If attendance is required or serves as a criterion for a grade in a course, and if a student has excused absences in excess of one-fifth of the class contact hours for that course, a student shall have the right to petition for a "W," and the faculty member may require the student to petition for a "W" or take an "I" in the course. [US: 2/9/87; RC 11/20/87]

—If a student has an excused absence on a day when a quiz is given, the instructor may not deny permission for a makeup exam and simply calculate the student's grade on the basis of the remaining requirements. (RC: 8/20/87)

Further, the NCAA faculty athletics representatives of the Southeastern Conference member schools have studied the problem that exists regarding athletics competition and final examination periods. They have made a concerted effort each year to ensure that the SEC team schedules and championships do not coincide with any school's final examination period.

A problem does exist with "common examinations." These are given to all sections of a particular subject and held at a time other than the established class time for any one section. Many of these exams are held at a time that coincides with team practice time, creating a conflict for the student-athlete. The office of the Associate Athletics Director for Student Services will provide students taking these exams with a letter of explanation, but student-athletes are often required to miss practice and sit for the exam. The conflict has been unavoidable.

The survey of student-athletes noted above also addressed scheduling issues:

—Over one-third (36 percent) of the athletes reported "often" or "always" experiencing scheduling conflicts between class times and athletics.

—Over one-fourth (27 percent) of the athletes reported "often" or "always" experiencing conflicts between exams and athletics.

—Eighty-seven percent reported that they knew what to do if they had a conflict between academics and athletics.

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

Coaches are required to complete a "Missed Class Time" form for each semester. The form is given to each coach by the Associate Athletics Director for Student Services. Coaches complete the form using their known travel and competition schedules compared to student class schedules that have been submitted to coaches by students and the CATS service. Travel schedules are developed by coaches, using the student class schedules to minimize missed class time. The reports are done at the end of the semester and serve to monitor the effectiveness of the developed schedules to minimize missed class time. The forms are reviewed by the Associate Athletics Director for Student Services to determine whether the class misses exceeded the Southeastern Conference 20 percent guideline. If the class time missed exceeds the SEC 20 percent guideline, this is immediately forwarded to the attention of the Athletics Director. If in a particular sport the missed class time for travel and competition exceeds the UK Athletics Department's 12 percent guideline (but not the 20 percent SEC guideline), the Associate Athletics

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Director for Student Services examines the travel and competition dates and determines whether a scheduling effort could have been made to reduce the time missed. If it is determined that the conflict was unavoidable, the coach is warned and advised to make an effort to reduce missed class time. If it is discovered that the coach could have done a better job scheduling travel time, the coach is advised of this. If the coach continually violates the 12 percent guideline, the Director of Athletics is informed.

Coaches and administrative liaisons adjust travel arrangements to ensure that less class time is missed. In other cases, arrangements have been made for an individual or individuals to travel separately so as not to miss exams.

The Athletics Department also monitors the individual attendance of all at risk student-athletes to ensure that while the student-athletes are on campus, they are attending their classes regularly. This is done by graduate assistants, counselors and coaches. Class attendance of "at risk" student-athletes is monitored continually throughout the semester.

7. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).

A summary of Missed Class Time reports is presented below for the 2003-04 academic year. Although many coaches have periodically exceeded the Athletics Department's 12 percent guideline, only volleyball shows up as having exceeded the SEC 20 percent guideline. This is because every travel day is Friday and student-athletes may not always be able to avoid Friday classes. Many coaches who have exceeded the 12 percent guideline have been just over the 12 percent and have made every effort to comply. In many sports, although the percentage appears high, further review reveals that not all participants travel to all events.

University of Kentucky Missed Class Time Report - Fall 2003

Baseball: MWF 0 (0%) TTH 0 (0%)
 Men's Basketball: MWF 4 (9%) TTH 3 (10%)
 Women's Basketball: MWF 2 (4%) TTH 1 (3%)
 Men's Golf: MWF 4 (9%) TTH 4 (13%)
 Women's Golf+: MWF 8 (18%) TTH 5 (11%)
 Gymnastics: MWF 0 (0%) TTH 0 (0%)
 Rifle: MWF 2 (4%) TTH 1 (3%)
 Softball: MWF 0 (0%) TTH 0 (0%)
 Men's Soccer: MWF 5.5 (12%) TTH 4 (13%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis*: MWF 9 (20%) TTH 4 (13%)
 Women's Tennis: MWF 7 (15%) TTH 3 (10%)
 Swimming: MWF 2 TTH 2
 Track/CC: MWF 4 (9%) TTH 0 (0%)
 Volleyball**: MWF 11 (25%) TTH 2 (6%)
 *Tennis-individual players travel to different meets so no one player came close to the 20% figure.
 **Volleyball was over the 20% because every travel day is Friday. The team, however, makes every effort to take classes that do not meet on Fridays.
 + Women's Golf travel is under review.

University of Kentucky Missed Class Time Report - Spring 2004

Baseball: MWF 7.5 (17%) TTH 5 (17%)
 Men's Basketball: MWF 8 (18%) TTH 6 (20%)
 Women's Basketball: MWF 4 (9%) TTH 3 (10%)
 Men's Golf: MWF 8 (18%) TTH 5 (17%)
 Women's Golf: MWF 9 (20%) TTH 6 (20%)
 Gymnastics: MWF 5 (11%) TTH 4 (13%)
 Rifle: MWF 3 (6%) TTH 1 (3%)
 Softball:
 Men's Soccer: MWF 1.5 (3%) TTH 0.5 (1%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis: MWF 7 (16%) TTH 5 (17%)
 Women's Tennis: MWF 5 (11%) TTH 3.5 (12%)
 Diving: MWF 9 (20%) TTH 6 (20%)
 Swimming: MWF 8 (18%) TTH 6 (20%)

Academic Integrity

Track/CC: MWF 6 (13%) TTH 5 (17%)
Volleyball: MWF 0 (0%) TTH 0 (0%)

8. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes.

It is an expectation that student-athletes attend all classes unless away from campus for competition. Student-athletes are informed of their responsibility to attend all classes while on campus at team meetings at the beginning of each year and at the Athletics Director's beginning of the year meeting with all student-athletes. This policy was stated in the 2003-2004 "Student-Athlete Handbook" on page 13: "Regular class attendance is expected of all student-athletes at the University of Kentucky. It is the individual responsibility of each student-athlete to attend all classes when on campus. The head coach is responsible for enforcing this policy as stated."

At the Athletics Director's beginning of the year meeting, each student-athlete receives a copy of the handbook, signs an Acknowledgement of Receipt that includes a statement accepting responsibility for reading and understanding all information, and submits the signed statement to the Athletics Director.

Evaluation

1. Does the institution demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12? **Currently Yes**

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-A: Standardized test Scores, by Gender

		Gender							
		Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	100	1737	86	38	98	1946	89	34
	2002-2003	98	1694	88	46	95	1969	90	40
	2001-2002	100	1454	85	50	96	1667	89	32

Name of person completing this chart: Roger Sugarman
 Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-B: Standardized Test Scores, by Racial or Ethnic Group

		Racial or Ethnic Group - All Entering Freshman Students											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	106	4	101	51	82	206	97	33	100	3294	100	95
	2002-2003	85	3	98	55	83	163	95	28	97	3331	96	83
	2001-2002			99	49	82	152	96	27	99	2840	97	52
		Racial or Ethnic Group - All Entering Freshman Student-Athletes on Aid											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004					78	13			90	49	87	7
	2002-2003					80	19			92	52	88	14
	2001-2002					73	15			90	58	87	7

Name of person completing this chart: Roger Sugarman

Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART II: GPA and Test Scores, by Sport Group

		Sport Group															
		Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports	
Academic Year		Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core Course GPA	2003-2004	3.16	11	2.315	4	3.369	3	3.371	5	3.127	15			3.071	3	3.587	29
	2002-2003	2.939	13	3.394	3	3.027	8			3.243	21			3.08	7	3.647	29
	2001-2002	2.996	21	3.004	4	3.372	9			3.232	15			3.693	5	3.437	25
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	79	12	81	4	88	3	90	5	91	15			80	3	89	29
	2002-2003	82	13	93	3	90	8			91	21			82	8	92	29
	2001-2002	82	21	73	4	88	9			89	16			91	5	89	25

Name of person completing this chart: Roger Sugarman and Michele Nordin

Title: Dir of Inst Res & Dir of UG Admission

Academic Integrity

SPECIAL-ADMISSIONS INFORMATION

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID, BY YEAR

			Sport Group (Freshman)								
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid **	Baseball	M e n ' s Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	W o m e n ' s Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits	2003-2004	9%	31%	0%	55%	64%	20%	27%	0%	67%	21%
	2002-2003	16%	22%	0%	0%	77%	0%	10%	50%	29%	14%
	2001-2002	19%	49%	55%	75%	62%	100%	56%	50%	20%	32%

Name of person completing this chart: Michelle Nordin

Title: Assoc. Dir. of Undergrad. Admiss./Assoc. Registrar

Fiscal Integrity

Operating Principle

3.1 Financial Practices

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Financial Practices). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.1 (Financial Practices). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Financial Practices) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.1 (Financial Practices). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. List all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution.

Not Applicable.

6. List all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

Fiscal Integrity

Not Applicable.

7. Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures.

Not Applicable.

8. Prepare a description for those sources of revenue under the institution's direct control and prepare a description for revenue sources not under the institution's direct control.

Not Applicable.

9. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics that verifies the institution is in compliance with Constitution 6.2.3, including any methods used to ensure the independent nature of the auditor.

Not Applicable.

10. Describe the institution's efforts to ensure the audit that verifies the institution is in compliance with Constitution 6.2.3 meets the standards of the NCAA Financial Audit Guidelines.

Not Applicable.

11. Describe relevant corrective actions planned or implemented from the three most recent external financial audits.

Not Applicable.

12. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., booster and support group funds, state funds vs. restricted/foundation funds).

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Copies of the institution's three most recent external (per Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.
- Documentation (e.g., management letters, executive summaries) from the institution's three most recent external audits that verifies the institution is in compliance with Constitution 6.2.3 (annual independent financial audit requirement).
- Copies of all athletics staff members' most recently completed and signed statements related to the reporting and approval of athletically related income and benefits from sources outside the institution, per NCAA Bylaw 11.2.2.

Evaluation

1. Does the institution demonstrate that all funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight? **Currently Yes**
2. Does the institution demonstrate that all expenditures from any source for athletics are approved by the institution? **Currently Yes**

Fiscal Integrity

3. Does the institution demonstrate that budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2? **Currently Yes**
4. Does the institution demonstrate that the institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department? **Currently Yes**
5. Does the institution demonstrate that an annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department? **Currently Yes**

Fiscal Integrity

Operating Principle

3.2 Fiscal Management and Stability

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.2 (Fiscal Management and Stability) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

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

Not Applicable.

6. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. To add a sport to the list, please click "Add Sport to List."

Fiscal Integrity

7. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).

Not Applicable.

8. Outline the sources, uses and amounts of funds received by the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.

Not Applicable.

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

Not Applicable.

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

Not Applicable.

11. Using the institution's Equity in Athletics Disclosure Act survey forms, athletic department budget reports, and other appropriate documentation for the three most recent years for which the information is available, evaluate each of the following areas for every sport sponsored by the institution. On the basis of this review, state the institution's determination of its ability to provide relatively full and stable opportunities to student-athletes in each sport in the specific areas of:

- a. Coaching;
- b. Scholarships;
- c. Recruiting;
- d. Operating expenses (e.g., travel, facilities, equipment); and
- e. Percentage of the sport budget that has to be obtained each via fundraising (i.e., by institutional entities, department, team and individual student-athletes).

To add a sport to the list, please click "Add Sport to List."

12. Using your institution's NCAA Sports Sponsorship Report for the three most recent academic years indicate whether the institution meets the Division I membership requirements for sports sponsorship and scholarships.

Not Applicable.

Evaluation

1. Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation? **Currently Yes**

Fiscal Integrity

Operating Principle

3.3 Established Fiscal Policies and Procedures

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.3 (Established Fiscal Policies and Procedures) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA, conference and institutional rules including:
 - a. Identification of person(s) responsible for these areas; and
 - b. Means of monitoring compliance with these rules.

Fiscal Integrity

Not Applicable.

6. Describe the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements (e.g. official visit procedures, policies regarding staff travel advances for recruiting trips/expenses, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

7. Describe the university's policies and standard operating procedures for ensuring that enrolled student-athletes do not receive extra benefits (e.g., per diem policies, student-host reimbursement procedures, financial aid review policies, equipment checkout/retrieval procedures, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Monitoring records or other documentation for the most recent year, related to impermissible recruiting inducements and prohibited extra benefits (e.g., official visit records, off-campus recruiting records, team travel forms, records related to distribution of meal money, entertainment expenses, equipment).

Evaluation

1. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that prospective student-athletes are not provided with impermissible recruiting inducements? **Currently Yes**
2. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation? **Currently Yes**
3. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that all expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules? **Currently Yes**

Equity, Welfare and Sportsmanship

Operating Principle

4.1 Gender Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.1 (Gender Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The University of Kentucky received unconditional certification during the first-cycle certification process. However, the NCAA Committee on Athletics Certification considered recommendations of the institutions and the peer-review team and determined that the institution was to be required to: "Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, and travel per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10, 1997 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity."

The Self-Study Subcommittee on Equity and Student-Athlete Welfare found no evidence of an amended gender-equity plan as requested in the above recommendation; however, the new athletics administration under the leadership of Athletics Director Mitch Barnhart provided a Gender Equity Plan that addressed all program areas to the Subcommittee in August 2004. Revisions were made as the self-study progressed, and the final version of the institution's future Gender Equity Plan is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

2. Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

1995 University of Kentucky Athletics Department
Gender Equity Recommendations
Progress Report to Date

1. The sport of women's softball will be added in the fall of 1996. A female head coach and a female assistant coach have been hired during the 1995-96 academic year. The athletics department anticipates the participation of approximately 18 to 20 female student-athletes in the new sport.

Progress: Softball was added as a varsity sport during the 1996 -1997 academic year. There is a new female head coach and two female assistant coaches. There are currently 22 student-athletes on the team.

2. Each fall the Club Sports Review Committee will meet to evaluate the various female club sports currently competing through UK's Campus Recreation department. The purpose of this review will be to determine the feasibility of adding one of these sports at the varsity level.

Equity, Welfare and Sportsmanship

Progress: An alternative strategy to a Club Sports Review Committee was implemented in the year following the first-cycle certification. Once a year the Senior Woman Administrator (SWA) is in touch with the Campus Recreation staff who provides a list of clubs and the number of students in each. She then compares the club numbers with results of the annual Survey of Freshman Student Interests and Abilities. With support from the Office of Institutional Research (OIR), the SWA conducts this survey each summer with all incoming freshmen. (Results for every year since summer 1998 are available on the OIR website: <http://www.uky.edu/IR/survey.shtml>.) For instance last year (summer 2003) the Interests and Abilities Survey indicated that 32 female freshmen would participate in Equestrian if it were offered at UK. The combination of the survey results and the active, highly successful club indicates there is an interest on this campus for the sport of Equestrian. The SWA communicates this information to the Athletics Director.

3. The larger team sports of women's soccer, softball, and women's basketball will conduct tryouts in the fall of 1996 to encourage female walk-ons to participate in these sports. These tryouts will be publicized in the school newspaper and posted in various spots on campus. It is hoped that these tryouts will help to offset the greater tendency of males to walk-on than females. These sports have been chosen because there are very successful club programs on our campus from which to recruit walk-on student-athletes.

Progress: In 1996 formal tryouts were announced in a Kentucky Kernel article and held for the women's basketball, women's soccer, and softball teams. No one showed up for softball and women's basketball sessions, and only a couple showed up for women's soccer. As an alternative strategy, from 1996 forward each coach began to manage tryouts as appropriate for the specific team. The current softball, women's basketball, women's soccer, and volleyball coaches manage tryouts based on interest. They pick a tryout day and time that is given to interested callers. On tryout day, the interested students are run through drills by the coaching staffs. Students likely to show up are freshmen who played in high school, upperclassmen on the Club Team, and students who were recruited, but not offered a scholarship. Of note, women's basketball holds formal, advertised tryouts for MEN to be part of the women's "practice / scrimmage" squad. Approximately five men students are selected and they are counted in the male/female numbers in official NCAA and other reports, such as the Equity in Athletics Disclosure Act (EADA) report.

Historically, UK women's soccer carries one or two walk-ons each year and women's basketball has had walk-ons the past two years. UK softball has had occasional walk-ons over the years but no formal tryout sessions. The new (04-05) softball staff confirms they will follow up aggressively with tryouts.

4. The head coaches in our individual female sports will conduct individual tryouts in the fall of 1996 for any female student who indicates an interest in walking on to that program.

Progress: Due to the highly specialized skills needed for participation in individual sports, the Athletics Department uses an alternative to conducting annual, open tryouts to recruit walk-ons for all individual sports. The current strategy depends on the unique needs of the various individual sports:

- The individual sports of gymnastics and women's tennis have small squads with 12 and 8 full scholarships respectfully. There is less need for a "deep bench" on these teams. Although these coaches do not hold try outs, they both have women on their teams that are recruited as walk-ons.
- Women's golf is very open to tryouts and carries walk-ons every year. In 2003-04 walk-on golfers were incorporated into a junior varsity (JV) team.
- The rifle team is co-ed. In past years the rifle coach has managed to keep a good balance of men and women shooters on the roster. Because the number of women shooters decreased in 2003-04, he is considering the idea of forming a women's only JV shooting team to develop women shooters who can move forward to varsity after gaining experience and skills on the JV squad.
- The swimming and diving and track and field coaches welcome walk-ons. A walk-on's success on these two teams is determined by time standards.

In the years since UK's first-cycle certification process, the Athletics Department has discovered the following:

- Women college students simply do not tend to "come out" for a sport.
- Women students who do tryout tend to be those who play team sports with large squads and equivalency scholarships.
- A large number of women tryout participants are already known by the coach through the normal recruiting process and are encouraged to tryout.
- Many women walk-ons are recruited as a "walk-on." They come to UK knowing they are on the team (no need to tryout), but do not have a scholarship.
- The two individual fully funded sport teams (tennis/gymnastics) are highly competitive, skill specific sports that do not attract try-out participants the way the larger squad team sports do.

Equity, Welfare and Sportsmanship

5. The Junior Varsity Men's Basketball team will be discontinued in the fall of 1996. This will decrease the number of male student-athletes by approximately 12 to 15. There is a very strong intramural men's basketball league on campus to provide competitive opportunities for students interested in this sport.

Progress: The Junior Varsity Men's Basketball team was discontinued in 1996. There is currently no JV men's basketball team at the University of Kentucky.

6. The Athletics Director will continue to pursue qualified female applicants for all positions within the athletics department as they become vacant. Currently 47 of 114 positions within the Athletics Department are filled by females or 41.2%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Effort to achieve this goal has been ongoing since the first-cycle certification. In 2003-04, however, the Athletics Department provided data showing that 68 out of 173 employees (or 39.3%), including administrators, coaches and staff, were female. Thus, there has been a slight decrease in this measure.

7. Within the athletics department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices will be strongly encouraged to actively pursue qualified female student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-1997 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: In the years since the first-cycle certification, it has become routine practice in the Career Development program to refer the names of interested student-athletes to the various departments in athletics. The current Athletics Director routinely brings names of qualified student-athlete candidates who have approached him regarding internships to senior staff meetings. He requests that particular administrators look for positions in their areas.

8. The Assistant Athletics Director for Academics will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-1997 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: The workshop was held once again in 1997. Since that time, cultural diversity training was incorporated into the athlete sections of the UK 101 course that most freshman student-athletes take during their first fall semester. Cultural diversity is one of the menu selections of workshops available to teams. Coaches must select three workshops per year for their team and some select the cultural diversity session.

9. The Assistant Athletics Director for Academics will continue to submit the University's application for the Americorps grant through President Clinton's National Service Act. This program will continue to involve female student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The University has maintained the AmeriCorps grant since 1996. However, 2003-04 will be the last year utilizing this grant as the new presidential administration changed the emphasis of the grant. It is no longer directed at school success and violence prevention, which was a perfect fit for the student-athlete mentoring/tutoring program.

10. The University of Kentucky Athletics Department currently assigns the same level of athletics training staff to each women's sport as that assigned to the comparable men's sport. This commitment of equitable access to health and medical care for male and female student-athletes will be continued.

Progress: A commitment to equality in assigning athletics training staff to women's and men's sports has been continued each year since the first-cycle certification. Except for football, for which there is no comparable women's sport, each sport has either 1) a full time certified athletic trainer (ATC); 2) a full time ATC graduate assistant; or 3) direct access to a full time ATC.

11. Scheduling priorities for each athletics facility will be determined by the Senior Associate Athletics Director. Priority for facilities that house more than one sport will be given to the sport considered to be "in season" as defined by the NCAA. When more than one sport is considered to be "in season", the scheduling will be prearranged so that needs of every team will be met. Facilities will be assigned according to these policies and without regard to sports or gender.

Progress: UK Athletics has followed the above practice on a consistent basis since the first-cycle certification. This policy is described in the "UKAA Policies and Procedures Manual," Chapter VII.

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12. A courtesy car will be assigned to the head coach of the women's softball team no later than June 1, 1997. This assignment will complete the University of Kentucky Athletics Department's commitment to equitable allocation of such cars. This commitment provides a courtesy car to every women's sport for which such a benefit is provided to a comparable coach in a men's sport.

Progress: This goal was achieved as stated. Currently, all head coaches receive courtesy cars.

13. All services of the University of Kentucky Athletics Department's Center for Academic and Tutorial Services will continue to provide equitably to all student-athletes without regard to gender.

Progress: This goal is achieved on an on-going basis, as CATS services are available to all student-athletes.

14. The sampling of student-athletes selected for exit interviews will continue to include an equitable representation of men and women. Issues concerning equitable treatment of male and female student-athletes will continue to be addressed in these interviews. Improvements which are made as a result of these interviews will be reported to the student-athletes at their fall meetings beginning in the fall of 1997.

Progress: Since the first-cycle certification, a compliance and exit interview policy has been maintained and implemented to ensure that proper procedure is being enacted. However, changes made as a result of exit interview findings are not shared with the student-athletes, because the information shared in exit interviews is considered confidential. In order to protect the confidentiality of participants, who may be identified due to the small number of student-athletes graduating from a particular sport in a given year, the Athletics Department re-evaluated this goal. Results of the exit interviews are submitted to the Athletics Director for appropriate consideration and action.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing gender equity issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.1 (Gender Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

The University of Kentucky has established two presidential commissions composed of faculty, staff, administrators, community leaders and students. One of those commissions is the President's Commission on Women whose charge is to:

- Advise the President on issues, policies and practices that affect women at the University of Kentucky.
- Report regularly to the President and the University community on the status of women at UK.
- Offer recommendations to redress all forms of gender-related inequities.
- Propose initiatives to ensure that the University of Kentucky fully engages the talents of its women employees and fairly meets the needs of its women students.
- Administer selected programs that benefit women at UK.

Additionally, the University recently established a new strategic plan — The Dream & the Challenge — that set forth a new goal related to diversity and issues of fairness and equity. See Principle 4.2, Minority Issues, Self-Study Item 9 on Institutional and Athletics Department Commitment, for additional information.

The University recognizes the steps it must take to ensure gender equity, and it is proactively seeking solutions and avenues by which to continue to level the playing field for women. Among these are the Women's Studies Program

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and the Women's Health Center, examples of programs that were developed or significantly expanded in the past decade and that increase the visibility of women's roles and contributions. The Graduate School achieved gender equity in its fellowship awards and other student funding during the last decade.

In addition to the Athletics Director, the Athletics Department staff includes an Associate AD for Compliance, an Associate AD for Student Services, a Senior Woman Administrator, an Executive Associate AD, and specific senior staff assigned to each team as sport liaisons, all of whom have the responsibility to ensure that University and departmental policies regarding gender equity are followed within their areas. The specific sport liaisons serve as the first level of contact in communicating student-athlete issues to the coaches and administration. The Compliance Office monitors exit interviews with student-athletes and submits an annual report to the Athletics Director. In addition, the SWA is in contact with campus recreation as part of an annual effort to identify and gauge female interest in club sports. The end result would be the establishment of a new varsity sport for women.

The efforts described above are supportive of women student-athletes and are representative of a maturation process across the University campus that encompasses the Athletics Department and the Medical Center. More specifically, the Gender Equity Plan of the Athletics Department outlines additional plans and goals that clearly indicate a commitment to Title IX Compliance/Gender Equity.

The Equity and Student-Athlete Welfare Subcommittee experienced difficulties in accessing gender-related information in a timely fashion. In part, this was due to interruptions in institutional memory and awareness of past practices that frequently occur with changes in leadership and key administrators, of which there have been three since the first-cycle certification. The Subcommittee believes, therefore, that improvements are needed to ensure that gender equity issues are monitored, evaluated and addressed effectively on a continuing basis. As such, the charge of the Student-Athlete Welfare Committee recently established by the Athletics Board will be expanded to include gathering, monitoring and reviewing equity data for all program areas on an annual basis and making recommendations to the Athletics Board when appropriate. As indicated in Principle 1.2, Self-Study Item 7, the committee membership currently includes the vice president for student affairs (chair), one member of the UK Board of Trustees, a faculty UK Athletics Association director, and two student directors. Two additional members will be as follows:

- 1 multicultural/ethnic representative appointed by the Office for Multicultural and Academic Affairs
- 1 female representative appointed by the President's Commission on Women

6. Using your institution's completed Equity in Athletics Disclosure Act survey form and worksheets for the three most recent academic years for which the information is available, analyze, explain and address discrepancies in the data between male and female student-athletes and comment on any trends or significant changes.

Over the last three years the participation rate of female athletes has increased by 1.6 points. In 2003 female athletic participants made up approximately 38% of all student-athletes; whereas, females made up 52% of the general student population. In contrast, male athletic participants made up approximately 62% of all student-athletes; whereas, males made up 48% of the general student population. Consequently, the participation percentages for the past three years as reported in the EADA survey reflect a 25%-27% gap between men's participation rates and women's participation rates, with men having the larger participation rate in each year. Upon closer analysis, this gap can be put into context by examining the impact that football has on the overall numbers. When football is part of the equation, a participation rate gap of 25%-27% is noted, but when football is not part of the equation, the participation rate gap is less than 1% with women's sports having the larger participation rate for each year. While the impact of football may help explain the participation rate gap between men and women, the size of the gap and the small increase in participation rates over the three year period suggest that the Athletics Department should accelerate its research and planning for expanding athletic opportunities for women.

7. Using the program areas for gender issues, please:

- a. describe how the institution has ensured a complete study of each of the areas,
- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for gender issues addresses each of the areas.

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[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to Item No. 9 of the program area checklist.]

1. Athletics Scholarships. Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all items through a broad-based campus-wide review, with the Equity and Student-Athlete Welfare Subcommittee ("the Subcommittee") assuming primary responsibility for assessing the University's programs and policies in these areas. The broad-based review included the following activities:

- Athletics Department records and institutional data pertinent to this area were reviewed, including the Equity in Athletics Disclosure Act report for the years 2001 through 2003;
- Athletics facilities were toured (led by Athletics Director who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- a written survey of student-athletes was conducted and analyzed by gender;
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department monitors and reviews the distribution of scholarships on an annual basis. In the most recent three years, women's sports received 39% to 42% of the total athletics aid. Although the percent of total athletic aid to women decreased over the last three-year period, the actual dollar amount increased — from \$1.6 million in 2001 to \$1.9 million in 2003.

c. Identify areas of deficiency and comment on any trends.

The trend in the most recent three years has been an increase in the total number of women participating in sports at the University of Kentucky. In 2000-01 there were 204 participants, for 2001-02 there were 206 participants, and for 2002-03 there were 224 participants. As noted above, athletic aid awarded to women increased accordingly, and has been fully funded. Furthermore, while women made up approximately 38% of the total student-athlete population over the last three-year period, athletic aid to women accounted for 39% to 42% of the total, indicating that scholarship dollars have been awarded to women and men at nearly the same proportion as their respective rate of participation in intercollegiate athletics. In this area, the UK Athletics Department is providing excellent support to the University's strategic planning values and goals related to ensuring equity and fairness in the treatment of all members of the University community.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to maintain a balance between men and women student-athletes in the amount of athletic aid awarded. To accomplish this, the plan addresses women's scholarship needs by ensuring that women receive the maximum allowable number of scholarships, assuring all options to award open scholarships are considered, and by budgeting new levels of funding as new NCAA legislation is approved.

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2. Accommodation of Interests and Abilities. Participation proportionate to enrollment; history and continuing practice of program expansion for underrepresented sex; and/or, fully and effectively accommodate underrepresented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed results of the Survey of Freshman Student Interests and Abilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

During the 1999-2000 academic year, the Athletics Department began researching emerging sports to provide additional opportunities for athletes by accommodating documented interests and abilities. Field Hockey, Equestrian and Lacrosse were identified as the most popular possible new sports to improve participation rates for female athletes. The 2003 and 2004 Survey of Freshman Student Interests and Abilities indicated a "spike" in interest in trying out for Equestrian. The number of entering freshmen who indicated they would try out for Equestrian increased from 30 in fall 2002 to 33 in fall 2003 and 2004. Further research in the areas of club sport interest, recruiting potential, surrounding programs, cost for facilities and staff, NCAA status, SEC status, and numbers required have suggested that Equestrian may be the most logical sport to add.

c. Identify areas of deficiency and comment on any trends.

The recent "spike" in interest in Equestrian involved the three items:

- 1) There was an increase in first-year women who said they would try out for Equestrian if offered, as well as a relatively high, consistent number over the three-year period;
- 2) There was an increase in those who reported participating in Equestrian for three or four years during high school, as well as a relatively high, consistent number over the three year period; and
- 3) There was a decrease in those who reported having earned awards in Equestrian, but the number reported over the three-year period, again, has been fairly high and consistent.

As part of its efforts to accommodate the sports interests and abilities of the University's student population, the Athletics Department has in place a process to review and discuss these survey data and other factors in order to make informed decisions regarding sports offerings. According to the progress report on the 1997 Gender Equity Plan, the last new women's sport — softball — was added in 1996-97.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution has been administering a survey to gauge freshman student interest in sports since 1995. The institution's future Gender Equity Plan emphasizes this survey as a tool that will assist in evaluating the feasibility of adding another women's sport. The Plan also recognizes the need to accelerate research and planning for expanding women's athletic opportunities at the University of Kentucky.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area. In particular, specific information on equipment and supplies expenditures was studied.

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- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Using the EADA worksheets, the Athletics Department supplied information on actual expenditures for equipment and supplies to allow the following comparisons:

—Total equipment and supplies expenditures for women's sports increased from \$99,317 to \$135,772 from 2001 to 2003 — a 36.7% increase, compared to a decrease of 0.5% for men's sports and an increase of 20.0% for men's sports without football.

—Equipment and supplies expenditures per participant for women's sports increased from \$487 to \$606, a 24.4% increase, compared to a decrease of 4.6% for men's sports and an increase of 8.1% for men's sports without football.

- c.** Identify areas of deficiency and comment on any trends.

The data presented in section (b) above show that progress was made in 2003 in providing equitably for women's teams, when using equipment and supplies expenditures as an indicator. The percent of change over the three-year period for women's teams exceeded the change for men's teams overall as well as for men's teams without football. The most compelling data in support of gender equity in this area, however, is found in the Nike contracts that are in place for every men's and women's sport at the University. The Nike contract has been in place since 1997, and it ensures equal access to high quality equipment and supplies for comparable men's and women's teams. Zero-based budgeting is also now in place for equipment to facilitate budget planning designed to meet specific, documented needs.

- d.** Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to increase further the equipment budgets for women's teams to be competitive within the SEC, and efforts are underway to monitor budgets in comparison to other SEC schools. As the Nike contract nears its expiration in 2007, Athletics will re-negotiate an equipment-apparel contract to ensure fair and equitable treatment for men's and women's teams.

4. Scheduling of Games and Practice Time. Number of games; number, length, and time of day of practices; time of day of games; preseason and postseason opportunities.

- a.** Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area.

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All sports share common practice facilities. SEC games are scheduled by the conference. All other games and practices are scheduled by the coaches.

- c.** Identify areas of deficiency and comment on any trends.

There are occasional scheduling conflicts among the sports that share facilities. The conflicts are resolved by the head coaches according to the scheduling policies in Chapter VII of the "UKAA Policies and Procedures Manual." These policies state the priorities to be applied when conflicts emerge: "Priority for facilities that house more than one sport goes to the sport considered to be "in season" as defined by the NCAA. Contract varsity competition events will take priority over all scheduled practices, clinics or camps. UKAA or individual sponsored special event or tournaments may take priority over a scheduled practice if pre-approved" by (the Associate Athletics Director).

Based on these policies and procedures, which are gender-neutral, the scheduling of games and practice times appears to be equitable.

- d.** Explain how the institution's future plan for gender issues addresses this area.

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The institution's future Gender Equity Plan seeks to assign additional staff to events in order to ensure that games and practices are staffed equitably. In addition, construction of a practice facility for men's and women's basketball is in the design phase. This new practice facility for basketball will allow volleyball to have a dedicated gym for practice and games. These initiatives will relieve scheduling conflicts and aid in the recruiting of men and women athletes in the above mentioned sports.

5. Travel and Per Diem Allowance. Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area and also reviewed the University's business policies and procedures.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department adheres to NCAA travel guidelines and to the University's business policies and procedures for travel and per diem allowances. These policies apply to all athletic teams and student-athletes, independent of gender.

c. Identify areas of deficiency and comment on any trends.

Travel and Per Diem Allowance policies and procedures appear to be equitable.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan will provide options for per diem or team meals based on nutrition, travel and team needs, and a zero-based budgeting model has been implemented to support this effort.

6. Tutors. 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. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed the Director of the Center for Academic and Tutorial Services (CATS).

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In 1998, UK athletics opened its new \$2.4 million Ohio Casualty Center for Academic and Tutorial Services. The Center for Academic and Tutorial Services (CATS), founded in 1980, is one of the premiere academic support programs in the SEC and NCAA. Located in Memorial Coliseum, CATS is specifically designed with the student-athlete in mind. With nine full-time staff members, six graduate assistants, and numerous tutors, the UKAA has budgeted \$1 million annually to provide support for the school's 22 varsity sports. While its main objective is to provide academic support - earning degrees, maintaining eligibility and winning honors - CATS also prepares the student-athlete for life after college with the Wildcats Career Development Program. CATS provides numerous services to complement the educational experience at UK. Tutorial program services are free to all student-athletes regardless of gender or race. Any student-athlete who requests a tutor has an opportunity to meet with one in a group or one-on-one setting.

c. Identify areas of deficiency and comment on any trends.

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Tutoring is provided independent of gender to all student-athletes as needed. Additional information on tutoring is presented in Academic Integrity Principle 2.2, Academic Support, Self-Study Item 6.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan includes a goal to continue to provide equitable academic support to men and women student-athletes through CATS. The Athletics Department plans to evaluate tutoring and academic support for all men's and women's teams and monitor team grade point averages.

7. Coaches. Availability - full time, part time, assistant, and graduate assistants; Assignment - training, experience, professional standing, and other professional qualifications; Compensation - rate of compensation, 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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and reviewed supplemental information provided on the coaching staff. The Subcommittee reviewed the number of coaches, their assignments, average salaries per FTE, and the courtesy cars list.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The EADA reports for the last three reporting periods are difficult to interpret and analyze for trends, because head coaches who coach both men and women for sports such as track and field, rifle, and swimming and diving are reported twice — once as a head coach for the men's teams and again as a head coach for the women's teams. Therefore, the Athletics Department provided additional data showing the absolute number of head coaches by gender over the last three years. These data demonstrate that the number and percent of female head coaches decreased over the three-year period from five to four and from 31% to 25%, respectively, while the number of male head coaches increased by one. This change resulted when a male head coach was hired to replace a departing female head coach for Women's Gymnastics. Although there were male head coaches reported for women's teams, there were no female head coaches reported for men's teams over the last three years. Rifle, which is a coed team, Track and Field, and Swimming and Diving have a male head coach who serves both men and women student-athletes.

As with the head coaching assignments, the assistant coaching assignments are also difficult to track over time using the EADA reports. Additional data provided by the Athletics Department, however, showed that the number of female assistant coaches increased from seven to nine over the three-year period, while the number of male assistant coaches decreased from 32 to 31; consequently, women made up 23% (9 of 40) of the total assistant coaching staff in 2003, compared to 18% (7 of 39) in 2001.

As reported in the EADA report, salary outlay for head coaches of men's teams in 2003 was \$649,521, compared to \$501,896 for head coaches of women's teams (including duplicate salaries for those serving in more than one position). Over the three-year period under study:

—The average salary per FTE of head coaches for women's teams increased from \$50,157 to \$55,766 — an increase of 11.2%, compared to a 4.6% increase for men's teams and a 10.7% increase for men's teams without football.

—The average salary of head coaches for women's teams as a percent of the average salary of head coaches for men's teams increased from 64.6% to 68.7%.

It is noteworthy that a new women's basketball head coach was hired for 2003-04 at a highly competitive salary.

c. Identify areas of deficiency and comment on any trends.

Over the three year period, the average salary per FTE for head coaches of women's teams increased by 11.2%; average salary per FTE for head coaches of women's teams as a percent of men's also increased

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from 64.6% to 68.7%. Although this shows some improvement, the discrepancy between the average salaries per FTE for head coaches of women's and men's teams is greater than one might expect among similar employee groups in a higher education institution. For example, the female instructional faculty average salary was 79.4% of male's in 2003-04 at the University. Therefore, an additional analysis was completed to understand the impact of the head football coach on the gap between averages salaries for women's and men's teams. There is not a comparable sport to football among the women's teams, and it seemed reasonable to remove it from consideration as a way to explain the differences. With the football head coach removed from the total salary outlay for men's teams, the average salary per FTE for women's teams as a percent of men's ranged from 79.5% to 80.7% — slightly better than the instructional faculty salary gender gap at the University. Thus, it appears that the Athletics Department is confronted with and is addressing issues similar to those of the academic mission of the University in its effort to achieve fair and equitable salaries for head coaches of women's teams. Coaching assignments and compensation packages take into account numerous factors that generate differences in men's and women's salaries, including training, experience, professional standing, and terms of contracts.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address head coaches' salaries through an evaluation of academic success, leadership, fiscal integrity and competitive excellence that is tied to pay increases and by studying SEC and national data on salary ranges, both of which will be used to budget increases as necessary. The Plan also seeks to ensure that equitable opportunities for women are made available as openings in head coaching positions occur.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the athletic administrators responsible for this area.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In particular, the tour of facilities helped the Subcommittee understand the quality and availability of current facilities and plans for new ones. The self-study survey of student-athletes collected student evaluations on the quality of locker rooms and practice and competitive facilities.

c. Identify areas of deficiency and comment on any trends.

On the student-athlete survey, 56% of female student-athletes rated the quality of locker rooms as good or excellent, whereas 60% of male athletes rated them good or excellent, indicating a need to improve locker facilities for both females and males. However, this pattern — with women rating the quality of facilities lower than men — occurred also in their evaluations of the quality of practice and competitive facilities. Based on student survey feedback and information gathered during the facilities tour, it was clear that locker room facilities are not up to the standards of the top teams in the conference, and in recognition of this by the Athletics Department, there is an effort currently underway to upgrade these facilities. In further support of the survey findings, it is also noteworthy that future plans include improving the quality and availability of practice and competitive facilities as well. The upgrade plans will address the needs of several women's sports, indicating commitment and progress in improving equity for women's teams in this area. Additionally, a new multipurpose room is to be constructed at Nutter Field House. The project involves the construction of a multipurpose facility with a seating capacity of approximately 250 persons, full kitchen, and athletic training table. The facility will be an addition to Nutter Field House and will service game day catering needs and host recruiting, Athletics Department, and university departmental group functions.

d. Explain how the institution's future plan for gender issues addresses this area.

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As part of the Gender Equity Plan, the following projects were recently completed:

- upgrading of women's basketball locker room and creation of a video room;
- renovation of women's track and cross-country locker room; and
- renovation of private locker room and study/relaxation area for gymnastics.

The institution's future Gender Equity Plan seeks to provide a private women's swimming locker room and new locker rooms for women's basketball, volleyball and gymnastics as part of the new men's and women's basketball practice facility.

9. Medical and Training Facilities and Services. Availability of medical personnel; availability and quality of weight training, and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the director of sports medicine and reviewed the student-athlete exit interviews.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The sports medicine providers are licensed in their field and are recruited and selected from three major sources: 1) the athletics training program in the College of Health Sciences, 2) the College of Medicine Division of Sports Medicine, and 3) the national at-large pool. A medical training manual is reviewed and updated annually. See also Principle 4.3, Self-Study Items 10 and 11.

c. Identify areas of deficiency and comment on any trends.

Based on the review of various sources of data, the Subcommittee found that all student-athletes had equal access to medical and training facilities and services. It is noteworthy that the new Athletics Department administration has demonstrated a commitment to discussing and exploring ways to improve women's health, bringing a change in attitudes toward women student-athletes and their special health needs related to eating disorders, body image, abuse and others.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address specific women's health and nutrition needs including use of new techniques such as massage therapy for injuries and conditions specific to women student-athletes. The Plan addresses psychological and emotional needs for men and women through efforts such as transitional educational programming for exiting athletes, and sports psychologist referrals. Also, the Plan calls for the establishment of a multi-disciplinary committee to address health issues of at-risk student-athletes.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed the University's policies related to housing and dining facilities and services and the results of the self-study survey of student-athletes.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All student-athletes live in facilities that house non-student athletes. Dining facilities on campus are the same for all students regardless of gender or participation in athletics.

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c. Identify areas of deficiency and comment on any trends.

On the self-study survey of student-athletes, 65% of females and 56% of males rated the quality of housing services as "good" or "excellent;" additionally, 56% of females and 49% of males rated dining services as "good" or "excellent." These results suggest greater satisfaction among female student-athletes, compared to males, with the University's housing and dining services. Housing and dining services participate in periodic and annual reviews as part of the University's ongoing planning and evaluation process. The relatively low ratings for these services by student-athletes are consistent with how students in general rate these services at the University of Kentucky. Over the last decade, University dormitories and food services have ranked lower than other services on surveys of student satisfaction. In response to this type of feedback, the University is in the process of constructing four new undergraduate residence halls to be opened in fall 2005, and it is implementing several improvements in dining services, all of which will benefit both female and male student-athletes.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to acquire dormitory space for members of its women's basketball and volleyball teams in the University's new residence hall facilities that are currently being constructed .

11. Publicity. Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed exit interviews, publicity expenditures, and the media guides for all programs.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The publicity that each team receives is based partly on the demands of the public and the Athletics Director and his staff. The data presented below depict the actual marketing and promotions expenditures for 2001 through 2004. This is a somewhat different timeframe than that used in other program areas; however, it will demonstrate more clearly the new commitment in the current administration to market women's sports, particularly women's basketball.

—Total expenditures for marketing and promotions for women's teams increased from \$77,646 in 2001 to \$188,125 in 2004 — an increase of 142.2%, compared to an increase of 77.4% for men's sports and a decrease of 42.5% for men's sports without football.

—Women's teams marketing and promotion expenditures as a percent of the total increased from 31.7% in 2001 to 38.8%; as a percent of the total without football, the increase was from 67.6% to 284.5%.

c. Identify areas of deficiency and comment on any trends.

Over the most recent four-year period (2001 through 2004), marketing and promotions expenditures increased significantly for both men's and women's teams. The largest increase was 142% for women's teams, which brought the percent of total for women's teams (38.8%) in line with women's participation rates. In 2003-04, UK Athletics chose to focus on women's basketball, which resulted in a new NCAA record for the largest one year attendance increase from 2002-03 to 2003-04, as well as a significant increase in women's basketball revenue. The increase in funds for the women's basketball marketing efforts helped promote the team within the community. The following were a few of the advertising outlets used:

- 5 outdoor billboards that ran August, 2003 - January, 2004 in Fayette County
- 20' x 60' banner hanging on Memorial Coliseum, practice and game facility
- 30 second TV spot that ran on 9 local cable channels
- Season ticket direct mail piece sent to 16,000 Fayette County residents
- Banners in Commonwealth Stadium during football season
- Elevator wraps in Commonwealth Stadium during football season
- Pre-season luncheon for Top 40 business women in Lexington to promote 2003-04 season

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—E-mail blasts to hundreds of fans

—Premium promotional items given away at every game including Mickie DeMoss bobblehead, rally towels, schedule magnets, antenna balls, and mouse pads.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to continue to provide qualified media support by season for all teams, including full-time staff to be hired for softball. Promotional efforts will be enhanced for men's and women's teams.

12. Support Services. Administrative, secretarial, and clerical support; office space.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee visited staff and their facilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In recognition of the need for improvements in the equitable allocation of office space, the Athletics Director gave up his office for the new women's basketball head coach to provide office space that is comparable to the men's basketball office. The data below are based on the number of full-time operational and clerical staff positions that supported men's and women's teams in 2001 through 2003:

—Total full-time staff support for women's teams increased from 3.7 to 4.7 FTE, compared to increases from 9.2 to 10.2 for men's teams and 4.2 to 5.2 for men's teams without football.

—The above increases resulted in staff-to-participant ratios in 2003 as follows: women's teams, 1:48; men's teams, 1:36; and men's teams without football, 1:43.

c. Identify areas of deficiency and comment on any trends.

The staffing ratios in the data presented in section (b) above suggest that women's teams are supported at a slightly lower level than that of men's teams, with or without football. As with previous program areas, there is recent evidence of improvement. The staff-to-participant ratio for women's teams improved substantially over the three-year period, dropping from 1:55 to 1:48. Although the ratio also improved somewhat for men's teams, the gap between the number of student-athletes supported for women's teams compared to men's teams and men's teams without football narrowed considerably, from 16 to 12 and from 8 to 5, respectively.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to achieve balanced administrative support for men's and women's team coaches. The Plan also seeks to build new coaches' offices for women's basketball, women's golf, women's track and field, volleyball, gymnastics and rifle, with a timetable of fall 2006. Design, planning and fund raising are now in progress.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed athletics administrators, compliance officers, and coaches and reviewed the recruiting expenditures reported in the 2001-2003 Equity in Athletics Disclosure Act reports.

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b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

New facilities such as locker rooms, practice facilities and lounges are being planned to improve various aspects of the student-athlete's experience and improve recruitment. Increased budget proposals for women's sports are also being considered. The data below present actual recruiting expenditures for men's and women's teams during the time period from 2001 to 2003.

—Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003 — an increase of 13.1%, compared to a decrease of 34.8% for men's teams.

—Recruiting expenditures as a percent of total for women's teams improved from 21.4% in 2001 to 32.0% in 2003, while men's recruiting expenditures as a percent of total saw a corresponding decrease from 78.6% to 68.0%.

c. Identify areas of deficiency and comment on any trends.

Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003, an increase of 13%; whereas actual recruiting expenditures for men's teams decreased from \$699,331 to \$456,006. Actual recruiting expenditures will necessarily vary from year to year depending on factors such as the number of scholarships available on specific teams. With the decrease in recruiting expenditures for men's teams, recruiting expenditures for women's teams as a percent of total increased significantly from 21.4% to 32.0%; however, this trend must be considered carefully in the context of the men's team decrease. Recruiting expenditures per participant increased slightly for women's teams. As with other measures, there appears to be a trend toward improving support for women's teams while making adjustments for the men's teams. Additional years of data should be monitored and evaluated to provide ongoing evidence of continuing improvement in equitable recruiting expenditures for men's and women's teams. Also, recruiting is influenced by the quality of facilities. The sharing of current practice facilities by men's basketball, women's basketball, women's volleyball and gymnastics presents a scheduling challenge. The trend is to create new facilities, thus alleviating the heavy usage of the primary practice facility, creating a more inviting place for future athletes, and improving recruitment outcomes.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to evaluate current budget allocations, obtain feedback from coaches, and study SEC and national comparative data to provide recruiting budgets that will allow both men's and women's sports to recruit competitively in the SEC and at the national level.

8. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan must address all 13 program areas for gender issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's gender-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]

Within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Gender Equity Plan, as developed by the current athletics administration, in light of the findings of the self-study and made recommendations for changes to the existing plan. The revised Gender Equity Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Gender Equity Plan assures that the Plan will be an active document. The resulting Gender Equity Plan for the future is presented as a Plan for Improvement below.

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9. Describe the institution's efforts to ensure the plan for addressing gender equity for the future of the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.

The institution's future Gender Equity Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all 13 program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Gender Equity Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on the self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, the interests and abilities survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Council (which includes deans), President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Gender Equity Plan was approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

Information to be available for review by the peer-review team, if requested:

- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]

Evaluation

1. Has the institution implemented its approved gender-equity plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

Equity, Welfare and Sportsmanship

Plan Date Range: 2005-06 thru 2009-10

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scholarships	Maintain a balance between men/women scholarship awards.	Monitor scholarships for women teams assuring all options to award open scholarships are considered.	AD priority; implemented by head coaches.	Annual
Scholarships	Increase scholarships to new NCAA limits for selected women's teams.	Budget for maximum allotted scholarships.	AD priority; implemented by coaches.	As NCAA legislation is passed (possible projected effective date Fall 2006).
Accommodation of Interests and Abilities	Determine interest/ability changes among UK women undergraduates.	Administer interest survey to freshmen; compare year to year; study results for interest trends.	Senior Woman Administrator	Annual
Accommodation of Interests and Abilities	Begin dedicated research into possibility of adding a women's sport.	Review the interest survey; evaluate budget issues; study every aspect of feasibility.	AD; Executive Associate AD, SWA and selected evaluation committee.	Identify new women's sport spring 2006; prepare financial plan fall 2006.
Equipment and Supplies	Increase equipment budgets for women's teams to be competitive within SEC.	Monitor budgets in comparison to other SEC schools.	AD priority; implemented as needed.	Began in 2002-03 and continued in 2003-04; ongoing.
Equipment and Supplies	Provide equitable equipment and supplies for similar m/w teams.	Negotiate equipment-apparel contract to best benefit women's teams.	AD, Executive Associate AD, coaches feedback.	Annual since Nike contract 1997.
Game/Practice Schedule	Provide equitable staffing and support for all teams.	Assign administrator and game management staff to coordinate events.	AD priority; implemented by event management staff, coaches.	Ongoing by season - by sport.
Game/Practice Schedule	Provide quality practice and playing facilities including locker rooms, weight rooms, and related team facility needs.	Evaluate facilities for upgrade needs; improvements; repairs; replacement.	Associate AD for Operations and Facilities, coaches, athletic staff.	Created a facility priority list in 2003-04; update annually.
Game/Practice Schedule	Provide VB access to a dedicated gym for practice and games and WBB a dedicated practice gym.	VB will be a priority team to practice in Memorial Coliseum once the m/w BB practice facility is ready.	Associate AD for Operations and Facilities	Fall 2006
Game/Practice Schedule	Add new weight room shared by WBB, VB, Gym and others as needed.	Include new weight room in new BB facility plans.	AD, Associate AD for Operations & Facilities, Executive Associate AD.	Fall 2006

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Travel and Per Diem Allowance.	Provide options for per diem or team meals based on nutrition, travel and team needs for women.	Travel expenses reflected in team budgets; coaches responsible to coordinate.	Sports liaisons, coaches and business office.	Annual when budget submitted
Tutors	Continue to provide equitable academic support to m/w student-athletes through the Center for Academic and Tutorial Services.	Evaluate tutoring and academic support for all teams; monitor team grade point averages.	AD priority; implemented by Associate AD for Student Services; Sports Liaisons	Semester and year end by administration, coaches
Head Coach and Assistant Coach Issues	Evaluate m/w head coaches on academic success, leadership, fiscal integrity and competitive excellence.	Increase pay for deserving coaches; study SEC and national range; budget for increases.	Executive Associate AD	Annual at end of sport season; implemented in new fiscal year
Head Coach and Assistant Coach Issues	Hire maximum allowable assistants.	Make sure every team has full compliment of assistant coaches.	AD priority; implemented by sport liaisons and head coaches.	Ongoing as needed
Head Coach and Assistant Coach Issues	Increase the number of women coaches.	Require networking and researching sport contacts to find qualified women candidates; interview at least one woman for each position.	Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Ensure female candidates included for coach positions on women's teams.	Actively seek female candidates; research the field to ensure females are included in the selection pool.	AD priority; sports liaisons, coaches	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Appoint at least one woman to search committees for open coach positions on women's teams.	Require women as members of search committees; include them in the research and interview process.	AD priority; Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Locker Rooms	Upgrade WBB locker room and create video room.	Determine improvements needed; include project in budget.	Associate AD for Operations & Facilities	Goal met in 2003-04
Locker Rooms	Replace old swim lockers; consider new lap pool/locker room for long range plan.	Renovated poor lockers; research costs, etc., for new lap pool and locker room.	Associate AD for Operations & Facilities	Swim team locker repair completed. New locker room/lap pool 2010.
Locker Rooms	Complete new Women's Track and Cross-Country locker room.	Renovation completed.	Facilities staff	Goal met; fall 2004

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Locker Rooms	Construct private locker room and study/relax area in gymnastics practice facility.	Renovation completed.	Facilities staff	Goal met; fall 2004
Locker Rooms	Provide new locker rooms for WBB, VB and Gym as part of new m/w BB practice facility.	Renovate Memorial for VB and Gym; raise needed funds; plan and design new building.	AD, Associate AD for Operations & Facilities, Executive Associate AD, AD for Development	Fall 2006
Medical and Training Facilities and Services	Address specific women's health and nutrition needs.	Brief women on health and nutrition issues regularly, provide massage therapy as referred by trainer.	Head Athletics Trainer, sports nutritionist, coaches	Ongoing evaluation by administration, coaches
Medical and Training Facilities and Services	Address changing health needs of men/women athletes at the end of the college athletic careers.	Expand role of sport nutritionist to include a transitional session with exiting athletes.	Head Athletic Trainer, sports nutritionist	Spring 2005
Medical and Training Facilities and Services	Address men/women student-athlete psychological and emotional issues.	Make sports psychologist referral available to men and women.	AD, Head Athletic Trainer	Currently exploring options to phase in sports psychologist.
Medical and Training Facilities and Services	Form multidisciplinary committee to address health issues of at-risk student-athletes.	Establish a committee comprised of head trainer, sport psychologist, sport nutritionist and academic advisors to deal with stress and other issues.	Head Athletic Trainer; committee members	Fall 2009
Housing and Dining Facilities and Services	Provide new dorm space for WBB and VB.	Locate new dorm space for teams as available.	SWA, sport liaison, coaches	Fall 2005
Publicity	Provide qualified media support by season for m/w teams including full-time staff for Softball.	Evaluate team media staff; require media to travel with teams to championships; approval requested for 3rd full-time hire.	Asst AD Media Relations as part of office restructuring.	Fall 2004
Publicity	Increase promotional efforts for all men's and women's teams.	Continue to provide promotion budgets and staff.	Associate AD for Marketing	Ongoing evaluation by administrators; coaches feedback
Support Services	Build coaches offices for WBB, WGolf, WT&F, VB, Gym, Rifle and Softball.	Include new coaching offices in BB facility plans.	AD, Associate AD for Operations & Facilities	Fall 2006
Support Services	Achieve balanced administrative support for men's and women's team coaches.	Co-locate offices in Bball practice facility to allow balanced staff assignments.	Associate AD for Facilities & Operations	Upon building completion, fall 2006

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Recruitment of Student-Athletes	Provide competitive budgets for all men's and women's teams to enable competitive recruiting at the national level.	Evaluate current budgets; seek coaches' feedback; study SEC and national recruiting budget ranges.	AD, Executive Associate AD, sports liaisons, and head coaches	Annual when team budgets are submitted

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Operating Principle

4.2 Minority Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.2 (Minority Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

2. Report on the implementation of the plan to address minority issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

University of Kentucky Athletics Department
 Minority Plan — 1997 Revision
 Progress Report to Date

1. The CATS Center will formalize a support group for African-American student-athletes which operated on an experimental basis this year. This group will be formally established during the 1996-97 academic year with regular meetings and scheduled activities. The support provided by this group would be a strong factor in the retention of these student-athletes.

Progress: Athletics formed a minority mentoring program and offered it for at least two years within CATS. Participation by minority student-athletes in the program was not sufficient to maintain the program. Even though Athletics devoted significant energy to making the program successful, minority student-athletes did not want to participate in a program that singled them out. Also, they did not want to do something extra given the time constraints already placed on a student-athlete's schedule. Athletics has expressed a desire to re-approach the idea behind this program. However, they suggest that perhaps it is best structured as a University program rather than an Athletics Department one.

2. The Associate Athletics Director for Student Services will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-97 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: These workshops were replaced by the cultural diversity training that is within the curriculum of the UK 101 freshman orientation course. With few exceptions, student-athletes attend this for-credit course during their first fall semester. Athletics also now offers diversity training as one of the workshop choices available to teams. (Coaches must select three workshops per year for their teams.)

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3. The Athletics Department liaison for the support group mentioned in item #1 will also use that group to inform African-American student-athletes of the support services available to them outside the Athletics Department. The University has also recognized that retention of minority student-athletes is facilitated by providing support services in the areas of academics, personal issues and social opportunities. During the 1996-97 academic year, this group will have a meeting with a representative from Minority Affairs who can make them aware of these additional support services.

Progress: The relationship between Athletics and Minority/Multicultural Affairs has been consistently maintained since the issuance of the 1997 Minority Plan. The Director of Minority Support Services teaches one of the UK 101 sections for student-athletes. Athletics reports that the Associate Provost for Multicultural Affairs and the Director of Minority Support Services meet routinely (at least once a month) with the Associate Athletics Director for Student Services. Most often, these monthly meetings focus on the Kentucky Excel Scholarship Program (UK student-athletes serve as mentors for high school students participating in this program and students who complete the program receive scholarships.). However, it is reported that these meetings also serve to facilitate an ongoing dialogue between the University and Athletics on minority issues.

4. Within the Athletics Department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices are strongly encouraged to actively pursue qualified African-American student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-97 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: The Career Development Coordinator within the Athletics Department's CATS Center continues to routinely refer the names of student-athletes to various departments in Athletics for a variety of opportunities. Also, it is the practice of the current Athletics Director to routinely refer the names of qualified student-athletes for internship opportunities. The Marketing Office, Compliance Office, Sports Information Office, Facilities Management Office, and the CATS Center all have active efforts to recruit qualified African-American student-athletes. Successful recruitment often depends upon the availability of such candidates within, and coming out of, the academic programs that train for the disciplines that support these athletic functions.

5. The University Affirmative Action Plan also identifies financial concerns as a reason for retention problems with African-American students. Therefore, the Associate Athletics Director for Compliance will meet with each team early in the fall and discuss financial aid possibilities. This person will also assist any student-athlete who feels they might qualify for permissible aid with the paperwork required for application.

Progress: In a meeting each fall with each team, the Athletics Department informs student-athletes of certain types of financial aid available in addition to athletics aid. Through the Compliance Office staff, student-athletes are offered assistance with completing any necessary forms for financial aid. Also, Athletics Department officials continue to meet with student-athletes throughout the year to assist with the completion of additional requirements and/or forms. When a student-athlete's financial situation changes significantly, the Athletics Department assists them with the identification of financial aid for which they might have previously been ineligible. Finally, the Athletics Department identifies and recommends student-athletes for post-secondary scholarships through the Southeastern Conference (SEC) and the NCAA.

6. The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Current minority/African-American employment statistics within the Athletics Department reveal a maintained commitment to minority employment consistent with previous levels. The extent to which the Athletics Director has provided "leadership" of minority recruitment is best reflected in the positive minority employment statistics, and in the employment of an African-American head coach for Men's Basketball and an African-American head coach for Women's Gymnastics. However, the Athletics Department has lacked ongoing and systemic evaluation of its overall minority recruitment practices. The current Athletics Director has already acted to develop such evaluative responsibilities within his administration. A new Minority Plan was developed in association with this process, and in that plan, goal 2a commits the Athletics Department to "engage in periodic review of hiring activity to ensure commitment to diversity." This goal further states that "hiring will be reviewed at the end of the fiscal year to insure that minorities and females were considered in the hiring process."

7. In an effort to more closely approximate the representation of minority student-athletes in the University of Kentucky Athletics Department (28%), the Director of Athletics has set the following goals for the replacement of Athletics Department staff as vacancies occur in the next five years:

(a) An African-American member of the senior administrative staff (e.g., Assistant Athletics Director).

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Progress: An African-American is employed as Assistant Athletics Director and this individual participates in high-level decision making and specifically is responsible for administering the Nike contract and the student-athlete employment program.

(b) An African-American member of our full-time athletic training staff.

Progress: The athletic training program faces significant challenges in identifying qualified African-American candidates. However, this program has hired two African-American graduate assistants since the graduate program's inception in 1999. Consequently, the University is contributing to the effort to educate qualified African-Americans for athletic training position pools. In two instances, qualified African Americans were identified and recruited. One was not hired because of citizenship complications and another accepted a position with a professional sports team. Competition with professional sports teams continues to be a primary challenge in recruiting qualified African-Americans to positions within intercollegiate athletics.

(c) An African-American member of the media relations staff.

Progress: Media Relations has been very successful in recruiting and retaining qualified African-Americans since 1997, although this success has not been in full-time positions. The majority of this success has been in internships, student workers, and temporary "game day" workers. These efforts do contribute to the overall pool of qualified African-Americans.

(d) An additional African-American member of the Center for Academic and Tutorial Services (CATS) staff.

Progress: The CATS Center has consistently attempted to increase and maintain minority staffing. However, they often lose them to the Fayette County School System because they offer higher compensation for less work (10 month positions). Regardless of this "turn-over" issue, the CATS Center was able to increase its African-American professional staff to two, and maintain at least two African-American graduate assistants.

(e) At least one additional African-American coaching staff member.

Progress: The number of African-American head coaches was increased to two and this number has been maintained although one African-American head coach was replaced (Women's Basketball) and another African-American head coach hired (Women's Gymnastics). The Athletics Department recruited the new head Gymnastics coach (Mo Muhammad) originally to the University for his first college assistant coaching position. At UK, Muhammad was mentored and provided with an opportunity to develop his leadership skills. When the previous Gymnastics head coach retired in 2002-03, he was hired to lead the program after competing in a national search. The development and hiring of an African-American head Gymnastics coach is evidence of a continued commitment to this goal as well as a concerted effort to develop qualified African-Americans for coaching positions.

8. In addition to conventional job advertisement efforts, the University of Kentucky Athletics Department will attempt to achieve the goals in item #7 by: (a) Seeking the assistance of our Minority Affairs office on campus in identifying qualified minority applicants, and (b) Developing our own qualified minority applicant pool by encouraging African-American student-athletes whose eligibility has been exhausted to enter our internship programs and graduate assistantships. These training programs will prepare them to enter full-time positions within the athletics department as they become available.

Progress: Athletics does not have evident systematic processes to achieve these goals. Athletics has successfully recruited qualified African-Americans in specific programs and has attempted to utilize external entities to assist with this recruitment process (Office of Multicultural Affairs, national organizations, etc.). However, these efforts were not consistently evaluated to assess whether all available non-conventional means were utilized. In its new Minority Plan, the Athletics Department has outlined a program to systemize and evaluate the use of all available means/tools for minority recruitment. For example in the new plan, goal #7 states that to "recruit/interview/hire minority candidates for leadership positions" the Athletics Department will "advertise with NCAA publications, job announcements to Conference Offices for HBCs [and] interview at least one minority candidate for every professional position or provide written explanation."

9. The Associate Athletics Director for Student Affairs will continue to submit the University's application for the AmeriCorps grant through President Clinton's National Service Act. This program will continue to involve African-American student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The AmeriCorps grant has been maintained since 1996. However, this will be the last year in which the Athletics Department participates in this program. This is due to a shift in the focus of the AmeriCorps program away from school success and violence prevention. Consequently, it was determined that AmeriCorps is no longer a good fit with the Athletic Department's mentoring and tutoring programs.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.2 (Minority Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

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Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing minority issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented at the end of Principle 4.2, Minority Issues as an Improvement Plan.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.2 (Minority Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The mission of the University of Kentucky's Equal Opportunity Office is to promote an environment free of discrimination and inequity in accordance with the University's Strategic Plan, and with federal and state equal opportunity statutes and regulations. In addition to this office, a President's Commission on Diversity advises the President on minority issues and the Office of Multicultural and Academic Affairs advises the Provost on multicultural issues (as well as offers a wide range of services designed to assist minority students).

In collaboration with these University entities and others, the Athletics Director is responsible for ensuring that the appropriate administrative structure exists within Athletics to monitor and address minority issues. Under the Athletics Director's leadership and supervision, the Executive Associate Athletics Director (Rob Mullens) is responsible for monitoring and addressing minority staff issues and the Associate Athletics Director for Student Services (Bob Bradley) is responsible for monitoring and addressing minority student-athlete issues on an on-going basis. Student-athlete involvement in such issues is organized within the Student Athlete Advisory Committee's (SAAC) Diversity Committee. The vision for this Committee is to provide student-athletes with a mechanism for influencing how minority issues are addressed and to offer student-athletes an opportunity to develop and recommend solutions.

6. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part-time assistant coaches (including graduate assistant and volunteer coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001 (year 3), 2001-2002 (year 2) and 2002-2003 (year 1) academic years in the chart below, Racial or Ethnic Composition, Part A: Athletics and Selected Institutional Personnel.

7. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided below on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years (Part B: Students Generally and Student-athletes on Athletic Aid).

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8. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years in Part C: Men's and Women's Sports Teams.

9. Using the program areas for minority issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's commitment across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for minority issues addresses each of the areas.

1. Institutional and Athletics Department Commitment Development and maintenance of written statements that address the issues of diversity.

- a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all program areas for minority issues through a broad-based, campus-wide review that included the following data-gathering activities:

- Athletics Department records and institutional data pertinent to this area were reviewed (including enrollment and employment data by racial/ethnic composition and publications distributed to the University community, staff and students by the Athletics Department);
- Athletics facilities were toured (led by Athletics Director, Mitch Barnhart, who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

The Subcommittee on Equity and Student-Athlete Welfare formed a three-person subgroup including a faculty member, an administrator, and a student-athlete, and its charge was to accumulate and review data focusing on minority issues. The subgroup pursued relevant data through the above processes (in particular through specific, detailed requests made to the Athletics Department representatives) to measure progress toward the goals outlined in the first-cycle minority plan and to evaluate the integration of the eight program areas for minority issues in Athletics Department administration. Through these processes and subsequent thorough analysis, the subgroup identified progress, concerns and/or trends that formed the basis for documenting compliance with Operating Principle 4.2. The Subcommittee reviewed and approved the work of the subgroup, and the Self-Study Steering Committee reviewed and approved the work of the Subcommittee.

- b. Provide data demonstrating the institution's commitment across this area.

The University of Kentucky adopted the following goals, objectives and key indicator in its 2003-2006 Strategic Plan, The Dream & the Challenge:

GOAL V: Nurture Diversity of Thought, Culture, Gender and Ethnicity.

The University of Kentucky is committed to creating a diverse, multicultural community of scholars and

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learners. To advance this commitment we must move forward with specific actions that demonstrate our belief in the value and richness of human differences. We must provide a model for the Commonwealth of a truly diverse society that celebrates human differences, promotes fairness and equity in policies and practices, and upholds basic principles of social justice. To become one of the nation's best research universities, we must foster a creative, supportive environment that will nurture diversity of thought, culture, gender and ethnicity.

Objectives:

1. The University will improve the climate for diversity. Programs designed to create a diverse community in which all individuals and groups can thrive, both personally and professionally, are necessary to build upon recruitment and hiring successes. We must create an inclusive living and learning environment for faculty, staff and students through leadership training, professional development, and mentoring programs that promote sensitivity and respect for the full range of human diversity.

2. The University will create a diverse workplace and learning community. A nationally prominent research university demonstrates a commitment to diversity and equity by following practices that protect and advance the interests of all its members. We must increase awareness of our diversity and equity aspirations, address equitable compensation issues, establish unit goals in support of university-wide goals, and evaluate progress at all levels. We must expect our leadership to demonstrate improvements, and we must reward those who do.

Key Indicator. By 2006, we will:

Meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan.

Following the lead of the institution in articulating a campus-wide commitment to diversity, the Athletics Department articulated its commitment to diversity in its own mission statement and operating principles. Athletics Director Mitch Barnhart issued the "Five Steps to Success" as a framework within which all student-athletes are to compete and all programs are to operate. The first of these five principles is "Be First Class in All We Do!" This operating principle is further defined in documents with three action statements: 1) Treat People with Respect; 2) Wear the Kentucky Colors with Pride; and, 3) Bring Honor to Your Family, Teammates, and School. The message of this first operating principle — one of respect and honor as essential elements of integrity — is fundamental to creating an atmosphere conducive to the success of all students, and therefore, facilitates a climate supportive of diverse student-athletes and staff. The Athletics Department has further articulated its commitment to diversity in the first paragraph of its current mission statement:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, State, SEC and NCAA rules."

c. Identify areas of deficiency and comment on any trends.

The Athletics Department has experienced significant leadership change in the period since the first-cycle review, and in particular in the last five years with three different Athletics Directors. The current Athletics Director, Mitch Barnhart, devoted significant effort toward the reorganization of the Athletics Department to be more consistent with his operating philosophy and with goals set forth by University President Lee T. Todd, Jr. It is clear that Barnhart's operating philosophy and the President's goals are fundamentally consistent with previous and current goals regarding diversity. However, communication of the Athletics Department's commitment to diversity could become more pervasive, better defined, and more consistently articulated in published materials.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that the department's commitment to diversity be included as a written priority within the departmental mission statement. Departmental materials will be reviewed regularly to make certain that the statement of commitment is included in appropriate publications and other media to promote high visibility.

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2. Evaluation Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Specifically in this area, the Subcommittee reviewed policies and procedures of the Athletics Department and their progress in meeting the goals of the 1997 and 2004 Minority Plans.

b. Provide data demonstrating the institution's commitment across this area.

In the most recent version of the "UKAA Policies and Procedures Manual," the following mission statement appears in Chapter VIII-Compliance:

"The mission of the Compliance Office is to ensure that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations. Honesty, integrity and accuracy of interpretation are our highest priorities. The Director of Athletics is the individual designated by the CEO to have direct accountability for rules compliance. The staff of the UKAA Compliance Office will assist the Athletics Director by conducting the day-to-day operations to ensure such compliance. In an effort to fulfill this mission, the Compliance Office staff will monitor the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff will also conduct an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes and boosters. Compliance with the rules and regulations of the University of Kentucky, SEC and NCAA will be internally monitored through frequent operational checks with all sport and administrative areas. The Athletics Department will also be externally audited every four years by the Compliance Staff of the Southeastern Conference or an outside group contracted by the Southeastern Conference. The Compliance Staff will attend regional and national seminars to continually improve the effectiveness of this department. When a violation does occur, the institution will self-detect, self-investigate and self-report in a timely and thorough manner."

This mission appears to delineate a role for the Compliance Office in assisting the Athletics Director in ensuring compliance with all rules and regulations, (including those of the University of Kentucky) and in particular with monitoring the recruitment, admission, eligibility, and financial aid of all student-athletes, and this should include the department's commitment to diversity.

c. Identify areas of deficiency and comment on any trends.

The Athletics Department administration could devote additional effort to the development of systemic evaluation of its progress toward minority goals. In the current Minority Plan, additional administrative responsibility is defined for the evaluation of progress toward minority goals. Further clarification is needed regarding the role of the Compliance Office in any such evaluation as this office is currently charged with ensuring "that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations" (Chapter VIII - Policies and Procedures Manual). Other responsibilities for monitoring minority issues are assigned to the Executive Associate Athletics Director (Rob Mullens) for staff issues and the Associate Athletics Director for Student Services (Bob Bradley) for student issues. Further clarification on who has overall responsibility for coordinating all evaluative efforts in this area would add to the progress already made.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to evaluate minority participation by annually compiling and comparing the percentages of minority population for all students and for student-athletes. In response to the self-study finding that further clarification of responsibilities would be helpful, the future Minority Plan now includes assignment of responsibility for gathering minority data on each team to the sport liaisons. The sport liaisons will provide the data to senior administrative staff, who will review the data and address any emerging concerns. Additionally, all new hires will be reviewed each fiscal year to ensure that minorities and females were considered in the hiring process.

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3. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. In particular, the Subcommittee reviewed diversity programming activities and participated in conducting student-athlete focus groups to ensure a complete study of this area.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. The Athletics Department has in the past developed and maintained policies and programs intended to enhance diversity. Some of the structured diversity seminars and workshops previously conducted and offered by the Athletics Department have been replaced by programs organized outside of the Department (University courses, professional organizations, etc.). In the 2003-04 "Student-Athlete Handbook" (Personal Development chapter), the following seminar is described:

"Cultural Diversity - One of our primary programs. The UK Athletics Department is committed to helping our student-athletes address issues of diversity. This is a very important program that is directed at educating our student-athletes regarding different peoples, cultures, sexes and religions."

The Athletics Department reports that these seminars are no longer offered in lieu of the cultural diversity sessions offered as part of the UK 101 freshman orientation course that almost all incoming student-athletes take. Diversity workshops are offered to teams, however, and participation in them is determined by each team coach. In the "UKAA Policies and Procedures Manual," the Compliance Office is designated to "ensure that all coaches, student-athletes, and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations" and that "educational materials will be available in hard copy and on-line for the continuing education of all constituencies."

The definition of these efforts and responsibilities under the Compliance Office provides an opportunity to enhance formalized and structured diversity training tailored to address unique issues presented in an intercollegiate athletics environment. This is particularly necessary for Athletics Department administrators and coaches as it is reported that diversity training for these groups is also not currently organized and consistently conducted by the Athletics Department.

c. Identify areas of deficiency and comment on any trends.

Opportunities exist for further development in this area as well as in Programs and Activities. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan addresses the findings of the self-study in several ways. It clearly assigns responsibility to the Athletics Department's senior staff to ensure an organization comprised of a diverse group that represents diverse opinions. This will be accomplished through continued recruitment of females and minorities to senior staff positions. Progress will be reviewed annually by comparing athletics data to the official UK Equal Opportunity Report. Funding will be provided for staff development via conferences that include diversity workshops. Athletics will assist minority employees with placement in the NCAA Leadership Institute for Ethnic & Gender Minorities. And finally, as an outreach activity,

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opportunities to provide funding to organizations which support diversity will be continued and reviewed each year. See section (d) under Programs and Activities for future plans to address the needs of student-athletes.

4. Enrollment Goals of the institution for enrollment of minority students and minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, a review of the University's success in meeting diversity goals contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Under Goal V (Nurture Diversity of Thought, Culture, Gender and Ethnicity) within the University of Kentucky's Strategic Plan (2003-2006), one key indicator of progress toward this goal is listed. This indicator states that the institution will "meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan." This indicator is applicable for the entire student population, including student-athletes.

c. Identify areas of deficiency and comment on any trends.

In the University's Strategic Plan update of 2004 published on the Institutional Research, Planning & Effectiveness web site, the following progress was reported for the institution on this indicator:

"In January 2004, the Council on Postsecondary Education completed its most recent analysis of UK's progress in meeting the objectives of the Kentucky Plan. With the exception of the six-year graduation rate, the results below were calculated for Kentucky resident African-American students enrolled in fall 2002. The University is encouraged by fall 2003 enrollment increases for all African-Americans at both the undergraduate (+5.9%) and graduate (+3.2%) levels, which will be reflected in the January 2005 analysis of the Kentucky Plan."

As the percent of student-athletes who were African-American in 2002-03 exceeded the general University population (23% v. 5%), the Athletics Department positively contributed toward meeting the University's goal.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that future enrollment goals of minority student-athletes meet or exceed the enrollment goals for all students. This will be reviewed annually with the Registrar and the Academic Integrity Committee.

5. Comparison of Populations Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, close scrutiny and analysis of the NCAA tables entitled Part B: Students Generally and Student-Athletes on Athletics Aid, and Part C: Men's and Women's Sports Teams, contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Student-athletes of racial/ethnic minority status (mostly African-American) constitute a significantly higher percentage of total student-athletes than the percentage of minority students in the overall student population. For the most recent year (2002-03), 23 percent of student-athletes were African-American while 5 percent of the total student population was African-American.

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c. Identify areas of deficiency and comment on any trends.

For the three most recent years, the percents of racial/ethnic minority student-athletes in individual sport categories have not varied significantly, with only one sport (baseball) having a minority percentage that is less than the general minority student population in 2002-03 (the number of African-American baseball team members dropped from 2 in 2001-02 to 0 in 2002-03.) The Subcommittee found no signs of discrimination in recruitment practices of the institution in the statistics by sport.

d. Explain how the institution's future plan for minority issues addresses this area.

Although the percentage of minority student-athletes in some sports exceeds the percentage of minority students in the general student body, the institution's future Minority Plan seeks to recruit minority student-athletes in those sports where they are underrepresented. One strategy to accomplish the goal will be to monitor the ethnic composition of all prospects making official visits in those sports.

6. Participation in Governance and Decision-Making

Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In discussions with student-athletes representing almost all sports (two focus groups), it was evident that racial/ethnic minority student-athletes felt as though they had equal opportunity to compete for leadership positions on their teams. In general, student-athletes reported that the selection of team leadership was based on athletic performance. Student-athletes also reported having adequate opportunities to participate in Athletics Department decision-making through the Student-Athlete Advisory Committee (SAAC) and an "open door" policy maintained by the Athletics Director.

c. Identify areas of deficiency and comment on any trends.

No deficiencies were identified by the Subcommittee in this area. It is noteworthy, however, that a current trend is to re-distribute some of the governance responsibilities of student-athletes to avoid placing too many demands on the time of key individuals. For example, starting in 2004-05, the president and vice-president of SAAC will no longer automatically serve as student-athlete representatives to the UKAA Board of Directors; rather, other student-athletes will be appointed to these positions. The positive effects of this change are to help these student-athlete leaders balance their academic and athletics demands and to involve more student-athletes in the governance process.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that minority student-athletes are involved on the Student-Athlete Advisory Committee (SAAC) and that the composition of SAAC is evaluated annually. Minority student-athletes will be given strong consideration for service as members of the Athletics Board and as participants in campus-wide activities.

7. Employment Opportunities

Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

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b. Provide data demonstrating the institution's commitment across this area.

In the Minority Plan developed in 1997, the following goal was stated:

"The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five year period. "

The Athletics Department, under new leadership in 2001, has maintained a commitment to this goal and to the promotion and hiring of minority coaches and administrators. For the most recent year (2002-03), the Athletics Department exceeded the 1997 goal with 15 of 119 positions (12.6%) filled by racial/ethnic minorities.

c. Identify areas of deficiency and comment on any trends.

Over the previous three years, the percentage of racial/ethnic minority employment has increased each year: 2000-01 = 8.9%; 2001-02 = 10.2%, and 2002-03 = 12.6%. Specifically, an African-American assistant coach was hired as the head coach for Women's Gymnastics. Also, significant improvement was realized in the numbers of racial/ethnic minority assistant coaches with a doubling of the number from 5 in 2000-01 to 10 in 2002-03.

d. Explain how the institution's future plan for minority issues addresses this area.

In the institution's future Minority Plan, minority candidates are to be recruited, interviewed and hired for leadership positions within the Athletics Department. This is to be accomplished through placement of job advertisements in publications regularly reviewed by minorities, appointment of diverse selection committees, and either interviewing at least one minority candidate for each professional position or providing written explanation of why this did not take place. The Athletics Department will assist graduating minority student-athletes with contacts and recommendations for internships at SEC and NCAA offices and with placement in the NCAA Leadership Institute for Ethnic Minority Males. Also, professional development opportunities for minority employees will be provided and funded.

8. Programs and Activities Establishment of programs that address the needs and issues affecting minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. See section (b) under Organization and Structure for additional discussion on diversity programming.

c. Identify areas of deficiency and comment on any trends.

Some diversity related programs (such as the experimental support group for minority students presented in the 1997 Minority Plan) were reported to be unsuccessful as they failed to attract minority student participation. Minority students were often reluctant to participate in programs and services that singled them out from the general student-athlete population. In response, diversity programs were modified or replaced. For example, Athletics Department diversity training is now offered only to teams rather than to targeted groups of student-athletes. Opportunities exist for further development in this area. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among

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all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to provide diversity programming using a model that will ensure each student-athlete ample opportunity to benefit from such programs during their four years of eligibility. This includes participation in UK101 and a diversity awareness session; the offering of personal development workshops on diversity to all teams on an annual basis; and sponsoring guest speakers to provide development opportunities for staff as well as student-athletes. By offering three levels of programming each year, a typical student-athlete should have greater opportunity than students in general to participate in meaningful programming that will promote diversity in its broadest sense. However, in response to the self-study findings, the Athletics Department will also encourage University faculty who teach the UK101 class for student-athletes to offer more content on diversity in UK101.

- 10. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing minority issues for the future in the intercollegiate athletics program. The plan must address all eight program areas for minority issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's minority-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]**

Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Minority Issues Plan as developed by the current athletics administration in light of the findings of the self-study and made recommendations for changes to the current plan. The revised Minority Issues Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Minority Issues Plan assures that the Plan will be an active document. The resulting Minority Issues Plan for the future is presented in Plans for Improvement section below.

- 11. Describe the institution's efforts to ensure the plan for addressing minority issues for the future in the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.**

The institution's future Minority Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all eight program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Minority Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on their self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Dean's Council, President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Minority Plan was reviewed and approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

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Evaluation

1. Has the institution implemented its approved minority-opportunities plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its minority-issues plan was modified or not carried out fully? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

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Plan Date Range: 2004-05 thru 2008-09

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Institutional & Athletics Department Commitment	Articulate in the mission statement the department's commitment to diversity of thought and collective intelligence as a priority for the Athletic Department.	1. Each year review statement and confirm the maintenance of diversity in leadership and in department.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
Institutional & Athletics Department Commitment	A stated goal of the UKAA will include a commitment to diversity.	1. UKAA's written goals and objectives include a commitment to diversity.	AD	September 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	AD	September 1 of each fiscal year.
Evaluation	UKAA will engage in a periodic review of activities consistent with a commitment to diversity.	Annually compile percentage of minority population for all students and student-athletes to be reviewed by senior staff.	Compiled by Sport Liaisons and reviewed by senior administration staff.	May 15 of each fiscal year.
Evaluation	Engage in periodic review of hiring activity to ensure commitment to diversity.	Hirings will be reviewed at the end of the fiscal year to ensure that minorities and females were considered in the hiring process.	AD, Executive Associate AD	July 31 of each fiscal year.
Organization and Structure	UKAA's senior staff sets policy to determine the organization of the department and will continue to be a diverse group and thus represent diverse opinions.	1. Continue to recruit females and minorities to senior staff positions.	AD, Senior Administration Staff.	May 15 of each fiscal year.
		2. Review progress annually by comparing to the official UK Equal Opportunity Report.	AD, Senior Administration Staff.	May 15 of each fiscal year.
Organization and Structure	Use professional development opportunities for staff to attend national conferences or regional meetings which include diversity workshops.	Provide funding through budget planning for travel and registration for such meetings and track usage.	AD, Assistant AD/Business.	April 15 of each fiscal year.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Organization and Structure	Assist current minority employees with placement in the NCAA's Leadership Institutes for Ethnic and Gender Minorities.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Organization and Structure	Provide funding to conferences and/or organizations which support diversity.	UKAA has financially assisted the Annual Black Women's Conference and will review other opportunities	AD, Executive Associate AD.	September 15 of each fiscal year.
Enrollment	Ensure that future enrollment goals of minority student-athletes equal or exceed the enrollment goals the University establishes for all minority students.	Meet annually with the University registrar through the Academic Integrity Committee to compare these goals.	University Registrar, Academic Integrity Committee.	September AIC meeting of each fiscal year.
Comparison of populations.	The percentage of minority student-athletes shall equal or exceed the percentage of minority students in the general student body.	Continue to recruit minority prospects in all sports.	AD, Sports Liaisons.	Throughout appropriate recruiting periods for each fiscal year.
Comparison of Populations	Address recruitment of minorities within those sports where minority student-athletes are under-represented, with consideration given to cultural variations in some sports.	Monitor ethnic composition of all prospects making official visits in those sports.	Associate AD for Compliance.	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Ensure minority student-athletes involvement on the Student Athlete Advisory Committee (SAAC)	Evaluation of the composition of SAAC.	Associate AD for Student Services; SAAC liaison.	September 15 of each fiscal year.
Participation in Governance and Decision-Making	Minority student-athletes will be strongly considered for representation on Athletics Board.	Selection process will include diversity.	AD	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Diversity will be considered in selecting student-athletes for participation in campus-wide activities.	Selection process will consider diversity.	AD	Throughout each fiscal year as opportunities arise.
E m p l o y m e n t Opportunities	Recruit/interview/hire minority candidates for leadership positions.	1. Advertise with NCAA publications, job announcements to Conference Offices for HBC's, publications of the Black Coaches Association.	AD.	As needed.
		2. Appoint diverse search committees.	AD.	As needed.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		3. Interview at least one minority candidate for every professional position or provide a written explanation.	AD.	As needed.
Employment Opportunities	Assist graduating minority student-athletes with contacts and recommendations for internships at the SEC & NCAA Offices.	Actively pursue all openings at SEC & NCAA through phone and personal contact with those staffs.	AD, Associate AD for Compliance.	May 31 of each fiscal year.
Employment Opportunities	Assist graduating minority male student-athletes with placement in the NCAA's Leadership Institute for Ethnic Minority Males.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Employment Opportunities	Support professional development for gender/ethnic minorities.	Provide leave/funding for development at NCAA, Professional Development academies.	AD, coaches.	April 15 of each fiscal year.
Programs and Activities.	Offer diversity training department-wide and minority development opportunities for staff; minority specific opportunities for student-athletes.	Provide funding and staff necessary to provide these opportunities.	AD, Associate AD for Student Services, Executive Associate AD.	April 15 of each fiscal year.
Programs and Activities	Educate first-year student-athletes on diversity issues.	Offer a diversity session as one of the components of the UK101 class and encourage professors to include an additional diversity session in UK101.	Associate AD for Student Services.	Fall and spring semester of each academic year.
Programs and Activities	Encourage open discussion of diversity issues among teammates.	Offer a personal development workshop on diversity to all teams.	Associate AD for Student Services.	Fall and spring semester of each academic year.

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Operating Principle

4.3 Student-Athlete Welfare

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions for Operating Principle 4.3 imposed by the NCAA Certification Committee during the first-cycle certification.

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 first-cycle certification process as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for improvement from the last report included, "The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews." The self-study group found that the Student-Athlete Advisory Committee (SAAC) is used to disseminate information from administration to the individual teams. Information shared in exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well being of the student-athlete. Due to the limited number of students interviewed, issues/concerns that are discussed in exit interviews are not specifically identified as exit interview topics.

In addition, the peer-review team suggested, but did not require, that exit interview forms should include a question that would enable the student-athlete to indicate whether the student-athlete believed every effort was made to minimize the disruption of his or her academic schedule. Exit interviews, conducted annually at the end of each individual sport's season in December and April, now include the question, "Did athletics scheduling interfere greatly with academics?" and student-athletes have been open with their comments on scheduling concerns. Summaries for exit interviews indicate the scheduling conflict primarily occurs during the competitive season when games are scheduled during the week, thereby requiring student-athletes to miss class. However, the student-athletes expressed this was unavoidable due to the nature of athletics and thought the Athletics Department helped avoid and resolve conflicts, when necessary. Additionally, while 70 percent of the student-athletes that responded to the self-study survey indicated they do experience scheduling conflicts between class and athletics, 87 percent indicated they know what to do when a conflict arises.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.3 (Student-Athlete Welfare) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University of Kentucky's plan for Commitment to Equity includes a plan for Gender Equity and the need to address medical/training facilities and services for gender equity. This specifically includes the need to address

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changing health needs of female athletes, the plan to expand the role of the health educator meeting with exiting female athletes, and the need to provide support for psychological and emotional concerns.

In addition, the Director of Athletics has implemented a five-principle philosophy for the University of Kentucky Athletics Department that includes "Keep the focus on the student-athlete." This principle includes, but is not limited to, improving graduation rates, providing outstanding academic support to student-athletes, providing support services necessary to exceed the needs of the student-athlete, and role modeling for student-athletes by all staff.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The University of Kentucky makes a strong commitment to the welfare of all students. This commitment is evidenced by the existence and administration of UK 101, Stuckert Career Center, Freshman Orientation, Counseling & Testing Center, Academic Ombud, and Student Health Services. In addition, the University of Kentucky has made an intense commitment to the student-athlete. The "Student-Athlete Handbook" delineates the institution's commitment to the student-athlete and the responsibilities of the student-athlete.

Primary responsibility for student-athlete welfare lies with the Associate Athletics Director for Student Services, who reports directly to the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day reporting is to the Director of Athletics, who reports directly to the President.

The Associate Athletics Director for Student Services is responsible for the programs and administration of the Center for Academic and Tutorial Services (CATS), whose mission is to create an environment where all student-athletes have the opportunity to maximize their academic, personal and social growth and improve post-college quality of life. The CATS Center includes the following: study center, tutoring and advising services, and the Career and Life Skills Resource Center. This center provides opportunities for career development, shadowing/mentoring, and graduate/professional school preparation. Also contained in the Career & Life Skills Center are seminar videos on social issues, as well as issues the student-athlete will face as a new college student. The ultimate goal of the CATS staff is to ensure that the Athletics Department provides every opportunity for student-athletes to mature and grow personally and academically while pursuing athletic excellence.

The University has a formally recognized, standing committee called the Academic Integrity Committee (AIC) that reviews CATS' policies and addresses issues with CATS. This group has as one of its charges to monitor the CATS program. The AIC consists of the Associate Provost for Undergraduate Education, the University Registrar, the Associate Director of Financial Aid, the Associate Director of Athletics for Compliance, the UK Compliance Director, the Faculty Athletics Representative (Chair), the Associate Athletics Director for Student Services, the Associate Athletics Director for Administration, and other representatives from the Office of Undergraduate Admissions and the Registrar. The Academic Integrity Committee meets regularly to review reports from the Athletics Department on CATS operations, to monitor and evaluate activities, and to assess concerns and develop strategies for improvement. Minutes from the committee meetings are kept on file.

Additionally, as described in Governance and Rules Compliance, Principle 1.2, Self-Study Item 7, the UK Athletics Association has established a Student-Athlete Welfare Committee, chaired by the Vice President for Student Affairs, and charged with reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletics program. The Committee delivered its initial report to the UKAA Board of Directors at their November 19, 2004 meeting. Through the work of the AIC noted above and the new Student-Athlete Welfare Committee, the Athletics Department has in place a comprehensive mechanism for ensuring ongoing evaluation of the programs and services designed to promote student-athlete welfare.

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6. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

The Center for Academic and Tutorial Services - CATS is the academic center for student-athletes and provides the academic support for student-athletes. In addition to being an academic center, CATS provides an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life. The Career & Life Skills Resource Center is housed in the CATS Center, and provides the Career Development and Personal Development Programs.

CHAMPS Life Skills: Program of Excellence workshops - This life skills program is designed to help UK student-athletes achieve success in all areas of life. Seminars are available on a variety of topics, including substance abuse, violence against women, diversity, nutrition and eating disorders, stress management, time management, financial responsibility, sexual responsibility and STDs, gambling and academic success, succeeding after college, developing personal interests (campus/community involvement), achieving athletic excellence, and media relations. Each student-athlete is required to participate in at least one workshop per semester at their choosing. In addition, each team is required to participate in an Alcohol & Drug Education program and a Diversity Workshop during the academic year.

In addition to the services provided through CATS and CHAMPS, student-athletes also have fair access to all services and programs at the University. Some examples include:

University Counseling and Testing Center - This office provides personal, learning skills, and career counseling to all UK students. The Center provides individual and group counseling, alcohol and drug counseling, and counseling for issues related to body image. Their purpose statement includes, "We exist to help all students succeed academically, develop and make progress toward life goals, and be productive members of the university and society. Often students encounter obstacles that make reaching those goals difficult. Our services are designed to help students work through or around those obstacles to reach their goals."

Stuckert Career Center - This center works closely with students, alumni, faculty and employers to integrate career planning, job search and employment information into educational experiences, extracurricular activities, and work experiences. Services include on-campus interviews, on-line career library, practice interviews, resume development, and an interactive computer program which covers all major aspects of career planning and career decision making.

Student Health Services - The mission of University Health Service is to provide preventive and primary health care and education to the students and other members of the University of Kentucky community in a manner that exhibits compassion, professionalism and excellence. Services include student health, smoking cessation intervention, AIDS testing/information, sleep disorders, health education, and eating disorders.

UK 101 - New student orientation course which focuses on issues relevant to students during the first year of college, increasing awareness and use of University resources, learning the most effective strategies for studying, taking notes, increasing test scores, managing time, and understanding the purpose and nature of a college education in order to make the most of opportunities at UK. Special sessions of UK 101 are conducted for student-athletes, and topics specifically geared to issues for student-athletes are discussed. Former athletes are often called upon to share their experiences.

Study Abroad Office - Services available through this office inform students about studying, working, teaching, and traveling abroad. The office serves as a great source for information, counseling, and assistance for students interested in working, traveling, or studying abroad.

Various practices and procedures are in place to encourage and assure student-athletes' access to the above programs. Information on each of these services is disseminated to the student-athlete through various forms of communication, including:

- The Athletics Director discusses the services during the opening of the term meeting with individual teams;
- Coaches and trainers promote each service;
- The "Student-Athlete Handbook" outlines each center/service; and
- Student-athletes have mandatory study hours in the CATS Center.

Additionally, the "University Bulletin" and website provide information on the services provided to all UK students.

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During the course of the self-study, student-athlete input indicated unanimous satisfaction with the services and information provided by the various CATS programs.

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

Following the completion of each sport's season, the Athletics Department's Compliance Office prepares a list of student-athletes whose eligibility has been exhausted during the academic year. This list provides the sport in which the athlete participated at the University of Kentucky. This list is sent to the Faculty Athletics Representative to select a sample of student-athletes to be interviewed.

The sample consists of at least two representatives from each of the sports. The faculty representative then returns the list of selected student-athletes to the Athletics Department's Compliance Office for verification, at which time the Associate Athletics Director for Compliance may request additional students for exit interviews to ensure diversity and fair representation of gender, ethnicity and other factors. The Compliance Office is responsible for contacting the student and arranging the exit interview.

Each student-athlete's interview is conducted by a group of two to three University administrators including the Faculty Athletics Representative, Associate Athletics Director for Compliance, and the Director of Compliance. Topics discussed include the recruitment process and experience, concerns related to their sport, 20 hours per week time restrictions, changes they recommend for intercollegiate athletics, student-athlete welfare and treatment by the institution, overall impression of athletics program, good and bad experiences, and scheduling conflicts between athletics and academics. Information shared in the exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well-being of the student-athlete and also ensures that the student-athlete feels comfortable sharing opinions.

Once interviews are complete, results are summarized and a written report is given to the Athletics Director for review. The Athletics Director reviews the interview results and meets with appropriate athletics administrators to discuss recommendations. Due to the limited number of exiting athletes, the information generally does not go directly to the coaching staff, as the comment/concern may be easily associated with a particular player. However, attention is given to all issues. Concerns and problems are reviewed with coaches in a non-incriminating mode.

Exit interview responses and open communication channels available to student-athletes have been well received. The Athletics Director has an open-door policy and invites student-athletes to visit should they have questions, comments or concerns.

Additionally, there are other opportunities for student-athletes to voice opinions and provide input to the Athletics Department. The Student-Athlete Advisory Committee (SAAC) consists of an elected representative from each sport, who serves a two-year term. The Faculty Athletics Representative serves as the faculty advisor to the SAAC. Attendance at all meetings is mandatory. Any student-athlete is invited to attend the SAAC meetings, but not allowed voting privileges. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." Committee meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department, who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Other avenues for student-athlete input include the open-door policy by all Athletics Department administrators and coaches for every student-athlete, surveys conducted across the student-athlete population on issues related to athletes, and the Athletics Director and the Associate Athletics Director for Compliance meeting with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The efforts by the Athletics Department to include student comments and opinions in this self-study have been greatly appreciated and respected.

8. Describe the institution's and/or athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e. financial aid and transfers) and in other areas (e.g. harassment, hazing, abusive behavior, sexual orientation). Also, identify the individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and describe the means by which the grievance and/or appeals procedures are communicated to student-athletes and staff.

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In General — As with all students in general, the rights of student-athletes are addressed and protected by UK Student Rights and Responsibilities rules governing student conduct, the University Judicial System for non-academic grievances and appeals, and Student Academic Affairs for academic grievances and appeals.

Financial Aid — The Associate Athletics Director for Compliance is responsible for grievances and appeals for financial aid and scholarships. The Athletics Department participates in a mandated hearing procedure. If aid is cancelled or reduced, the student-athlete has the right to a hearing upon request.

Transfer — Any student-athlete wishing to transfer must receive a written release through the Compliance Office with permission of the appropriate head coach. An appeal hearing conducted by an institutional entity outside the Athletics Department is available if the request for a release is denied.

Academics — The Academic Ombud handles grievances and appeals for academics and inappropriate or unprofessional instruction behavior, while the Dean of Students' Office and the Equal Opportunity Office handle grievances and appeals for hazing, abusive behavior, harassment and alleged discrimination.

Procedure — If a student-athlete has a grievance or appeal issue, the Athletics Department instructs the student-athlete to go to the appropriate coach. If allegations are against the coach, the student-athlete would go to the sports liaison for their team who is an Assistant or Associate Athletics Director. Student-athletes receive this information in a mandatory meeting held by the Athletics Department prior to each academic year. At this meeting, "Student-Athlete Handbooks" are distributed. Team meetings are held and the Athletics Director and staff member (s) from the Compliance Office speak with students regarding rules and regulations and respond to questions. Student-athletes are also involved in orientation prior to attending UK, where all students receive information about the Student Rights and Responsibilities Code of Student Conduct. Most student-athletes take a UK 101 course. This one-credit-hour course offered to first-year students is an introduction to University of Kentucky policies and procedures.

Fifty-eight percent of the student-athletes surveyed reported not knowing how to file a grievance or appeal, and another nine percent were unsure. Focus group responses from student-athletes were consistent with survey results. The focus group meeting with Athletics Department staff confirmed that numerous sources of information are in place to advise student-athletes of grievance and appeal procedures, including the sports academic advisor in CATS. Student-athletes were consistent in reporting that they readily seek the assistance of their sports academic advisors to help them resolve difficulties when needed.

Grievance and/or appeals procedures for staff are included in the Human Resources Policy and Procedure Administrative Regulations entitled Grievances. New Employee Orientation, Staff Employee Handbook, and SuperVision (a training program for supervisory personnel) advise staff members of their right to appeal adverse employment decisions.

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.

The Student Code of Conduct Admission policy states that an applicant for admission to the University shall not be discriminated against because of race, color, religion, sex, marital status, sexual orientation, national origin, age or beliefs. Moreover, no otherwise qualified person with a disability will be denied admission solely because of the person's disability.

Student-athletes are encouraged by their academic advisors to enroll in a UK 101 course that introduces students to college life. A diversity workshop is taught in this course that recognizes each individual as unique and different, including those with diverse sexual orientations.

The Counseling & Testing Center provides academic, career and personal counseling, outreach programs, consultation, training and community service to help all students succeed academically, develop and make progress toward life goals, and be productive members of the University and society. Often students encounter obstacles that make reaching those goals difficult. The Counseling & Testing Center services are designed to help students work through or around those obstacles to reach their goals. Issues that students often discuss in a counseling session include being different from others due to ethnicity, sexual orientation, disability, nationality and race.

Two University of Kentucky student organizations offer supportive environments for students with diverse sexual orientations. UK Lambda is an officially recognized gay, lesbian, bisexual, and transgender student organization that provides an outlet for students in social, political and educational arenas. UK Lambda empowers its members to develop an identity in the gay and lesbian community. Lavender Society is a safe and fun place to promote dialogue

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and community among lesbians, bisexual women, transgender people, and their straight allies. Lavender Society addresses heterosexism as well as sexism, and meetings have a woman-centered focus.

- 10.** Identify the mechanisms in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

Athletic Training — The Athletics Director supervises the Head Athletics Trainer-Administration and the Head Athletics Trainer-Football. The Head Athletics Trainer-Administration coordinates and supervises athletic training coverage of all sports except football. As part of the student-athlete's educational program, athletic training staff arranges for lectures to all student-athletes on medically related topics for individuals, groups and teams. The athletic training staff also offers instruction in athletic training skills, first aid, and CPR. Compliance is responsible for ensuring that each student-athlete is eligible to train, practice and compete in sports by passing their physical exam.

Athletic Medicine Program — The Athletic Medicine Program, under the leadership of the Medical Director for Athletic Medicine, provides comprehensive sports medicine care for athletically related illnesses and injuries. This is subject to NCAA, SEC and Athletic Association rules and within the limitation of the Athletic Association insurance policies. Specific treatment and rehabilitation programs are developed for the student-athlete's illness or injury following athletic training staff evaluation and medical referral. The primary vehicles for disseminating information on the program include the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Alcohol and Drug-Free Environment — The Athletics Department is committed to providing an alcohol and drug-free environment. To meet this commitment a comprehensive Alcohol and Drug Policy and Program, under the leadership of the Head Athletic Trainer-Administration, has been developed and implemented with the following objectives:

- Provide a non-abusive alcohol use and drug-free environment.
- Educate student-athletes, coaches and staff members.
- Identify student-athletes, coaches, or staff members who are abusing alcohol or drugs.
- Assist individuals who use or abuse drugs or alcohol with referral for counseling and rehabilitation.
- Provide a fair administrative process for sanctions and appeals.
- Provide information and warnings about the use of supplements.

On October 1, 2003 the Athletics Department hosted a mandatory presentation for student-athletes and staff. Will Keim, the guest presenter, included in his presentation the pitfalls of drug and alcohol use, and how drug and alcohol use affects lives. The featured speaker for October 11, 2004 was Richard Lapchick. Mr. Lapchick's presentation addressed athletes as role models and student-athlete integrity. Information on the program, including a description of the CATS CARE program, is disseminated through the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Travel Safety — Distance of competition and size of the team determine if the team travels by air or takes charter buses or vans. During the course of the self-study, student-athlete input indicated unanimous satisfaction with safety and accommodations while traveling. The Athletics Commitment to Equity Plan establishes a fall 2004 goal to provide options for per diem or team meals based upon nutrition, travel and team needs for women's teams.

Before away competition, teams are gathered for a meeting and given safety rules while traveling. The policy regarding the health and safety of student-athletes while traveling is provided in the Athletic Training Department Handout and the "Student-Athlete Handbook" under Injuries on the Road. A trainer ensures that each student-athlete is being cared for in case of an injury. Overall responsibility to ensure team safety during travel rests with the head coach.

- 11.** Describe the institution's emergency medical plan for practices and games. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

Every student-athlete is entitled to state-of-the-art medical care. The Athletic Training/Medical staff coordinates and delivers professional and comprehensive preventive, treatment, rehabilitation and counseling services to all UK

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student-athletes. A summary of specific guidelines is contained in the "Student-Athlete Handbook" and distributed each year in mandatory Athletics Department meetings.

The Athletics Medical staff is comprised of a Head Team Physician and Orthopedic Team Physicians. A Team Physician and a Staff Athletic Trainer coordinate all consultation appointments. The full-time certified Athletic Training Staff consists of an Administrative Head Athletic Trainer, Football Head Athletic Trainer, Staff Assistants, and Graduate Assistants. After the athletic training staff evaluates an injured student athlete, specific guidelines are followed for medical referral.

An Athletic Trainer is assigned to every home game and practice session to assist student-athletes as needed. If a student-athlete is injured during away competition, and no University of Kentucky Athletic Trainer is in attendance, the coach will contact the host Athletic Trainers for evaluation and treatment.

Eight athletic training rooms are maintained to meet the student-athlete's needs. The three main athletic training rooms contain state-of-the-art equipment specifically for the treatment and rehabilitation of athletic injuries. Five satellite athletic training rooms are equipped to handle routine athletic training needs and treatment. Unique equipment strategically placed to service the most student-athletes possible includes the following:

—Portable X-Ray Unit with CR Reader: a portable x-ray unit set up with a computer that enables x-rays to be taken on location within minutes for a physician's viewing. This unit is available for home football games and men's basketball games.

—Biodex Isokinetic Rehabilitation Unit: a computer generated machine that applies isokinetic resistance to joints tested or rehabilitated to determine strength level. This unit is available for all sports.

—Swim-Ex Aquatic Rehabilitation Pool: A pool that allows all student-athletes to condition while rehabilitating from an injury. Aquatic rehabilitation does not stress injured joints and other parts of the body as much as actual running or lifting of free weights. All advanced treatment and rehabilitation are performed under the supervision of members of the full-time professional Athletic Training staff.

In response to the student-athlete survey, 77 percent of the student-athletes reported being injured in practice or competition. Most of those injured required medical care for their injuries. Eighty-six percent rated the quality of medical care received as good or excellent.

Procedures for emergency care of student-athletes are reviewed and updated annually.

12. Describe the institution's written emergency plan for the athletics program and specific coverage for out-of-season workouts, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The procedures to follow when an emergency occurs in the evening after practice or in the off-season are disseminated to student-athletes in the "Student-Athlete Handbook" as follows:

—If the injury is not life threatening, first try to contact the Athletics Trainer in charge of the sport. (If not available, contact a Staff Athletic Trainer.)

—If unable to contact an Athletic Trainer, go to the UK Emergency Room unless the athlete has a specific HMO or insurance policy which requires treatment elsewhere.

—If the emergency is not directly related to a supervised official practice or competition, the parent or athlete will be responsible for the cost.

—It is necessary to contact the Athletic Trainer within 24 hours so consistent medical care and documentation can be maintained.

—If the Athletic Trainer is contacted, they will perform an evaluation and if necessary, the student-athlete will be referred to a UK Team Physician or to University Health Services for a follow up.

13. Using the program areas for student-athlete welfare issues please:

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

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1. Evaluation. Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to student-athlete welfare, including the evaluation of the effectiveness of mechanisms to ensure the health and safety of student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The welfare of student-athletes is continuously monitored and evaluated by the Athletics Department as part of their strategic planning and periodic review of activities related to goals and objectives for student-athlete welfare. Student-athlete welfare is monitored and evaluated by the Athletics Department through the following methods: strategic planning and evaluation that includes the gender and minority plans, exit interviews and summaries, Student-Athlete Advisory Committee feedback, review by the Academic Integrity Committee, review by the UKAA Student-Athlete Welfare Committee, and the open door policy of athletics administration. Additionally, the grievance procedure provides a means for students to express their concerns and bring to light any areas that may need to be addressed. Furthermore, university-wide evaluations for student-athlete welfare and general student welfare issues are conducted by the various University offices which administer student welfare programs, as well as the Office of Institutional Research, Planning, and Effectiveness, which oversees the ongoing strategic planning and evaluation conducted by all university departments.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

Annual summaries are written following the completion of exit interviews, survey results are tabulated, feedback for SAAC meetings are reviewed, minutes are taken at each Academic Integrity Committee meeting, and program evaluations are recorded as part of ongoing strategic planning and evaluation. Responses are provided to the appropriate personnel within the Athletics Department for analysis. Information gathered is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming and results are used to make adjustments in programs and services offered to student-athletes. For example, since the first-cycle certification process, the following issues have been addressed and improved based on exit interview results:

—In response to student-athlete feedback that some coaches, at their discretion, withheld the full amount of meal money allocated for road trips (i.e. provided less for breakfast than allowed and so forth) for various purposes, the Athletics Department implemented changes to ensure that all student-athletes receive the same amount;

—In response to female student-athlete feedback that athletic trainers assigned to them were not sufficiently experienced in working with female athletes, trainers more experienced with female athletes are now assigned to female teams; and

—In response to student-athlete feedback that athletic trainers are not always sufficiently experienced in a particular sport to which they are assigned, trainers with sport specific experience are now assigned appropriately to teams.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. Annual evaluations of employees and programming are also required. Three groups described at various times throughout this report — the Student-Athlete Advisory Committee (SAAC), the Academic Integrity Committee (AIC), and the UKAA Student-Athlete Welfare Committee — will help ensure regular evaluation in the future.

2. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.

a. Describe how the institution studies these topics as they apply to all student-athletes.

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The Athletics Department has professional staff members in the CATS center that have specific responsibility for student-athlete welfare, including career development, academic advising, and life skills, as well as professional staff in the area of athletic training. Interaction between student-athletes and Athletics Department personnel provides an open system of support and immediate points of contact for all student-athletes. In addition, the University provides outstanding services for the general student population in areas related to health and wellness, personal counseling, career services, academic achievement, diversity workshops, and orientation. Evaluation of organization and structure is conducted annually as part of the ongoing strategic planning and evaluation process of the University.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Athletics Department promotes an open-door policy, which provides student-athletes and Athletics Department personnel an open system of support. Frequent interaction between student-athletes and Athletics Department personnel provides greater accessibility for student-athletes seeking support and assistance. Through annual reviews conducted by all university departments, the organization of all student welfare programs is reviewed and evaluated. For example, results of the most recent university-wide Graduating Senior Survey indicated the percent of students using services that were satisfied or very satisfied with various organizations or structures related to student welfare as follows:

- Counseling & Testing Center (personal counseling) — 60%
- Career Center Services — 63%
- Health Services — 72%
- Fitness and Athletic Facilities — 84%
- Student Center Recreation Areas — 60%

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services provided for student-athletes and will continue to work to improve the quality and effectiveness of services.

3. Participation in Governance and Decision-Making Involvement of student-athletes in the governance and decision-making processes of the athletics department (including the student-athlete advisory committee).

a. Describe how the institution studies these topics as they apply to all student-athletes.

The Athletics Department has a Student-Athlete Advisory Committee (SAAC) composed of an elected representative from each sport, who serves a two-year term. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." In addition to the team representatives, SAAC meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Additionally, each athletic team elects a team captain and conducts regular team meetings. The team captain has the responsibility to bring student-athlete concerns to the attention of coaches and professional staff. Through the process of the self-study, it became apparent that the effectiveness of the team captain and the SAAC liaison depends on the elected person and their willingness to be an active leader and strong advocate for their team.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Student-Athlete Advisory Committee (SAAC) serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals. In response to the student-athlete survey, 14% of

Equity, Welfare and Sportsmanship

the student-athlete respondents felt the SAAC was very effective, 45% felt the SAAC was effective, 39% felt SAAC was somewhat effective, and only 8% felt SAAC was not effective.

Athletes also participate through discussions at team meetings as information and/or concerns from these meetings are passed along to the Athletics Department administration through team captains. Additionally, the Athletics Director and the Associate Athletics Director for Compliance meet with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The evaluation process for programs within the Athletics Department incorporates information from these meetings, which ensures important information on student-athlete welfare is brought to the attention of athletics administrators.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The Athletics Department does not plan any changes to the structure of the Student-Athlete Advisory Committee or to other opportunities for student input. However, as a result of this self-study, the Subcommittee recognizes the need for minutes from SAAC meetings to be kept by an assigned administrator and available for review at any time.

4. Programs and Activities Establishment of programs that address the needs and issues affecting student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The University provides a variety of programs and activities within the Athletics Department and in the overall University created to promote the welfare of student-athletes. Specifically, the CATS center and the CHAMPS Life Skills programs are the main avenues to maximize academic achievement, personal growth, and improve post-college quality of life among student-athletes. Additionally, the University provides new student orientation and UK 101 courses to aid the transition from high school to college life, as well as workshops on life issues, assistance with study abroad, student health services, career development, and personal counseling.

The University requires ongoing strategic planning of all University departments, which requires an annual review of these programs. Information from exit interviews, surveys, SAAC feedback, and Academic Integrity Committee meeting minutes is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming. Results are used to make improvements in programs and services offered to the student-athletes. Additionally, input from staff, students and coaches is constantly examined, as well as annual evaluations of employees and programming, in analyzing the effectiveness of the programs offered.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

As listed previously, all programs and activities involving student-athlete welfare are annually reviewed and evaluated by the associate athletic director responsible for their administration. Additionally, the ongoing strategic planning of all University departments requires every program to provide data and be thoroughly reviewed and analyzed for student welfare and effectiveness.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services or programming provided for student-athletes. Three major groups — SAAC, AIC, and the UKAA Student-Athlete Welfare Committee — will continue to monitor student-athlete needs and identify areas for improvement.

Information to be available for review by the peer-review team, if requested:

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- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.
- Media guides.
- Institution's student-athlete handbook or, if no such handbook exists, institution's method(s) for conveying athletics policies and procedures to student-athletes.
- Written materials (e.g., forms) used to document student-athlete exit interviews.
- Institution's and/or athletics department written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.

Evaluation

1. Does the institution demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students? **Currently Yes**
2. Does the institution provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis? **Currently Yes**
3. Does the institution have established grievance or appeal procedures available to student-athletes in appropriate areas? **Currently Yes**
4. Does the institution provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes? **Currently Yes**

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Operating Principle

4.4 Sportsmanship and Ethical Conduct

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.4 (Sporting and Ethical Conduct) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

Not Applicable.

6. Provide the institution's written policies and procedures on sporting and ethical conduct.

Not Applicable.

Equity, Welfare and Sportsmanship

7. Describe any sanctions that may be levied for inappropriate behavior by all individuals associated with the intercollegiate athletics program.

Not Applicable.

8. Describe the institution's method(s) for communicating the institution's sporting and ethical conduct policies and procedures to all individuals associated with the intercollegiate athletics program.

Not Applicable.

9. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.

Not Applicable.

10. Describe educational activities related to sporting and ethical conduct for student-athletes, coaches, institutional staff members, boosters, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.

Not Applicable.

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

Not Applicable.

12. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sporting and ethical conduct (e.g., citations or sanctions from the conference office, sanctions or reprimands from the NCAA for conduct during its championships, awards received by the institution or its athletes for exemplary behavior in this area).

Not Applicable.

Evaluation

1. Does the institution demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sporting and ethical conduct? **Currently Yes**
2. Does the institution have established a set of written policies and procedures for this area? **Currently Yes**
3. Does the institution demonstrate that educational activities related to sporting and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience? **Currently Yes**
4. Does the institution provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis? **Currently Yes**

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION ATHLETICS AND SELECTED INSTITUTIONAL PERSONNEL

		Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Year		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
S e r A d m i n i s t r a t i v e A t h D e p t	F	0	0	0	0	0	0	1	1	1	0	0	0	10	11	11	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
O t P r o f e s s o r i a l A t h D e p t	F	0	0	0	1	0	0	1	1	1	0	0	0	53	54	40	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
H e a d C o a c h	F	0	0	0	0	0	0	2	2	2	0	0	0	15	15	16	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A s s i s t a n t C o a c h	F	0	0	0	0	0	0	10	8	5	0	0	0	26	25	25	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T o t a l s (f o r A t h D e p t P e r s o n n e l)	F	0	0	0	1	0	0	14	12	9	0	0	0	104	105	92	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
F a c u l t y - B a s e A t h B o a r d C o m m u n i t y M e m b e r s		0	0	0	0	0	0	4	5	4	0	0	0	25	30	29	0	0	0

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O t		0	0	0	0	0	0	4	4	4	0	0	0	15	16	16	0	0	0
Advi	or																		
P o	i c y -																		
M a	g																		
G r	p																		
Mem																			

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

Year	Racial or Ethnic Group																	
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
All Students	37	41	39	489	490	449	1299	1328	1310	228	207	183	21216	20339	19731	926	947	831
Student-Athletes	1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION MEN'S AND WOMEN'S SPORTS TEAMS

Sports	Year	Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball		0	0	0	0	0	0	0	2	2	0	0	0	27	24	21	0	0	0
Men's Basketball		0	0	0	0	0	0	10	11	9	0	0	0	2	2	1	0	0	0
Football		1	1	0	0	0	0	43	42	44	0	1	1	34	44	44	1	0	0
Men's Track / Cross Country		0	0	0	0	0	0	4	3	4	0	0	0	11	12	16	0	0	0
Men's Other Sports and Mixed Sports		0	0	0	0	0	0	7	4	0	4	3	3	70	66	52	2	0	1
Women's Basketball		0	0	0	0	0	0	9	10	10	0	0	0	3	2	2	0	0	0
Women's Track / Cross Country		0	0	0	0	0	0	7	7	11	0	1	0	17	14	13	0	0	0
Women's Other Sports		0	0	0	1	2	1	4	1	2	1	1	1	100	94	91	5	2	2
Total		1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance

2003-2004
DIVISION I
ATHLETICS
CERTIFICATION
SELF-STUDY
INSTRUMENT

Introduction to Self-Study Report

Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Public
2. Year institution was founded: 1865
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: 22619
6. Number of Faculty [using a full-time-equivalency (FTE) basis]: 2086
7. Highest level of academic degree offered: doctoral
8. Institution's governing entity: board of trustees
9. a. Regional accreditation agency: SACS
9. b. Date of most recent regional accreditation self-study: April 2002
9. c. Current accreditation status: Reaccredited

Athletics Information

1. Subdivision status of athletics program (Academic Year 2004): I-A
2. Conference affiliation(s) or independent status (Academic Year 2004):

Baseball	Southeastern Conference
Football	Southeastern Conference
Men's Basketball	Southeastern Conference
Men's Cross Country	Southeastern Conference
Men's Golf	Southeastern Conference
Men's Soccer	Mid-American Conference
Men's Swimming	Southeastern Conference
Men's Tennis	Southeastern Conference
Men's Track, Indoor	Southeastern Conference
Men's Track, Outdoor	Southeastern Conference
Mixed Rifle	Independent
Softball	Southeastern Conference
Women's Basketball	Southeastern Conference
Women's Cross Country	Southeastern Conference
Women's Golf	Southeastern Conference

Introduction to Self-Study Report

Women's Gymnastics	Southeastern Conference
Women's Soccer	Southeastern Conference
Women's Swimming	Southeastern Conference
Women's Tennis	Southeastern Conference
Women's Track, Indoor	Southeastern Conference
Women's Track, Outdoor	Southeastern Conference
Women's Volleyball	Southeastern Conference

3. Athletics program structure ('X' all that apply):

- 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 previous certification self-study and impact (if any) on the areas of the certification program.

The University of Kentucky began a self-investigation of possible recruiting violations in its football program in November 2000. This investigation resulted in a self-report of several violations, some of which the institution determined were major. This self-report was sent to the National Collegiate Athletics Association (NCAA) National Office in February 2001. The NCAA conducted its own investigation and issued an Official Letter of Inquiry to the University of Kentucky on August 3, 2001. The University responded to the Official Letter of Inquiry on September 28, 2001 and participated in a hearing before the NCAA Committee on Infractions in November 2001. The Committee's decision regarding this case was delivered on January 30, 2002.

One of the major infractions discovered during this investigation involved academic fraud on the part of an athletics department coaching staff member. The University's investigation, the report of the investigating committee (the Lawson report), and corrective actions resulting from the Lawson report are documented under Operating Principle 1.2, self-study items 5 and 6, within the Minutes of the Board of Trustees and the University of Kentucky Athletics Association Board of Directors. Other infractions involved recruiting activities during official and unofficial visits. Changes in the policies and procedures governing these visits have had an impact on the Rules Compliance area. Monitoring of compliance, mechanisms for reporting possible violations, and educational presentations (attendance is mandatory) by the Associate Athletics Director for Compliance are discussed extensively in the responses throughout Operating Principle 1.3, Rules Compliance. Additional issues resulting from the infractions case have been studied in the academic integrity portion of this self-study.

The NCAA sanctions have had an impact on several areas within the Athletics Department, but none as significantly as the football program. As a result of the infractions case, dismissal of coaching staff, and resulting changes in administration, the University of Kentucky has had three football coaches in four years. Due to the NCAA sanctions, there was a decrease in scholarships and several student-athletes transferred from the program. These changes have had an impact on graduation rates and performance on the field, and they have altered significantly the way the University of Kentucky Athletics Association conducts business.

5. Other signification events (with dates) in the history of intercollegiate athletics program:

The University of Kentucky Athletics Association — currently 22 sports strong with an annual budget of more than \$50 million — traces its roots to humble origins late in the 19th century.

The University of Kentucky was founded in 1865 as part of Kentucky University, the agricultural and mechanical extension school of what is now known as Transylvania University. The schools separated in 1878, leading to UK's first known intercollegiate competition on November 12, 1881, when a football team from Kentucky State College (i. e., UK) defeated a squad from Kentucky University (Transylvania) by the score of 7 1/4 to 1.

Introduction to Self-Study Report

The schools played three football games that year. More games are believed to have been played in the 1880s, but appear to be lost in the annals of history. Records confirm a football team in 1891, followed by track in 1894, and baseball in 1896.

Basketball teams were officially organized in 1903 for both men and women, but in the early years it was the women's squad that best flexed its muscles and gained notoriety. Women's teams in gymnastics and tennis also came along, but in 1924 women's sports were abolished when the University administration decided that varsity athletics were too strenuous for the gender.

It was in 1909 that the UK teams received their nickname. Following a football victory over Illinois, Commandant Carbusier, then head of the military department, told a group of students in chapel service that the team had "fought like wildcats." The nickname grew in popularity and was adopted by the University.

Initially, the administration of athletics at the University was student-run. Over the years, as sports — especially football — grew in popularity, the University faculty and administration became more involved. From the early years, periods of prosperity were interspersed with times of turmoil, and on occasion there were calls to abolish some or all of the men's sports as well.

Events of the 1930s proved pivotal. In 1930, Coach Adolph Rupp was hired, a decision which laid the foundation for Kentucky to become the premier program in college basketball history. In 1932, UK became a charter member of the Southeastern Conference. Effects of the Great Depression led to financial chaos, however, and the University administration reorganized athletics in 1938.

As part of the reorganization, Bernie Shively was appointed the director of athletics. Shively served until 1967, and it was during his term that UK Athletics became a stable entity. Post-World War II was a period of great success, as Rupp's teams won national championships in 1948, 1949, 1951, and 1958. Paul "Bear" Bryant was the football coach from 1946-53, going to the Orange, Sugar, and Cotton bowls in successive seasons and winning a share of the 1950 national championship.

After a half-century of dormancy, women's varsity athletics returned in the 1970s with the founding of basketball, indoor/outdoor track, cross country, tennis, volleyball, and swimming teams. Golf, gymnastics, soccer, and softball teams have been added, giving the Wildcats 11 women's sports.

Men's sports also grew over the years and the current lineup includes baseball, basketball, cross country, football, golf, soccer, swimming, tennis, and indoor/outdoor track for a total of 10 teams. Rifle, a combined men's/women's team, completes the list of sports. Men's basketball has been UK's best-known endeavor, with seven national championships and more wins than any collegiate team. Several other UK sports have been successful as well, winning numerous conference and/or NCAA championships.

Shively was succeeded as athletics director by Harry Lancaster (1967-75), Cliff Hagan (1975-89), C. M. Newton (1989-2000), Larry Ivy (2000-02), and Mitch Barnhart (2002-present). Under Barnhart's leadership, University of Kentucky Athletics strives for success on and off the playing field based on the director's five principles:

- 1) be first-class in everything we do;
- 2) operate with great integrity;
- 3) provide the student-athlete with the best possible experience;
- 4) sound financial management; and
- 5) expect to win championships in all sports.

The administration, faculty, and students of the old Kentucky University would be amazed to see how the school has developed — a student body of more than 26,000; nearly 11,000 faculty and staff; and up to 70,000 people attending a football game at Commonwealth Stadium or 24,000 packed into Rupp Arena. But, at the end of the day, the goals are the same: provide quality education for University of Kentucky students and "fight like Wildcats."

Previous Certification Self-Study

4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study.

The University of Kentucky and its athletics program have experienced significant senior-level position changes since the previous certification self-study. The Commissioner of the Southeastern Conference (2002), the President of the University (2001), and the Director of the Athletics Department (2002) have all changed in the last three years. Each of these changes resulted in personnel decisions and actions at other major management levels. This infusion of new philosophies and ideas has had a major impact on the very way UK Athletics conducts its business.

Introduction to Self-Study Report

However, the leadership of the Athletics Department firmly believes that the changes have resulted in growth, improved accountability, and overall quality enhancement of the program.

At the institutional level, Lee T. Todd, Jr. took office as UK's eleventh president on July 1, 2001. At that time the administrative structure of the University was immediately changed to reflect President Todd's vision of "one university." The new administration brought all academic areas under the oversight of a Provost, with Associate/Vice Provosts, Deans, and other academic support unit heads reporting to the Provost. The Provost reports to the President and, as second in command, represents the President in his absence. Three Executive Vice President positions were created to manage the areas of Finance and Administration, Research, and Health Affairs. These individuals along with the Athletics Director, General Counsel, and Chief of Staff report directly to the President. President Todd established two commissions, The President's Commission on Diversity and The President's Commission on Women, to monitor, develop and report on progress in these areas. Each commission is headed by a Chair, who reports directly to the President. Senior-level administrative staff is completed by the Vice President for Development, the Vice President for University Initiatives, and the Vice President for Institutional Research, Planning and Effectiveness. While all of these positions report to the President, both the Vice President for University Initiatives and the Vice President for Institutional Research, Planning and Effectiveness also have a reporting relationship to the Provost in recognition of their support of the University's academic mission.

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 certification self-study:

Besides the significant leadership changes described in #4 above, other significant changes that have had an impact on the institution and/or athletics program include:

—The institution experienced six years of consecutive increases in its six-year graduation rate, setting a new record each time and increasing from 48% to 61% in fall 2003. As presented in the NCAA Graduation Rate reports, the student-athlete rates have increased from 40% in fall 2001 to 48% in fall 2002. Graduation rates are improving with continuing efforts being made to match or exceed the improving graduation rate for all students. As emphasized in the new goals for the department, graduating student-athletes is a priority.

—In 1997, softball was added, making it the twenty-second sport sponsored by UK, the most of any school in the SEC.

—With the new administration in 2002, there have been significant changes in all aspects of the Athletics Department, and they are described throughout this self-study report.

—A new mission statement was developed for the Athletics Department to reflect the philosophies and priorities of new leadership:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, state, SEC and NCAA rules."

—The Athletics Director established the following five principles that reflect the mission of the department:

- 1) Operate in a first-class manner
- 2) Possess great integrity
- 3) Keep the focus on the student-athletes
- 4) Provide sound fiscal management
- 5) Compete for championships in all sports

—Another positive change is the contribution Athletics makes to the University. Beginning in FY04, Athletics committed \$1 million a year for 10 years to the University for scholarships.

—A new account structure was developed, creating more accountability for all sports and units and promoting sound fiscal management by all areas.

Certification Self-Study Information

1. Steering Committee Chair: Dr. Connie Ray
2. Chief report writer/editor of self-study report: Carl Nathe

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

As stated in the University's Self-Study Plan, a broad-based, complete, and accurate self-study is only possible when there is participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was first paid to the appointment of members to the Steering Committee and three subcommittees. Committee members were seen as links for an ongoing dialogue with that portion of the campus or community they represented. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the steering committee or subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups or individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

The final committee structure reflected good racial and gender representation and included members from both inside and outside the Athletics Department. Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members were recommended by the Student Government Association. Individuals interested in participating in the self-study process also contacted the Chair of the Steering Committee to volunteer their services. Final committee make-up included faculty, staff, students, student-athletes, administrators, a member of the Board of Trustees, a member of the UKAA Board of Directors, a community representative, and alumni.

Before beginning the self-study process, the Steering Committee adopted a Communications Plan designed to ensure that the campus and community were aware of the importance of the self-study and to provide opportunities for participation in its completion. A web page was developed and publicized through a campus-wide email from the President to ensure broad-based, two-way communication with the campus community and the general public. Articles, updates and progress reports were regularly posted to the Web or published in campus and other local publications. Each committee developed and posted a schedule of meetings and minutes of their proceedings in order to maintain a record of opportunities provided to the campus and community for input into the self-study process and to assure that all meetings were accessible to individuals and campus groups.

Throughout the self-study process, the Steering Committee and individual subcommittees met with student-athletes, coaches and other athletics personnel, administrators, faculty, or University personnel specific to individual operating principles as needed in order to gather information and prepare responses to self-study items. Steering Committee members attended meetings of the Student-Athlete Advisory Committee to engage them in the process and seek their help in developing strategies to ensure participation of all student-athletes. As a result, two focus groups were conducted with student-athletes, and a web-based survey of all student-athletes was carried out. These activities ensured that every student-athlete had an opportunity for input into the self-study.

Upon completion of the self-study, the draft report was posted to the web site followed by a campus-wide email from the President inviting review and comment. A public community forum was held to share self-study results and invite comment or suggestions related to the self-study findings and needed plans for improvement. Feedback was reviewed by the Steering Committee and incorporated as appropriate prior to finalizing the self-study for approval by the Board of Trustees.

Following is a schedule of formal presentations made to share self-study results and solicit input into findings and plans for improvement:

- Alumni Association Board, September 18, 2004, 2:30 p.m.
- University Faculty Senate, October 11, 2004, 3:00 p.m.
- Student-Athlete Advisory Committee, November 2, 2004, 8:30 p.m.
- Provost's Council (including Deans), November 9, 2004, 8:00 a.m.
- President's Staff, November 10, 2004, 8:00 a.m.

Introduction to Self-Study Report

Community Forum, November 11, 2004, 7:00 p.m.

UKAA Board of Directors and Board of Trustees, November 19, 2004, 10:00 a.m.

4. Provide a copy of the institution's written plan for conducting the self-study.

THE UNIVERSITY OF KENTUCKY PLAN FOR COMPLETING THE SELF-STUDY FOR NCAA DIVISION I CERTIFICATION

REVISED FEBRUARY 3, 2004

GOALS

1. Solicit input and feedback from all interested constituencies to ensure balanced, broad-based participation in the self-study process.
2. Conduct an accurate, complete and thoughtful review of the Athletics Department that recognizes its many strengths as well as areas where improvements are needed. Evaluate progress made since first-cycle review.
3. Aid in establishing a departmental culture that values integrity, sound fiscal policy and excellence in developing student-athletes to their full potential, including academics and competition.
4. Demonstrate compliance with the NCAA Operating Principles leading to continuation of NCAA certification in the second-cycle review.

INSTITUTIONAL PLANS AND RECOMMENDATIONS RESULTING FROM FIRST-CYCLE REVIEW

The University of Kentucky completed the NCAA first cycle review of its athletics program in 1996-97. As a result, the NCAA Committee on Athletics Certification reviewed written materials prepared by UK and the campus evaluation visit conducted by the peer-review team and concluded that UK should be certified. This meant that UK was considered to be operating its athletics program in conformity with NCAA's Division I operating principles and that any problems identified were considered to be not serious enough to affect certification status. As part of its certification decision, the committee determined that UK must address three strategies for improvement. The NCAA peer-review team will review UK's progress on the following three strategies during the second-cycle review:

- Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, travel, per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity
- Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative.
- Ensure that the Wildcat Foundation and other booster organizations of UK are subject to a more thorough financial audit conducted by an outside auditor (as opposed to only a disclosure of financial summary data verified by outside auditors), as part of the annual external financial audit required by NCAA Constitution 6.2.3.1.

UK Self-Study

The written materials prepared by UK for the NCAA Committee on Athletics Certification included a self-study report in which each subcommittee made suggestions for improvement. These suggestions are listed below. Additionally, the University of Kentucky's minority and gender plans were revised and submitted to the NCAA shortly after first-cycle certification review, as requested.

Governance and Commitment to Rules Compliance

- The president, as chair of the Athletics Association Board, should conduct an orientation meeting, beginning fall 1996, for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletic Association Board.
- The chair of the Student-Athlete Advisory Committee should be appointed as one of the two student members of the Athletic Association Board beginning fall 1997. The president will make the appointment effective July 1, 1997.
- The director of athletics and the faculty athletics representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.
- The assistant director of athletics for compliance should present an annual oversight report to the Athletic Association Board, beginning with the academic year 1996-97.
- The University should utilize the Southeastern Conference Compliance Review Program to conduct rules-compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996.
- The assistant director of athletics for compliance should meet annually with each booster group to provide rules education, beginning fall 1996.

Academic Integrity

- The Academic Integrity Group should be formally recognized by the president in the academic year 1996-97 as a

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continuing committee.

—The president should include in the responsibilities of the Academic Integrity Group oversight of the academic support services and should appoint the dean of undergraduate students to assist in achieving this goal.

Fiscal Integrity

—Budget revisions should be handled throughout the year by the senior associate director of athletics when the overall budget is increased or decreased by obtaining approval of the UKAA and the UK Board of Trustees as the need occurs, beginning fiscal year 1996-97. This is currently done only at year-end.

Commitment to Equity

—The Director of Athletics should continue the commitment to increase the number of African Americans in senior administrative, professional and head coaching positions in the Athletics Department as positions become available.

—The Director of Athletics should continually strive to achieve the objectives outlined in both the plan for gender equity and the plan for addressing minority opportunities.

—The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews.

COMMITTEE FUNCTION AND COMPOSITION

The Steering Committee Chair

Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness, was appointed as Chair of the Steering Committee by President Lee T. Todd, Jr. Dr. Ray has a direct reporting line to the President, has direct access to the President, and has the authority to oversee the self-study process.

Steering Committee and Subcommittees

All subcommittee chairs also serve as members of the Steering Committee. All committee members were appointed with the oversight and approval of President Todd. Names and titles of steering committee and subcommittee members can be found at the end of this section.

While the majority of members of the steering committee and three subcommittees have no day-to-day connection to university athletics, there is good representation of members from both inside and outside the Athletics Department.

Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members' names were provided by the Student Government Association.

There is good racial and gender representation throughout the committee structure, including the steering committee and subcommittee chairs. One means of assuring broad-based participation in the self-study process was inclusion of faculty, staff, students, student-athletes, administration, a member of the Board of Trustees, a community representative, and alumni on the various committees.

All individuals appointed to either the Steering Committee or one of the subcommittees were given the opportunity to refuse participation in this project. It is assumed that those who have agreed to participate have an adequate amount of time to devote to completion of the project.

RESPONSIBILITIES

Steering Committee

—Hold regular meetings.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Maintain a record of opportunities provided to the campus community for broad-based input into the self-study process, as well as updates and progress reports posted to the Web or published in campus or local publications.

—Review the progress of subcommittees by receiving, analyzing, and interpreting their reports.

—Prepare a final self-study report, relying on the reports of the subcommittees and aided by the chief report writer who will attend all meetings of the steering committee.

—Host the peer-review team.

Subcommittees

—Meet monthly or more often as needed.

—Maintain a written record of dates and minutes of meetings, including a record of attendance.

—Assure that all subcommittee meetings are accessible, providing opportunities for individuals and campus groups to be heard.

—Hold public meetings/forums as necessary to invite input and gather information.

—Meet with the Student-Athlete Advisory Committee to solicit input.

—Meet with/interview members of the Athletics Department and student athletes as appropriate to gather information necessary for completing subcommittee assignment.

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- Assign a member from the Athletics Department to assist in collecting necessary data.
- Collect, organize and interpret data pertinent to subcommittee assignment.
- Assure conformity with the NCAA Operating Principles.
- Check for areas of overlap with other subcommittees (see page 36 of the NCAA self-study instrument).
- Write the subcommittee report.
- Develop appropriate institutional plans for improvement.
- Provide monthly reports/updates to the steering committee.

NCAA Division I Certification Steering Committee

Connie A. Ray, Chair and Vice President for Institutional Research, Planning & Effectiveness (appointed by President)

Lee T. Todd, Jr., President (required)

Douglas A. Boyd, Acting Chief of Staff to the President (President's designee)

John J. Piccoro, Jr., Faculty Representative to NCAA and Professor, Pharmacy (required)

Mitch Barnhart, Director of Athletics (required)

Micki King, Assistant Athletics Director and Senior Woman Administrator (SWA) (required)

C. Darrell Jennings, Chair of the Academic Integrity Subcommittee and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Lionel Williamson, Chair of the Equity and Student-Athlete Welfare Subcommittee and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Ken Roberts, Chair of the Governance and Commitment to Rules Compliance Subcommittee and Dean of the College of Pharmacy (recommended by Faculty Senate)

Mary Marchant, Professor in the College of Agriculture (recommended by Provost; member of President's Commission on Women)

William. B. Daugherty, Jr., Alumni Representative (recommended by Alumni Association)

Barbara Young, UK Board of Trustees (recommended by President)

Antoine Huffman, Student-Athlete (recommended by Athletics Director)

Jessica Burke, Student-at-Large (recommended by Student Government Association)

Chief Report Writer: Carl Nathe, UK Public Relations (Recommended by Director, UK Public Relations)

Campus Liaison: Lisa Peterson, Assistant Athletics Director for Business (Recommended by Athletics Director)

Governance and Commitment to Rules Compliance Subcommittee

Ken Roberts, Chair and Dean of the College of Pharmacy (recommended by Faculty Senate)

Sandra D. Bell, Associate Director of Athletics for Compliance (recommended by Athletics Director)

Mary J. Davis, Stites and Harbison Professor of Law (recommended by Provost)

Karen Combs, Vice Provost for Budget and Administrative Services (recommended by Provost)

Lynda George, Director of Financial Aid (recommended by Associate Provost for Undergraduate Education)

Barbara Jones, Legal Office (recommended by Steering Committee Chair)

Luther Deaton, Community Representative (recommended by Athletics Director)

Steve Parker, Associate Professor in Kinesiology and Health Promotion (recommended by The President's Commission on Diversity)

Alexis Bwenge, Student-Athlete (recommended by Athletics Director)

Matthew Rippetoe, Student-at-Large (recommended by Student Government Association)

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Academic Integrity Subcommittee

C. Darrell Jennings, Chair and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Robert L. Bradley, Associate Athletics Director for C.A.T.S. (recommended by Athletics Director)

Victor Hazard, Associate Vice President and Dean of Students (recommended by Vice President for Student Affairs)

Michelle Nordin, Associate Director, Registrar (recommended by Associate Provost for Undergraduate Education)

Lois Chan, Professor of Library and Information Science (recommended by The President's Commission on Diversity)

Chuck Staben, Professor of Biology (recommended by Faculty Senate)

Roger Sugarman, Director of Institutional Research (recommended by Steering Committee Chair)

Vicki Goss, Student-Athlete (recommended by Athletics Director)

Justin Rasner, Student-at-Large (recommended by Student Government Association)

Equity and Student-Athlete Welfare Subcommittee

Lionel Williamson, Chair and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Sonya Feist-Price, Associate Professor in Rehabilitation Counseling (recommended by Faculty Senate)

Micheline Schott, Athletics Administration (recommended by Athletics Director)

Patricia V. Burkhart, Associate Professor of Nursing (recommended by President's Commission on Women)

Terry Allen, Associate Vice President for Equal Opportunity (recommended by Steering Committee Chair)

Randy Gonzalez, Director of Student Affairs Administration (recommended by Vice President for Student Affairs)

Sandy Copher, Director of the Office of Academic Scholarships (recommended by Associate Provost for Undergraduate Education)

Ricardo Nazario-Colon, Director of the Martin Luther King Cultural Center (recommended by The President's Commission on Diversity)

Wes Coffman, Community Representative (recommended by President)

Anne Ogundele, Student-Athlete (recommended by Athletics Director)

Braphus Kaalund, Student-at-Large (recommended by the Student Government Association)

CAMPUS LIAISON

The institution's Campus Liaison is Lisa Peterson, Assistant Athletics Director for Business. Duties include:

- Serve as a member of the Steering Committee
- Serve as a resource person to the subcommittees
- Coordinate the collection and dissemination of information about the self-study and certification process to institutional personnel
- Handle questions from institutional personnel in interpreting certification policies and procedures as contained in the handbook and self-study instrument
- Forward difficult interpretive questions to the NCAA staff and communicate answers to appropriate personnel
- Coordinate preparations for the NCAA liaison's orientation visit
- Coordinate preparations for the evaluation visit:
 - *arranging lodging and travel for the peer-review team;
 - *arranging dinner/reception for first evening of
 - *evaluation visit and extending invitations;
 - *arranging meals/breaks;

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*scheduling interviews and other peer review team activities;

*organizing work-related needs for peer reviewers (computer resources, secretarial support, copier, fax machine, telephone, audiovisual needs, meeting rooms, etc.)

*arranging exit interview

—Conduct a pre-visit briefing for the Student-Athlete Advisory Committee, student-athletes, coaches, and others

—Coordinate involvement of the Southeastern Conference

—Coordinate communication with the NCAA regarding comments concerning potential peer-review team members proposed by the Committee on Athletics Certification

—Coordinate evaluative comments on the self-study process

—Organize follow-up studies and reports as identified by the University or required by the Committee on Athletics Certification

CHIEF REPORT WRITER

Carl Nathe, UK Office of Public Relations, will serve as the Chief Report Writer for the Athletics Certification self-study. Duties include:

—Serve as a member of the Steering Committee

—Serve as a resource person for the subcommittees

—Maintain a file of all supporting documents and prepare these for evaluation visit (one set for on-campus working room, one set for off-campus location)

—Ensure that additional documentation is available as needed at various campus locations

—Prepare for and coordinate Steering Committee editing sessions.

—Compile approved subcommittee drafts into final self-study report

—Arrange for Public Relations review of report to ensure compliance with Style Guide

—Work with appropriate individuals to submit electronic copy of report to NCAA

OUTLINE AND SCHEDULE

Preparing for the Self-Study

July 2003 — University receives letter of notification that second-cycle NCAA certification review process is to begin.

August 2003 — President Lee T. Todd, Jr. appoints Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness to chair the NCAA Division I Self-Study Steering Committee.

Sept to Oct 2003 — Steering Committee and subcommittee members appointed and notified.

October 2003 — Chair schedules planning meeting with subcommittee chairs. President Todd announces beginning of Athletics self-study process to University community - Board of Trustees and Athletics Board.

Oct to Nov 2003 — Development of draft self-study Plan. Date for orientation visit of NCAA representative selected.

December 2003 — First meeting of Steering Committee. President presents charge. Working materials distributed. Self-study Plan reviewed and approved. Subcommittee chairs contact their committee members. Self-Study Plan sent to NCAA representative.

Conducting the Self-Study

January 2004 — Meeting of all members of steering committee and subcommittees officially kicks off the self-study process. Campus orientation visit by NCAA representative. Convening subcommittees to begin work on individual reports. Tour of Athletics Department/facilities.

February 2004 — Steering Committee meets on a monthly basis. Subcommittees meet at least monthly/more often as needed to gather information and begin to draft reports. Begin preliminary inquiries/arrangements for peer-review team's visit.

June 2004 — Draft reports completed by subcommittees and submitted to Steering Committee for review. Receive list of potential peer-review team members from the NCAA. Institution has one month to review and respond to this list with recommendations to add/remove potential team members.

June to August 2004 — Draft reports reviewed by Steering Committee and compiled by Chief Report Writer.

September 2004 — Institution will receive notification of specific peer review team members selected to visit campus in April 2005. Draft report posted to web page and announcement made to University community soliciting review and comment.

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October 2004 — Revision of final report. Report sent to printing to prepare hard copies for Board of Trustee review, additional internal copies.

November 30, 2004 — Report to President's Office for distribution to Board of Trustees, others.

December 14, 2004 — Meeting of the Board of Trustees. Present draft of self-study to the Board for their review and endorsement.

Preparing for Evaluation Visit

January 2005 — Submit completed self-study report to NCAA. Finalize arrangements for peer-review team visit - accommodations, transportation, meals, working room, clerical assistance, etc.

February 2005 — Develop itinerary for peer-review team visit. Schedule interviews. Gather and organize documentation.

The Evaluation Visit

April 2005 — Receive the peer-review team on campus. Exit report to President and University community. Receipt of Report and Certification Decision

May to June 2005 — Institution to receive draft of peer-review team's report prior to its submission to the NCAA. Institution has one month to prepare a written response. Response is only to include: 1) corrections of factual errors; 2) presentation of new, relevant information not considered by the peer-review team; 3) proposed additional corrective actions for remedying deficiencies. Peer-review team finalizes its report and submits to NCAA Division I Committee on Athletics Certification for review and certification decision. Institution may be asked to complete evaluation of the self-study process. Written certification decision will be sent to the chief executive officer and announced publicly through an NCAA press release. Institution will revise plans for improvement as instructed by NCAA and begin implementation of corrective actions in response to recommendations.

CONFERENCE INVOLVEMENT

The Southeastern Conference (SEC) office will serve in an advisory capacity, represented by Mr. Greg Sankey. The Steering Committee will keep all channels of communication open with Mr. Sankey including: ensuring access to all meetings, reports, proceedings, minutes, referral to the self-study Web page, providing copies of press releases, and other announcements.

GUIDELINES FOR WRITING AND EDITING THE REPORT

Committee Support

The Athletics Department will make arrangements to provide staff support to the subcommittees, as needed. This support will include attending subcommittee meetings on a monthly basis (more often as needed/requested by the subcommittee chair), maintaining a file of minutes for each subcommittee and forwarding these for posting to the NCAA Self-Study Web page, scheduling meeting rooms and sending out announcements of subcommittee meetings, preparing draft reports, making copies and performing additional duties necessary.

The Athletics Department will provide computer resources, telephones, copier, fax machine, office supplies and other necessary support for the peer-review team visit.

Writing

The final self-study report will be submitted through the NCAA Athletics Certification System. Writing for the online submission, as well as hard copy reports, of the self-study will follow the rules presented in the University of Kentucky Style Guide. The guide can be found online at www.uky.edu/Regs/Style/style.html. For all areas the guide does not cover, the Chicago Manual of Style is to be used. The report format is provided in the NCAA Self-Study Instrument, as presented in the web-based NCAA Athletics Certification System. The instrument lists relevant NCAA Operating Principles under each of the three major report sections, includes the appropriate forms to be completed by each subcommittee, provides an evaluation checklist to judge the institution's compliance with each of the relevant Operating Principles, and describes how plans for improvement are to be structured and completed. Each subcommittee will also be provided with: 1) a copy of the institution's first-cycle certification report and, 2) a copy of the peer-review team's report and recommendations to use as reference materials in preparation of their draft documents.

Editing

Individual subcommittees will edit draft reports prior to their submission to the Steering Committee. As mentioned above, by using the NCAA Self-Study Instrument in preparing draft reports, each subcommittee will have responded to the Operating Principles relevant to their individual section. A progress report from each subcommittee will be

Introduction to Self-Study Report

included on the agenda of each meeting of the Steering Committee. The Steering Committee will provide oversight, input and guidance as subcommittees gather, analyze, and interpret the information needed to complete their assignments. As necessary, questions will be referred to the NCAA for answers.

When draft reports are completed, the Steering Committee will review these and meet with individual subcommittees to discuss and make suggestions for changes or additional information needed. Drafts will be returned to the subcommittees for revision if needed.

Preparing the Final Report

Following Steering Committee review of subcommittee reports and after suggested changes have been made, the approved drafts will then be combined into a single final draft by the Chief Report Writer. The Steering Committee's final draft will be posted to the NCAA Self-Study section of the President's Web page and an announcement made to the University community asking for review and input into the report. Public comment and suggestions will be reviewed and incorporated, as appropriate, into the self-study report, which will be presented to the Board of Trustees for their review and endorsement prior to electronic submission to the NCAA. Upon final input of the self-study report to the web-based NCAA Athletics Certification System, the Steering Committee Chair will make the official online submission.

COMMUNICATIONS PLAN

The Communications Plan is designed to ensure that the campus and community are aware of the importance of the self-study and to ensure opportunities for participation in its completion. The committee structure was designed to be representative of various university constituencies, providing a direct communication link to interested parties; a web page will ensure broad-based communication to the campus community and the general public; and a well-conceived publicity plan will convey consistent, accurate information to both internal and external audiences. Additional details follow.

A. Committee Structure

A broad-based, complete and accurate self-study can only be accomplished through participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was paid to the appointment of members to both the Steering Committee and three subcommittees. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the committee/subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups/individuals from whom recommendations were requested:

- University Faculty Senate
- Student Government Association
- President's Commission on Diversity
- President's Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

As word spread that the self-study process for Athletics was underway, interested individuals also contacted the Chair of the Steering Committee to volunteer their service as committee members/subcommittee chairs. Subcommittees will be in touch with individual university offices/personnel as necessary to gather information for draft reports.

B. Web Page

An area devoted to the self-study will be established on the President's Web page. An initial announcement regarding the beginning of the self-study will include an invitation for interested individuals to provide their input. Throughout the self-study process, relevant documents will be posted to the page. This will include the self-study plan, schedules for committee meetings, and minutes from steering and subcommittee meetings. When the self-study is completed, a draft of the report will be posted to the web page and the entire university community will be invited to review and provide feedback on the report which will then be revised to incorporate relevant suggestions prior to submission to the NCAA.

C. Publicity

In October 2003 President Todd made an official announcement of the self-study to the Board of Trustees and the Athletics Board and stressed the need for broad-based involvement. Periodic reports to specific groups will be used as a means of keeping them informed of the self-study's progress. The Board of Trustees will receive periodic reports as will the University Faculty Senate. Announcements, progress reports, and updates will be published in University publications throughout the self-study process. Upon completion of the self-study and following the time

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period of posting to the web site for public comment/feedback, the revised report will be submitted to the Board of Trustees for their review and endorsement prior to submission to the NCAA.

A tentative plan currently includes:

December 2003 — Article in UK News announcing beginning of self-study process. News release to local media announcing beginning of self-study process.

January 2004 — Article in UK News regarding NCAA liaison's orientation visit. News release to local media announcing NCAA liaison's orientation visit.

February to May 2004 — Monthly article in UK News. Each month the work of a different subcommittee will be featured.

September 2004 — Article in UK News announcing posting of the self-study report to the website and encouraging campus feedback.

*Any of the UK News articles can also be part of a broader release to outside media.

Governance and Commitment to Rules Compliance

Operating Principle

1.1 Mission of the Athletics Program and the Institution

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

Not Applicable.

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.

Governance and Commitment to Rules Compliance

Not Applicable.

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

Not Applicable.

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

Not Applicable.

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

Not Applicable.

Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

Governance and Commitment to Rules Compliance

Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for Improvement

1) The president, as chair of the Athletics Association Board, should conduct an orientation meeting beginning in fall 1996 for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletics Association Board.

Actions and progress to date: The CEO of the previous administration conducted individualized orientations for new members of the Athletics Association Board; and therefore, progress on this suggestion is not well-documented. However, President Todd formally implemented this suggestion for improvement at an Athletics Association Board meeting for new members on September 14, 2004.

2) The chair of the Student-Athlete Advisory Committee (SAAC) should be appointed as one of the two student members of the Athletics Association Board beginning fall 1997. The President will make the appointment effective July 1, 1997.

Actions and progress to date: This suggestion was implemented as planned and continued through 2003-04, when Elizabeth McCaslin, president of SAAC, was one of two student members on the Athletics Association Board. Monitoring and evaluation of this practice was found to place an unnecessarily heavy burden on the student-athlete serving in both capacities while also tending to academic and athletic demands. Therefore, for the 2004-05 academic year, the president and vice-president of SAAC will no longer serve automatically as the two student members on the Athletics Association Board, and this responsibility will be assigned to other student-athletes.

3) The Director of Athletics and the Faculty Athletics Representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.

Actions and progress to date: This recommendation was implemented in the 1996-97 academic year and continued annually as time allowed. Since the fall semester schedule for the University Senate Council is generally full, the Faculty Athletics Representative's annual report was usually scheduled for the spring semester. However, due to pressing academic matters, the search process for a new president for the University, and a lengthy full-scale investigation of the Athletics program concerning National Collegiate Athletics Association violations, the report was bumped from the University Senate Council agenda several times. The most recent report was presented in spring

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2004. In order to minimize scheduling problems in the future, the Faculty Athletics Representative will schedule a permanent reporting time on the Senate Council calendar, most likely in February of each year.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Several improvements have been made under the new leadership at the University and in the Athletics Department, and they are discussed throughout this Self-Study report. See items from the following Board of Trustees meetings summarized in Self-Study Item 5: BOT meeting on 3/5/02, page 17, Item T, and on 9/16/03, page 4.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

Not applicable

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

A review of the UK Board of Trustees Minutes for fiscal years 2001, 2002, and 2003 revealed decisions and discussions in which the Board of Trustees or individual board members have been significantly involved. These are listed below. Additionally, individual board members are routinely involved in such decisions when attending meetings of the UKAA Board of Directors. These are presented in Self-Study Item 6 (see EXCERPTS FROM UKAA BOARD OF DIRECTORS MINUTES, 2001 THROUGH 2003).

EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003

1/23/01

Page 9, Item L: President Wethington reported about the ongoing football investigation. He reported that specific allegations could not be discussed and that upon completion of the briefing, the Board will be thoroughly briefed. At the request of President Wethington, Athletics Director Larry Ivy and Associate Athletics Director for Compliance Sandy Bell to review actions taken by the department to date.

Page 15, Item Q: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for two capital projects, a transfer of \$675,000 for the Football Office Complex Project and a transfer of \$1.25 million for the Commonwealth Stadium Field Reconstruction Project.

5/1/01

Page 6, Item N: The Board of Trustees approved a funds transfer from the Intercollegiate Athletics Quasi-Endowment for the purpose of providing funding for the Commonwealth Stadium Field Lighting Replacement project, a transfer of \$1,500,000.

6/19/01

Page 17, Item AA: The Chair of the Joint Committee of the Board of Trustees and the UKAA Board of Directors presented the Committee's Report to the Board. The report included a description of current Department of Athletics activities; a description of the University of Kentucky Athletics Association and its relationship to the University and the NCAA regulations; a description of recent events; and a Committee recommendation on periodic reports to the Board of Trustees. The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association.

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7/5/01

Page 1, Item C: Administrative Reorganization (ECR 1): BOT approved President Todd's administrative reorganization. New organization chart shows Athletics reporting directly to the President. This conforms to Operating Principle 1.2 b: the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.

9/18/01

Page 12, Item P: Gifts and Pledges, FCR 14, 15, 16, 17, and 18: BOT approved to accept pledges and gifts from 5 donors totaling \$1,608,051 to create and/or endow 5 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

12/11/01

Page 16, Item CC: Gifts and Pledges, FCR 14, 15, and 16: BOT approved to accept pledges from 3 donors totaling \$954,771 to create and endow 3 basketball scholarships. The donors will have the right to buy two basketball tickets on the floor. 28 seats have been committed for this purpose.

3/5/02

Page 17, Item T: President Todd reported the findings of the Athletics Review Committee. He reported the first recommendation of the review team is the reorganization of the Athletics Association Board of Directors. There were three elements in the recommendation. The first element is to appoint a Budget Committee of the Board. The second element is to appoint a Ticket Committee to the Athletics Board and give them the responsibility for developing sound practices concerning the distribution of tickets for basketball and football. The third element in the Board's reorganization requires that all Athletics Department contracts, regular or consulting contracts, and any significant modifications thereof be submitted to the Athletics Board for their approval and recommended to the University's Board of Trustees as appropriate.

The next set of recommendations had to do with the Athletics Department management, reporting, and oversight. First, require full compliance by the Athletics Department with all regulations, policies, procedures, and practices of the University of Kentucky. Second, formulate and adopt standards of professional and ethical behavior for all the employees of the Athletics Department, including policies concerning receipt of personal gifts and conflicts of interest.

Another recommendation is to consider the possibility of having the Director of the CATS program, the academic support program that is the tutoring program, report to the Associate Provost for Undergraduate Education rather than to the Athletics Director.

The next recommendation by the review team involves the Athletics Department Blue/White program. The recommendation requires stronger coordination and cooperation between that program and the University's general development program and office.

President Todd's next recommendation requires strict oversight of all booster organizations by the Department's compliance officer and an annual report to the Athletics Board on all booster club expenditures on behalf of the athletics program and including any expenditure on behalf of the Athletics Department employees or former employees.

The next section of recommendations deals with C. M. Newton's contract. This recommendation outlines actions that are needed to bring the Department's relationship with former Athletics Director C. M. Newton into line with the requirements of the formal contract that governs that relationship. An additional item recommends that the priority list for tickets in Rupp Arena be modified to provide Mr. Newton or members of his family only the tickets to which he is entitled under the terms of his contract.

The final recommendation of the review team is that Larry Ivy should be removed from the position of Athletics Director.

President Todd reported that he has asked Terry Mobley, who is the Director of the UK Development Office, to serve as the Interim Athletics Director.

President Todd said that he is putting into place an Interim Business Manager for the Athletics Department.

President Todd said he is beginning a search for a new Athletics Director immediately.

4/2/02

Page 5, Item F: President Todd reported that he is on the Southeastern Conference (SEC) search committee for a new Commissioner for the SEC. Also, he reported that he has not made any decision on a search firm for an Athletics Director. Further, Dr. Todd announced that he had appointed a committee to look at athletics tickets. Furthermore, President Todd reported that Mr. Mobley and Marc Matthews are continuing to work with the athletics staff to better understand their business operations.

Page 9, Item L (Transfer of Blue-White Fund Quasi-Endowment to the Wildcat Foundation): President Todd shared some background on the Wildcat Foundation for BOT members who are not aware of the history.

President Todd noted that as they have reviewed the operations of the Athletics Department, they have also looked at projects involving the Wildcat Foundation. He, Dr. Blanton, and others have met with representatives of the

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Foundation, and they have been completely cooperative and open in assisting with the review of their transactions with the University. Based on that review, President Todd said that he feels that the Foundation has been fully compliant with past procedures of the University and also with any National Collegiate Athletic Association (NCAA) requirements.

After providing the background information on the Foundation and reviewing its support over the years, President Todd said that the real issue was for the Board to authorize a grant of an amount not to exceed \$3.5 million from the Blue-White Quasi-Endowment of the University for the purpose of funding the balance of the construction at the Cliff Hagan Baseball Stadium and authorize the Senior Vice President for Administration to enter into an agreement with the Wildcat Foundation whereby the funds withdrawn from the Blue-White fund would be transferred to the Foundation for the express purpose of satisfying the balance of the reasonable and actual construction costs of the new stadium.

Mr. Shoop moved approval of the proposal of FCR 9. Dr. Stumbo said the Finance Committee discussed this item, received assurances about it, and thinks that it is legitimate. He moved the adoption of FCR 9.

Mr. Shoop said that Dr. Stumbo had made the motion on behalf of the Finance Committee, and he would like to second the motion. The motion carried.

4/30/02

Page 5, Item H: President Todd reported that he has appointed an advisory group to work with him on the search for an Athletics Director. He also explained that he and the advisory group will select a search firm, and then the search firm will begin doing its work.

Page 6, Item I: President Todd reported that the University of Kentucky has submitted its appeal on the football bowl restriction. He reminded the Board of the NCAA penalty that states that UK cannot appear in a bowl this year.

6/11/02

Page 3, Item E: President Todd reported that Carr Sports Associates, Inc. of Gainesville, Florida has been selected to help UK find a new Athletics Director.

8/13/02

Page 5: The BOT approved the Administrative Regulation AR II-1.6-1 University of Kentucky Retirement Plan (PR 4) regarding mandatory retirement policy at age 65 for executive officers of the University including the President and the Athletics Director.

2/25/03

Page 11: BOT accepted six separate gifts to the Department of Athletics - four scholarships, one baseball stadium renovation and one gift to the Department generally.

4/1/03

Page 2: President Todd advised the BOT he is receiving positive reactions for his recognition of academic achievements at basketball games and will expand this procedure to football games.

Page 3: President Todd advised the BOT of the appointment of Mickie DeMoss as the Women's Basketball coach.

Page 11: Other business: UKAA Board Director and UK Trustee Alice Sparks updated the Board on UKAA matters.

5/6/03

Page 17: The BOT received the report from the UKAA Board of Directors June 2002 meeting during which the new Board structure was approved. It was communicated that the BOT member on the UKAA Board of Directors would be charged with submitting a report to the BOT following each UKAA Board of Directors meeting in the future.

Page 18: The BOT received the report from the UKAA Board of Directors February 2003 meeting. The Board approved coach employment contracts including Head Football Coach Rich Brooks. The Board approved the launch of fund raising efforts for the multi-purpose building.

Page 18: The BOT received the report from the UKAA Board of Directors April 2003 meeting. The Board approved a contract extension for Men's Head Basketball coach, Tubby Smith, the Amended Articles of Incorporation, the amended Bylaws, the new uniform ticket price plan, and the K Fund Program recommendation.

9/16/03

Page 4: President Todd reported on the implementation of the revised By-Laws during the past year which enacted a rotation of members of the Board of Directors. He thanked those members who were rotating off and announced the new members of the UKAA Board including two new faculty representatives, Dr. Raynor Mullins, College of Dentistry and Linda McDaniel, Professor of Accounting, and two new student members Elizabeth McCaslin from volleyball and Antoine Hoffman from football. It was announced that a Student-Athlete Welfare Committee had been established and Vice President Pat Terrell will serve as Chair. President Todd reported that there would now be a Finance Committee of the Athletics Board with primary responsibilities to review financial reports, processes, and procedures for tickets and ticket audits. Executive Vice President Dick Siemer will Chair the Finance Committee. Also a Long-Range Planning Committee was established.

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10/29/03

Page 2: President Todd informed the Board of Trustees that the University is beginning work on the second cycle for NCAA Self Study and Division I Certification for the Department of Athletics. BOT member, Barbara Young, will represent the Board of Trustees on the Self-Study Steering Committee.

Page 8: The Board of Trustees conducted lengthy discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University.

12/9/03

Page 5: The Board of Trustees continued discussions about proposed new facilities for the Department of Athletics including location, design, and financing and integration with the academic mission of the University. The Board approved a withdrawal of \$6.5 million in funding for the projects. The motion carried without dissent.

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

In addition to decisions involving the Board of Trustees as presented in Self-Study Item 5 (see EXCERPTS FROM BOARD OF TRUSTEES MINUTES, 2001 THROUGH 2003), a review of the UK Athletics Association Board of Directors Minutes for fiscal years 2001, 2002, and 2003 revealed additional decisions and discussions in which the chief executive officer has been significantly involved. Individual Board of Trustees members have also been significantly involved in these decisions.

EXCERPTS FROM THE UKAA BOARD OF DIRECTORS MEETING, 2001 THROUGH 2003

2/7/01

Page 1: Athletics Director Larry Ivy and Assistant Athletics Director for Compliance Sandy Bell updated the Board of Directors on the status of the investigation of the football program.

Page 1: Athletics Director Ivy presented the resignation letter of Head Football Coach Hal Mumme.

Page 2: Motion unanimously carried for the UKAA Board of Directors to authorize and direct the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Mr. Guy W. Morriss as Men's Head Football Coach at the University of Kentucky and to provide the conditions of his employment to include a contract period of one (1) year beginning February 7, 2001.

3/2/01

No decisions (motions) related to intercollegiate athletics.

Page 1: Acknowledgement that the Board of Trustees had been invited to this meeting of the UKAA. The purpose of the meeting was to hear the disclosure report relative to the violations in the football program that had been sent to the NCAA on March 1, 2001, to include a question and answer period.

4/4/01

Page 1: Dr. Wethington asked for a motion that \$1,500,000 from the Athletics Association Quasi-Endowment Fund be transferred to the project fund for the construction of new lighting at Commonwealth Stadium. Motion unanimously carried.

Page 1: Motion unanimously carried to extend the contract of Coach Tubby Smith for four years and that Dr. Wethington and Mr. Ivy work out the final details of the contract with Coach Smith.

Page 2: President Wethington advised that the University Board of Trustees asked that 3 members of the UKAA Board of Directors, who were also Trustees, serve as members to study the relationship between the Board of Trustees and the UKAA Board of Directors and to submit a report to the University Board of Trustees. The Chair and Vice-Chair of the Board of Trustees would serve on the committee.

Page 2: Motion unanimously carried that \$100,000 from the University of Kentucky Athletics Association be transferred to the Charles T. Wethington, Jr. Graduate and Professional Fellowship Fund and that it be supplemented by five percent of the Blue/White Fund increase each year if that is possible within a balanced budget.

Page 2: Dr. Wethington asked for a motion to approve the 2001-2002 budget as presented by Mr. Ivy. Motion unanimously carried.

8/13/01

Page 1: Dr. Todd asked for a motion for the UKAA Board of Directors to adopt a resolution amending the Association's Articles of Incorporation. The changes in the resolution align the ex-officio members of the Board of Directors with the current titles in the new University of Kentucky administrative organization. Motion unanimously carried.

Page 2: President Todd asked for a motion that the President of the UKAA be authorized to negotiate and execute an amendment of the Lease for Rupp Arena dated May 21, 1998, between the Association and Lexington Center Corporation extending the Lease through the 2017-2018 basketball season. Motion unanimously carried.

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Page 2: President Todd called for a motion to approve the contract for Guy Morriss as the men's head Football Coach. Motion unanimously carried.

Pages 2-3: The UKAA Board was informed that the NCAA Enforcement Committee had completed its investigation and President Todd was in receipt of an Official Letter of Inquiry that advised the University to appear before the NCAA Infractions Committee.

6/5/02

Page 1: Motion carried unanimously to approve the list of awards to the eligible student-athletes on the list presented.

Page 2: President Todd asked for a motion to approve the 2001-2002 revised budget and the 2002-2003 budget as presented. The motion carried unanimously.

Page 3: President Todd distributed a job description for the athletics director and advised the Board that Carr Sport Associates had been retained to assist in the search for a new athletics director with an anticipated hiring date of July 31, 2002.

Page 3: President Todd presented the Board a new policy regarding automobiles for athletics department personnel.

Page 3: Motion carried unanimously for the Board of Directors to pay Mr. Terry Mobley, who was willing to serve as interim director, the same salary that the Athletics Director had been paid and to make it retroactive to the starting date.

7/15/02

Page 3: President Todd asked for a motion to approve the hiring of Mitch Barnhart as the new University of Kentucky Athletics Director and that a recommendation be sent to the Board of Trustees Executive Committee. Motion passed with Professor Lawson voting "n." President Todd described the selection process, the assistance from an advisory committee, assistance and counseling from the search firm, and other details of the interviews, including specific details about how Mr. Barnhart's compensation and benefits were determined by national comparables.

12/10/02

No decisions (motions) related to intercollegiate athletics. President Todd announced the resignation of Head Football Coach Guy Morriss. Athletics Director Barnhart introduced new member of the department staff, outlined goals for the department, and presented a general assessment of the department's facilities. The budget report updated the Board on the new organization and operation structure for budget management, reporting, and accountability. President Todd presented a proposed Board of Directors reorganization structure for discussion. The Board was advised that it will be informed of all contracting for broadcast and revenue agreements.

2/15/02

Page 1: President Todd reminded the Board that their feedback was needed regarding the Board of Directors reorganization proposal.

Page 2: Motion that the UK Athletics Association Board of Directors authorizes and directs the President of the University of Kentucky Athletics Association and its Athletics Director to engage the services of Rich Brooks as Men's Head Football Coach at UK and provide the conditions of his appointment to include a five-year contract beginning December 30, 2002. The motion carried without dissent.

Pages 2 & 3: Motion for approval of appointments and contracts for assistant coaches to Men's Head Football Coach. Motion carried without dissent.

Page 5: Motion recommending that the University Of Kentucky Athletics Association Board of Directors authorize the Athletics Director to move forward with fund raising efforts for the Multi-Purpose Room. The motion carried without dissent.

Page 6: Motion requesting the Board to authorize additional expenditure authority of \$1.5 million as part of the budgeting process. Motion carried without dissent.

4/18/03

Pages 1 & 2: President Todd moved to approve an eight year contract extension for Men's Head Basketball Coach, Tubby Smith. The total value of the contract was \$20,250,000 over eight years.

Page 2 & 3: President Todd moved to approve appointment and a five year contract for Mickie DeMoss as Women's Head Basketball Coach. The motion carried unanimously. The total value of the contract was \$300,000 annually.

Page 3: Motion to approve amended and restated UKAA Articles of Incorporation. This action brings the Articles up-to-date with Kentucky law and also brings the Board more in line with the Lawson Report that was completed approximately one year ago. The motion passed unanimously.

Page 4: Motion to approve adoption of revised bylaws. The revisions will bring the corporate bylaws into the modern age, and will incorporate many suggestions from the Lawson Committee and the Board of Trustees Ad Hoc Committee on Board Structure. The motion passed without dissent.

Pages 4 - 8: Motion for approval of the recommendation from the Ad Hoc Ticket Committee. Motion carried without

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dissent.

Pages 8 - 10: Athletics Director Barnhart presented the FY '04 budget and a report focusing on assistant coaches' compensation.

10/17/03

No decisions (motions) related to intercollegiate athletics. President Todd announced the University NCAA Accreditation Self Study to begin and he announced the appointment of Trustee Barbara Young to the Self Study Steering Committee. Dr. Todd recognized the presence of Board of Trustee members at the UKAA Board of Directors meeting in addition to those trustees who are Directors.

7. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.

The governance of the University of Kentucky is vested by statute in the Board of Trustees. Within the limits set by the State Constitution and federal and state laws, the Board of Trustees is the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies (Kentucky Revised Statutes 164.160, KRS 164.210, KRS 164.220, KRS 164.225, and Governing Regulations II-7-9). The Board of Trustees consists of sixteen members appointed by the Governor, two members of the faculty, one member of the non-teaching personnel, and one member of the student body (KRS 164.131, GR II-2-3). The President of the University is required to attend all meetings of the Board of Trustees, including its executive committee (GR II-5). The Board is required by statute to meet at least quarterly (KRS 164.170). All Board and committee meetings are open meetings pursuant to Kentucky law (KRS 164.170, KRS 61.805 and GR II-4). The Board of Trustees annually elects an Executive Committee of five members, which has the power delegated to it by the Board. The Board cannot revise any action taken by the Executive Committee that constitutes a valid or authenticated expenditure of money (KRS 164.190 and GR II-2.A).

The President is the chief executive officer and has full authority over the administration of the University. The President, with Board approval, may delegate authorities or responsibilities to any member of his administrative staff (GR III-1). The President is appointed by the Board of Trustees with the advice of a joint committee of the Board, faculty, staff, student body and alumni (KRS 164.220 and GR VIII-1). Every administrative and professional employee of the University who reports directly to the President is required to be appointed by the Board of Trustees, acting upon the recommendation of the President (GR VIII-1).

The purpose of the University of Kentucky Athletics Association (UKAA) is to promote athletics and a physical culture, including supporting the academic needs, interests, and programs of the University of Kentucky (UKAA Articles of Incorporation AI-IV). The corporation (UKAA) has the authority to employ instructors, coaches, directors, and other persons necessary for carrying out the purposes of the corporation (AI-V). The UKAA Board of Directors conducts the affairs and business of the corporation. The President of the University is the President of the corporation and of the Board of Directors (AI-VII; Bylaw II, Sec. 2). The Athletics Director is appointed by the UKAA Board of Directors and the appointment is subject to the approval of the Board of Trustees. The employment contract between the Athletics Director and the University requires the Athletics Director to report directly to the President of the University. The Faculty Representative to the National Collegiate Athletics Association is a member of the UKAA Board of Directors.

The UKAA Board of Directors meets once each semester and special meetings may be held at any time upon the call of the President (Bylaw I, Sec. 2). The Board meetings are open to the public (KRS 61.805). The Board of Directors conducts the affairs and business of the corporation. The Board of Directors consists of sixteen (16) members:

1. President as Chair,
2. Five Administrative Officers, ex officio
 - (a) Provost (Chief Academic Officer of the University)
 - (b) Vice President for Student Affairs
 - (c) Faculty Representative to NCAA
 - (d) President of UK Varsity Letter Association
 - (e) Executive Vice President for Finance and Administration
3. Ten members appointed by the President
 - (a) Two members of the Board of Trustees
 - (b) One Alumnus

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- (c) One Member-at-Large
- (d) Four University Faculty
- (e) Two Full-time Scholarship Student-athletes (1 male, 1 female)(AI-I-VI).

The Board of Directors discusses, approves, and if necessary, recommends to the University Board of Trustees the following:

1. Appointment of the Athletics Director;
2. Appointment and contract terms of the head coaches for football and basketball;
3. Formal policies for sale and distribution of basketball and football tickets;
4. Construction of facilities if the expected cost would exceed \$100,000; and
5. Annual budget, including donor funds (Bylaw I, Sec. 3).

Although employment authority is delegated to the UKAA Board, all UKAA employees are considered as University of Kentucky employees. Thus, UKAA employees are subject to and receive the benefits of all University human resources policies and procedures (hiring, pay, benefits, etc.). As with other deans and directors, 1) hiring responsibility for nonexempt employees and exempt employees in positions below grade/level 47 is delegated to the Athletics Director, 2) hiring for exempt level 47, 48 and 49 positions must be reported to the Board of Trustees, and 3) hiring in exempt levels 50 and above must be approved by the Board of Trustees.

The University of Kentucky Athletics Association is an Affiliated Corporation as defined by statute (Bylaw III, Sec. 1 and KRS 164A.550). The Board of Directors is required to obtain the approval of the University Board of Trustees prior to acceptance of any gifts of land, buildings, structures or renovations valued at \$400,000 or more and must follow Board of Trustees procedures for the naming of any property (Bylaw III, Sec. 1).

The UKAA Board has created three committees to be appointed by the President:

1. Finance Committee—the Finance Committee is chaired by the Executive Vice President for Finance and Administration and shall include at a minimum a faculty member director, a Trustee Director, and an at-large member. The President may appoint additional finance committee members for special purposes. The Committee is responsible for reviewing all matters related to the use, sale and distribution of basketball and football tickets and shall ensure that the University exercises institutional oversight of fiscal responsibilities of the Athletics Association; in addition to the Executive Vice President, the 2003-04 committee membership included Claudia Heath (faculty), Jim Hardymon (trustee), Luther Deaton, and Bill Sturgill;
2. Student-athlete Welfare Committee—the Student-athlete Welfare Committee is chaired by the Vice President for Student Affairs and shall include at a minimum one faculty member director, one Trustee director, and two student directors. The Committee is responsible for reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletic program; in addition to the Vice President for Student Affairs, the 2003-04 committee membership included Linda McDaniel (faculty), Gerald Smith (faculty), Alice Sparks (Trustee), Antoine Huffman (student-athlete), and Elizabeth McCaslin (student-athlete); and
3. Long-range Planning Committee (Bylaw VII)—the Committee and Committee Chair shall be appointed by the President and shall be responsible for reviewing all matters related to the strategic and long-range development of the University Athletics Association; the 2003-04 committee membership included Raynor Mullins, S.T. Roach, Tim Morris, Bob Wiseman, Dorothy Brockopp (faculty and Chair of the Commission on Women), and Marc Mathews.

Other appropriate campus constituencies are involved in decision-making regarding Athletics in the following ways:

1. As members of the Academic Integrity Committee (AIC)—In 1991, under the leadership of College of Education Professor Virginia Atwood, an informal group known as the Academic Integrity Group (AIG) was formed to serve as a forum for discussion of issues that interface with athletics and academics. The group was composed of both University and athletics administrators. The members included the faculty athletics representative, University registrar, director of admissions, associate director of student financial aid, the assistant director of athletics for compliance, assistant director of athletics for student services, and assistant director of athletics for non-revenue sports. In a memorandum dated September 16, 1997, President Charles T. Wethington, Jr. recognized AIG as an official committee of the University of Kentucky and established the group as the Academic Integrity Committee (AIC). The responsibilities of AIC included ensuring that student-athletes meet UK, SEC and NCAA admission standards and make satisfactory progress toward a meaningful degree; facilitating communication among departments responsible for certification of student-athletes, serving as a working group in preparation for SEC and NCAA certification, and providing general oversight to the Athletics Department academic support services. AIC continues to meet on a regular basis to fulfill this purpose; however, AIC has not yet been formalized as an official committee in the appropriate administrative regulations and "UKAA Policies and Procedures Manual." Therefore, the Governance and Commitment to Rules Compliance Subcommittee suggests that steps be taken immediately to formalize AIC as an official university committee in the UK Administrative Regulations, Part III — Administrative Committees and Councils — and in the "UKAA Policies and Procedures Manual." Appropriate attention should be given to describing the purpose and membership of AIC.
2. As members of various University committees that include athletics representatives and recommend and/or

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implement institution-wide policies affecting all units, including Athletics—A review of such committees reveals the extent to which the Athletics Department is integrated with the campus community and is affected by decisions of various campus constituencies. These committees or groups include: Campus Development Officers, Business Strategic Planning, Capital Planning Advisory, Area Fiscal Officers, Provost Budget Officers, Employee Benefits, Grievance Panel, Performance Development Partnership, International Student Affairs, United Way, and the President's Commission on Women, among others.

3. As supervisors of key athletics personnel—the Associate Athletics Director for Student Services has a direct reporting line to the Associate Provost for Undergraduate Education to promote ongoing monitoring and oversight of academic support services by academic authorities outside athletics; and the Executive Associate Athletics Director has a dotted reporting line to the Controller to promote ongoing monitoring and oversight of financial affairs by a fiscal authority outside athletics.

4. As members of special committees appointed by the President to meet a specific need related to Athletics — For example, an Ad Hoc Ticket Committee recently developed a priority point system for fair and equitable allocation of football and men's basketball seating. The committee members included Acting Executive Vice President for Finance and Administration Jack Blanton, Claudia Heath (faculty), Billy Wilcoxson (Trustee), and Luther Deaton (member-at-large). On April 18, 2003, the Committee submitted its recommendations to the UKAA Board of Directors, and they were adopted.

8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

UNIVERSITY OF KENTUCKY ATHLETICS ASSOCIATION
Board of Directors
2004-05

FACULTY
Claudia Heath, Ph.D., Professor, Human Environmental Science
Linda McDaniel, Ph.D., Professor, School of Accountancy
M. Raynor Mullins, D.M.D., Associate Professor, Dentistry
Gerald Smith, Ph.D., Associate Professor, History

TRUSTEES
James Hardymon, Retired Chairman and CEO of Textron Corporation
Alice Sparks, President and CEO of SSK Company

ALUMNI
William B. Sturgill, CEO of East Kentucky Investment Company

MEMBER-AT-LARGE
Luther Deaton, President of The Central Bank of Lexington

STUDENT MEMBERS (Student-athletes)
Danielle Petrisko
Matt Wells

EX OFFICIO MEMBERS
Lee T. Todd, Jr., Ph.D., President, UK (Chair)
Mike Nietzel, Ph.D., Provost, UK
Frank Butler, Acting Executive Vice President for Finance and Administration, UK
John Picoro, Pharm.D., Faculty Athletics Representative and Professor of Pharmacy, UK (Secretary)
Patricia Terrell, Ed.D., Vice President for Student Affairs, UK
Bill Ransdell, K-Association President

EMERTI MEMBER
S.T. Roach, Retired High School Teacher and Coach

Information to be available for review by the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).

Governance and Commitment to Rules Compliance

- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

Governance and Commitment to Rules Compliance

Operating Principle

1.3 Rules Compliance

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

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 first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions from the first-cycle certification process and actions taken were:

1. Consider documenting and disseminating (e.g. through the athletics department policies and procedures manual) the responsibilities and roles of the University's registrar and financial aid officer with regard to athletics matters (e.g. admissions, continuing eligibility certification). The responsibilities and roles of these university officials became part of the Athletics Department policies and procedures manual in fall 1999 and have been periodically revised and updated through the Academic Integrity Committee.
2. The Associate Director of Athletics for Compliance should present an annual oversight report to the Athletics Association Board, beginning with the academic year 1996-97. This position is currently making an annual report to the Athletics Board as part of the Athletics Director's Annual Report. This has been a regular part of the Athletics Director's report since the first-cycle suggestion was made.
3. The University should utilize the Southeastern Conference (SEC) Compliance Review Program to conduct Rules Compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996. Such a review was requested during the first-cycle for fall 1996. Due to scheduling difficulties at the SEC office, that review actually took place in summer 1997. To comply with the NCAA's compliance review frequency requirement of every four years, the University requested another review in fall 2000 hoping to be scheduled by the required date of summer 2001. The SEC office was undergoing dramatic staff changes in the Compliance area and delayed that request on several occasions. When the new SEC Commissioner was hired in July 2002, he asked that the University wait until he could institute a consistent review program through the conference office. UK finally received its second review in spring 2004. Additionally, the Athletics Department was the subject of an extensive review by a University committee outside athletics established by President Todd in spring 2002. Compliance was part of that review and significant changes were made throughout the department as a result of their study. It is the position of this university that the presidential review would meet the requirement for a periodic review by a group outside the Athletics Department. The SEC review occurred two years after that of the presidential committee. The University of Kentucky will continue to have a compliance review by the SEC office every two years as part of the new SEC Compliance Program.
4. The Associate Athletics Director for Compliance should meet annually with each booster group to provide rules education, beginning in fall 1996. This practice began with some external booster organizations in fall 1996 and included all external booster organizations that hold periodic meetings by fall 1997. The Associate Athletics Director for Compliance continues to meet annually with these groups.

Governance and Commitment to Rules Compliance

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Additional plans for improvement implemented since the first-cycle certification include:

1. In 2002 the University of Kentucky contracted with an external company to establish a confidential toll-free call number for the use of employees, student-athletes, and boosters of the athletics program (Comply Cats 1-866-257-CATS [2287]). It is the hope of the Athletics Department that anyone who needs to report a violation or has a compliance concern will feel free to contact the Compliance Office or the Athletics Director. However, for those who do not feel comfortable taking that approach for any reason, the toll-free line provides a confidential vehicle whereby the department can become aware of all compliance concerns. The line is available 24 hours a day, seven days a week. All booster groups, athletics teams, and staffs are educated on the purpose of the line and how to access it. Individual calls are reported immediately to the Compliance Office for action. A monthly report of all calls is sent to the President of the University and the Commissioner of the SEC.
2. In 2003 the Compliance Office and the Athletics Accounting Office collaborated on a monitoring system for all expenditures made by the Athletics Department that involved a coach, student-athlete, staff member, or booster club. Every document flowing through the accounting office involving those groups is sent to the Compliance Office for review prior to payment. This system has helped prevent and detect problems that would otherwise go unnoticed. This has been an extremely effective process that has greatly enhanced the monitoring capabilities of the Compliance Office.
3. In 2001 the Compliance Office established a system whereby all external booster organizations had to receive prior written approval from the Compliance Office and their Administrative Liaison before any expenditure on behalf of UK Athletics could be made. This procedure, in combination with the external audits required for all these groups, has allowed much greater control over the activities of external booster organizations.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable.

5. 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 Athletics Department, through the Compliance Office, speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of athletics' interests. To this end, the Associate Athletics Director of Compliance writes a quarterly Compliance Corner column for "Blueprint," a periodic publication that is mailed to over 100,000 supporters of UK Athletics. The Associate Athletics Director posts educational information on prominent booster message boards, when necessary, in response to posts which indicate problems or areas of concern or interest. Those message boards will also contain an internal link to UK compliance information contained on the official UK web site. This web site is continually updated.

In addition,

- Compliance Office staff members periodically write rules education articles for alumni and booster publications.
- Rules education pamphlets are mailed with season ticket information and alumni mailings.
- The Associate Athletics Director for Compliance speaks on a regular basis to high school coaches, principals, and athletics directors, as requested.
- A member of the senior administrative staff serves as a liaison to each of the external booster organizations. This gives them an additional person to contact other than the Compliance Office for operational or financial concerns.
- The most effective control is the prior written approval of any and all expenditures made by any external booster organization on behalf of the UK Department of Athletics. This prior approval form must be filed by the appropriate officer of the club and must receive the written approval of the administrative liaison assigned to that club and the

Governance and Commitment to Rules Compliance

written approval of the Compliance Office.

—At the end of each fiscal year, each external booster organization must submit a financial audit that lists every check written throughout the year. This audit must be completed by an outside auditor in compliance with NCAA requirements.

—The Compliance Office meets annually with each of the external booster clubs to educate them on the NCAA rules governing booster interaction with both current student-athletes and prospects. The Department of Athletics also uses that time to inform them of the Comply Cat line and encourages them to share any information or concerns directly or through the confidential line. Athletics makes it very clear that the department is committed to compliance and wants to be informed of any problems or concerns the boosters might have.

- 6. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.**

The Athletics Director is the individual designated by the President as being responsible for the institution's NCAA rules compliance. The Athletics Director reports directly to the President of the University. The staff of the UKAA Compliance Office assists the Athletics Director by conducting the day-to-day operations to ensure such compliance. The Compliance Office ensures that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference and NCAA rules and regulations. The Compliance Office staff monitors the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff also conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Compliance with the rules and regulations of the University, SEC and NCAA is internally monitored through frequent operational checks with all sport and administrative areas. The Compliance Office relies extensively on the services and expertise of University officials outside the Athletics Department to document and monitor compliance. The Athletics Department is also externally audited every two years by the Compliance Staff of the SEC or an outside group contracted by the SEC. The Compliance Staff attends regional and national seminars to continually improve their effectiveness. Every employee of the University of Kentucky Athletics Department signs the NCAA Certification of Compliance Form annually and has a duty to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. When a violation does occur, the institution self-detects, self-investigates and self-reports in a timely and thorough manner.

The ATHLETICS DIRECTOR is designated by the President of the University to have direct accountability for rules compliance. The Athletics Director and the President together meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance. The Athletics Director also meets with each team individually in the fall and spring to emphasize the Athletics Department's commitment to rules compliance. He conducts an annual mandatory meeting for all student-athletes to review the student-athlete handbook. The Athletics Director reviews and signs-off on the initial, continuing, and transfer eligibility certifications and the sources of institutional and outside aid recorded on the SEC Eligibility Squad Lists. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. The Athletics Director is involved in resolution efforts when a student-athlete desires to transfer and there is a discrepancy between the institutions submitted by the student-athlete and those to whom the head coach is willing to release the student.

The FACULTY ATHLETICS REPRESENTATIVE (FAR) reports directly to the President and represents faculty concerns for the institution's conduct of its intercollegiate athletics program. The FAR demonstrates the faculty's belief that the intellectual and emotional development of students is the primary mission of the institution and that the value of athletics shall be measured by their contribution to that goal. The FAR works closely with athletics administration and staff to ensure that these goals are realized.

The FAR is responsible for creating and maintaining a clear and effective relationship between the institution, the NCAA, and the SEC, and also has responsibilities at UK as designated by these organizations, such as knowledge of regulations and procedures, attendance at meetings, involvement in investigations relating to alleged infractions, involvement in institutional self-studies, certification of eligibility, and qualifications for championships. When the

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institution maintains membership in other national governing bodies, the FAR has the appropriate responsibilities associated with such organizations.

The FAR informs the President of the general nature of faculty concern and support of the intercollegiate athletics program, specifically: faculty reaction to proposed NCAA legislation and the effect such legislation might have on institutional concerns; current issues, trends, and important problems that may arise with regard to intercollegiate athletics; the extent of institutional compliance with the letter and spirit of NCAA and SEC regulations; and academic integrity issues and the eligibility of student-athletes. As chair of the Academic Integrity Committee, the FAR oversees the institution's athletics program. He serves as one of the delegates representing the University of Kentucky at the annual meeting of the NCAA and as Secretary of the University of Kentucky Athletics Association.

The FAR reviews and evaluates academic and general support services for student-athletes; studies and monitors student-athlete time demands, practice and competition schedules, and student-athlete conduct and welfare; monitors majors, course enrollment/schedules, and summer school attendance of student-athletes; reviews student-athlete orientations, tutoring, study halls, drug education, special admissions, class attendance, and final grades; conducts exit interviews, concurrently with the Associate Athletics Director for Compliance, with student-athletes and prepares a report for the Athletics Director; and, supports and assists the activities of the Associate Athletics Director for Compliance.

The FAR is also responsible for: determining the eligibility of student-athletes under NCAA and SEC rules and regulations and certifying eligibility; in conjunction with the Athletics Director or his/her representative, appealing to the NCAA Eligibility Committee for restoration of eligibility of student-athletes; in conjunction with the University's Director of Admissions and the Registrar, monitoring decisions that affect student-athlete eligibility; in conjunction with the University's Director of Financial Aid, monitoring NCAA and/or SEC rules on grant-in-aid to student-athletes; interpreting for academic advisors and others NCAA and/or SEC regulations that require student-athletes to make satisfactory progress toward a degree; in conjunction with academic advisors and Athletics Department staff members, monitoring student-athletes' satisfactory progress toward their degree; in cooperation with counseling staff members, determining that counseling is available to student-athletes in areas that relate to participation in intercollegiate athletics and academic welfare; and serving as faculty advisor to the student-athlete advisory council.

A job description for the FAR is available in the "UKAA Policies and Procedures Manual." The FAR is appointed by the President for a three-year term that may be renewed indefinitely. Given the extensive knowledge and expertise required to function effectively in this position, long-term service of the FAR is highly desirable. However, the Governance and Rules Compliance Subcommittee suggests that the University should consider a reasonable limit on the years the FAR may serve. Such a limit would accomplish two things: 1) provide other interested faculty with the opportunity to serve as FAR; and 2) distribute the cost burden to other colleges since the FAR's college currently bears the cost of the FAR's time. The Subcommittee suggests further that a study of best practices among other SEC and benchmark institutions should be conducted, prior to making decisions regarding the FAR, to gather additional information on how the role of Faculty Athletics Representative is structured, funded, and fulfilled.

The ASSOCIATE ATHLETICS DIRECTOR (AAD) FOR COMPLIANCE reports to the Athletics Director and also has a dotted-line reporting relationship to the President. The AAD for Compliance meets with the President once a month without the Athletics Director present to keep him informed of the University's rules compliance activities and any enforcement issues being addressed and to secure his input on legislation and other issues.

The AAD for Compliance monitors University of Kentucky Athletics compliance with NCAA and SEC rules and regulations. Specific responsibilities include: monitors recruitment, admission, eligibility, financial aid, summer housing, summer employment, and complimentary admissions of current and prospective student-athletes; disseminates and interprets NCAA and SEC rules concerning the UK athletics program; investigates and reports any rules violations that may or have occurred and coordinates the University of Kentucky actions in response to the NCAA or the SEC regarding the violation; and provides rules education opportunities for student-athletes, coaches, boosters, and other groups connected with the University of Kentucky athletics program.

Under the direction of the AAD for Compliance, the Director of Compliance assists in monitoring the University of Kentucky athletics compliance with NCAA and SEC rules and regulations including recruiting and coaching activities and collecting proper documentation in regard to those areas. The Director monitors student-athlete financial aid, administers the NCAA Special Assistance Fund, and administers the NCAA Opportunity Fund.

Also under the direction of the AAD for Compliance, the Athletics Eligibility Coordinator creates and maintains the squad lists for all NCAA sports at the University of Kentucky including entering and monitoring of prospective student-athletes in the NCAA Initial Eligibility Clearinghouse, maintaining up-to-date eligibility files on all current student-athletes, and completing preliminary evaluation of prospective student-athlete transcripts for coaches to determine eligibility status.

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COACHES report directly to the Athletics Director. Every new coach meets with the Compliance Office staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office. Coaches meet periodically with the Athletics Director and the President where emphasis is given to commitment to rules compliance. Coaches are responsible for making themselves and their student-athletes available to the Compliance Office for rules education on a regular basis. The head coach of each sport and the Athletics Director sign the Affirmation of Eligibility form, and the head coach is provided with a list of those student-athletes who are certified as eligible for intercollegiate competition. Coaches must complete phone logs, practice logs, playing and practice season forms, pre- and post-official visit forms, and other required documentation for monitoring by the Compliance Office. Each coaching staff meets monthly with the Director of Compliance to turn in these forms and receive any updated information compliance might need them to know. Coaches receive a status report from the NCAA Initial Eligibility Clearinghouse and a copy of the Admissions report showing the admission status of all prospective student-athletes on a weekly basis.

The UNIVERSITY REGISTRAR reviews each returning student-athlete's satisfactory progress and certifies continuing eligibility based on current NCAA legislation. The Registrar collects forms completed by the individual colleges certifying percent of degree completed and cumulative grade point average for all returning student-athletes. The Registrar also collects forms from the individual colleges confirming the number of transfer hours accepted by the University and by the individual college toward a specific degree. Under the direction of the University Registrar, the Associate University Registrar certifies continuing eligibility for all returning student-athletes and eligibility for all transfers. Full-time enrollment is also certified by the Registrar's Office.

The DIRECTOR OF ADMISSIONS makes all admissions decisions for prospective student-athletes under the rules and regulations stipulated by the University Faculty Senate. All initial eligibility certification decisions are made by the NCAA Initial Eligibility Clearinghouse. Admissions decisions are determined only after the official Clearinghouse decision has been made. Once the admissions decision is made, the Director of Admissions sends copies of all academic credentials utilized in the admission process to the Compliance Office. These credentials are reviewed to ensure compliance with SEC and NCAA rules and regulations. If any academic credentials are received by the University of Kentucky in the admission process that contradict the eligibility decision of the Clearinghouse, an investigation will be conducted in conjunction with the Clearinghouse to verify or correct the decision. Student-athletes who are denied admission because they do not meet the standards set forth by the University Faculty Senate may appeal through the Exceptions Committee. In conjunction with the Registrar, the Director of Admissions determines which courses taken by a transfer student at another institution are transferable to the University of Kentucky.

The Director of Admissions reviews and signs off on the SEC Eligibility Squad Lists of students with initial, continuing, or transfer eligibility. The Director of Admissions provides the AAD for Compliance and the AAD for Student Services a weekly computer printout showing the admissions status of all prospective student-athletes. The Director of Admissions attends the SEC Summer Workshop to gain information on new rules and regulations pertaining to admissions and to share ideas and concerns with counterparts from other SEC institutions.

Under the direction of the DIRECTOR OF FINANCIAL AID, the Associate Director of Financial Aid works with the Athletics Department to provide information and assistance to both the student-athlete and his/her family to ensure that the student receives the maximum amount of permissible financial aid from all sources. In conjunction with the Athletics Department, the Financial Aid Office develops a working system to provide financial resources to student-athletes while maintaining the institutional control required by NCAA regulations. This involves establishing policies and procedures that clearly state who is responsible for the various tasks required and ensuring that there is a clear delineation of responsibilities. Student-athletes are flagged in the financial aid system so that they may be monitored for over-awards and to ensure that all sources of financial assistance being given to the student-athlete are permissible under NCAA and federal guidelines.

In conjunction with the Athletics Compliance Office, the Associate Director of Financial Aid produces and sends athletics award and denial letters to students within the time frame required by the NCAA. This letter states the terms of the award and indicates the right of appeal for those students whose aid is being reduced or not renewed. If the student chooses to appeal, the Financial Aid Office schedules and conducts the appeal hearing in accordance with NCAA regulations. The role of the Financial Aid Office in the appeal process is to help the Chair of the financial aid committee conduct the appeal process but not act as a voting member.

The Financial Aid Office maintains financial aid records in the University of Kentucky Student Information System (SIS) for all student-athletes to provide information required to produce squad lists and other required information. The Director and Associate Director of Financial Aid monitor proposed changes to both athletics rules and all other types of financial assistance to ensure that the changes are in the best interest of the student-athlete and are proactive in supporting or opposing those changes as appropriate. This monitoring also includes developing

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systems and processes within the institution to ensure that the institution will be in compliance with the new regulations.

The Compliance Office staff meets with the University's INTERNAL AUDITORS several times during the year to discuss the steps being taken to monitor areas such as compliance with UK accounting procedures, minimizing the risk of fraud, reputational risk, and so forth. The AAD for Compliance attends similar meetings of the Athletics Director and Internal Audit. As part of the University's corrective action from the football investigation, internal auditing of institutional camps was expanded. The Athletics Department and Compliance Office cooperate with the internal auditing office in both on-site audits of camp registration and reconciliation audits at the end of the camps.

7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

The staff of the University of Kentucky Athletics Department Compliance Office conducts an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters. Listed below are the rules education policies and ongoing efforts.

RULES EDUCATION POLICIES

- The UKAA Compliance Office will ensure that all coaches, student-athletes and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations.
- The Athletics Director and the CEO will meet periodically with the Athletics Department staff and student-athletes to emphasize their commitment to rules compliance.
- The Athletics Department will fund rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility and financial aid.
- The Associate Athletics Director (AAD) for Compliance will conduct regular rules education sessions for external groups who support UK Athletics.
- Educational materials will be available in hard copy and on-line for the continuing education of all constituencies.

RULES EDUCATION EFFORTS

- The Athletics Director meets annually with each team in the fall to emphasize the Athletics Department's commitment to rules compliance.
- The Athletics Director conducts an annual mandatory meeting for all student-athletes to review the Student-Athlete Handbook and emphasize UK's commitment to rules compliance.
- The President meets annually with the Athletics Department staff to emphasize his commitment to rules compliance.
- The President participates in the mandatory meeting for all student-athletes to emphasize his commitment to rules compliance.
- The Compliance Office is responsible for the rules education portion of the program at the monthly recruiting panel meetings for UK coaches.
- The Compliance staff meets with every team when they return to campus for the fall semester to educate them about UK, SEC and NCAA rules. They also complete the required SEC and NCAA forms for eligibility.
- Each student-athlete chosen to serve as a student host for a visiting prospect reports to the Compliance Office for a rules education session prior to any contact with the prospect.
- Every new coach meets with the compliance staff to become familiar with the appropriate forms necessary to provide critical information to the Compliance Office.
- All staff assistants, clerical personnel, and student workers attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations that pertain to their area. They are informed about the appropriate forms necessary to provide information to the Compliance Office.
- Specific rules education sessions are conducted with the media relations staff, the marketing staff, and academic tutors to familiarize these employees with the rules and regulations that apply to their area.
- The University of Kentucky Athletics Department provides transportation, meals, and lodging for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office who are involved in the certification of student-athletes to attend the SEC Summer Workshop in Birmingham each year. This workshop provides information on new rules and regulations pertaining to their areas and allows them to share ideas and concerns with counterparts from 11 other SEC institutions. This group is updated continually on SEC and NCAA rules and regulations throughout the year through the Academic Integrity Committee.
- The AAD for Compliance speaks on a regular basis to booster clubs, alumni chapters, and other civic groups to inform them of the rules and regulations that pertain to the activities of representatives of UK's athletics interests.
- Rules education articles are written periodically for alumni and booster publications.
- Rules education pamphlets for boosters are mailed periodically with season ticket information and alumni

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mailings.

—The AAD for Compliance conducts rules education sessions for high school coaches, principals, and athletics directors as requested.

—The AAD for Compliance writes a quarterly Compliance Corner column for the "Blueprint" which is mailed to over 100,000 supporters of UK Athletics.

—The compliance section of the UK Athletics Department official website is periodically expanded and updated.

—The AAD for Compliance posts educational information on prominent booster message boards in response to posts that indicate problems or as deemed necessary. The message boards contain an internal link to UK compliance information maintained on the official UK website.

8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.

The "UKAA Policies and Procedures Manual," Chapter XII, outlines in detail the policies and procedures by which the department ensures the centrality of rules compliance with all its personnel. Rules compliance is a priority at all levels of the department; this is evidenced by the emphasis placed on compliance in all interviews conducted as part of the self-study, including interviews with the President, the Athletics Director, the coaches and their staffs, and the student-athletes. All members of the Athletics Department were found to be proactive in their efforts to ensure compliance with NCAA rules and regulations.

Additional evidence of this central emphasis is found in a variety of places. The "UKAA Policies and Procedures Manual" explicitly states that rules education sessions with department personnel and student-athletes are to be conducted periodically involving the Athletics Director and the President to emphasize their commitment to rules compliance. Personal meetings are conducted and materials are made available in hard-copy and electronically to facilitate the rules education process.

The procedures by which the Athletics Department facilitates its policy to ensure rules compliance are varied and comprehensive. Those procedures include an annual meeting by the CEO with Athletics Department staff to emphasize the institution's commitment to rules compliance. The Athletics Director meets annually with each team in the fall to emphasize the department's commitment to rules compliance. The Director also conducts an annual mandatory meeting for all student-athletes to review the "Student-Athlete Handbook" and emphasize UK's rules compliance commitment. The CEO participates in this annual meeting to add his emphasis to the importance of rules compliance. Each student must certify that he or she received the material and accepts responsibility for reading it. Every student in every sport must attend this annual meeting in each year of his or her participation in athletics.

The Compliance Office is responsible for the implementation of the comprehensive rules education program within the department. Compliance Staff meets with every team when they return to campus in the fall to educate them about UK, NCAA, and SEC rules. This meeting includes an explanation of reporting responsibilities, the format for reporting, where to get information, and the like. Every new coach meets with Compliance to become familiar with the appropriate forms needed to report critical information to the Compliance Office. A Compliance Handbook is provided to each coach. The Compliance Staff also conducts the rules compliance portion of monthly meetings for UK head coaches. During self-study interviews with the coaching staff, these meetings were highly complemented both for the information provided and the excellent communication vehicle for coaching staffs to share information on issues, insights, and methods of resolving problems before they arise. Any updates regarding rules changes are handled at these monthly meetings. The Director of Compliance also meets monthly with the entire coaching staff of each sport individually in the Compliance Office. During this meeting, all coaches are updated on current and impending legislation. They also turn in the forms that the Compliance Office utilizes for monitoring telephone calls, contacts, evaluations and practice times. Any questions they might have about these forms or any other compliance issue are answered during these meetings.

As to student-athletes' education efforts, in addition to the annual meeting with the Director and President mentioned above, each student-athlete chosen to serve as a student host for a visiting prospect must report to the Compliance Office for a rules education session prior to any contact with a prospect. The Compliance Office staff meets with each team when they report back to school in the fall to complete the necessary eligibility forms for the NCAA and SEC. During this meeting, the rules concerning boosters, extra benefits, complimentary admissions, agents, gambling, eligibility, recruiting and other issues that the student-athlete needs to know to remain compliant are very carefully explained. The student-athletes have the opportunity at this meeting to ask any questions they might have and to bring up any issues they consider important. They are also provided information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (Comply-Cats 1-866-275-CATS[2287]).

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Employees in the Center for Academic and Tutorial Services are educated each year concerning those rules that pertain to academic fraud, initial and continuing eligibility, tutors, and other issues. The staffs of the Sports Information Office, Marketing Office and the Accounting Office attend similar rules education meetings. Other department personnel, such as staff assistants, clerical personnel, and student workers, must attend a rules education session with the Director of Compliance to become familiar with the NCAA and SEC rules and regulations in their area. They are educated about the appropriate forms necessary to provide information needed by the Compliance Office. In each of these educational meetings, the staffs are given information about Comply-Cats, the 1-800 telephone line available to them for reporting violations anonymously (see above for number).

During the course of the self-study, the Athletics Department was in the process of checking a random selection of job descriptions for its employees to verify that there is a statement making rules compliance a central element of their employment. From that random selection, it was determined that approximately 80% of the job descriptions contained some form of statement requiring rules compliance. Since that time, Athletics completed the review of all job descriptions and added commitment statements to all job descriptions, as necessary.

9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

The Athletics Department has made it a central policy to ensure rules compliance by all individuals within and outside the Athletics Department who are involved in rules-compliance activities. The department provides funding for rules education opportunities for all campus personnel who have responsibility in the certification of initial eligibility, continuing eligibility, transfer eligibility, and financial aid. These opportunities include full funding of expenses for University employees in the Admissions Office, the Financial Aid Office, and the Registrar's Office involved in the certification of student-athletes to attend the SEC workshop each year. This workshop provides information on new rules and regulations pertaining to their areas and allows a sharing of ideas and concerns with counterparts at other SEC institutions.

The members of the Academic Integrity Committee, chaired by the Faculty Athletics Representative, include the University Registrar, certifying officials from the Registrar's Office, the Director of Admissions, certifying officials from the Admissions Office, and the Assistant Director of Financial Aid. These University Officials, in addition to various Athletics Department personnel, meet approximately six times during the academic year to discuss current and impending legislation which affects their interaction with the Athletics Department; policies concerning the admission of student-athletes; policies concerning the admission of junior college transfers; changes in University degree programs; and other issues which impact the responsibilities of these officials in certifying student-athletes. The job descriptions of these University officials outside the Athletics Department contain a statement requiring rules compliance to be a central element of their employment.

10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below and in Academic Standards, Self-Study Item 5, fall under the purview of the Associate Provost for Undergraduate Education, who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Freshman eligibility is certified by the Office of Undergraduate Admission and University Registrar. One Admissions Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted in the following ways:

- 1) all prospective student-athletes who meet UK automatic admissions standards;
- 2) all signees/scholarship athletes who meet NCAA Freshman Eligibility Standards as outlined in the NCAA Divisions I Manual 14.3.1.1.1; and
- 3) Students who are denied admission have the right to appeal the admission decision to the University Faculty Senate's Committee on Admission by Exception.

Freshman students who wish to walk on are processed the same as all other freshman applicants.

See Principle 2.1, Academic Standards, Self-Study Item 5, for step-by-step processing information related to the following: application packets; completed applications and documents; application processing for recruited athletes; international student-athlete applicants; certification; admission processing review; and protocol and procedures.

Governance and Commitment to Rules Compliance

- 11.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The policies and step-by-step procedures in the area of continuing-eligibility certification fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

See Principle 2.1, Academic Standards, Self-Study Item 10, for a complete description of the step-by-step procedures to certify student-athletes' continuing eligibility.

REGISTRATION AND ADD/DROP

All student-athletes are coded in SIS. The Student Information System (SIS) also identifies the student's sport. Student-athletes register in the regular manner. New students attend an advising conference, and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a stop code in SIS along with an Originating Academic Unit of Lexington Campus (LC). Therefore, all drops after the last day to add a class must go through the Senior Academic Counselor in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, the drop is processed through the CATS Senior Academic Counselor. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

FOR THE FUTURE

The University of Kentucky Office of Undergraduate Admission and University Registrar is currently working to bring up a new degree audit system called DARwin. Once fully implemented, DARwin will be an extremely useful tool for students and advisors. Degree audits can be generated that will clearly outline what requirements have been fulfilled by the student and what still remains to be completed. Miami University of Ohio owns DARwin and has already written a program for NCAA certification. UK plans to utilize this tool in calculating percentage toward degree completion when working with student-athletes.

- 12.** Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

Transfer student eligibility is certified by the Office of Undergraduate Admission and University Registrar. Student-athletes who transfer to the University of Kentucky from another institution and who are not considered freshmen are bound to the guidelines established by NCAA and SEC rules. The rules are applied by the Associate Athletics Director for Compliance. (See Principle 2.1, Academic Standards, Self-Study Item 9, for additional details). The process is overseen by the Faculty Athletics Representative.

The Admission Officer reviews each application and associated documents carefully and sets up additional on-line requirements for transfer student-athlete applicants. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

SIS allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising conference where they will meet with an academic advisor and register for classes, just as all other students are required to do.

Governance and Commitment to Rules Compliance

The Admission Officer is responsible for carefully reviewing transcripts and calculating cumulative grade-point averages and test scores. These data items are recorded in SIS.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletic Director, Associate Athletics Director for Compliance, Associate Director of Undergraduate Admission and Associate Registrar, Associate Registrar for Student Records, Associate Director of Financial Aid, and Faculty Athletic Representative.

Verifying course work for transfer student-athletes follows this sequence:

OLD RULES (Prior to fall 2003)

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices for certification of the number of transferable hours that the student has earned.

REGISTRATION AND ADD/DROP

Please refer to this same section in the previous response to Self-Study Item #11.

13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

The "UKAA Policies and Procedures Manual," Chapter XII, includes detailed policies and procedures for the detection and reporting of rules violations. Responsibilities for self-reporting violations are extended to all employees, student-athletes, and any other individual associated with the University of Kentucky Athletics Department. It is considered to be an affirmative obligation for UKAA employees to report all violations of UK, SEC and NCAA rules and regulations of which they are aware. They are assured that such reports may be made without fear of retribution.

Such individuals are required to make their initial report by phone to either the Compliance Office, the cell phone of the Associate Athletics Director for Compliance, the cell phone of the Director of Compliance, or to the Comply-Cat toll-free line (Comply-Cats 1-866-275-CATS[2287]). This toll-free hotline is monitored by an independent contractor, seven days a week, 24 hours a day, throughout the year. If the caller so chooses, the report may be made anonymously.

After the initial report, individuals are required to put the information in writing. This written report should include what happened, how it happened, when it happened, who was involved, and so forth.

The Associate Athletics Director for Compliance will investigate the reported violation and determine, with the assistance of the SEC and NCAA staffs if necessary, whether or not a violation has occurred. The FAR, President, and Athletics Director are informed of the investigation and receive a copy of the report.

Other officials within the Athletics Department or the University (e.g. AAD for Student Affairs, University Ombud, etc.) may be involved in the investigation depending on the nature of the violation reported.

The violation is then reported in a timely manner by a written report to the SEC and the NCAA. In this report, the department will provide an explanation for why the violation occurred and what can be done to keep it from happening in the future.

The Compliance Office staff is responsible for monitoring compliance with any penalties or sanctions imposed by the institution, the SEC, or the NCAA as a result of any reported violations.

Any employee, student-athlete, or other individual associated with the University of Kentucky Athletics Department who willfully violates UK, SEC, or NCAA rules or who is grossly negligent in applying those rules, will be subject to disciplinary action which may include termination.

14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

Governance and Commitment to Rules Compliance

The processes described below fall under the purview of the Associate Provost for Undergraduate Education who is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS).

The support required to award and monitor financial aid to a student who is participating in NCAA athletics is much different than that required for a student receiving federal, state, or institutional aid. While athletic aid must be considered in monitoring these types of aid to ensure there are no over-awards based on need, additional levels of regulations apply to student-athletes. These additional sets of rules from the NCAA and the SEC require that a complex institutional system be in place to ensure compliance with all regulations and to maintain institutional control. The processes listed below differ from or are in addition to the regular processes used to administer other types of financial assistance.

FINANCIAL AID/ADMISSIONS PROCESS

In certain situations pertaining to football and basketball the Financial Aid Office as well as the Admissions Office must certify that neither the admission of nor the financial aid awarded to the student was related to the student being an athlete in order for the student not to be counted against the team limit. In sports other than football and basketball the Financial Aid Office must certify that the financial aid awarded was unrelated to athletic ability so that the student will not be considered a team counter. (Note: These certifications pertain to all financial aid the student is receiving from all sources — not just aid awarded by the institution. This usually requires several contacts with outside agencies to obtain proper documentation of the criteria of the award the student is receiving to ensure it was not athletically related.) The Financial Aid Office must provide documentation of aid awarded to the Admission Office for athletes from other countries.

GENERAL FINANCIAL AID RESPONSIBILITIES

It is the responsibility of the Financial Aid Office to understand the bylaws and regulations of both the NCAA and the SEC as they pertain to administering financial aid to student-athletes, including how the various types of aid affect student eligibility. This requires detailed knowledge of the information in the NCAA and SEC manuals and constant monitoring of the NCAA News and yearly attendance at SEC/NCAA seminars.

Early each year after the Board of Trustees sets the fee structure for the next academic year, the Financial Aid Office works with the Athletics Department to determine the worth of a full athletics grant (tuition, room and board and books) and the worth of the full cost of attendance.

Each year both new student-athletes and all returning student-athletes are flagged in the Financial Aid Office computer system so that they can be monitored during the year. This includes both athletics scholarship students and all walk-on athletes. Additionally, the Financial Aid Office works with the Computing Center to produce weekly update reports to help monitor all aid student-athletes may be receiving.

The Associate Director of Financial Aid constantly monitors the proposed legislation from both the NCAA and the SEC in order to be able to comment and advise UK's voting representatives about how these proposals would affect UK student-athletes and/or impact the institution itself. The University of Kentucky and the SEC are very proactive in dealing with new legislation. This is a very important but time consuming process that continues throughout the year.

As legislation becomes law, it is critical that the Financial Aid Office understands how new rule(s) affect the aid process and helps the institution develop policies and procedures to ensure compliance with the new rules. This is an on-going process due to the constant changes in the legislation. These changes often require institutional resources in the form of personnel, computer support/programming, and personnel education.

One of the most important functions the Financial Aid Office renders the athletic process is that of monitoring new sources of federal, state, and institutional aid and determining how these different types of aid will be treated by NCAA regulations and how they will affect student eligibility. The importance of the role of the Financial Aid Office professionals in advising and helping these different agencies as they develop policies and procedures for new programs cannot be over-stated. Understanding the complex bylaws of the NCAA will permit the Financial Aid Office to be a resource in helping develop policies that will not jeopardize the ability of student-athletes to receive these types of funds in the same manner as other non-athletic students. This process involves monitoring new programs as well as proposed revisions and changes from state agencies and the State Legislature. This monitoring process is not limited to outside agencies but includes new institutional aid. When the Financial Aid Office is in doubt about how a particular fund must be treated, it must write the NCAA for an official interpretation. The UK Financial Aid Office has been the lead office in the state of Kentucky in requesting these interpretations and disseminating the responses to other schools in the state.

Governance and Commitment to Rules Compliance

FINANCIAL AID PROCESSES AND TASKS

The financial aid processes required to support overall athletic institutional control are significant and demand constant monitoring and changing in order to be successful. Each year every student-athlete who has remaining eligibility must be notified whether their athletic grant is being renewed at the same level as the prior year. If the athletic grant will not be renewed the student must be notified prior to July 1. All athletic grant notifications or reductions must be sent by the Financial Aid Office. If the student's athletics grant award will not be renewed or will be less than the prior year, he/she must be given the right of appeal before the regular Committee on Student Financial Aid that hears all other financial aid appeals. It is the responsibility of the Financial Aid Office and the Chair of the Committee on Student Financial Aid to coordinate the appeal process and conduct the hearing as soon as possible. The Financial Aid Office is then responsible to notify all parties of the committee's decision. The Financial Aid Committee also has an additional charge to hear appeals by student-athletes who wish to transfer and play at a different school when the UK Athletics Department will not release the student to play at that particular school. This committee has the final determination in both types of appeals.

To ensure that student-athletes are not receiving some type of aid that would render them ineligible, each year the Financial Aid Office must work to ensure that no aid is received by a student-athlete unless it is processed through the Financial Aid Office. This is a major yearlong task as aid continues to flow to students all year. Aid comes from many sources and in various forms and many cases require tracking the sources and criteria of the aid. In some cases the student may not receive the aid and the funds must be returned to the donor; in other cases, the student may receive the aid but the amount of athletic aid must be adjusted.

The Financial Aid Office is responsible for monitoring every type of aid each athlete receives to determine whether the aid makes that athlete count against the team limit, i.e., does it make them a counter? Each individual athlete has two different limits that cannot be exceeded. The limits are (1) the worth of a full athletic grant, and (2) the full cost of attendance. All aid must fall into one or both of these categories and cannot exceed a set limit. Every award is monitored to determine if that award counts against the worth of a full athletic grant limit and if the award counts against the full cost of attendance. Each year the Financial Aid Office must sign the official Scholarship/Squad List certifying the information for each sport.

Athletic financial aid credits are passed through the financial aid computer system (FAMS) to credit student accounts and produce credit balance checks for student-athletes. These checks are written and mailed to the Athletics Department only after they are monitored one last time by both the athletics staff and the financial aid staff to ensure the athlete may receive that particular type of aid. A mistake here could result in the student receiving aid which would render the student ineligible and cause the team to have played with an ineligible player. This represents a major difference between other students and student-athletes.

The Financial Aid Office is also responsible for determining the eligibility of student-athletes applying for the NCAA Special Assistance Fund and for signing the forms required to complete that process.

15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

All policies and procedures for monitoring recruiting are specifically detailed in Chapter XIX of the "UKAA Policies and Procedures Manual." The areas of compliance and the responsible parties are summarized below.

Area of Compliance: Permissible Recruiters

Responsible Person(s): Authorized institutional staff members

NCAA, SEC, and/or University Involvement: Certification administered by the Southeastern Conference (SEC)

Area of Compliance: Code Of Ethics

Responsible Person(s): Each coach

NCAA, SEC and/or University Involvement: Certification administered by the SEC

Area of Compliance: New Coach Orientation.

Responsible Person(s): All new coaches

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance.

Area of Compliance: Academics

Responsible Person(s): Coaches

NCAA, SEC and/or University Involvement: NCAA Initial Eligibility Clearinghouse, University Admissions Office, and Compliance Office

Governance and Commitment to Rules Compliance

Area of Compliance: Recruiting - Dissemination of Information

Responsible Person(s): All Head Coaches meet once a month.

NCAA, SEC and/or University Involvement: The Associate Athletics Director for Compliance and guest speakers (e. g., Admissions, Financial Aid, Housing, Registrar, etc.)

Area of Compliance: Data Collection

Responsible Person(s): One coach per sport is required to meet each month.

NCAA, SEC and/or University Involvement: Director of Compliance will discuss Official and Unofficial Visits, Scholarships, etc.

Area of Compliance: Rule Interpretations

Responsible Person(s): Coaching staff, athletics staff, institutional staff, recruits, parents, administrators, boosters, and any other individuals

NCAA, SEC and/or University Involvement: Associate Athletics Director for Compliance and Director of Compliance

Area of Compliance: Contacts and Evaluations

Responsible Person(s): Coaches will submit Travel Expense, Contact (CON-1), and Evaluation (CON-2) forms. Also, a Prospect Recruiting Log (CON-3) is kept on each prospect.

NCAA, SEC and/or University Involvement: Business Office (Contact and Evaluation forms are attached to the Travel Expense Form) and Compliance

Area of Compliance: Initial Eligibility

Responsible Person(s): Coaches and/or staff assistants

NCAA, SEC and/or University Involvement: Compliance Office, NCAA Clearinghouse, and SEC

Area of Compliance: National Letter Of Intent (NLI)

Responsible Person(s): Athletics Director (signs NLI and Application for Scholarship) and Head Coach (signs Application for Scholarship) NCAA, SEC and/or University Involvement: Compliance and SEC (NLI and Application for Scholarship)

Area of Compliance: Official Visits

Responsible Person(s): Coaches - prospect needs Clearinghouse approval. Prior to the visit, prospect is mailed banned drug list and information about the risks of nutritional supplements. Further Official Visit Guidelines (OFF-2) and U of K's Graduation Rates (OFF-3) shall accompany the NCAA banned drug list document. The coach must complete the Official Visit Pre-Approval and Summary Form (OFF-4), and the Student Host must be designated on this form. Student Host must complete a Student Host Form (OFF-5).

NCAA, SEC and/or University Involvement: Compliance Office

Area of Compliance: Procedures After Official Visit Is Completed

Responsible Person(s): Coaches must list all financial activities on the Athletics Association Travel/Recruiting Report Form (OFF-6). Prospects on an official visit are required to sign the Blue Travel/Recruiting Report Form.

NCAA, SEC and/or University Involvement: UKAA Accounting Office (Blue Travel/Recruiting Form and Official Visit Pre-Approval and Summary Form) and Compliance Office

Area of Compliance: Telephone Procedures And Guidelines

Responsible Person(s): All Coaches are required to record all calls to recruits on the Telephone Log Form (TEL-1).

NCAA, SEC and/or University Involvement: Coaches are required to submit a monthly Telephone Log Form to the Compliance Office.

16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

All policies and procedures for monitoring campus, clinics, private lessons, and activities with local sports clubs are specifically detailed in the "University of Kentucky Athletics Association Manual for Camps, Clinics, Private Lessons and Activities with Local Sports Clubs." Areas of compliance and responsible parties are summarized below.

Area of Compliance: Camp and Clinic Operating Structure (finances)

Responsible Person(s): Full-time employee sponsor or coach

University Unit Involvement: UK Accounting System

Area of Compliance: Private Lessons/ Local Sports Clubs Operating Structure (finances)

Responsible Person(s): Full-time employee as an independent business

University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Governance and Commitment to Rules Compliance

Area of Compliance: Camp and Clinic Compensation of UK Employees
 Responsible Person(s): Camp and Clinic Sponsor (Head Coaches and Assistant Coaches, including Strength and Conditioning Coaches)
 University Unit Involvement: UK Athletics Compliance Office

Area of Compliance: Private Lessons/Local Sports Clubs Operating Structure Compensation of UK Employees
 Responsible Person(s): Full-time employee as an independent business
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Approval Process for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Camps, Clinics, Private Lessons, and Local Sports Clubs Compensation to the UK Athletics Association-Facilities and Administrative Fee
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Full-time employee sponsor or coach and the Facilities Coordinator

Area of Compliance: Frequency and Timing of Camps, Clinics, Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director for approval and notification of approval to the Compliance Office

Area of Compliance: Use of UK Facilities for Camps, Clinics, Private Lessons, and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Approval of the Athletics Director and sent to the Facilities Coordinator

Area of Compliance: Camps and Clinics Accountability
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp and Clinic Discounts
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office approval as stated in the camp brochure

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Training
 Responsible Person(s): Camp sponsor and/or designated camp administrator
 University Unit Involvement: Accounting Office, the Compliance Office and representative camp sponsors

Area of Compliance: Camp and Clinic Brochures
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Athletics Publications Office and Compliance Office

Area of Compliance: Camp and Clinic Stores
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Accounting System

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Risk Management
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: UK Risk Management Department

Area of Compliance: Camp, Clinic, Private Lessons, and Local Sports Clubs Compliance
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Compliance Office

Area of Compliance: Employment at Non-UK Sponsored Camps and Clinics
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

Area of Compliance: Outside Employment Private Lessons and Local Sports Clubs
 Responsible Person(s): Full-time employee sponsor or coach
 University Unit Involvement: Athletics Director or AD designee and Compliance Office

17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

Governance and Commitment to Rules Compliance

During the last two years special emphasis has been placed on attempting to control the ever-expanding role of the internet in athletics issues. Several innovative actions have been taken in the area of controlling on-line auctions of autographed items which threaten the eligibility of our current student-athletes and in the area of educating the millions of people who post on the message boards. This has been a rather "cutting edge" effort on the part of the compliance effort at the University, and the compliance officer has been asked to speak about these at several compliance meetings. All the major internet sites devoted to UK Athletics now contain an internal link to the rules education information contained on the official UK Athletics website. They also contain a downlink to an article written by the UK Compliance Office explaining the rules which pertain directly to those who post on the internet message boards. The AAD for Compliance monitors the boards for any threads which discuss potential rules violations or allege existing violations. When these are found, information is posted directly into the thread to educate those who are reporting and/or reading the information. These educational posts receive thousands of "hits" from UK boosters. That would be a staggering number to attempt to educate in any other manner. Currently, the AAD for Compliance has a regular thread where the boosters can ask compliance questions or report concerns. The internet is a part of modern life, and it now serves the University as a dynamic educational tool for on-going compliance efforts. An intern in the Compliance Office monitors E-bay daily for any auction items bearing the name or signature of a current student-athlete. The marketing department stops any such auctions within an hour of a report to them.

- 18.** Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

The University of Kentucky was evaluated by the Southeastern Conference compliance staff in summer 1997. Another review was requested from the conference in fall 2000. Due to scheduling difficulties and dramatic staff changes in the SEC office, the review was postponed on several occasions. In response to a request to SEC to go to another outside source for the review, SEC asked the institution to wait until their staff was available. In the interim, the UK Athletics Department was the subject of an extensive review by a committee established by incoming President Lee Todd in spring 2002. Compliance was an important component of that review. The SEC now has a new Commissioner who contracted with Bond, Schoenick and King, an outside compliance group, to conduct external compliance reviews. The University of Kentucky was the subject of such a review in spring 2004.

- 19.** Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

The University of Kentucky's most recent external review was conducted by Chris Schoemann, Vice President of Bond, Schoenick and King. This firm was selected by the Southeastern Conference (SEC) to conduct external reviews at all 12 SEC institutions. They are recognized as experts in this field and have an established interview and review process for the evaluation of compliance programs. Mr. Schoemann has extensive experience in compliance, including positions at the NCAA national office, campus-level compliance responsibilities, and his current position with the compliance services company. This evaluation was very objective, as the University of Kentucky was not involved in the selection of the firm or the individual who conducted the review.

- 20.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

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	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

21. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

The evaluation report was received in September 2004. The evaluation concluded that the University of Kentucky "has a solid foundation of rules education and systems for monitoring athletics compliance." It further stated that "Kentucky has done a laudable job of attempting to establish a recognizable culture of athletics compliance both by the systems it has developed and the people it has hired."

The evaluation identified some substantive points that should be resolved "in order for the compliance program to operate more effectively." However, it also stated that none of these recommendations "is an indication of an ineffective athletics compliance program." As the NCAA Self-Study Steering Committee was concluding its review of the Athletics Department, discussions were underway to identify and develop corrective actions. Selected recommendations from relevant areas are presented below.

OVERALL PROGRAM

1. "There is a demonstrated need for an additional, full-time, administrative position within the athletics compliance operation to handle day-to-day issues. The current makeup of the athletics compliance staff lags behind industry standards for comparable Division I-A athletics programs."
2. "The job description for each individual in the athletics compliance unit should be reviewed annually to ensure that the job descriptions are consistent with practice and current expectations and that noncompliance responsibilities are compatible with the goals and priorities of the compliance program."
3. "Each University compliance form should include a specific statement and signatory section that clearly sets forth the staff member's obligation to ensure that information being provided is correct and affirms that the staff member understands that if he or she does not submit truthful information, employment with the University could be jeopardized."
4. "A date and identifying code should be incorporated into each department compliance form and written policy or procedure so that it can readily be determined when and by whom the document was last revised."

ELIGIBILITY CERTIFICATION

1. "The specific responsibilities of the degree analysts in each college should be included in the written description of procedures for the certification of eligibility for continuing and transfer student-athletes."
2. "The policy that all contacts with University offices/faculty should be made by the appropriate athletics department contact (e.g., academic counseling unit, compliance unit) rather than by the coaching staff directly should be regularly reviewed with the coaches."

RECRUITING

1. "A comprehensive monitoring/audit system for telephone records should be developed."
2. "A written agreement should be reached with each hotel that direct bills the University for hotel accommodations used by recruits that clarifies what charges can be billed and seeks the hotel's assistance in ensuring compliance with NCAA legislation."

REPORTING OF VIOLATIONS

1. "An institutional policy to stipulate that all student-athletes and all institutional staff members have an obligation to report possible rules violations should be included in the 'UKAA Policies and Procedures Manual' and/or the

Governance and Commitment to Rules Compliance

"Student-Athlete Handbook."

2. "A review of all violations for trends or patterns should take place and appropriate revisions in the compliance program plan (particularly in the areas of rules-education and monitoring efforts)."

EXTRA BENEFITS

1. "A system for more accurately monitoring all awards received by student-athletes (not just annual participation awards) and ensuring that the number and value of such awards complies with the applicable NCAA category should be created."

CAMPS AND CLINICS

1. "Annual designation of a single camp director for all camps conducted in each sport (must be a UKAA employee) should be required."

2. "Incentives and penalties regarding completion of required camp forms in a timely manner should be considered."

STUDENT-ATHLETE EMPLOYMENT

1. "References to potential issues in student-athlete employment should be incorporated in various publications designed to educate boosters, parents, student-athletes, alumni and coaches."

2. "Rules education and monitoring programs related to summer employment, particularly those jobs arranged by any athletics department staff member, should be implemented. This practice should include the following activities: (1) Final Spring Meeting - student-athletes review short rules education/questionnaires regarding summer employment. Rules education form letter sent to employer, and (2) Fall Orientation Meeting - student-athletes complete short questionnaire regarding compliance with the rules and gross estimates of earnings from previous summer's employment."

Information to be available for review by the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

Governance and Commitment to Rules Compliance

Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

Academic Integrity

Operating Principle

2.1 Academic Standards

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There was one strategy for improvement relating to Academic Integrity during the first-cycle certification decision. This strategy for improvement relates most closely to Operating Principle 2.1 (Academic Standards): "Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university's faculty athletics representative."

As noted in its February 13, 2004 minutes, the Academic Integrity Subcommittee of this self-study reviewed the job description of the Faculty Athletics Representative (FAR). This job description appears to be complete and to satisfy the requirements of the Committee on Athletics Certification. The FAR job description can be found in Chapter XXIII of the "UKAA Policies and Procedures Manual."

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 first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement/recommendations arising during the first-cycle certification that relate to Operating Principle 2.1 (Academic Standards) of the Academic Integrity section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.1 (Academic Standards). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The processes described below fall under the purview of the Associate Provost for Undergraduate Education, Dr. Phil Kraemer. Dr. Kraemer is responsible for the oversight of the following areas: Office of Undergraduate Admission and University Registrar, Financial Aid, Student Billing Services, and the Athletics Department's Center for Academic and Tutorial Services (CATS). The following processes are in place to ensure that the University of Kentucky maintains institutional control over the student-athlete admission process.

RECRUITMENT OF STUDENTS

Throughout normal recruitment activities, Admission Counselors (recruiters) from the Office of Undergraduate Admission and University Registrar interact with prospective students and prospective student-athletes. The Admission Counselors will answer general questions about athletics and athletic teams at the University of Kentucky. For instance, does UK have a Men's Tennis Team? Or does UK give scholarships to men's tennis players? However, any specific questions regarding athletics or athletic teams are directed to the Athletics Department Compliance Office.

STUDENT-ATHLETE ADMISSION INFORMATION

One Admission Officer is responsible for ensuring that all student-athletes are admitted according to UK policy. Admission is granted as follows:

1. All prospective student-athletes who meet UK automatic admission standards.
2. All signees/scholarship athletes who meet NCAA Freshmen Eligibility Standards (Division I initial-eligibility standards are located in the NCAA Division I Manual 14.3.1.1.1).
3. Students who are denied admission have the right to appeal the admission decision to the University Senate's Exceptions Committee.

Freshman Walk-Ons: Students who wish to walk on are processed the same as all other freshman applicants.

PROCESSING INFORMATION

Application Packets: Student-athlete applicants receive a special application packet containing the UK application for admission and a test score validation form with cover letter. Applications are stamped UKA-SPORT so that they are readily identified. Student-athlete applicants must pay the application processing fee unless waived because of documented financial need. The waiver process is the same as for all students.

Completed Applications and Documents: Student-athlete applicants must send applications directly to the Office of Undergraduate Admission and University Registrar. Likewise, official transcripts must be sent directly from the appropriate institution (high school or college). The Office of Undergraduate Admission and University Registrar will accept documents delivered in person by the student, but only if they are contained in sealed envelopes.

Application Processing for Recruited Athletes: Applications are audited and entered on-line in the Office of Undergraduate Admission and University Registrar. Student-athletes are identified with a special program code of ATH on screen 206 in the Student Information System (SIS). (Note: International student-athletes will be coded as FST and athletic information will only be on screen 208). Sport-specific information is also entered on screen 208. This screen indicates whether or not a student-athlete is a scholarship athlete. Following data entry, folders containing the hard-copy application and associated documents are delivered directly to the Admission Officer who is responsible for the admission of student-athletes.

The Admission Officer reviews each application and associated documents carefully and sets up additional requirements for student-athlete applicants on-line. Requirements for freshmen include the application processing fee, official ACT or SAT score reports, official high school transcript (including final transcript upon graduation), 48-C certification from the NCAA Clearinghouse, and test score validation form. Transfer applicants must provide official transcripts from each school attended and pay the application processing fee.

The Student Information System (SIS) allows for manual control over requirement data so that admission will not occur until the Admission Officer indicates that all requirements have been met. Then the admission letter is generated and the advising conference date is assigned. All student-athletes are required to attend an advising

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conference where they will meet with an academic advisor and register for classes just as all other students are required to do.

The Admission Officer is responsible for carefully reviewing transcripts, calculating cumulative grade-point averages and test scores, and in the case of freshmen, verifying the core course GPA. These data items are recorded in SIS.

International Student-Athlete Applicants: The Admission Officer responsible for student-athlete admission is also an International Admission Officer in the Office of Undergraduate Admission reporting to the Associate Director of Undergraduate Admission. International applicants must have a TOEFL of 527 (pen and paper test) or 197 (computer-based test), academic records, and financial information as determined by the Admission Officer. International student-athletes will be coded as FST on screen 206, but athletic information will be coded on screen 208.

Certification: Effective with the 1994 Fall Semester, all certification of student-athletes is completed by the NCAA Initial-Eligibility Clearinghouse in Iowa City, IA. Students must register for this service while in high school and make arrangements for official test scores and transcripts to be sent to the Clearinghouse. Usually in August the Clearinghouse sends a 48-C form to the institution the student listed on the registration form. The 48-C indicates whether or not the student has been certified and lists the 13 core courses (fall 2004 will be 13 or 14 core courses, fall 2005 will be 14 core courses) and the grade point average of the core courses. This information is also available on the secure NCAA Initial-Eligibility Clearinghouse Web site. Access to this site is restricted to the Admission Officer and the Associate Director of Undergraduate Admission and Associate Registrar.

The Office of Undergraduate Admission and University Registrar is no longer required to collect the 48-H form. Instead, the high school sends this document directly to the Clearinghouse.

Upon receipt of the 48-C form from the Clearinghouse, the Admission Officer records information on SIS, using screens 194, 209 and 207. Copies of the 48-C are sent to the Compliance Office. This shows eligibility, status, and core GPA from the Clearinghouse.

The official electronic squad list is created by the Athletics Compliance Office. The Admission Officer reviews the list and enters the 48-C information and the eligibility status for each student-athlete whose name appears on the list. The Associate Director reviews the completed file and certifies the information.

The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Director of Athletics for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

Admission Processing Review: The Associate Director of Undergraduate Admission and Associate Registrar review student-athlete admission folders, including 48-C forms, to assure that the Admission Officer has processed and admitted appropriately. This is done on a timely and continuing basis so any follow-up with the student-athlete, high school, testing agency, etc., can occur prior to the student's certification.

Copies of all documents are forwarded to the Associate Athletics Director for Compliance.

Protocol and Procedures: The staff in the Office of Undergraduate Admission and the University Registrar directs any athletic inquiries to the appropriate Admission Officer. Under no circumstances does the University tolerate interaction by coaches, coaching staff, or members of the Athletics Department with the admission process. All student-athletes are treated the same way as all other students in regard to process and procedures.

REGISTRATION AND ADD/DROP

All student-athletes are coded on screen 119, flag 5 in the Student Information System (SIS) according to sport. Student-athletes register in the regular manner. New students attend an advising conference and continuing students register using the automated telephone registration system, UK-VIP, or through webUK.

Because student-athletes are required to maintain full-time status in order to remain eligible for sporting events, student-athletes are not permitted to drop a course using UK-VIP or webUK after the last day to add a course in a fall or spring semester. This is accomplished by placing a CT stop code on screen 17 in SIS along with an Originating Academic Unit of LC. Therefore, all drops after the last day to add a class must go through Mike Haley, Director of Advising Services in the CATS office. This procedure ensures that student-athletes are not able to drop a course and become ineligible. If a drop is allowed, this is processed through Mike Haley. Students are notified of this special drop process so that they are aware of the steps necessary to drop a course after the last day to add.

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DIFFERENCES IN ADMISSION FOR STUDENT-ATHLETES VERSUS STUDENTS GENERALLY

There are no qualitative differences in the admissions process for athletes and other students. The University of Kentucky has a selective automatic admissions policy giving automatic admissions to students meeting certain course, ACT/SAT, and GPA thresholds. The University Faculty Senate also allows a defined but variable percentage of students, typically 10%-20%, to be admitted competitively upon consideration of additional factors such as special talents and skills, letters of recommendation, considerations of diversity, and so forth. Athletes who do not meet automatic thresholds but meet NCAA clearinghouse standards are admitted as part of this competitive group as specified by the University Faculty Senate. For the cohort years 2001-2003 the percentage of athletes admitted as part of the 10%-20% competitive group is summarized in Academic Integrity Attachment No. 2: Special-Admissions Information. The percent of student-athletes admitted in the competitive group (31% in 2003) is greater than the percent for all students (9%); however, it is consistent with the University Faculty Senate policy on selective admissions. It is also reasonable to expect a higher percent of competitive admissions for a group of students characterized by a special talent, compared to the general student population.

Students denied admission through either the automatic or competitive processes described above may appeal the admission decision to the Senate appointed Committee of Admission by Exception. Admission of student-athletes by special admissions through this committee is compared to all students in self-study item 8. Only rarely are athletes admitted by exception and far less than non-athletes, as shown self-study item 8. Over the three-year period, only one student-athlete was admitted by exception as a result of the appeals process. The majority of non-athletes admitted by exception (95 in 2003-04) are students qualifying for automatic admissions but who have irregularities in the application, such as late submission.

ROLE OF THE ATHLETICS DEPARTMENT

The Athletics Department plays a minimal role in admissions, confined to signing off on freshman eligibility and transfer student eligibility certification and answering questions specific to athletic teams.

- 6. Compare the admissions profiles of student-athletes who received athletics grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I graduation rates disclosure form) and for all entering freshmen students (by gender and by racial or ethnic group). [Note: Use the supplied charts and the graduation-rates disclosure form methodology to compile these data.]**

The admissions profiles of freshman student-athletes who received athletics grants-in-aid are compared with the profiles of freshman students in general in the tables included below as Academic Integrity Attachment No. 1: Part 1-A, Part 1-B, and Part 2.

Academic Integrity Attachment No. 1, Part 1-A: Standardized Test Scores, by Gender, illustrates standardized test scores for freshman student-athletes and freshman students in general by gender. In the attachment the ACT scores of students are reported as a sumscore, the sum of the four subscores that make up the ACT exam. The ACT sumscore of student-athletes is on average approximately 10 points below that of all students. The difference is less for female student-athletes than for male student-athletes. In particular, sumscores for female student-athletes are approximately eight points lower than their general student counterparts, while sumscores for male student-athletes are approximately 12 points lower. All student-athletes meet minimum eligibility requirements and are admitted under the same admission policies and procedures as all students, but as a group, their ACT sumscores are lower than those of their general student counterparts. The Academic Integrity Subcommittee discussed at length whether this difference is "significant." Based upon the relationship between graduation rate and ACT scores compiled for the 1995, 1996, and 1997 cohorts and included as part of the response to Self-Study Item 11, a 10-point ACT sumscore difference would be expected to translate into a seven percentage-point difference in graduation rates. While these admission criteria differences are not unexpected, given the different recruitment criteria applied to fine arts majors, student-athletes, and others who are admitted as part of the competitive group, the Subcommittee felt the impact of these differences in revenue sports was significant, as reflected in revenue sport differential graduation rates and discussed more fully in Self-Study Item 11. It should be noted that the admission process as practiced complies with University Faculty Senate and NCAA rules; however, the academic profile of student-athletes recruited for these three cohort years contributes to the lower graduation rates discussed under Item 11.

Academic Integrity Attachment No. 1, Part 1-B: Standardized Test Scores, by Racial or Ethnic Group, compares ACT sumscores of freshman student-athletes to those of all entering freshman students by racial or ethnic group.

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Insufficient numbers of American Indian, Asian/Pacific Islander, and Hispanic athletes are available for meaningful comparisons. Over the three-year period, white freshman student-athletes scored, on average, eight points below white freshman students in general on the ACT sumscore; black freshman student-athletes, however, show approximately a five point ACT sumscore difference when compared to all entering black freshmen. These data argue strongly against a racial or ethnic group bias in the average admission ACT sumscores for entering student-athletes.

Academic Integrity Attachment No. 1, Part 2: GPA and Test Scores, by Sport Group, compares GPA and ACT sumscores of student-athletes by sport group. No systematic significant differences in grade point average are apparent across the eight sport group categories for freshman student-athletes who received athletics aid. Women's other sports may be slightly higher than the other seven categories, whereas men's basketball was lower in 2003 only; however, small numbers of students typically result in some fluctuation of averages from year-to-year and sport-to-sport. The second half of the table compares ACT sumscores by sport group. Football and men's basketball appear to be lower, on average, than the remaining sport groups. There appear to be no significant differences among the remaining six sport groups. The shift in the distribution of entrance ACT sumscores is also noted in Self-Study Item 11 where it appears to play a role in subsequent graduation rates. The difference in entering ACT sumscores for student-athletes in revenue sports is more fully described in Self-Study Item 11.

- 7.** Please describe the process by which students may be admitted if they do not meet the institution's standard or normal entrance requirements and identify the agencies vested with this responsibility. This should include any second-level or subsequent review processes or appeals procedures which may be utilized when students are not automatically admitted because they do not meet the institution's published entrance requirements.

The admission process for student-athletes has been described in Self-Study Item 5 above. As noted in that item, if a student-athlete does not meet standard UK admission criteria, there are two additional options for being admitted:

1. If the student-athlete meets NCAA initial eligibility standards, the student is admitted as part of the 10-20% of the freshman class that the University is allowed to admit through the competitive admission process for students with special talents and abilities, such as musicians, theatre majors, student-athletes, and others.

2. Students who are not admitted through the regular process or the first option described above may appeal the admission decision to the Exceptions Committee of the University Faculty Senate's Admissions Advisory Committee. The steps in the admissions appeal process and the role of the Exceptions Committee are described below:

—Student applies for admission.

—Admission decision is made.

—If admission is denied, the student has the right to appeal the decision.

—Appeals are made in writing to the Exception Committee (this committee falls under the jurisdiction of the Admissions Advisory Committee, a University Faculty Senate committee currently chaired by Tony Baxter, who is a faculty member from the Department of Computer Science).

—The committee reviews the student's written appeal and any supporting documentation with consideration for any extenuating circumstances presented by the student.

—If the appeal is approved, the student is admitted.

—If the appeal is denied, the student is notified by a letter that also presents other options. Usually the committee recommends attending another institution (such as Lexington Community College) to raise the grade point average and then suggests that the student re-apply to UK after a certain period of time.

- 8.** Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Number 7 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates supplemental form. [Use the supplied chart to compile these data.]

ALTERNATE ADMISSION OPTION 1 (as described in Self-Study Item 7)

Academic Integrity Attachment No. 2: Special Admissions Information presents the percent of entering freshman students who were admitted through special exception provisions, which was defined for the UK Athletics Self-Study as those students admitted in the competitive group described as option #1 in Self-Study Item 7. In 2003,

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69% of freshman student-athletes met automatic admission standards, while 31% of freshman student-athletes were admitted as part of the competitive group of students. All student-athletes in the competitive group met NCAA initial eligibility standards, and therefore, these results are consistent with the University Faculty Senate policy on selective admissions. Additional explanation may be found in Self-Study Item 5 under the section entitled, "Differences in Admissions for Student-Athletes versus Students Generally."

It is worth noting that the percentage of all freshman students admitted in the competitive group declined over the three-year period from 19% to 9%, reflecting efforts of the University to improve the quality of incoming freshmen. This percentage also decreased for student-athletes from 49% in 2001 to 31% in 2003.

ALTERNATE ADMISSION OPTION 2

The Academic Integrity Subcommittee reviewed data over the last two years from the Exceptions Committee of the Admissions Advisory Committee. Historical admissions records are not maintained in the student records system, and therefore could not be reviewed prior to spring 2003. During the time period from spring 2003 through spring 2004 (four semesters including summer), 95 student appeals were considered by the Exceptions Committee. Of these 95 appeals, only one appeal involved a student-athlete. This student-athlete was admitted as a transfer student.

The Academic Integrity Subcommittee concluded upon review of the admission appeals data and the Exception Committee decisions that student-athletes represent an insignificant portion of the admission appeal cases, and there is clear evidence that student-athletes are not given preferential or inappropriate treatment via the admission appeal process.

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

Transfer student-athletes are admitted under the same admission standards as students in general, as follows:

UK TRANSFER STUDENT ELIGIBILITY

Students at other colleges or universities, including community colleges, are eligible to transfer to UK if they:

1. Would have been selectively admitted to UK when they entered the first institution attended provided they have a cumulative grade-point average of 2.0 or better for all college-level work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all college-level work attempted at the last institution attended, provided at least 12 credit hours (or the equivalent thereof) were attempted there; or
2. Would not have been selectively admitted to UK but have completed 24 semester hours or more and achieved a cumulative grade-point average of 2.0 or better for all college and university work attempted. Applicants must also have a cumulative grade-point average of 2.0 or better for all work attempted at the last institution attended.

Grade-point averages are computed by the Office of Undergraduate Admission and University Registrar and reflect the grade and credit for each course attempted, regardless of the practice of the offering institution of waiving the low grade for a repeated course.

UK APPLICATION PROCEDURES FOR TRANSFER STUDENTS

Transfer applicants from other colleges and universities request and complete an application packet from the Office of Undergraduate Admission and University Registrar and submit the following:

1. completed application for admission;
2. official transcript from each college or university attended, containing a complete record of all courses completed at the time of application;
3. roster of the courses in which the student is currently enrolled;
4. final official transcript of any additional work completed before entering the University; and
5. non-refundable application processing fee.

Candidates tentatively admitted at the time of application should be aware that the University will cancel the admission and/or the early registration of an applicant whose final official record, after completion of a current semester, shows ineligibility because of suspension, dismissal, or a drop in grade-point average below the required 2.0. Admitted transfer students are asked to bring a copy of the catalog of the last school attended when they attend their Advising Conference.

A student-athlete who transfers to the University of Kentucky from another institution who is not considered a freshman is bound by the guidelines established by NCAA and SEC rules. The process is overseen by Faculty Athletics Representative, Dr. John Picoro. The rules are applied by the Associate Athletics Director for Compliance, Sandy Bell, who has described them as follows:

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INCOMING TRANSFER EVALUATION PROCEDURES

Official Visits

1. The coach will identify a prospective transfer student-athlete by submitting the "Official Visit Pre-Approval and Summary Form" along with the prospect's transcript to the Compliance Office.
2. The coach will provide all transcripts and a current college course schedule to the Compliance Office.
3. The coach will complete and attach the "Request for Academic Progress Evaluation Form." The coach shall provide a desired major of the prospect. If the recruit conveys to the coach that he/she is undecided as to the type of degree they want to pursue, the coach will put "undecided" in the column marked "desired major" on the form. By denoting "undecided" on the form, the CATS official will select the major in which the prospective student-athlete will receive the most transferable hours towards a UK degree.
4. The Compliance Office does an unofficial evaluation of the transcript(s) for transferable hours. The Compliance Office will also check for additional NCAA/SEC transfer regulations (i.e. SEC English requirement).
5. The Compliance Office forwards the transcript(s) and transferable hours evaluation to the CATS official. The CATS official will do a preliminary degree progress evaluation.
6. CATS will provide to the Compliance Office the preliminary evaluation concerning the prospective student-athlete's athletic degree eligibility and graduation.
7. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.

Scholarship Request

1. The coach requests the SEC Application for Scholarship and/or NLI documents from the Compliance Office.
2. The coach attaches the completed "Request for Academic Progress Evaluation Form" if the prospect has made an official visit. If the prospect has not been previously evaluated, the coach shall attach the evaluation form at this time.
3. The Compliance Office checks for all current transcripts, qualifier status, and academic work in progress at the prospect's current institution.
4. The Compliance Office will perform a transferable hours audit of all transferable hours.
5. The Compliance Office will forward to the CATS official the transcript(s) and the "Request for Academic Progress Evaluation Form." The CATS official will obtain an official degree check through the Registrar's Office and the student's chosen college. If the prospective student-athlete has notified the coach that he/she is undecided on a desired major, the CATS official will convey to the Registrar's Office to select a major that would give he/she the most hours towards a UK degree.
6. After the degree check is completed by the Registrar and the designated college, the CATS official will distribute the audit to the Compliance Office.
7. The Compliance Office will review the degree check and NCAA/SEC transfer rules. The Compliance Office will provide the coach with the information regarding the prospect's transfer status and degree eligibility.
8. The Compliance Office will issue scholarship papers to the coach.

The certification process for transfer student eligibility is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piccoro.

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

The Compliance Office develops squad lists. A copy of the list goes to the Undergraduate Admission Officer and a copy goes to the Center for Academic and Tutorial Services (CATS).

The Office of Undergraduate Admission and University Registrar compiles a list of undeclared student-athletes that need to select a major. This list is given to CATS. CATS then notifies the student-athletes. A Degree Objective Intent sheet is completed and submitted to the Undergraduate Admission Officer.

Student-Athlete Degree Progress Forms for each student-athlete are sent to the designated contact in the academic dean's office. The college contacts are given three weeks to complete and return the forms. The colleges as well as the Office of Undergraduate Admission and University Registrar keep a major planning sheet for each student-athlete. Colleges have both primary and secondary student services personnel available to help meet the three week deadline.

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Once the Degree Progress Form is completed, Cathy Mott in the Office of Undergraduate Admission and University Registrar calculates the earned hours for the degree, certified hours for major, total hours toward degree, and eligibility status. A copy of this information is sent to Mike Haley, Director of Advising Services in CATS. The Office of Undergraduate Admission and University Registrar and Compliance/CATS verify the numbers. The Compliance Office notifies coaches of ineligible student-athletes.

Freshmen and transfer students' eligibility is certified by the Office of Undergraduate Admission and University Registrar. The certification process is not complete until all of the following University of Kentucky representatives have signed the certification: Athletics Director Mitch Barnhart, Associate Athletics Director for Compliance Sandy Bell, Acting Associate Director of Undergraduate Admission and Associate Registrar Michelle Garth, Associate Registrar for Student Records Cleo Price, Associate Director of Financial Aid David Prater, and Faculty Athletics Representative Dr. John Piecoro.

Verifying course work for student-athletes follows this sequence—

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—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is also done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 25% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 50% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 25% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

NEW RULES (Effective fall 2003):

—Receive squad list from the Compliance Office. These are by sport for men and women.

—Verify full-time enrollment for each student using the official student records database, the Student Information System (SIS).

—Continuing student's eligibility is done by the Admission Officer.

—Students who have completed their first year must have passed 24 hours; 75% (18 hours) must have been completed within the fall and spring semesters.

—Students completing their second year must have passed 24 hours; 75% (18 hours) must have been within fall and spring semesters. At the beginning of the fifth semester, students must have completed 40% of degree requirements. GPA must be at least 1.8.

—Students completing their third year must have designated a degree program at the beginning of their third year or fifth semester. Third year students must pass 24 certified (toward their degree) hours; 75%, again, within the fall and spring semesters. At the beginning of the seventh semester, students must meet 60% of degree requirements and their GPA must be at least 1.9.

—Transfer students entering their third year or the fifth semester must have completed 40% of their degree requirements. A form is sent to the college deans' offices and they certify the number of transferable hours that the student has earned.

The Office of Undergraduate Admission and University Registrar provides the college deans' offices with the necessary forms that are to be verified for continuing eligibility. Primarily, information regarding the 25/50/75 (Old Rules), 40/60/80 (New Rules effective Fall 2003), certified hours, and hours earned toward graduation is provided. College representatives are responsible for verifying courses student-athletes completed during the term. The deans' offices will ensure the required student-athlete forms are on file before the student is certified eligible. These forms are kept in the student's folder in the student records area of the college.

Student-athletes must have passed at least six hours from the previous semester to participate in the next (or following) semester, according to NCAA rules. Also, in order to participate in post-season championships or Football Bowl games, student-athletes must have passed six hours in the previous semester, according to SEC rules. This information is verified by Cleo Price, Associate Registrar, and Athletics Department Compliance is notified immediately if any student is ineligible.

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- 11.** Review the graduation rates for student-athletes who received athletics grants-in-aid, for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the graduation rate for student-athletes, or for any student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.

The Academic Integrity Subcommittee reviewed graduation rates for student-athletes as a whole as well as multiple subgroups and compared these to graduation rates for students as a whole. The table below shows a comparison of six-year graduation rates for student-athletes and for all students generally. The six-year graduation rate is computed for each group of students by tracking a cohort of first-time, full-time, degree-seeking students over a six-year period to determine what percent graduated within the six-year timeframe.

Table 1: Comparison of Six-Year Graduation Rates for Student-Athletes and for All Students

Fall 1997 Cohort

Graduation Rates for Student-Athletes: 50.6%

Graduation Rates for All Students: 61.1%

Fall 1996 Cohort

Graduation Rates for Student-Athletes: 47.7%

Graduation Rates for All Students: 57.7%

Fall 1995 Cohort

Graduation Rates for Student-Athletes: 39.5%

Graduation Rates for All Students: 57.2%

This table reveals that for cohort years 1995, 1996, and 1997 graduation rates for student-athletes averaged approximately 10 percentage points less than graduation rates for all students. This 10 percentage-point difference in overall graduation rate for student-athletes was identified by the Subcommittee as a significant difference. Using NCAA graduation rate data for cohort years 1995, 1996, and 1997, the Subcommittee next analyzed student-athlete graduation rates further to identify subgroups or trends within the student-athlete cohort. Analysis by team, gender, and ethnicity is somewhat difficult due to the small number of students present in many of the cohorts. In general, however, it appears that graduation rates are on average lower in football, men's basketball, and possibly women's basketball, although there is considerable variation as well as small cohort numbers in women's basketball.

There was a trend for lower graduation rates among black, non-Hispanic students, although this was not consistent from sport-to-sport or from year-to-year, again reflecting small cohort samples. Based on the NCAA graduation rate data, the Subcommittee concluded that there was a trend for lower graduation rates among black, non-Hispanic student-athletes. However, the difference in graduation rates for black, non-Hispanic student-athletes did not differ from the graduation rates of all black, non-Hispanic students to any greater degree than the difference in graduation rates between other student-athlete cohorts and their respective racial/ethnic groups among all students. It was also noted that the graduation rates for black, non-Hispanic students may be affected by the disproportionate number of these students included within revenue sports such as men's basketball, football, and women's basketball, where lower graduation rates have already been noted above. From the analysis above, the committee concluded that graduation rate data would be best studied by division into revenue and non-revenue sports.

The Subcommittee next looked at the effects of admission qualifications upon subsequent graduation rate. Using the 1997 cohort, Table 2 below illustrates the six-year graduation rate as a function of entering average ACT score. The graph in Figure 1 (provided to NCAA as a hard copy supplement to this online report) is roughly linear and shows an approximate three percent increment in graduation rate for each one point increment in average ACT score.

Table 2: Graduation Rates by ACT Score Ranges

Fall 1997 Cohort — All Students

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ACT Range: 17 & Under (N=34)
 Graduation Rate after 4 Years: 11.8%
 Graduation Rate after 5 Years: 29.4%
 Graduation Rate after 6 Years: 32.4%

ACT Range: 18-20 (N=300)
 Graduation Rate after 4 Years: 16.3%
 Graduation Rate after 5 Years: 41.7%
 Graduation Rate after 6 Years: 49.7%

ACT Range: 21-22 (N=542)
 Graduation Rate after 4 Years: 24.9%
 Graduation Rate after 5 Years: 53.3%
 Graduation Rate after 6 Years: 60.5%

ACT Range: 23-24 (N=608)
 Graduation Rate after 4 Years: 25.7%
 Graduation Rate after 5 Years: 49.8%
 Graduation Rate after 6 Years: 57.4%

ACT Range: 25-27 (N=642)
 Graduation Rate after 4 Years: 26.8%
 Graduation Rate after 5 Years: 56.2%
 Graduation Rate after 6 Years: 63.2%

ACT Range: 28 & Above (N=584)
 Graduation Rate after 4 Years: 36.6%
 Graduation Rate after 5 Years: 62.7%
 Graduation Rate after 6 Years: 70.4%

The Subcommittee then computed the percentages of first-year students who achieved ACT Composite scores in selected ranges for the combined 1995, 1996, and 1997 cohorts (see Figure 2 provided to NCAA as a hard copy supplement to this online report). Percentages were determined for three groups of freshmen: 1) students who play revenue sports, 2) students who play non-revenue Olympic sports, and 3) all other students. Students playing Olympic sports have a distribution of entrance ACT Composite scores that is shifted towards the lower range of scores. One-third (33.9%) of students playing Olympic sports have Composite scores of 20 or less, compared to less than one in 10 (9.2%) of all entering students.

Figure 3 (provided to NCAA as a hard copy supplement to this online report) shows six-year graduation rates by ACT Composite score ranges for the three combined entering classes. The results are again disaggregated into students playing revenue and Olympic sports, as well as all other students. When graduation rates for students playing Olympic sports are graphed by entering ACT score range, the resulting line is essentially the same as for all students for the first two ranges of ACT scores. For the three upper ranges of ACT scores, the graduation rates for students in Olympic sports exceed the graduation rates for all students. Based on this evidence, it may be concluded that the overall lower graduation rate for students playing Olympic sports is primarily explained by their tendency to earn ACT scores at the lower end of the distribution. After entering the University, students playing Olympic sports graduate at essentially the same rate as other students with comparable ACT scores.

Student-athletes who play revenue sports show an even greater shift of the entrance ACT scores towards the lower end of the distribution. Over two-thirds (50 of 72, or 69.5%) of the students who play revenue sports earn ACT Composite scores of 20 or less. In addition, however, these students also have lower than expected graduation rates based on their entering ACT Composite scores. Thus, for revenue sport student-athletes, the shift in the distribution of the entering ACT scores does not fully explain their lower graduation rates. The Subcommittee met with coaches and representatives of the various athletic teams and discussed, among other topics, graduation rates. The coaching staff noted that all student-athletes, per admission policy of the University of Kentucky, meet NCAA Clearinghouse or University standards, and the altered distribution of entering ACT scores is a function of the reality of competitive intercollegiate athletics at Division I institutions. The decreased graduation rate among revenue sport student-athletes, even when stratified by entering ACT score was attributed, in part, to the following kinds of situations:

- Women's basketball has recently undergone a coaching change and experienced a number of transfers prior to this coaching change.
- Football has had three different coaches in the last four years with a considerable number of transfers over this three year cohort. Specifically, 14 football players from the combined cohort transferred to another institution to complete their eligibility. One football player left the program early to join a professional team. According to the

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2003-04 IPEDS Graduation Rate Survey (the most recently available data), however, the 1997 football cohort showed a six-year graduation rate of 60%, which is on par with all students' graduation rate;

—Figures for men's basketball appear to be distorted by cohort years with small numbers of student-athletes, several of whom left school for early entry into the National Basketball Association or transferred to another school. Across the combined 1995, 1996 and 1997 cohort for revenue sports depicted in Figure 3, four men's basketball players transferred to other colleges, and three others joined professional teams before graduating.

While the coaches believe that when transfer students and those pursuing early entry into professional sports are factored out of the data, the lower overall graduation rate for student-athletes in revenue sports can be explained to a large degree by the altered admission profile distribution, the Subcommittee believed further consideration of graduation rates was necessary. The Academic Integrity Subcommittee subsequently concluded that graduation rates for revenue sport student-athletes are different from those of students in general, and that the factors below appear to be the major determinants. These factors will be used as a conceptual framework for an improvement plan to be implemented by the institution and included as a Plan for Improvement within this report:

A. Admission profile of student-athletes.

Approximately 70% of student-athletes from the 1995-1997 cohort in revenue sports have entering ACT scores of 20 or less. There is a strong correlation between ACT score and subsequent graduation rate. It may be unrealistic to expect students with these scores (<20) to graduate at a rate comparable to all students. Potential remedies directed at this problem are presented in the improvement plan. It should be noted that for cohort years 2003 and 2004, the percent of revenue sport recruits with entering ACT scores <20 are 47.0% and 47.3%, respectively. These significantly improved numbers reflect the activity of a new athletics administration.

B. Student motivation and achievement in revenue sports.

Figure 3 shows that the relationship between ACT scores and subsequent graduation rates is almost flat for revenue sport athletes in marked contrast to that of non-revenue sport athletes and students in general. This suggests a significant issue with motivation and achievement in this subset of students, although these data would be affected by transfers. Potential remedies directed at this problem are addressed in the improvement plan.

C. Scheduling difficulties, especially in upper level courses.

Multiple students in the open forum sessions with student-athletes noted the difficulty scheduling upper level classes in the proper sequence to progress toward graduation appropriately. This problem is exacerbated by the recent reduction in state funding to the University resulting in reduced numbers of sessions for specific classes. Recognition of the significance of the problem for students in general is demonstrated by the creation of a pilot graduation contract for students in several colleges. This problem is made even more significant for student-athletes because of further scheduling restrictions related to athletic competition and practice schedules. Potential approaches to the problem are addressed in the improvement plan.

Finally, it is worth noting that once student-athletes are admitted to the University of Kentucky, the outstanding services offered by the Center for Academic and Tutorial Services (CATS) provide an opportunity for student-athletes to balance study time and athletic time and thus progress and graduate at the same rate as any other student. The data above appear to support that hypothesis.

- 12. Identify and describe the academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.**

The academic standards and policies (listed under "Academic Requirements") of the University of Kentucky are stated in the 2003-04 University Bulletin, pages 54-64. Sections of these requirements are reprinted in the academic section of the "Student-Athlete Handbook," pages 7-28. Brief summaries of University and Athletics Department regulations are presented below. Complete information is available from the two references above. The academic standards and policies of the University are the same for all students. There are no exceptions for student-athletes.

CONFIDENTIALITY OF STUDENT RECORDS

The University complies with the F.E.R.P.A. legislation of 1974. Release of records requires written consent unless released to other school officials with legitimate educational interests, authorized representatives of the Comptroller General of the United States or the Secretary of Education.

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CLASS ATTENDANCE

Regular class attendance is expected and is the responsibility of each student-athlete when on campus. Enforcement is the responsibility of the head coach.

ACADEMIC ELIGIBILITY, GRADE CLASSIFICATION, AND GRADUATION

The University complies with extensive NCAA eligibility rules regarding percent of degree, grade point average, hours/year, and hours/semester. Students must carry 12 semester credit hours each term to be full time. Most degree programs require 120 hours for completion.

UNDERGRADUATE MAJOR REQUIREMENTS - 60 Hour Rule

Students who have earned 45 credit hours should meet regularly with an advisor who will help the student choose a major or seek admission to a selective admissions college. Students who haven't chosen a major or been admitted to a selective admissions college and have at least 60 credit hours will not be permitted to register for classes except under conditions specified on page 14 of the "Student-Athlete Handbook."

MARKING SYSTEM

The marking system uses letters which are assigned grade-point values.

- A - exceptionally high achievement - 4 points/credit hour
- B - high achievement - 3 points/credit hour
- C - average achievement - 2 points/credit hour
- D - minimum passing grade - 1 point/credit hour
- E - failure in the course - 0 points and 0 credit hours

Additional outcomes such as P, F, I, W, etc. are detailed on page 15 of the "Student-Athlete Handbook."

PETITION TO TAKE COURSES AT ANOTHER SCHOOL

The University of Kentucky will accept collegiate level credit in which a grade of D or higher has been earned from a regionally accredited institution. Grades and quality points do not transfer, only the hours earned.

SCHOLASTIC PROBATION

Students are placed on scholastic probation if:

1. Their cumulative GPA falls below 2.0
2. They are freshman students who have completed a semester of 18 or fewer hours with a GPA of less than 1.75
3. They have two consecutive academic terms with semester GPAs below 2.0 regardless of their cumulative GPA.

ACADEMIC SUSPENSION

Students are subject to suspension if:

1. They have three consecutive semesters in which their cumulative GPA remains below 2.0
2. They fail to earn a 2.0 semester GPA for any term while on probation.

GENERAL RULES PERTAINING TO STUDENTS UNDER ACADEMIC SUSPENSION

A student who is under academic suspension may not enroll in any courses offered by the University of Kentucky, nor take any examination for University of Kentucky credit.

REINSTATEMENT

After they have remained out of the University for at least a semester, students who have been academically suspended may only be reinstated by the dean of the college in which they plan to enroll. After being reinstated, students must apply for re-admission to the University.

GENERAL RULES FOR REINSTATED STUDENTS

A student reinstated following academic suspension will be placed on scholastic probation. If the student acquires any additional deficit or fails to meet requirements for removal from probation by the end of the third semester, they will be subject to final academic suspension and not be re-admitted except in unusual circumstances detailed on page 18 of the "Student-Athlete Handbook."

ACADEMIC OMBUD SERVICES

Page 19 of the "Student-Athlete Handbook" contains a detailed description of services available to students through the Ombud's Office.

PROCEDURES FOR REGISTRATION, ADD/DROP, DROPPING A CLASS, AND WITHDRAWAL FROM THE UNIVERSITY are described on pages 20-22 of the "Student-Athlete Handbook."

Information to be available for review by the peer-review team, if requested:

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- A copy of the institution's most recent catalog.
- A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
- Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, high schools' lists of approved core courses, final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).
- University catalog/bulletin.
- Athletics department manual.
- Student-athlete handbook.
- Institutional handbook for students.

Evaluation

1. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is the contrast analyzed and explained by appropriate institutional authorities? **Currently Yes**
2. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is this disparity analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities? **Currently Yes**
3. Does the institution demonstrate that academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher? **Currently Yes**
4. Does the institution demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally? **Currently Yes**

Academic Integrity

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
External motivating factors among student-athletes in revenue sports contribute to lower rates of academic success, including graduation rates.	To help increase the six-year graduation rate of revenue sport student-athletes by 5% by 2009, enhance motivation of student-athletes to achieve satisfactory academic progress, as measured by the percent that meets or exceeds NCAA required GPA guidelines, percentage toward degree requirements, and SEC requirements of credits passed to compete in SEC or NCAA championships.	1) Establish a policy by which student-athletes are held accountable for completing academic requirements throughout the semester; designate appropriate authorities who will enforce the policy; identify and apply meaningful consequences; and assess progress by semester based on a fall 2004 baseline.	Athletics Director; Associate Athletics Director for Student Services; coaches	Implement new policy with the fall 2005 student-athletes; monitor results on an ongoing basis.
		2) Study issues and advocate establishing internal and external (i.e. SEC, NCAA) policies or programs designed to reduce student-athlete attrition following completion of the competitive season in the fourth year of eligibility.	Athletics Director; Associate Athletics Director for Student Services; coaches	Establish and submit proposals to influence changes by January 2006; continue follow-through on an ongoing basis.
Graduation rates of student-athletes in revenue sports can be improved by coaches' efforts in recruiting academically-prepared student-athletes and promoting their academic success.	To help increase the graduation rate of revenue sport student-athletes by 5% by 2009, enhance coaches' efforts to improve the academic performance of revenue-producing teams, as measured by key indicators of academic quality and success.	1) Conduct a survey of SEC and benchmark institutions to identify effective coaches' compensation plans that encourage academic success among student-athletes and share findings with the President.	Athletics Director; coaches	Implement in 2006-07
		2) Establish a plan to tie coaches' compensation to success in three areas: admission profile of entering class, academic progress rates, and graduation rates; negotiate contractual arrangements with coaches; use 2003-04 data to determine baseline measures of entering academic profiles, academic progress rates, and graduation rates.	Athletics Director; coaches	Implement in 2006-07

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scheduling problems are a barrier to progress toward graduation for student-athletes and students in general.	Increase student-athlete satisfaction with the availability of University courses to meet scheduling needs, as measured by a periodic survey of student-athletes.	1) Conduct a study of nongraduating student-athletes to determine the impact, among other issues, of scheduling difficulties on academic progress and degree completion.	Associate Athletics Director for Student Services; FAR, AIC	Complete study by fall 2005
		2) As appropriate, based on the study's results, explore creative solutions with academic authorities to address scheduling difficulties of student-athletes and other students specifically recruited to the University for any program.	Associate Athletics Director for Student Services; FAR, AIC	Share results and initiate discussions during 2005-06.

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Operating Principle

2.2 Academic Support

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.2.

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 first-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no actions or plans for improvement/recommendations developed by the institution during its first-cycle certification process relating to Operating Principle 2.2.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no specific additional plans for improvement or recommendations relating to the area of Operating Principle 2.2 (Academic Support) developed by the institution based on first-cycle certification. There were no direct recommendations made by the Committee on Athletics Certification. The University of Kentucky Athletics Department, however, has made many improvements to the services provided to student-athletes based on continual evaluation of student needs. Since the first-cycle certification, the Athletics Department has made both physical plant upgrades and initiated new programs and policies to provide additional academic support for student-athletes.

In 1998 the Athletics Department opened a new facility to house the Center for Academic and Tutorial Services (CATS) for student-athletes. The new 20,000+ square foot facility includes a computer room with 35 stations (the previous facility had 13 stations), 24 tutoring rooms (11 tutor rooms in the previous facility), a large, quiet study center, and a career and personal development resource center. In addition, a donor provided the services of his software company to develop a time tracking system for CATS. This system is one of the few of its kind in the country. The system tracks student-athlete time in study hall and in the computer room. The system will also check in tutors and student-athletes for a tutoring session and assign a tutoring room. The system provides CATS staff with numerous reports regarding student-athlete use of the CATS facility and CATS staff can check to see if a student is in CATS from their office computer station. In addition, during the past summer (2004), the athletics department upgraded the 40 person classroom in the CATS facility to a "Smart Classroom."

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Three additional full-time counseling positions were approved by President Wethington in 2001 and \$100,000 was added to the tutoring budget for the 2004-05 fiscal year.

Many policies and programs have changed since 1998. President Lee Todd changed the reporting line for the Associate Athletics Director for Student Services, the director of CATS. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

The University has offered a new student orientation (UK 101) for several years and many departments (e.g.: the business college) have offered sections for their students. Some sections are one credit hour and some are three credit hours. The Associate Provost originally allowed the Athletics Department to offer four one-hour sections strictly for student-athletes (as do other campus units for their students). In 2001 the Athletics Department was permitted to offer one of these UK 101 sections as a three hour section (other campus colleges and units also do this for their students) This fall (2004) the Athletics Department will be allowed to teach two three credit hour sections. CATS has utilized these sections for "at risk" student-athletes. It should be noted that all student-athlete sections of UK 101 are taught by University of Kentucky faculty/staff in the same manner as any non-athlete section.

Since 1998 there have been notable changes in the CATS tutoring program. All non-scholarship student-athletes have been added to those eligible for tutors. Prior to 1998 non-scholarship student-athletes could utilize all CATS facilities but tutoring was offered selectively. CATS now provides all non-scholarship student-athletes requested tutoring support. In 2001 a notable change was made in the English Writing tutoring program. The Athletics Department contacted the English Department and set up a financial agreement where the campus English Writing program would assign a Teaching Assistant (TA) to direct the CATS English Writing program. The assigned English Department TA supervises three additional tutors assigned by the English Writing program and educates English tutors regarding English Department policy as regards assisting student-athletes with English writing assignments. A writing lab is provided in CATS for this purpose. Since 1998 the Athletics Department has also developed a cooperative effort with the campus Career Center. The Life Skills Coordinator (formerly the career and personal development coordinator position) now has an office one day a week in the campus Career Center and meets with student-athletes in that facility familiarizing them with the resources and registering them for interviews with potential employers. In 1990 the CATS life skills program began producing a resume booklet of our graduating seniors and mailing it to over 3500 employers in the US. In 2000 a resume website was developed and invitations to visit the website and evaluate our graduates for employment have been mailed to over 10,000 employers each year since.

In January of 1999, the Frank G. Ham Society of Character was created to recognize student-athletes who epitomize the term "student-athlete" and the first class of recipients was selected that spring. This was an organization created and initiated by the CATS program.

In the spring of 1998 the University of Kentucky was selected as a site for a regional office for the National Consortium for Academics and Sports (NCAS). That office, the South-Central Regional Office, was housed in CATS and Bob Bradley was selected to direct the region. The NCAS is an organization that educates student-athletes about societal issues and encourages and utilizes student-athletes as role models in the community. One of the programs that UK initiated through the Consortium was the federally funded "Athletes in Service to America" program through the AmeriCorps National Service Act. Many former UK student-athletes, who had completed their eligibility but still had requirements to complete for a degree, became Corp members and worked with "at risk" children in the schools and community.

Other programs initiated since 1998 include:

1. Character programming that student-athletes now provide to local elementary schools;
2. "Jump Start" program provided to incoming scholarship men's and women's basketball student-athletes (initiated when the NCAA changed the rules to allow men's and women's basketball student-athletes to attend on grant-in-aid the summer prior to first time, full-time enrollment). Jump Start is a study skills and college awareness program that assists these student-athletes in their adjustment to the University;
3. "Survivor Program" conducted each spring for those student-athletes who are struggling with their academic studies;
4. Mentoring Program for "at risk" student-athletes was formalized utilizing full-time staff and veteran adult tutors; and
5. Summer "Leadership Institute" was created as a program to enhance the leadership skills of student-athletes who have evidenced leadership potential.

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4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.2 (Academic Support). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

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

The Center for Academic and Tutorial Services (CATS) is established for the purpose of providing academic support to student-athletes. The Associate Athletics Director for Student Services' direct administrative reporting line is to the University of Kentucky Associate Provost for Undergraduate Education, who in turn reports to the Provost. Day-to-day reporting is to the Director of Athletics who reports directly to the President.

CATS MISSION

The CATS mission is to create an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life.

The CATS staff will be fair, courteous, and professional. The staff will be sensitive to each student-athlete's special needs and ensure a wholesome learning environment exists at all times. Academic counselors will be available to all sport teams. Likewise, advising, counseling, and referral services will be available to all male and female student-athletes on an equal basis.

PHILOSOPHY REGARDING COACHES AND STUDENT-ATHLETES

The CATS staff is aware that college coaches have a responsibility and concern for the academic as well as the athletic well-being of their student-athletes. Coaches express interest in the academic and educational pursuits of the prospects during the recruiting process and, therefore, are bound to ensure that the student-athlete is afforded every opportunity to succeed academically and educationally.

Coaches are an integral part of the student-athlete's life. The CATS staff will keep the coaches informed about the student athlete's academic situation so they can make decisions in the best interest of the student-athlete's post-college quality of life.

CATS functions as a support service available to all UK student-athletes. While any coach may establish individual academic standards for his or her team that are more stringent than the CATS policies, any student with a GPA below 3.0 will be placed in the CATS academic monitoring program. The student-athlete will receive CATS academic services and must follow the guidelines of the CATS' Academic Policy.

NCAA SELF-STUDY STUDENT-ATHLETE SURVEY — general description

A web-based survey was administered to student-athletes two weeks before final exams during spring semester 2004. The survey assessed several important areas:

- The CATS program
- Scheduling of practices and competitions
- Equity and diversity issues
- Welfare of student-athletes

One hundred twenty-nine student-athletes completed the survey. The response rate was 36%. The students who responded to the survey were not completely representative of student-athletes at UK; only 13 football players responded to the survey.

The survey results are very positive in regards to the CATS program. Ninety-one percent agree or strongly agree that "CATS staff encouraged me to set attainable academic goals of my own choosing;" 89% agree or strongly agree that "CATS staff has assisted me in reaching my personal academic goals;" 76% rated the quality of tutors as good or excellent. Figure 4 (provided to NCAA as a hard copy supplement to this online report) depicts the student-athletes' ratings of the quality of academic support services provided by CATS. In addition, two open meetings were held with student-athletes, who voiced strong support and approval of the CATS program at both meetings.

CATS' STAFF RESPONSIBILITIES

Bob Bradley - Associate Athletics Director for Student Services

- Position is supervised by the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day

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reporting is to the Director of Athletics.

—Serve as Chief Administrator in the Center for Academic and Tutorial Services: get to know as many student-athletes as possible; ensure that the service provided to the student-athletes is of the highest quality; make sure the student-athletes are at the heart of the CATS program and the Athletics Department; strive to ensure that we graduate student-athletes at a rate equal to that of the University of Kentucky general student population; and work with Athletics Director to expect coaches to demand academic excellence from the student-athletes they mentor.

—Program Administration and Development: plan, organize, develop and evaluate programming of CATS; implement new and enhanced programming for CATS; identify and implement programs that enhance the image of the University of Kentucky and the Athletics Department; improve effectiveness of CATS programming; and ensure that staff are treated ethically and that they understand the professional ethical standards required to hold a position in the Center for Academic and Tutorial Services.

—Public Relations: positive recognition of CATS and the CATS program both locally and nationally and respect for the CATS program on campus.

—Interdepartmental and intradepartmental relations: establish positive lines of communication with other offices within the Athletics Department; ensure that coaches understand that our first responsibility is the student-athlete and develop a positive relationship with all coaches within those parameters; establish lines of communication and a working relationship with campus administrative and academic offices; and educate administrators and faculty as to the function of CATS and CATS' programs and responsibilities.

—Serve as Director of The South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): serve on the NCAS National Planning & Development Board; and serve the membership of the South-Central region and assist member schools with relevant programming through the region and national office.

—Serve as Advisor to the Women's Golf Team and Rifle Team.

—Co-Advisor to the Student-Athlete Advisory Committee.

—Co-Advisor to the Society of Character.

—Assist Martina Martin with Cultural Diversity Programming.

—Completion of any special projects assigned by the Athletics Director.

Barb Deniston - Director of Academic Services

—CATS Administrator in Charge in the absence of Associate Athletics Director for Student Services.

—Serve as advisor to the Football Team.

—Serve as Team Leader for the Academic Services Team: plan, organize, develop, monitor and evaluate academic services programming including the tutoring program, mentoring program, learning disability program and English Writing program; and direct testing and evaluation program, which includes the following:

*Ensure that all identified student-athletes are tested.

*Ensure that all potentially "at risk" student-athletes are referred for further testing.

*Ensure that an Individual Educational Plan (IEP) is developed in cooperation with the testing psychologist for each student identified as learning disabled.

*Evaluate the program and make recommendations to the Associate Athletics Director for Student Services.

*Identify a staff member as liaison to the Disability Resource Center.

—Organizational supervision of the College Work Study Students.

—Monitor effectiveness of academic services and confer with Associate Athletics Director regarding issues.

—Other duties as assigned by the Associate Athletics Director for Student Services.

Mike Haley - Director of Advising Services

—Serve as Advisor to the Men's Soccer, Women's Soccer and Gymnastics teams.

—Serve As Team Leader for the Advising Services Team: provide ongoing training for academic advisors and Academic Graduate Assistants (AGAs) to include the following:

*Develop AGA training in conjunction with all advisors.

*Mandatory monthly (or more frequently, if needed) meetings with advising team for information exchange, idea exchange and discussion of advising issues.

*Monitor advisor effectiveness and confer with Associate Athletics Director regarding issues.

—Work with Michael Stone during 2004-05 to train him in the continuing eligibility process so he can take over this responsibility in 2005-06.

—Monitor computer lab (Identify lab consultants to be hired).

—Process "Focus" reports for Staff.

—Coordinate Registration and Summer Advising Conference.

—Other duties as assigned by the Associate Athletics Director for Student Services.

D'Ann Blankenship - Staff Associate

—Directly supervised by Director of Academic Services, Barb Deniston.

—Responsible to monitor the front reception area at all times or ensure that it is being monitored by the other full-time staff associate (Work study students are not to be used to cover front reception area).

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- Day-to-day supervision of the College Work Study Program (CWSP) students as directed by Barb Deniston; develop training program for CWSP under the direction of Barb Deniston.
- Process forms for reimbursement of student-athlete fees (e.g., TA 101 theatre tickets, etc.).
- Process tutor payroll under the direction of Lisa Mattingly/Barb Deniston.
- Keep phone "voicemail" system current at all times.
- Assist in the processing of personnel paperwork for new employees (full-time staff, part-time staff, tutors) as directed.
- Ordering/stocking supplies, maintain upstairs door security system, message board, copiers and furniture.

Andrea Tinsley - Staff Associate

- Directly supervised by Associate Athletics Director, Bob Bradley.
- Assist the Associate Athletics Director with administration of the South-Central Regional Office of the National Consortium for Academics and Sports (NCAS): assist with membership communication; assist with membership drive; assist with organizing meetings; process all mailings; publish and mail (e-mail or snail mail) Regional Newsletter; and report annual statistics for UK and call members to ensure they get data completed and filed with NCAS.
- Assist Lisa Mattingly with the editing of the "Student-Athlete Handbook."
- Mail CATS' donor communications.
- Take minutes at staff meetings.
- Complete any research projects assigned by Associate Athletics Director.

Specific Duties Assigned to Staff Associate Position

- Front reception area will be covered by a full-time staff associate at all times unless otherwise approved by the Associate Athletics Director, Director of Academic Services or the Director of Advising: staff Associate at the reception area will greet all guests immediately and cordially and direct them to the appropriate office or notify staff member that guest has arrived; staff Associate will greet incoming calls cordially and politely direct the call to the appropriate office; and if the staff member is not here or available, the staff associate will respond to the caller in a professional manner and handle each call cordially.
- Staff Associates will report any identified CATS' maintenance problems to the Associate Athletics Director.
- Staff Associates will be allowed to take one 15 minute break in the morning and one in the afternoon. The break will be taken on its own, exclusive of any other duty. It will not be combined with other job related duties.
- Staff Associates will personally take responsibility to complete tasks assigned to them by any professional staff member. CWSP can be used for this but the staff associate is responsible for the accuracy of the work and completion of the work on time.
- Staff Associates will assist all professional staff as directed by that professional staff member.

Beth Stice - Academic Counselor

- Serve as Advisor to Volleyball and Men's & Women's Swimming/Diving.
- Serve as Liaison to the Disability Resource Center under the supervision of Barb Deniston to ensure: all identified student-athletes take the reading and math evaluations; those identified as "at risk" receive further evaluation; those with disabilities receive best possible service as regards receiving appropriate assistance and/or accommodations.
- Mentor student-athletes.
- Continue to develop and coordinate the Survivor and Jump Start programs.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Amy Craiglow - Academic Counselor

- Serve as Advisor to Men's Golf & Softball.
- Mentor student-athletes.
- Assist with Character Programming.
- Other Duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Michael Stone - Academic Counselor

- Advise Basketball and Baseball.
- Work with Mike Haley during 2004-05 to learn the continuing eligibility process and take over this responsibility beginning 2005-06.
- Train and monitor AGAs and student staff to handle front desk, study center and computer lab at assigned times; work with Lisa Mattingly to assign 5th/6th year student staff appropriately.
- Co-Advisor to the Student-Athlete Advisory Committee (SAAC).
- Coordinate recruiting.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

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Dan Childs - Academic Counselor

- Serve as Advisor to Men's and Women's Track and Men's and Women's Tennis.
- Textbook dispersal and return.
- Maintenance of Student-Athlete Listserve.
- Assist Martina Martin in development of cultural diversity programming for staff and student-athletes.
- Summer school grant-in-aid requests program.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Lisa Mattingly - Academic Counselor

- Serve as advisor to the Women's Basketball Team.
- Primary responsibility for coordination and development of the Tutoring and Mentoring program under the direction of the Director of Academic Services.
- Coordinate mentoring for the UK 101 classes.
- Coordinate fifth year grant-in-aid program.
- Coordinate National Student-Athlete Week Activities.
- Assist Associate Athletics Director for Student Services with "Post-Eligibility" grant-in-aid program.
- Annually edit the "Student-Athlete Handbook."
- Assist Martina Martin with cultural diversity programming.
- Assist with character programming.
- Other duties as assigned by the Associate Athletics Director for Student Services, Director of Academic Services and Director of Advising Services.

Martina Martin - Life Skills Coordinator

- Direct the CATS' Career Development program: complete resume website each year by November 1st; coordinate the student-athlete internship program; identify job placement possibilities for student-athletes through local organizations and the Campus Placement Center; communicate with CATS staff regarding current activities and opportunities associated with the program; and develop an interactive Career Program with the UK Career Planning and Placement Center On Campus to include the following:

*Have an office one day a week at the Campus Center.

*Register all scholarship student-athletes with the UK Career Planning and Placement Center prior to the beginning of their last year of school.

*Provide orientation to the campus Career Planning and Placement Center and ongoing guidance regarding services and opportunities available to the student-athletes.

- Direct CATS' Personal Development program: identify potential major seminars for student-athletes one year in advance and:

*Identify innovative personal development programming.

*Work with campus offices to provide personal development programming to student-athletes and to general student body.

Also, develop menu driven program of personal development offerings for student-athletes and coaches and ensure that all teams complete the required number seminars each year; and coordinate cultural diversity programming (with Bob Bradley, Lisa Mattingly and Dan Childs)

- Maintain the Career and Personal Development Resource Center

—Direct Community and School Outreach program to include: student-athlete outreach; staff outreach; serve as the Athletics Department's liaison to the Kentucky Excel program, serving as mentoring/outreach resource; coordinate and evaluate activities for the character development program (in conjunction with Lisa Mattingly and Amy Craiglow); serve on boards/committees of local community agencies and serve as an outreach resource for these agencies; and serve as Advisor to the Student-Athlete Outreach Committee.

- Co-Advise the "Society of Character."

—Process awards and maintain awards boards.

—Coordinate the development of the Leadership Program.

- Other duties as assigned by the Associate Athletics Director for Student Services.

Academic Graduate Assistants (AGAs)

- Assigned to full-time staff to serve as peer advisors and to assist in the monitoring of the academic progress of assigned student-athletes.

—Duties include clerical support to full-time staff, checking class attendance on assigned student-athletes, gathering information on the academic progress of specific student-athletes and working on periodic academic reports with the full-time counselor.

Life Skills Graduate Assistant

- Assist the Life Skills coordinator with the career development, personal development and outreach program as directed.

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ACADEMIC ADVISING

Academic advising of student-athletes is controlled by the colleges. CATS' advisors work in collaboration with the college advisors. A student-athlete cannot register without the college advisor's release of the academic "hold." All student-athletes must have a college or academic department advisor to be permitted to register.

6. Using the following program areas for academic support issues as examples, please describe:

- 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 are made aware of these services;
- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
- e. The mechanism for periodic review and approval of these services by academic authorities outside athletics of these services.

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

1. Academic advising. Course selection, class scheduling, degree program assistance, priority registration.

a. The specific academic support services offered to student-athletes, if any.

Every student-athlete is required to have a campus college advisor (this may be a faculty member or a professional advisor in a college) who assists the student-athlete with course selection, class scheduling, degree program questions, and priority registration. The college advisors are the only individuals who can release the "advising hold" and give final permission for a student to register for classes. Student-athlete "advising holds" are lifted by the normal University process used for all students. CATS' advisors work in collaboration with the campus advisors to ensure that the student-athlete has the most workable schedule possible to meet both academic and athletic responsibilities. This helps alleviate many of the athletic pressures on the student-athlete as he/she tries to achieve both academically and athletically. Due to the fact that the student-athletes are immersed in CATS' programming from the first moment they step on campus, the CATS' advisor becomes an integral part of the student-athlete's experience. The CATS' advisor is a tremendous resource to both the student-athlete and the college advisor in ensuring a quality experience for the student-athlete. Student-athletes' course selections, class scheduling, and registration occur by the same method as all students.

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

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

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

Student-athletes are made aware of these services through the following mechanisms:

- initial on-campus recruiting of each student-athlete,
- beginning of the year Athletics Director's orientation for all student-athletes,
- team meetings at the beginning of the academic year, and
- the University's first year orientation course.

In addition, CATS has become such a standard part of the lives of the student-athletes that they come to the center for virtually every academic and life skills need. CATS is very high profile and very well known by all of the student-athletes. Universities that do not have academic centers and house their advisors in

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various places have a much more difficult time making their student-athletes aware of the available services. Here everything is centralized.

The web-based survey of student-athletes revealed 99% rated the availability of academic advising as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

The campus Academic Integrity Committee (AIC), formalized by the President as an official committee of the University, has responsibility for oversight of the activities of the Center for Academic and Tutorial Services (CATS). This committee meets periodically (usually monthly) throughout the academic year, continually addresses academic issues related to the student-athlete experience, and on a triennial basis evaluates services of the CATS program. The Associate Provost for Undergraduate Education is a member of the Academic Integrity Committee. A review of CATS' services has been provided to the Associate Provost and the Academic Integrity Committee within the past three years.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the CATS program and provides guidance for the program. Roles and responsibilities of the Associate Provost in providing oversight and guidance include the following:

- Joint supervisory responsibility with the Athletics Director for the Director of CATS (i.e. the Associate Athletics Director for Student Services);
- Joint approval with the Athletics Director on changes in personnel and staff functions;
- Joint approval with the Athletics Director on changes and enhancements to CATS operations and services;
- Comprehensive, systematic evaluation of CATS' academic operations through periodic reports, group and individual interviews, and surveys of staff, tutors and student-athletes;
- Review and recommendation on the annual CATS budget; and
- Preparation of annual report summarizing the evaluation of CATS for the President and Athletics Director.

The Associate Provost, as a member of the Academic Integrity Committee, works with the Committee to ensure systematic evaluation of various services and programs of CATS and to make recommendations for reporting, future directions, and possible improvements.

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.

Tutoring is available to all student-athletes. Almost all tutoring is one-on-one tutoring. Group tutoring is only utilized in the case of large review sessions for exams. An average of over 100 hours of individual tutoring takes place every day (Sunday-Friday) in CATS during the academic year. In a review of the tutoring program several years ago, the maximum number of hours provided to student-athletes in any given week was determined to be over 900 hours. The number of hours provided in a typical week will be approximately 600-700 hours.

- 98% of respondents to a survey of student-athletes rated tutoring as being available or very available.
- 76% rated the quality of the tutoring as good or excellent.

Monitored (student-athletes with cumulative GPA <3.0) student-athletes are assigned mandatory tutoring sessions and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance is mandatory and monitored just like classes.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes' voluntarily requesting tutors:

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—The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.

—If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of the semester.

The Athletics Department hires tutors from the undergraduate and graduate school and from the local community. Tutoring for English Writing is staffed by the University's English Department's Writing Program. The Athletics Department pays the English Department which provides the program directly. A Teaching Assistant is assigned to supervise the writing program in CATS.

Tutors are required to submit academic transcripts and other documentation establishing their competence in a specific subject area. Subsequent monitoring is based on student evaluation of tutor competence. All tutors must go through the tutor orientation with a counselor who coordinates tutoring and the compliance department. Tutors are required to read the tutor manual and sign a statement of compliance with all rules and standards. Tutors are paid bi-weekly at a beginning rate of \$6.50 for undergraduates and \$8.00 for those with at least an undergraduate degree. Tutors are also reimbursed for pre-arranged preparation time.

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

Tutoring is available to all student-athletes. Every student-athlete considered to be at-risk (with GPA <3.0) academically is assigned mandatory tutoring sessions at the beginning of the semester and these are put on their STATS (computerized time monitoring and scheduling system) schedule just like their classes at the beginning of the semester. Attendance to these sessions is mandatory and monitored just like classes. Other student-athletes may request tutors after the mandatory tutoring sessions are set up.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c. Additionally, monitored student-athletes are notified by the CATS center and tutoring sessions are directly added to their personal schedules.

The web-based survey of student-athletes revealed 98% rated the availability of tutoring as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

3. 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.

The University course, UK101, is a highly effective and popular orientation course designed to teach success skills to incoming students and to help them adjust to the demands of university life. The University has designated four sections of the UK101 (pass/fail grade only) course as sections exclusively for student-athletes. One of those sections is a three hour (full semester) course and three of the sections are one hour courses. Based on high school academic performance and test scores, the most "at risk" student-athletes enroll in the full semester course as they are most in need of academic assistance. The course is taught by a University faculty or staff member. This is the same for all sections in the University. The CATS program assists the course instructor in two ways:

1. The CATS staff teaches several class sessions pertaining to NCAA information of which the instructor

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would not be aware (e.g., eligibility rules, compliance issues, gambling, drugs & alcohol rules, etc.), and 2. The CATS staff provides a mentoring program for these at-risk student-athletes that immerses them in the CATS services program early in the semester. The purpose is to get these young people off to the best possible start. The course includes sessions on time management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, and so forth. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained to teach each student-athlete how to utilize the organizational elements of the kit.

Beyond the UK101 program, some of the CATS full-time staff members mentor at-risk student-athletes as part of their official responsibilities. These individuals often teach study skills individually to the student-athletes.

The web-based survey of student-athletes revealed 65% rated the quality of provision of success skills as good or excellent.

Ninety-nine new scholarship freshmen enrolled at the University of Kentucky in fall 2004. Seventy-one of those (72%) were signed up for the freshman orientation course (UK 101). One hundred percent of identified "at risk" student-athletes were assigned to a UK 101 orientation class.

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

All student-athletes are encouraged to take the University's orientation course. The full semester course is mandatory for those individuals identified as "at-risk".

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 72% rated the availability of provision of success skills as available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding the oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

4. Freshman/transfer orientation. Availability, attendance requirements.

a. The specific academic support services offered to student-athletes, if any.

In the Division of Student Affairs, specifically the Dean of Students Office, New Student Programs (comprised of UK 101 academic orientation course, Kentucky Welcome, and Parent Association) offers orientation programs open to all students. Kentucky Welcome is the welcome week program for all new UK students prior to the start of fall semester classes. Kentucky Welcome includes activities and programs designed to assist with the transition to University life. Of the 69 sections of UK 101, the University has designated four sections of the academic orientation course specifically for student-athletes. One of those sections is a three-hour (full-semester) course and three of the sections are one-hour courses. Based on high school academic performance and test scores, we enroll our most "at risk" student-athletes in the full-semester course as they are most in need of the study skills. The course is taught by a University faculty or staff member just like all of the sections of the course. The CATS staff assists the professor in the full semester course by providing a mentor for each student-athlete in the course and supplementing teaching materials with staff support. The purpose is to get these young people off to the best start possible and to immediately immerse them in the CATS services program. The course includes sessions on time

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management, test taking, stress management, cultural diversity awareness, note taking, leadership skills, athletics department rules education, etc. A professionally produced "Academic Kit" is provided to each student-athlete and the mentors are trained in how to assist the student-athlete in utilizing the organizational elements of the kit.

Two years ago the NCAA passed legislation allowing men's basketball student-athletes to begin college on grant-in-aid during the summer prior to their first fall semester. At that time, the Athletics Department initiated an orientation and study skills program titled "Jump Start" to assist these student-athletes in their adjustment to the collegiate environment. Program elements include organization for success, an introduction to important offices on campus and career information as well as instruction in study skills, time management, test taking skills and note taking. Women's basketball is also utilizing this program this year (summer 2004) as the NCAA has passed legislation allowing women's basketball student-athletes to attend summer school on grant-in-aid prior to the beginning of their first year of college. There is also a mandatory Athletics Director's "beginning of the year orientation" where all student-athletes are made aware of all of the programs available to them.

The web-based survey of student-athletes revealed 80% rated the freshman/transfer orientation as being good or excellent.

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

Any student-athlete can use these services.

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

Student-athletes are made aware of these services at the Athletics Director's "beginning of the year" orientation that is mandatory for all student-athletes. All student-athletes are encouraged to take the University orientation course when they go through their advising with the college advisor. The CATS' staff encourages all student-athletes to take the University orientation course at a special session for student-athletes and their parents at the University's summer advising conference. The CATS staff identifies those for whom the full semester course would be appropriate and enrolls them. All entering men's and women's basketball student-athletes are automatically placed in the "Jump Start" program.

The web-based survey of student-athletes revealed 90% rated the freshman/transfer orientation as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

5. 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.

The CATS staff monitors new and continuing student-athletes participating in the "CATS Mandatory Study Program." Academic Graduate Assistants monitor the student-athletes by checking their class attendance, contacting their professors to determine academic progress, and meeting with counselors weekly to determine how to best help each individual. The head coach or a designated assistant coach will work closely with CATS staff and be informed of the progress of each student-athlete. This cooperative effort will ensure that all parties are kept abreast of each student-athlete's academic performance.

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The web-based survey of student-athletes revealed 88% rated monitoring of academic progress as good or excellent.

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

All first year UK student-athletes, any student-athlete with a cumulative grade point average below 3.0, (new in 2004/was previously 2.25 GPA.), and any other student-athlete identified by the head coach or CATS counselor will be required to participate in the CATS mandatory study program. Responsibilities include:

- Completing a designated number of required hours in CATS (study hall, tutors, mentors and computer lab) as determined by their head coach and CATS' counselor
- Completing the assigned number of study hall hours (e.g., if a student-athlete has 10 hours required each week, anything less, even if it is 9 hours and 59 minutes, is a miss).
- Arriving "ON TIME" for classes, tutors, and mentors (if a student-athlete arrives late to class and the class is checked before the student arrives, it is a miss. If a tutor or mentor is not available because a student-athlete arrives late, it is a miss.)

Each coach may propose an alternative disciplinary plan, but the standard procedure is that any student-athlete participating in the mandatory study program who misses a total of five (5) academic requirements per semester (including any combination of classes, assigned tutor sessions, assigned mentor meetings or required study hall time) is suspended from CATS and prohibited from using any CATS services.

The CATS counselor will arrange a meeting with the head coach regarding any student-athlete who has accumulated three misses. The purpose of the meeting will be to: 1) discuss any possible extenuating circumstances, of which the coach may be aware, that could be responsible for the student-athlete's behavior, and 2) develop positive steps to ensure that the student-athlete in question does not exceed the five cut policy. If the counselor has reason to believe that the student-athlete would benefit from an alternative approach to academic success, that counselor, in consultation with the head coach and the Director of Academic Services, has the prerogative to institute an "Individual Educational Plan" for the student-athlete. In every case, this plan will include a cooperative effort between the CATS program and the coaching staff.

Any student-athlete suspended from CATS may appeal to the Associate Athletics Director for Student Services for reinstatement at the beginning of the next semester. The student-athlete will be required to sign a contract with the head coach and the Associate Athletics Director verifying that he/she understands the CATS policies and will adhere to those policies. Any student-athlete suspended from CATS will not be recommended for summer financial aid by the Associate Athletics Director for Student Services.

Student-athletes not required to participate in the CATS mandatory study program are encouraged to use CATS services. The following rules pertain to student-athletes voluntarily requesting tutors:

- The student-athlete is required to meet with the tutor at the regularly scheduled time throughout the semester unless released from that responsibility by a full-time CATS staff member.
- If the student-athlete accumulates three (3) unexcused absences from tutoring sessions, that student-athlete will not be eligible for any tutoring services for the remainder of that semester.

****NOTE** - The post-eligibility grant-in-aid program is under the direction of the Associate Athletics Director for Student Services. Student-athletes are granted post-eligibility aid based on their previous academic effort. It is important for student-athletes to realize that their effort in CATS is noted.

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

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 98% rated the monitoring of academic progress as being available or very available.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

Academic Integrity

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

6. Study hall. Availability, facilities, policy for mandatory attendance.

- a.** The specific academic support services offered to student-athletes, if any.

The University of Kentucky opened the first academic center for student-athletes (according to the National Association of Academic Advisors for Athletics) in the country in 1982. In 1998 the University opened a new 20,000+ square foot Ohio Casualty Group Center for Academic and Tutorial Services. The facility houses the offices of the Associate Athletics Director for Student Services, the Director of Academic Services, Director of Advising, five Academic Counselors, a Life Skills Coordinator, six Academic Graduate Assistants, and a Life Skills Graduate Assistant. The 20,000+ square foot CATS facility is one of the finest in the country and includes a quiet study center, computer lab, a career and personal development resource center, a classroom, and 24 tutoring rooms.

CATS is open Sundays from 2:00 p.m. - 10:00 p.m., Monday-Thursday from 8:00 a.m. - 10:00 p.m. and on Fridays from 8:00 a.m. - 4:30 p.m. A student-athlete may check out a key if he/she needs access to CATS at a time when it is closed. Although the center is not staffed after 10:00 p.m., student-athletes are welcome to stay and study or use the computers after that time. The doors lock automatically when the students leave and there is a night watchman who checks the center periodically. There is also an extensive camera system.

The web-based survey of student-athletes revealed 73% rated study hall availability, facilities, etc. as good or excellent.

- b.** Any policies that govern which students can use these services.

All student-athletes can use CATS and CATS' services.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

The web-based survey of student-athletes revealed 90% rated study hall availability, facilities, etc. as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

7. Assistance for special academic needs. Provisions for diagnosis and treatment of learning disabilities.

- a.** The specific academic support services offered to student-athletes, if any.

Academic Integrity

All incoming football and basketball student-athletes and all other student-athletes with a composite ACT score of 20 or below (SATC score of 930 or below) will take the Stanford Diagnostic Reading Test and complete a writing sample to assess the need for supplemental assistance above and beyond the standard academic support available to all student-athletes. These same student-athletes may be required to take a math diagnostic evaluation to identify problems in this area. Any student-athlete, like all students, identified with a potential learning disability is referred to the University of Kentucky Disability Resource Center and a psycho-educational evaluation is arranged.

Student-athletes identified as significantly deficient in college level academic skills will receive supplemental assistance through the Student-Athlete Development Program. These student-athletes will be identified by a CATS academic counselor who coordinates diagnostic testing and will be assigned a full-time staff mentor. The academic progress of these student-athletes will be closely monitored by the academic counselor.

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

If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with the "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk". CATS assigns a mentor to these also and develops a program for them.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample, the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

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

a. The specific academic support services offered to student-athletes, if any.

The University administers subject area placement tests to all students (e.g., math, foreign language, etc.) for the purpose of placing students in appropriate levels of a particular curriculum.

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

Beyond the standard placement tests required of all students, additional learning assessments are available as described in Assistance for Special Academic Needs, part a, above. If a student-athlete is identified as having a learning disability, he/she is offered the opportunity to undergo a psycho-educational evaluation. If the student agrees to this, he/she is referred to the Disability Resource Center and is given the evaluation by a licensed psychologist. After completion of the testing, he/she is counseled by the

Academic Integrity

testing psychologist and meets with the University of Kentucky Disability Resource Center. The Disability Resource Center will counsel the student-athlete regarding his/her rights and responsibilities and the possible accommodations he/she may be allowed under the American Disabilities Act. The Director of Academic Services in CATS and the counselor who works with our "at risk" program will contact the psychologist in the Disability Resource Center and develop an Individual Educational Plan (IEP) for the student-athlete. It should be noted here that a significant percentage of those tested do not qualify for services through the Disability Resource Center but are still identified as "at risk." CATS assigns a mentor to these also and develops a program for them.

The web-based survey of student-athletes revealed 73% rated the quality of provision of learning assessment as being good or excellent; 79% rated the availability as being available or very available.

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

This is done individually. After initial diagnostic testing in reading and math and the evaluation of the writing sample the CATS staff determines the best strategy for educating each student-athlete about the results and determines the best strategy for addressing the issue with each.

d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

9. Mentoring. Availability of mentors, identification and assignment methods, frequency of interaction.

a. The specific academic support services offered to student-athletes, if any.

Mentors are provided to student-athletes who are identified as having academic deficiencies through an evaluation of their high school preparation, tests scores, or the CATS evaluation. All student-athletes who are identified as having the need for assistance in the area of organizational skills are assigned a mentor who assists them in organizing their weekly schedule (including assignments, study time for tests, personal responsibilities, etc.) The mentor meets with the student-athlete at the beginning of each week to prepare for the upcoming week's work. The mentor monitors the ongoing progress of the student-athlete and teaches the student-athlete organizational skills. Mentors are primarily adults (out of school) including many retired school teachers, and full-time athletics department staff.

The web-based survey of student-athletes revealed 81% rated the quality of mentoring as good or excellent.

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

All student-athletes are equally eligible for mentors. Mentoring is mandatory for student-athletes with identified special academic needs.

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

Student-athletes are made aware of these services during orientation in meetings with CATS personnel, and during the recruiting process. The mentoring program is not designed for every student-athlete. After the initial identification of those student-athletes who need a mentor, counselors continually evaluate student-athletes and determine others in need. Additionally, CATS personnel may advise the student-athlete of the mandatory need for mentoring.

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The web-based survey of student-athletes revealed 87% rated mentoring as being available or very available.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e.** The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

10. Assistance for at-risk students. Availability including institution-wide assistance.

- a.** The specific academic support services offered to student-athletes, if any.

Student-athletes are determined to be "at risk" in the University academic environment through the evaluation of their high school record, national standardized tests scores, and through the CATS' reading, writing and math evaluation. All football, men's basketball, and women's basketball student-athletes and any student-athlete in any other sport entering the University with an ACT of 20 or less is required to take the CATS' evaluative testing. These students are initially considered to be "at risk" and are identified for special services. It should be noted that a significant percentage of these identified "at risk" student-athletes would not qualify for services provided through the Disability Resource Center on campus. They are still identified as "at risk" and CATS assigns a mentor to these also and develops a program for them.

The University of Kentucky offers multiple academic support programs for all students but does not have a global program applicable to all students. There is not a remedial education program for all students and there is only one course (MA 108R) in the University that is considered remedial in nature. Several departments offer tutoring to the general student body and the Multicultural Affairs program operates a support program for minority students. Student-athletes are made aware of these specific campus programs by CATS staff, campus advisors, UK 101 staff, and other students and athletes. In some cases CATS staff will direct a student-athlete to a specific tutoring program on campus, based on the nature of the need (e.g., very esoteric subject matter, need for specific information only available from a departmental tutor, etc.).

At-risk student-athletes receive academic support through the Athletics Department's Center for Academic and Tutorial Services (CATS). These services, including advising assistance, tutoring, mentoring, and the full semester University orientation course (UK101) have been described throughout this document. At-risk student-athletes are directed into these services which are mandatory for the at-risk student-athlete.

- b.** Any policies that govern which students can use these services.

Any student-athlete can come to their CATS' advisor for assistance during the advising process. In addition, every student-athlete is required by the University to have a college advisor who is responsible for final approval of course selection and allowing the registration process to proceed. These advisors work closely with the CATS staff, but are drawn from the same pool of advisors used by all students. The CATS service is reserved for scholarship and non-scholarship athletes and alumni.

- c.** The mechanisms by which student-athletes are made aware of these services;

Student-athletes are made aware of these services through a variety of mechanisms described under Academic Advising, part c.

- d.** The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight of the Academic Integrity Committee.

Academic Integrity

- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

11. Post-eligibility programs. Availability of scholarships, assistantships and academic support.

- a. The specific academic support services offered to student-athletes, if any.

All scholarship student-athletes in good standing personally and academically who have completed their eligibility but still have hours to complete for their degree are placed on grant-in-aid to complete their degree.

Scholarship student-athletes who complete eligibility in four years but have hours to complete toward their degree are placed on a fifth year grant-in-aid. Those who complete their eligibility in five years but still have hours to complete toward their degree are placed on administrative grant-in-aid or are funded through the Cawood Ledford Post Eligibility Scholarship. Students in the latter two categories must work to receive their grant-in-aid in compliance with NCAA regulations.

All of CATS' support services are available to post-eligibility student-athletes.

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

All post-eligibility grants are awarded to student-athletes based on evaluation of academic effort and good standing personally as a student and athlete. The "post-eligibility" grant-in-aid program is not a part of the NCAA annual renewable grant-in-aid. It is awarded to deserving student-athletes who have completed eligibility as a member of a varsity team.

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

Student-athletes are made aware of these services through the following mechanisms:

1. Advising. CATS' counselors are very aware of how many hours each scholarship student-athlete must earn to complete his/her degree, and it is part of the advising process to inform each as to what they have to do to receive aid once eligibility is completed.
2. Team Meetings. Students are informed of these services at the beginning of every year.
3. Orientation. Information about these services is presented to all student-athletes at the Athletics Director's beginning of the year orientation.

- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and

See Academic Advising, part d, regarding oversight provided by the Academic Integrity Committee.

- e. The mechanism for approval of these services by academic authorities outside athletics.

The Associate Provost for Undergraduate Education oversees the program and provides guidance for the program. See Academic Advising, part e, for additional roles and responsibilities of the Associate Provost.

Evaluation

1. Does the institution demonstrate that adequate academic support services are available for student-athletes? **Currently Yes**

Academic Integrity

2. Does the institution demonstrate that student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing? **Currently Yes**
3. Does the institution demonstrate that, when it is determined that student-athletes have special academic needs, these needs are addressed? **Currently Yes**
4. Does the institution demonstrate that the support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics? **Currently Yes**

Academic Integrity

Operating Principle

2.3 Scheduling

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 2.3 (Scheduling). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision relating to Operating Principle 2.3.

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 first-cycle certification process as they relate to Operating Principle 2.3 (Scheduling). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

There were no specific plans for improvement or recommendations arising during the first-cycle certification that related to Operating Principle 2.3 (Scheduling) of the Academic Integrity Section.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.3 (Scheduling) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were no additional plans for improvement/recommendations developed by the institution since the first-cycle certification decision relating to Operating Principle 2.3.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 2.3 (Scheduling). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable

5. Describe the institution's written policies related to the scheduling of intercollegiate athletics competitions and practices and describe how they minimize interference with class time and examination periods.

The University of Kentucky's policies related to the scheduling of intercollegiate athletics competition and practices that minimize interference with class time are either consistent with the guidelines established by the Southeastern Conference or more restrictive than those guidelines.

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Regarding missed class time, the SEC recommends that member institutions ensure that student-athletes miss no more than 20 percent of any class due to travel to athletic events. The University of Kentucky Athletics Department has established a more restrictive 12 percent missed class guideline. Coaches complete a Missed Class Time form that is sent to CATS every semester.

Additionally, the University of Kentucky academic ombud has mandated that student-athletes provide professors with a copy of their schedule of competitions and travel dates at the beginning of each semester. The Associate Athletics Director for Student Services notifies the coaches regarding this at the beginning of each semester.

The issue of student-athletes missing required class work and/or examinations due to travel for competition has been addressed by the University Faculty Senate and is published in Part II - Selected Rules of the University Senate Governing Academic Relationships, a section of the University of Kentucky Student Rights and Responsibilities Handbook.

Part II, Section 5.2.4.2 - C reads:

The following are defined as excused absences:

—Trips for members of student organizations sponsored by an academic unit, trips for University classes, and trips for participation in intercollegiate athletic events. When feasible, the student must notify the instructor prior to the occurrence of such absences, but in no case shall such notification occur more than one week after the absence. Instructors may request formal notification from appropriate University personnel to document the student's participation in such trips.

—Students missing work due to an excused absence bear the responsibility of informing the instructor about their excused absence within one week following the period of the excused absence (except where prior notification is required), and of making up the missed work. The instructor shall give the student an opportunity to make up the work and/or the exams missed due to an excused absence, and shall do so, if feasible, during the semester in which the absence occurred. [US: 11/10/85 and RC: 11/20/87]

—If attendance is required or serves as a criterion for a grade in a course, and if a student has excused absences in excess of one-fifth of the class contact hours for that course, a student shall have the right to petition for a "W," and the faculty member may require the student to petition for a "W" or take an "I" in the course. [US: 2/9/87; RC 11/20/87]

—If a student has an excused absence on a day when a quiz is given, the instructor may not deny permission for a makeup exam and simply calculate the student's grade on the basis of the remaining requirements. (RC: 8/20/87)

Further, the NCAA faculty athletics representatives of the Southeastern Conference member schools have studied the problem that exists regarding athletics competition and final examination periods. They have made a concerted effort each year to ensure that the SEC team schedules and championships do not coincide with any school's final examination period.

A problem does exist with "common examinations." These are given to all sections of a particular subject and held at a time other than the established class time for any one section. Many of these exams are held at a time that coincides with team practice time, creating a conflict for the student-athlete. The office of the Associate Athletics Director for Student Services will provide students taking these exams with a letter of explanation, but student-athletes are often required to miss practice and sit for the exam. The conflict has been unavoidable.

The survey of student-athletes noted above also addressed scheduling issues:

—Over one-third (36 percent) of the athletes reported "often" or "always" experiencing scheduling conflicts between class times and athletics.

—Over one-fourth (27 percent) of the athletes reported "often" or "always" experiencing conflicts between exams and athletics.

—Eighty-seven percent reported that they knew what to do if they had a conflict between academics and athletics.

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

Coaches are required to complete a "Missed Class Time" form for each semester. The form is given to each coach by the Associate Athletics Director for Student Services. Coaches complete the form using their known travel and competition schedules compared to student class schedules that have been submitted to coaches by students and the CATS service. Travel schedules are developed by coaches, using the student class schedules to minimize missed class time. The reports are done at the end of the semester and serve to monitor the effectiveness of the developed schedules to minimize missed class time. The forms are reviewed by the Associate Athletics Director for Student Services to determine whether the class misses exceeded the Southeastern Conference 20 percent guideline. If the class time missed exceeds the SEC 20 percent guideline, this is immediately forwarded to the attention of the Athletics Director. If in a particular sport the missed class time for travel and competition exceeds the UK Athletics Department's 12 percent guideline (but not the 20 percent SEC guideline), the Associate Athletics

Academic Integrity

Director for Student Services examines the travel and competition dates and determines whether a scheduling effort could have been made to reduce the time missed. If it is determined that the conflict was unavoidable, the coach is warned and advised to make an effort to reduce missed class time. If it is discovered that the coach could have done a better job scheduling travel time, the coach is advised of this. If the coach continually violates the 12 percent guideline, the Director of Athletics is informed.

Coaches and administrative liaisons adjust travel arrangements to ensure that less class time is missed. In other cases, arrangements have been made for an individual or individuals to travel separately so as not to miss exams.

The Athletics Department also monitors the individual attendance of all at risk student-athletes to ensure that while the student-athletes are on campus, they are attending their classes regularly. This is done by graduate assistants, counselors and coaches. Class attendance of "at risk" student-athletes is monitored continually throughout the semester.

7. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).

A summary of Missed Class Time reports is presented below for the 2003-04 academic year. Although many coaches have periodically exceeded the Athletics Department's 12 percent guideline, only volleyball shows up as having exceeded the SEC 20 percent guideline. This is because every travel day is Friday and student-athletes may not always be able to avoid Friday classes. Many coaches who have exceeded the 12 percent guideline have been just over the 12 percent and have made every effort to comply. In many sports, although the percentage appears high, further review reveals that not all participants travel to all events.

University of Kentucky Missed Class Time Report - Fall 2003

Baseball: MWF 0 (0%) TTH 0 (0%)
 Men's Basketball: MWF 4 (9%) TTH 3 (10%)
 Women's Basketball: MWF 2 (4%) TTH 1 (3%)
 Men's Golf: MWF 4 (9%) TTH 4 (13%)
 Women's Golf+: MWF 8 (18%) TTH 5 (11%)
 Gymnastics: MWF 0 (0%) TTH 0 (0%)
 Rifle: MWF 2 (4%) TTH 1 (3%)
 Softball: MWF 0 (0%) TTH 0 (0%)
 Men's Soccer: MWF 5.5 (12%) TTH 4 (13%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis*: MWF 9 (20%) TTH 4 (13%)
 Women's Tennis: MWF 7 (15%) TTH 3 (10%)
 Swimming: MWF 2 TTH 2
 Track/CC: MWF 4 (9%) TTH 0 (0%)
 Volleyball**: MWF 11 (25%) TTH 2 (6%)
 *Tennis-individual players travel to different meets so no one player came close to the 20% figure.
 **Volleyball was over the 20% because every travel day is Friday. The team, however, makes every effort to take classes that do not meet on Fridays.
 + Women's Golf travel is under review.

University of Kentucky Missed Class Time Report - Spring 2004

Baseball: MWF 7.5 (17%) TTH 5 (17%)
 Men's Basketball: MWF 8 (18%) TTH 6 (20%)
 Women's Basketball: MWF 4 (9%) TTH 3 (10%)
 Men's Golf: MWF 8 (18%) TTH 5 (17%)
 Women's Golf: MWF 9 (20%) TTH 6 (20%)
 Gymnastics: MWF 5 (11%) TTH 4 (13%)
 Rifle: MWF 3 (6%) TTH 1 (3%)
 Softball:
 Men's Soccer: MWF 1.5 (3%) TTH 0.5 (1%)
 Women's Soccer: MWF 1 (2%) TTH 0 (0%)
 Men's Tennis: MWF 7 (16%) TTH 5 (17%)
 Women's Tennis: MWF 5 (11%) TTH 3.5 (12%)
 Diving: MWF 9 (20%) TTH 6 (20%)
 Swimming: MWF 8 (18%) TTH 6 (20%)

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Track/CC: MWF 6 (13%) TTH 5 (17%)
Volleyball: MWF 0 (0%) TTH 0 (0%)

8. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes.

It is an expectation that student-athletes attend all classes unless away from campus for competition. Student-athletes are informed of their responsibility to attend all classes while on campus at team meetings at the beginning of each year and at the Athletics Director's beginning of the year meeting with all student-athletes. This policy was stated in the 2003-2004 "Student-Athlete Handbook" on page 13: "Regular class attendance is expected of all student-athletes at the University of Kentucky. It is the individual responsibility of each student-athlete to attend all classes when on campus. The head coach is responsible for enforcing this policy as stated."

At the Athletics Director's beginning of the year meeting, each student-athlete receives a copy of the handbook, signs an Acknowledgement of Receipt that includes a statement accepting responsibility for reading and understanding all information, and submits the signed statement to the Athletics Director.

Evaluation

1. Does the institution demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12? **Currently Yes**

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-A: Standardized test Scores, by Gender

		Gender							
		Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	100	1737	86	38	98	1946	89	34
	2002-2003	98	1694	88	46	95	1969	90	40
	2001-2002	100	1454	85	50	96	1667	89	32

Name of person completing this chart: Roger Sugarman
 Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART I-B: Standardized Test Scores, by Racial or Ethnic Group

		Racial or Ethnic Group - All Entering Freshman Students											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004	106	4	101	51	82	206	97	33	100	3294	100	95
	2002-2003	85	3	98	55	83	163	95	28	97	3331	96	83
	2001-2002			99	49	82	152	96	27	99	2840	97	52
		Racial or Ethnic Group - All Entering Freshman Student-Athletes on Aid											
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other	
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2003-2004					78	13			90	49	87	7
	2002-2003					80	19			92	52	88	14
	2001-2002					73	15			90	58	87	7

Name of person completing this chart: Roger Sugarman

Title: Director of Institutional Research

Academic Integrity

FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

PART II: GPA and Test Scores, by Sport Group

		Sport Group																
		Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports		
		Academic Year	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core Course GPA	2003-2004	3.16	11	2.315	4	3.369	3	3.371	5	3.127	15			3.071	3	3.587	29	
	2002-2003	2.939	13	3.394	3	3.027	8			3.243	21			3.08	7	3.647	29	
	2001-2002	2.996	21	3.004	4	3.372	9			3.232	15			3.693	5	3.437	25	
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	
	2003-2004	79	12	81	4	88	3	90	5	91	15			80	3	89	29	
	2002-2003	82	13	93	3	90	8			91	21			82	8	92	29	
	2001-2002	82	21	73	4	88	9			89	16			91	5	89	25	

Name of person completing this chart: Roger Sugarman and Michele Nordin

Title: Dir of Inst Res & Dir of UG Admission

Academic Integrity

SPECIAL-ADMISSIONS INFORMATION

FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID, BY YEAR

			Sport Group (Freshman)								
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid **	Baseball	M e n ' s Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	W o m e n ' s Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits	2003-2004	9%	31%	0%	55%	64%	20%	27%	0%	67%	21%
	2002-2003	16%	22%	0%	0%	77%	0%	10%	50%	29%	14%
	2001-2002	19%	49%	55%	75%	62%	100%	56%	50%	20%	32%

Name of person completing this chart: Michelle Nordin

Title: Assoc. Dir. of Undergrad. Admiss./Assoc. Registrar

Fiscal Integrity

Operating Principle

3.1 Financial Practices

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Financial Practices). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.1 (Financial Practices). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Financial Practices) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.1 (Financial Practices). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. List all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution.

Not Applicable.

6. List all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

Fiscal Integrity

Not Applicable.

7. Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures.

Not Applicable.

8. Prepare a description for those sources of revenue under the institution's direct control and prepare a description for revenue sources not under the institution's direct control.

Not Applicable.

9. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics that verifies the institution is in compliance with Constitution 6.2.3, including any methods used to ensure the independent nature of the auditor.

Not Applicable.

10. Describe the institution's efforts to ensure the audit that verifies the institution is in compliance with Constitution 6.2.3 meets the standards of the NCAA Financial Audit Guidelines.

Not Applicable.

11. Describe relevant corrective actions planned or implemented from the three most recent external financial audits.

Not Applicable.

12. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., booster and support group funds, state funds vs. restricted/foundation funds).

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Copies of the institution's three most recent external (per Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.
- Documentation (e.g., management letters, executive summaries) from the institution's three most recent external audits that verifies the institution is in compliance with Constitution 6.2.3 (annual independent financial audit requirement).
- Copies of all athletics staff members' most recently completed and signed statements related to the reporting and approval of athletically related income and benefits from sources outside the institution, per NCAA Bylaw 11.2.2.

Evaluation

1. Does the institution demonstrate that all funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight? **Currently Yes**
2. Does the institution demonstrate that all expenditures from any source for athletics are approved by the institution? **Currently Yes**

Fiscal Integrity

3. Does the institution demonstrate that budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2? **Currently Yes**
4. Does the institution demonstrate that the institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department? **Currently Yes**
5. Does the institution demonstrate that an annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department? **Currently Yes**

Fiscal Integrity

Operating Principle

3.2 Fiscal Management and Stability

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.2 (Fiscal Management and Stability) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.2 (Fiscal Management and Stability). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

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

Not Applicable.

6. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. To add a sport to the list, please click "Add Sport to List."

Fiscal Integrity

7. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).

Not Applicable.

8. Outline the sources, uses and amounts of funds received by the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.

Not Applicable.

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

Not Applicable.

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

Not Applicable.

11. Using the institution's Equity in Athletics Disclosure Act survey forms, athletic department budget reports, and other appropriate documentation for the three most recent years for which the information is available, evaluate each of the following areas for every sport sponsored by the institution. On the basis of this review, state the institution's determination of its ability to provide relatively full and stable opportunities to student-athletes in each sport in the specific areas of:

- a. Coaching;
- b. Scholarships;
- c. Recruiting;
- d. Operating expenses (e.g., travel, facilities, equipment); and
- e. Percentage of the sport budget that has to be obtained each via fundraising (i.e., by institutional entities, department, team and individual student-athletes).

To add a sport to the list, please click "Add Sport to List."

12. Using your institution's NCAA Sports Sponsorship Report for the three most recent academic years indicate whether the institution meets the Division I membership requirements for sports sponsorship and scholarships.

Not Applicable.

Evaluation

1. Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation? **Currently Yes**

Fiscal Integrity

Operating Principle

3.3 Established Fiscal Policies and Procedures

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). In each case, provide: (a) the original "corrective action," "condition," or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process that relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.3 (Established Fiscal Policies and Procedures) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 3.3 (Established Fiscal Policies and Procedures). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not Applicable.

5. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA, conference and institutional rules including:
 - a. Identification of person(s) responsible for these areas; and
 - b. Means of monitoring compliance with these rules.

Fiscal Integrity

Not Applicable.

6. Describe the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements (e.g. official visit procedures, policies regarding staff travel advances for recruiting trips/expenses, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

7. Describe the university's policies and standard operating procedures for ensuring that enrolled student-athletes do not receive extra benefits (e.g., per diem policies, student-host reimbursement procedures, financial aid review policies, equipment checkout/retrieval procedures, etc.) contrary to NCAA, conference and institutional rules, including:
- a. Identification of person(s) responsible for these areas;
 - b. Means of monitoring compliance with these rules; and,
 - c. Means of ensuring that only institutional or athletics department funds are expended in these areas.

Not Applicable.

Information to be available for review by the peer-review team, if requested:

- Monitoring records or other documentation for the most recent year, related to impermissible recruiting inducements and prohibited extra benefits (e.g., official visit records, off-campus recruiting records, team travel forms, records related to distribution of meal money, entertainment expenses, equipment).

Evaluation

1. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that prospective student-athletes are not provided with impermissible recruiting inducements? **Currently Yes**
2. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation? **Currently Yes**
3. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that all expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules? **Currently Yes**

Equity, Welfare and Sportsmanship

Operating Principle

4.1 Gender Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.1 (Gender Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The University of Kentucky received unconditional certification during the first-cycle certification process. However, the NCAA Committee on Athletics Certification considered recommendations of the institutions and the peer-review team and determined that the institution was to be required to: "Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, and travel per diem). The committee reviewed UK's revised gender-equity plan as outlined in its April 10, 1997 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity."

The Self-Study Subcommittee on Equity and Student-Athlete Welfare found no evidence of an amended gender-equity plan as requested in the above recommendation; however, the new athletics administration under the leadership of Athletics Director Mitch Barnhart provided a Gender Equity Plan that addressed all program areas to the Subcommittee in August 2004. Revisions were made as the self-study progressed, and the final version of the institution's future Gender Equity Plan is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

2. Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

1995 University of Kentucky Athletics Department
Gender Equity Recommendations
Progress Report to Date

1. The sport of women's softball will be added in the fall of 1996. A female head coach and a female assistant coach have been hired during the 1995-96 academic year. The athletics department anticipates the participation of approximately 18 to 20 female student-athletes in the new sport.

Progress: Softball was added as a varsity sport during the 1996 -1997 academic year. There is a new female head coach and two female assistant coaches. There are currently 22 student-athletes on the team.

2. Each fall the Club Sports Review Committee will meet to evaluate the various female club sports currently competing through UK's Campus Recreation department. The purpose of this review will be to determine the feasibility of adding one of these sports at the varsity level.

Equity, Welfare and Sportsmanship

Progress: An alternative strategy to a Club Sports Review Committee was implemented in the year following the first-cycle certification. Once a year the Senior Woman Administrator (SWA) is in touch with the Campus Recreation staff who provides a list of clubs and the number of students in each. She then compares the club numbers with results of the annual Survey of Freshman Student Interests and Abilities. With support from the Office of Institutional Research (OIR), the SWA conducts this survey each summer with all incoming freshmen. (Results for every year since summer 1998 are available on the OIR website: <http://www.uky.edu/IR/survey.shtml>.) For instance last year (summer 2003) the Interests and Abilities Survey indicated that 32 female freshmen would participate in Equestrian if it were offered at UK. The combination of the survey results and the active, highly successful club indicates there is an interest on this campus for the sport of Equestrian. The SWA communicates this information to the Athletics Director.

3. The larger team sports of women's soccer, softball, and women's basketball will conduct tryouts in the fall of 1996 to encourage female walk-ons to participate in these sports. These tryouts will be publicized in the school newspaper and posted in various spots on campus. It is hoped that these tryouts will help to offset the greater tendency of males to walk-on than females. These sports have been chosen because there are very successful club programs on our campus from which to recruit walk-on student-athletes.

Progress: In 1996 formal tryouts were announced in a Kentucky Kernel article and held for the women's basketball, women's soccer, and softball teams. No one showed up for softball and women's basketball sessions, and only a couple showed up for women's soccer. As an alternative strategy, from 1996 forward each coach began to manage tryouts as appropriate for the specific team. The current softball, women's basketball, women's soccer, and volleyball coaches manage tryouts based on interest. They pick a tryout day and time that is given to interested callers. On tryout day, the interested students are run through drills by the coaching staffs. Students likely to show up are freshmen who played in high school, upperclassmen on the Club Team, and students who were recruited, but not offered a scholarship. Of note, women's basketball holds formal, advertised tryouts for MEN to be part of the women's "practice / scrimmage" squad. Approximately five men students are selected and they are counted in the male/female numbers in official NCAA and other reports, such as the Equity in Athletics Disclosure Act (EADA) report.

Historically, UK women's soccer carries one or two walk-ons each year and women's basketball has had walk-ons the past two years. UK softball has had occasional walk-ons over the years but no formal tryout sessions. The new (04-05) softball staff confirms they will follow up aggressively with tryouts.

4. The head coaches in our individual female sports will conduct individual tryouts in the fall of 1996 for any female student who indicates an interest in walking on to that program.

Progress: Due to the highly specialized skills needed for participation in individual sports, the Athletics Department uses an alternative to conducting annual, open tryouts to recruit walk-ons for all individual sports. The current strategy depends on the unique needs of the various individual sports:

- The individual sports of gymnastics and women's tennis have small squads with 12 and 8 full scholarships respectfully. There is less need for a "deep bench" on these teams. Although these coaches do not hold try outs, they both have women on their teams that are recruited as walk-ons.
- Women's golf is very open to tryouts and carries walk-ons every year. In 2003-04 walk-on golfers were incorporated into a junior varsity (JV) team.
- The rifle team is co-ed. In past years the rifle coach has managed to keep a good balance of men and women shooters on the roster. Because the number of women shooters decreased in 2003-04, he is considering the idea of forming a women's only JV shooting team to develop women shooters who can move forward to varsity after gaining experience and skills on the JV squad.
- The swimming and diving and track and field coaches welcome walk-ons. A walk-on's success on these two teams is determined by time standards.

In the years since UK's first-cycle certification process, the Athletics Department has discovered the following:

- Women college students simply do not tend to "come out" for a sport.
- Women students who do tryout tend to be those who play team sports with large squads and equivalency scholarships.
- A large number of women tryout participants are already known by the coach through the normal recruiting process and are encouraged to tryout.
- Many women walk-ons are recruited as a "walk-on." They come to UK knowing they are on the team (no need to tryout), but do not have a scholarship.
- The two individual fully funded sport teams (tennis/gymnastics) are highly competitive, skill specific sports that do not attract try-out participants the way the larger squad team sports do.

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5. The Junior Varsity Men's Basketball team will be discontinued in the fall of 1996. This will decrease the number of male student-athletes by approximately 12 to 15. There is a very strong intramural men's basketball league on campus to provide competitive opportunities for students interested in this sport.

Progress: The Junior Varsity Men's Basketball team was discontinued in 1996. There is currently no JV men's basketball team at the University of Kentucky.

6. The Athletics Director will continue to pursue qualified female applicants for all positions within the athletics department as they become vacant. Currently 47 of 114 positions within the Athletics Department are filled by females or 41.2%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Effort to achieve this goal has been ongoing since the first-cycle certification. In 2003-04, however, the Athletics Department provided data showing that 68 out of 173 employees (or 39.3%), including administrators, coaches and staff, were female. Thus, there has been a slight decrease in this measure.

7. Within the athletics department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices will be strongly encouraged to actively pursue qualified female student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-1997 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: In the years since the first-cycle certification, it has become routine practice in the Career Development program to refer the names of interested student-athletes to the various departments in athletics. The current Athletics Director routinely brings names of qualified student-athlete candidates who have approached him regarding internships to senior staff meetings. He requests that particular administrators look for positions in their areas.

8. The Assistant Athletics Director for Academics will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-1997 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: The workshop was held once again in 1997. Since that time, cultural diversity training was incorporated into the athlete sections of the UK 101 course that most freshman student-athletes take during their first fall semester. Cultural diversity is one of the menu selections of workshops available to teams. Coaches must select three workshops per year for their team and some select the cultural diversity session.

9. The Assistant Athletics Director for Academics will continue to submit the University's application for the Americorps grant through President Clinton's National Service Act. This program will continue to involve female student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The University has maintained the AmeriCorps grant since 1996. However, 2003-04 will be the last year utilizing this grant as the new presidential administration changed the emphasis of the grant. It is no longer directed at school success and violence prevention, which was a perfect fit for the student-athlete mentoring/tutoring program.

10. The University of Kentucky Athletics Department currently assigns the same level of athletics training staff to each women's sport as that assigned to the comparable men's sport. This commitment of equitable access to health and medical care for male and female student-athletes will be continued.

Progress: A commitment to equality in assigning athletics training staff to women's and men's sports has been continued each year since the first-cycle certification. Except for football, for which there is no comparable women's sport, each sport has either 1) a full time certified athletic trainer (ATC); 2) a full time ATC graduate assistant; or 3) direct access to a full time ATC.

11. Scheduling priorities for each athletics facility will be determined by the Senior Associate Athletics Director. Priority for facilities that house more than one sport will be given to the sport considered to be "in season" as defined by the NCAA. When more than one sport is considered to be "in season", the scheduling will be prearranged so that needs of every team will be met. Facilities will be assigned according to these policies and without regard to sports or gender.

Progress: UK Athletics has followed the above practice on a consistent basis since the first-cycle certification. This policy is described in the "UKAA Policies and Procedures Manual," Chapter VII.

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12. A courtesy car will be assigned to the head coach of the women's softball team no later than June 1, 1997. This assignment will complete the University of Kentucky Athletics Department's commitment to equitable allocation of such cars. This commitment provides a courtesy car to every women's sport for which such a benefit is provided to a comparable coach in a men's sport.

Progress: This goal was achieved as stated. Currently, all head coaches receive courtesy cars.

13. All services of the University of Kentucky Athletics Department's Center for Academic and Tutorial Services will continue to provide equitably to all student-athletes without regard to gender.

Progress: This goal is achieved on an on-going basis, as CATS services are available to all student-athletes.

14. The sampling of student-athletes selected for exit interviews will continue to include an equitable representation of men and women. Issues concerning equitable treatment of male and female student-athletes will continue to be addressed in these interviews. Improvements which are made as a result of these interviews will be reported to the student-athletes at their fall meetings beginning in the fall of 1997.

Progress: Since the first-cycle certification, a compliance and exit interview policy has been maintained and implemented to ensure that proper procedure is being enacted. However, changes made as a result of exit interview findings are not shared with the student-athletes, because the information shared in exit interviews is considered confidential. In order to protect the confidentiality of participants, who may be identified due to the small number of student-athletes graduating from a particular sport in a given year, the Athletics Department re-evaluated this goal. Results of the exit interviews are submitted to the Athletics Director for appropriate consideration and action.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing gender equity issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented as a Plan for Improvement at the end of Principle 4.1, Gender Equity Issues.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.1 (Gender Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

The University of Kentucky has established two presidential commissions composed of faculty, staff, administrators, community leaders and students. One of those commissions is the President's Commission on Women whose charge is to:

- Advise the President on issues, policies and practices that affect women at the University of Kentucky.
- Report regularly to the President and the University community on the status of women at UK.
- Offer recommendations to redress all forms of gender-related inequities.
- Propose initiatives to ensure that the University of Kentucky fully engages the talents of its women employees and fairly meets the needs of its women students.
- Administer selected programs that benefit women at UK.

Additionally, the University recently established a new strategic plan — The Dream & the Challenge — that set forth a new goal related to diversity and issues of fairness and equity. See Principle 4.2, Minority Issues, Self-Study Item 9 on Institutional and Athletics Department Commitment, for additional information.

The University recognizes the steps it must take to ensure gender equity, and it is proactively seeking solutions and avenues by which to continue to level the playing field for women. Among these are the Women's Studies Program

Equity, Welfare and Sportsmanship

and the Women's Health Center, examples of programs that were developed or significantly expanded in the past decade and that increase the visibility of women's roles and contributions. The Graduate School achieved gender equity in its fellowship awards and other student funding during the last decade.

In addition to the Athletics Director, the Athletics Department staff includes an Associate AD for Compliance, an Associate AD for Student Services, a Senior Woman Administrator, an Executive Associate AD, and specific senior staff assigned to each team as sport liaisons, all of whom have the responsibility to ensure that University and departmental policies regarding gender equity are followed within their areas. The specific sport liaisons serve as the first level of contact in communicating student-athlete issues to the coaches and administration. The Compliance Office monitors exit interviews with student-athletes and submits an annual report to the Athletics Director. In addition, the SWA is in contact with campus recreation as part of an annual effort to identify and gauge female interest in club sports. The end result would be the establishment of a new varsity sport for women.

The efforts described above are supportive of women student-athletes and are representative of a maturation process across the University campus that encompasses the Athletics Department and the Medical Center. More specifically, the Gender Equity Plan of the Athletics Department outlines additional plans and goals that clearly indicate a commitment to Title IX Compliance/Gender Equity.

The Equity and Student-Athlete Welfare Subcommittee experienced difficulties in accessing gender-related information in a timely fashion. In part, this was due to interruptions in institutional memory and awareness of past practices that frequently occur with changes in leadership and key administrators, of which there have been three since the first-cycle certification. The Subcommittee believes, therefore, that improvements are needed to ensure that gender equity issues are monitored, evaluated and addressed effectively on a continuing basis. As such, the charge of the Student-Athlete Welfare Committee recently established by the Athletics Board will be expanded to include gathering, monitoring and reviewing equity data for all program areas on an annual basis and making recommendations to the Athletics Board when appropriate. As indicated in Principle 1.2, Self-Study Item 7, the committee membership currently includes the vice president for student affairs (chair), one member of the UK Board of Trustees, a faculty UK Athletics Association director, and two student directors. Two additional members will be as follows:

- 1 multicultural/ethnic representative appointed by the Office for Multicultural and Academic Affairs
- 1 female representative appointed by the President's Commission on Women

6. Using your institution's completed Equity in Athletics Disclosure Act survey form and worksheets for the three most recent academic years for which the information is available, analyze, explain and address discrepancies in the data between male and female student-athletes and comment on any trends or significant changes.

Over the last three years the participation rate of female athletes has increased by 1.6 points. In 2003 female athletic participants made up approximately 38% of all student-athletes; whereas, females made up 52% of the general student population. In contrast, male athletic participants made up approximately 62% of all student-athletes; whereas, males made up 48% of the general student population. Consequently, the participation percentages for the past three years as reported in the EADA survey reflect a 25%-27% gap between men's participation rates and women's participation rates, with men having the larger participation rate in each year. Upon closer analysis, this gap can be put into context by examining the impact that football has on the overall numbers. When football is part of the equation, a participation rate gap of 25%-27% is noted, but when football is not part of the equation, the participation rate gap is less than 1% with women's sports having the larger participation rate for each year. While the impact of football may help explain the participation rate gap between men and women, the size of the gap and the small increase in participation rates over the three year period suggest that the Athletics Department should accelerate its research and planning for expanding athletic opportunities for women.

7. Using the program areas for gender issues, please:

- a. describe how the institution has ensured a complete study of each of the areas,
- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for gender issues addresses each of the areas.

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[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to Item No. 9 of the program area checklist.]

1. Athletics Scholarships. Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all items through a broad-based campus-wide review, with the Equity and Student-Athlete Welfare Subcommittee ("the Subcommittee") assuming primary responsibility for assessing the University's programs and policies in these areas. The broad-based review included the following activities:

- Athletics Department records and institutional data pertinent to this area were reviewed, including the Equity in Athletics Disclosure Act report for the years 2001 through 2003;
- Athletics facilities were toured (led by Athletics Director who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- a written survey of student-athletes was conducted and analyzed by gender;
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department monitors and reviews the distribution of scholarships on an annual basis. In the most recent three years, women's sports received 39% to 42% of the total athletics aid. Although the percent of total athletic aid to women decreased over the last three-year period, the actual dollar amount increased — from \$1.6 million in 2001 to \$1.9 million in 2003.

c. Identify areas of deficiency and comment on any trends.

The trend in the most recent three years has been an increase in the total number of women participating in sports at the University of Kentucky. In 2000-01 there were 204 participants, for 2001-02 there were 206 participants, and for 2002-03 there were 224 participants. As noted above, athletic aid awarded to women increased accordingly, and has been fully funded. Furthermore, while women made up approximately 38% of the total student-athlete population over the last three-year period, athletic aid to women accounted for 39% to 42% of the total, indicating that scholarship dollars have been awarded to women and men at nearly the same proportion as their respective rate of participation in intercollegiate athletics. In this area, the UK Athletics Department is providing excellent support to the University's strategic planning values and goals related to ensuring equity and fairness in the treatment of all members of the University community.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to maintain a balance between men and women student-athletes in the amount of athletic aid awarded. To accomplish this, the plan addresses women's scholarship needs by ensuring that women receive the maximum allowable number of scholarships, assuring all options to award open scholarships are considered, and by budgeting new levels of funding as new NCAA legislation is approved.

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2. Accommodation of Interests and Abilities. Participation proportionate to enrollment; history and continuing practice of program expansion for underrepresented sex; and/or, fully and effectively accommodate underrepresented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed results of the Survey of Freshman Student Interests and Abilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

During the 1999-2000 academic year, the Athletics Department began researching emerging sports to provide additional opportunities for athletes by accommodating documented interests and abilities. Field Hockey, Equestrian and Lacrosse were identified as the most popular possible new sports to improve participation rates for female athletes. The 2003 and 2004 Survey of Freshman Student Interests and Abilities indicated a "spike" in interest in trying out for Equestrian. The number of entering freshmen who indicated they would try out for Equestrian increased from 30 in fall 2002 to 33 in fall 2003 and 2004. Further research in the areas of club sport interest, recruiting potential, surrounding programs, cost for facilities and staff, NCAA status, SEC status, and numbers required have suggested that Equestrian may be the most logical sport to add.

c. Identify areas of deficiency and comment on any trends.

The recent "spike" in interest in Equestrian involved the three items:

- 1) There was an increase in first-year women who said they would try out for Equestrian if offered, as well as a relatively high, consistent number over the three-year period;
- 2) There was an increase in those who reported participating in Equestrian for three or four years during high school, as well as a relatively high, consistent number over the three year period; and
- 3) There was a decrease in those who reported having earned awards in Equestrian, but the number reported over the three-year period, again, has been fairly high and consistent.

As part of its efforts to accommodate the sports interests and abilities of the University's student population, the Athletics Department has in place a process to review and discuss these survey data and other factors in order to make informed decisions regarding sports offerings. According to the progress report on the 1997 Gender Equity Plan, the last new women's sport — softball — was added in 1996-97.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution has been administering a survey to gauge freshman student interest in sports since 1995. The institution's future Gender Equity Plan emphasizes this survey as a tool that will assist in evaluating the feasibility of adding another women's sport. The Plan also recognizes the need to accelerate research and planning for expanding women's athletic opportunities at the University of Kentucky.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area. In particular, specific information on equipment and supplies expenditures was studied.

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- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

Using the EADA worksheets, the Athletics Department supplied information on actual expenditures for equipment and supplies to allow the following comparisons:

—Total equipment and supplies expenditures for women's sports increased from \$99,317 to \$135,772 from 2001 to 2003 — a 36.7% increase, compared to a decrease of 0.5% for men's sports and an increase of 20.0% for men's sports without football.

—Equipment and supplies expenditures per participant for women's sports increased from \$487 to \$606, a 24.4% increase, compared to a decrease of 4.6% for men's sports and an increase of 8.1% for men's sports without football.

- c.** Identify areas of deficiency and comment on any trends.

The data presented in section (b) above show that progress was made in 2003 in providing equitably for women's teams, when using equipment and supplies expenditures as an indicator. The percent of change over the three-year period for women's teams exceeded the change for men's teams overall as well as for men's teams without football. The most compelling data in support of gender equity in this area, however, is found in the Nike contracts that are in place for every men's and women's sport at the University. The Nike contract has been in place since 1997, and it ensures equal access to high quality equipment and supplies for comparable men's and women's teams. Zero-based budgeting is also now in place for equipment to facilitate budget planning designed to meet specific, documented needs.

- d.** Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to increase further the equipment budgets for women's teams to be competitive within the SEC, and efforts are underway to monitor budgets in comparison to other SEC schools. As the Nike contract nears its expiration in 2007, Athletics will re-negotiate an equipment-apparel contract to ensure fair and equitable treatment for men's and women's teams.

4. Scheduling of Games and Practice Time. Number of games; number, length, and time of day of practices; time of day of games; preseason and postseason opportunities.

- a.** Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area.

- b.** Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All sports share common practice facilities. SEC games are scheduled by the conference. All other games and practices are scheduled by the coaches.

- c.** Identify areas of deficiency and comment on any trends.

There are occasional scheduling conflicts among the sports that share facilities. The conflicts are resolved by the head coaches according to the scheduling policies in Chapter VII of the "UKAA Policies and Procedures Manual." These policies state the priorities to be applied when conflicts emerge: "Priority for facilities that house more than one sport goes to the sport considered to be "in season" as defined by the NCAA. Contract varsity competition events will take priority over all scheduled practices, clinics or camps. UKAA or individual sponsored special event or tournaments may take priority over a scheduled practice if pre-approved" by (the Associate Athletics Director).

Based on these policies and procedures, which are gender-neutral, the scheduling of games and practice times appears to be equitable.

- d.** Explain how the institution's future plan for gender issues addresses this area.

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The institution's future Gender Equity Plan seeks to assign additional staff to events in order to ensure that games and practices are staffed equitably. In addition, construction of a practice facility for men's and women's basketball is in the design phase. This new practice facility for basketball will allow volleyball to have a dedicated gym for practice and games. These initiatives will relieve scheduling conflicts and aid in the recruiting of men and women athletes in the above mentioned sports.

5. Travel and Per Diem Allowance. Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and athletics managers responsible for this area and also reviewed the University's business policies and procedures.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The Athletics Department adheres to NCAA travel guidelines and to the University's business policies and procedures for travel and per diem allowances. These policies apply to all athletic teams and student-athletes, independent of gender.

c. Identify areas of deficiency and comment on any trends.

Travel and Per Diem Allowance policies and procedures appear to be equitable.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan will provide options for per diem or team meals based on nutrition, travel and team needs, and a zero-based budgeting model has been implemented to support this effort.

6. Tutors. 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. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed the Director of the Center for Academic and Tutorial Services (CATS).

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In 1998, UK athletics opened its new \$2.4 million Ohio Casualty Center for Academic and Tutorial Services. The Center for Academic and Tutorial Services (CATS), founded in 1980, is one of the premiere academic support programs in the SEC and NCAA. Located in Memorial Coliseum, CATS is specifically designed with the student-athlete in mind. With nine full-time staff members, six graduate assistants, and numerous tutors, the UKAA has budgeted \$1 million annually to provide support for the school's 22 varsity sports. While its main objective is to provide academic support - earning degrees, maintaining eligibility and winning honors - CATS also prepares the student-athlete for life after college with the Wildcats Career Development Program. CATS provides numerous services to complement the educational experience at UK. Tutorial program services are free to all student-athletes regardless of gender or race. Any student-athlete who requests a tutor has an opportunity to meet with one in a group or one-on-one setting.

c. Identify areas of deficiency and comment on any trends.

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Tutoring is provided independent of gender to all student-athletes as needed. Additional information on tutoring is presented in Academic Integrity Principle 2.2, Academic Support, Self-Study Item 6.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan includes a goal to continue to provide equitable academic support to men and women student-athletes through CATS. The Athletics Department plans to evaluate tutoring and academic support for all men's and women's teams and monitor team grade point averages.

7. Coaches. Availability - full time, part time, assistant, and graduate assistants; Assignment - training, experience, professional standing, and other professional qualifications; Compensation - rate of compensation, 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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and reviewed supplemental information provided on the coaching staff. The Subcommittee reviewed the number of coaches, their assignments, average salaries per FTE, and the courtesy cars list.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The EADA reports for the last three reporting periods are difficult to interpret and analyze for trends, because head coaches who coach both men and women for sports such as track and field, rifle, and swimming and diving are reported twice — once as a head coach for the men's teams and again as a head coach for the women's teams. Therefore, the Athletics Department provided additional data showing the absolute number of head coaches by gender over the last three years. These data demonstrate that the number and percent of female head coaches decreased over the three-year period from five to four and from 31% to 25%, respectively, while the number of male head coaches increased by one. This change resulted when a male head coach was hired to replace a departing female head coach for Women's Gymnastics. Although there were male head coaches reported for women's teams, there were no female head coaches reported for men's teams over the last three years. Rifle, which is a coed team, Track and Field, and Swimming and Diving have a male head coach who serves both men and women student-athletes.

As with the head coaching assignments, the assistant coaching assignments are also difficult to track over time using the EADA reports. Additional data provided by the Athletics Department, however, showed that the number of female assistant coaches increased from seven to nine over the three-year period, while the number of male assistant coaches decreased from 32 to 31; consequently, women made up 23% (9 of 40) of the total assistant coaching staff in 2003, compared to 18% (7 of 39) in 2001.

As reported in the EADA report, salary outlay for head coaches of men's teams in 2003 was \$649,521, compared to \$501,896 for head coaches of women's teams (including duplicate salaries for those serving in more than one position). Over the three-year period under study:

—The average salary per FTE of head coaches for women's teams increased from \$50,157 to \$55,766 — an increase of 11.2%, compared to a 4.6% increase for men's teams and a 10.7% increase for men's teams without football.

—The average salary of head coaches for women's teams as a percent of the average salary of head coaches for men's teams increased from 64.6% to 68.7%.

It is noteworthy that a new women's basketball head coach was hired for 2003-04 at a highly competitive salary.

c. Identify areas of deficiency and comment on any trends.

Over the three year period, the average salary per FTE for head coaches of women's teams increased by 11.2%; average salary per FTE for head coaches of women's teams as a percent of men's also increased

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from 64.6% to 68.7%. Although this shows some improvement, the discrepancy between the average salaries per FTE for head coaches of women's and men's teams is greater than one might expect among similar employee groups in a higher education institution. For example, the female instructional faculty average salary was 79.4% of male's in 2003-04 at the University. Therefore, an additional analysis was completed to understand the impact of the head football coach on the gap between averages salaries for women's and men's teams. There is not a comparable sport to football among the women's teams, and it seemed reasonable to remove it from consideration as a way to explain the differences. With the football head coach removed from the total salary outlay for men's teams, the average salary per FTE for women's teams as a percent of men's ranged from 79.5% to 80.7% — slightly better than the instructional faculty salary gender gap at the University. Thus, it appears that the Athletics Department is confronted with and is addressing issues similar to those of the academic mission of the University in its effort to achieve fair and equitable salaries for head coaches of women's teams. Coaching assignments and compensation packages take into account numerous factors that generate differences in men's and women's salaries, including training, experience, professional standing, and terms of contracts.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address head coaches' salaries through an evaluation of academic success, leadership, fiscal integrity and competitive excellence that is tied to pay increases and by studying SEC and national data on salary ranges, both of which will be used to budget increases as necessary. The Plan also seeks to ensure that equitable opportunities for women are made available as openings in head coaching positions occur.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the athletic administrators responsible for this area.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In particular, the tour of facilities helped the Subcommittee understand the quality and availability of current facilities and plans for new ones. The self-study survey of student-athletes collected student evaluations on the quality of locker rooms and practice and competitive facilities.

c. Identify areas of deficiency and comment on any trends.

On the student-athlete survey, 56% of female student-athletes rated the quality of locker rooms as good or excellent, whereas 60% of male athletes rated them good or excellent, indicating a need to improve locker facilities for both females and males. However, this pattern — with women rating the quality of facilities lower than men — occurred also in their evaluations of the quality of practice and competitive facilities. Based on student survey feedback and information gathered during the facilities tour, it was clear that locker room facilities are not up to the standards of the top teams in the conference, and in recognition of this by the Athletics Department, there is an effort currently underway to upgrade these facilities. In further support of the survey findings, it is also noteworthy that future plans include improving the quality and availability of practice and competitive facilities as well. The upgrade plans will address the needs of several women's sports, indicating commitment and progress in improving equity for women's teams in this area. Additionally, a new multipurpose room is to be constructed at Nutter Field House. The project involves the construction of a multipurpose facility with a seating capacity of approximately 250 persons, full kitchen, and athletic training table. The facility will be an addition to Nutter Field House and will service game day catering needs and host recruiting, Athletics Department, and university departmental group functions.

d. Explain how the institution's future plan for gender issues addresses this area.

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As part of the Gender Equity Plan, the following projects were recently completed:

- upgrading of women's basketball locker room and creation of a video room;
- renovation of women's track and cross-country locker room; and
- renovation of private locker room and study/relaxation area for gymnastics.

The institution's future Gender Equity Plan seeks to provide a private women's swimming locker room and new locker rooms for women's basketball, volleyball and gymnastics as part of the new men's and women's basketball practice facility.

9. Medical and Training Facilities and Services. Availability of medical personnel; availability and quality of weight training, and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed coaches and the director of sports medicine and reviewed the student-athlete exit interviews.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The sports medicine providers are licensed in their field and are recruited and selected from three major sources: 1) the athletics training program in the College of Health Sciences, 2) the College of Medicine Division of Sports Medicine, and 3) the national at-large pool. A medical training manual is reviewed and updated annually. See also Principle 4.3, Self-Study Items 10 and 11.

c. Identify areas of deficiency and comment on any trends.

Based on the review of various sources of data, the Subcommittee found that all student-athletes had equal access to medical and training facilities and services. It is noteworthy that the new Athletics Department administration has demonstrated a commitment to discussing and exploring ways to improve women's health, bringing a change in attitudes toward women student-athletes and their special health needs related to eating disorders, body image, abuse and others.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to address specific women's health and nutrition needs including use of new techniques such as massage therapy for injuries and conditions specific to women student-athletes. The Plan addresses psychological and emotional needs for men and women through efforts such as transitional educational programming for exiting athletes, and sports psychologist referrals. Also, the Plan calls for the establishment of a multi-disciplinary committee to address health issues of at-risk student-athletes.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed the University's policies related to housing and dining facilities and services and the results of the self-study survey of student-athletes.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

All student-athletes live in facilities that house non-student athletes. Dining facilities on campus are the same for all students regardless of gender or participation in athletics.

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c. Identify areas of deficiency and comment on any trends.

On the self-study survey of student-athletes, 65% of females and 56% of males rated the quality of housing services as "good" or "excellent;" additionally, 56% of females and 49% of males rated dining services as "good" or "excellent." These results suggest greater satisfaction among female student-athletes, compared to males, with the University's housing and dining services. Housing and dining services participate in periodic and annual reviews as part of the University's ongoing planning and evaluation process. The relatively low ratings for these services by student-athletes are consistent with how students in general rate these services at the University of Kentucky. Over the last decade, University dormitories and food services have ranked lower than other services on surveys of student satisfaction. In response to this type of feedback, the University is in the process of constructing four new undergraduate residence halls to be opened in fall 2005, and it is implementing several improvements in dining services, all of which will benefit both female and male student-athletes.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to acquire dormitory space for members of its women's basketball and volleyball teams in the University's new residence hall facilities that are currently being constructed .

11. Publicity. Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee reviewed exit interviews, publicity expenditures, and the media guides for all programs.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

The publicity that each team receives is based partly on the demands of the public and the Athletics Director and his staff. The data presented below depict the actual marketing and promotions expenditures for 2001 through 2004. This is a somewhat different timeframe than that used in other program areas; however, it will demonstrate more clearly the new commitment in the current administration to market women's sports, particularly women's basketball.

—Total expenditures for marketing and promotions for women's teams increased from \$77,646 in 2001 to \$188,125 in 2004 — an increase of 142.2%, compared to an increase of 77.4% for men's sports and a decrease of 42.5% for men's sports without football.

—Women's teams marketing and promotion expenditures as a percent of the total increased from 31.7% in 2001 to 38.8%; as a percent of the total without football, the increase was from 67.6% to 284.5%.

c. Identify areas of deficiency and comment on any trends.

Over the most recent four-year period (2001 through 2004), marketing and promotions expenditures increased significantly for both men's and women's teams. The largest increase was 142% for women's teams, which brought the percent of total for women's teams (38.8%) in line with women's participation rates. In 2003-04, UK Athletics chose to focus on women's basketball, which resulted in a new NCAA record for the largest one year attendance increase from 2002-03 to 2003-04, as well as a significant increase in women's basketball revenue. The increase in funds for the women's basketball marketing efforts helped promote the team within the community. The following were a few of the advertising outlets used:

- 5 outdoor billboards that ran August, 2003 - January, 2004 in Fayette County
- 20' x 60' banner hanging on Memorial Coliseum, practice and game facility
- 30 second TV spot that ran on 9 local cable channels
- Season ticket direct mail piece sent to 16,000 Fayette County residents
- Banners in Commonwealth Stadium during football season
- Elevator wraps in Commonwealth Stadium during football season
- Pre-season luncheon for Top 40 business women in Lexington to promote 2003-04 season

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—E-mail blasts to hundreds of fans

—Premium promotional items given away at every game including Mickie DeMoss bobblehead, rally towels, schedule magnets, antenna balls, and mouse pads.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to continue to provide qualified media support by season for all teams, including full-time staff to be hired for softball. Promotional efforts will be enhanced for men's and women's teams.

12. Support Services. Administrative, secretarial, and clerical support; office space.

a. Describe how the institution has ensured a complete study of this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee visited staff and their facilities.

b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.

In recognition of the need for improvements in the equitable allocation of office space, the Athletics Director gave up his office for the new women's basketball head coach to provide office space that is comparable to the men's basketball office. The data below are based on the number of full-time operational and clerical staff positions that supported men's and women's teams in 2001 through 2003:

—Total full-time staff support for women's teams increased from 3.7 to 4.7 FTE, compared to increases from 9.2 to 10.2 for men's teams and 4.2 to 5.2 for men's teams without football.

—The above increases resulted in staff-to-participant ratios in 2003 as follows: women's teams, 1:48; men's teams, 1:36; and men's teams without football, 1:43.

c. Identify areas of deficiency and comment on any trends.

The staffing ratios in the data presented in section (b) above suggest that women's teams are supported at a slightly lower level than that of men's teams, with or without football. As with previous program areas, there is recent evidence of improvement. The staff-to-participant ratio for women's teams improved substantially over the three-year period, dropping from 1:55 to 1:48. Although the ratio also improved somewhat for men's teams, the gap between the number of student-athletes supported for women's teams compared to men's teams and men's teams without football narrowed considerably, from 16 to 12 and from 8 to 5, respectively.

d. Explain how the institution's future plan for gender issues addresses this area.

The institution's future Gender Equity Plan seeks to achieve balanced administrative support for men's and women's team coaches. The Plan also seeks to build new coaches' offices for women's basketball, women's golf, women's track and field, volleyball, gymnastics and rifle, with a timetable of fall 2006. Design, planning and fund raising are now in progress.

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 this area.

In addition to those activities outlined in part (a) under Athletics Scholarships, the Subcommittee interviewed athletics administrators, compliance officers, and coaches and reviewed the recruiting expenditures reported in the 2001-2003 Equity in Athletics Disclosure Act reports.

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- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across this area.**

New facilities such as locker rooms, practice facilities and lounges are being planned to improve various aspects of the student-athlete's experience and improve recruitment. Increased budget proposals for women's sports are also being considered. The data below present actual recruiting expenditures for men's and women's teams during the time period from 2001 to 2003.

—Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003 — an increase of 13.1%, compared to a decrease of 34.8% for men's teams.

—Recruiting expenditures as a percent of total for women's teams improved from 21.4% in 2001 to 32.0% in 2003, while men's recruiting expenditures as a percent of total saw a corresponding decrease from 78.6% to 68.0%.

- c. Identify areas of deficiency and comment on any trends.**

Recruiting expenditures for women's teams increased from \$189,854 in 2001 to \$214,685 in 2003, an increase of 13%; whereas actual recruiting expenditures for men's teams decreased from \$699,331 to \$456,006. Actual recruiting expenditures will necessarily vary from year to year depending on factors such as the number of scholarships available on specific teams. With the decrease in recruiting expenditures for men's teams, recruiting expenditures for women's teams as a percent of total increased significantly from 21.4% to 32.0%; however, this trend must be considered carefully in the context of the men's team decrease. Recruiting expenditures per participant increased slightly for women's teams. As with other measures, there appears to be a trend toward improving support for women's teams while making adjustments for the men's teams. Additional years of data should be monitored and evaluated to provide ongoing evidence of continuing improvement in equitable recruiting expenditures for men's and women's teams. Also, recruiting is influenced by the quality of facilities. The sharing of current practice facilities by men's basketball, women's basketball, women's volleyball and gymnastics presents a scheduling challenge. The trend is to create new facilities, thus alleviating the heavy usage of the primary practice facility, creating a more inviting place for future athletes, and improving recruitment outcomes.

- d. Explain how the institution's future plan for gender issues addresses this area.**

The institution's future Gender Equity Plan seeks to evaluate current budget allocations, obtain feedback from coaches, and study SEC and national comparative data to provide recruiting budgets that will allow both men's and women's sports to recruit competitively in the SEC and at the national level.

- 8. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan must address all 13 program areas for gender issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's gender-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]**

Within gender-equity written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Gender Equity Plan, as developed by the current athletics administration, in light of the findings of the self-study and made recommendations for changes to the existing plan. The revised Gender Equity Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Gender Equity Plan assures that the Plan will be an active document. The resulting Gender Equity Plan for the future is presented as a Plan for Improvement below.

Equity, Welfare and Sportsmanship

9. Describe the institution's efforts to ensure the plan for addressing gender equity for the future of the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.

The institution's future Gender Equity Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all 13 program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Gender Equity Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on the self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, the interests and abilities survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Council (which includes deans), President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Gender Equity Plan was approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

Information to be available for review by the peer-review team, if requested:

- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]

Evaluation

1. Has the institution implemented its approved gender-equity plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

Equity, Welfare and Sportsmanship

Plan Date Range: 2005-06 thru 2009-10

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Scholarships	Maintain a balance between men/women scholarship awards.	Monitor scholarships for women teams assuring all options to award open scholarships are considered.	AD priority; implemented by head coaches.	Annual
Scholarships	Increase scholarships to new NCAA limits for selected women's teams.	Budget for maximum allotted scholarships.	AD priority; implemented by coaches.	As NCAA legislation is passed (possible projected effective date Fall 2006).
Accommodation of Interests and Abilities	Determine interest/ability changes among UK women undergraduates.	Administer interest survey to freshmen; compare year to year; study results for interest trends.	Senior Woman Administrator	Annual
Accommodation of Interests and Abilities	Begin dedicated research into possibility of adding a women's sport.	Review the interest survey; evaluate budget issues; study every aspect of feasibility.	AD; Executive Associate AD, SWA and selected evaluation committee.	Identify new women's sport spring 2006; prepare financial plan fall 2006.
Equipment and Supplies	Increase equipment budgets for women's teams to be competitive within SEC.	Monitor budgets in comparison to other SEC schools.	AD priority; implemented as needed.	Began in 2002-03 and continued in 2003-04; ongoing.
Equipment and Supplies	Provide equitable equipment and supplies for similar m/w teams.	Negotiate equipment-apparel contract to best benefit women's teams.	AD, Executive Associate AD, coaches feedback.	Annual since Nike contract 1997.
Game/Practice Schedule	Provide equitable staffing and support for all teams.	Assign administrator and game management staff to coordinate events.	AD priority; implemented by event management staff, coaches.	Ongoing by season - by sport.
Game/Practice Schedule	Provide quality practice and playing facilities including locker rooms, weight rooms, and related team facility needs.	Evaluate facilities for upgrade needs; improvements; repairs; replacement.	Associate AD for Operations and Facilities, coaches, athletic staff.	Created a facility priority list in 2003-04; update annually.
Game/Practice Schedule	Provide VB access to a dedicated gym for practice and games and WBB a dedicated practice gym.	VB will be a priority team to practice in Memorial Coliseum once the m/w BB practice facility is ready.	Associate AD for Operations and Facilities	Fall 2006
Game/Practice Schedule	Add new weight room shared by WBB, VB, Gym and others as needed.	Include new weight room in new BB facility plans.	AD, Associate AD for Operations & Facilities, Executive Associate AD.	Fall 2006

Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Travel and Per Diem Allowance.	Provide options for per diem or team meals based on nutrition, travel and team needs for women.	Travel expenses reflected in team budgets; coaches responsible to coordinate.	Sports liaisons, coaches and business office.	Annual when budget submitted
Tutors	Continue to provide equitable academic support to m/w student-athletes through the Center for Academic and Tutorial Services.	Evaluate tutoring and academic support for all teams; monitor team grade point averages.	AD priority; implemented by Associate AD for Student Services; Sports Liaisons	Semester and year end by administration, coaches
Head Coach and Assistant Coach Issues	Evaluate m/w head coaches on academic success, leadership, fiscal integrity and competitive excellence.	Increase pay for deserving coaches; study SEC and national range; budget for increases.	Executive Associate AD	Annual at end of sport season; implemented in new fiscal year
Head Coach and Assistant Coach Issues	Hire maximum allowable assistants.	Make sure every team has full compliment of assistant coaches.	AD priority; implemented by sport liaisons and head coaches.	Ongoing as needed
Head Coach and Assistant Coach Issues	Increase the number of women coaches.	Require networking and researching sport contacts to find qualified women candidates; interview at least one woman for each position.	Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Ensure female candidates included for coach positions on women's teams.	Actively seek female candidates; research the field to ensure females are included in the selection pool.	AD priority; sports liaisons, coaches	Ongoing as openings occur
Head Coach and Assistant Coach Issues	Appoint at least one woman to search committees for open coach positions on women's teams.	Require women as members of search committees; include them in the research and interview process.	AD priority; Executive Associate AD, SWA, sport liaisons	Ongoing as openings occur
Locker Rooms	Upgrade WBB locker room and create video room.	Determine improvements needed; include project in budget.	Associate AD for Operations & Facilities	Goal met in 2003-04
Locker Rooms	Replace old swim lockers; consider new lap pool/locker room for long range plan.	Renovated poor lockers; research costs, etc., for new lap pool and locker room.	Associate AD for Operations & Facilities	Swim team locker repair completed. New locker room/lap pool 2010.
Locker Rooms	Complete new Women's Track and Cross-Country locker room.	Renovation completed.	Facilities staff	Goal met; fall 2004

Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Locker Rooms	Construct private locker room and study/relax area in gymnastics practice facility.	Renovation completed.	Facilities staff	Goal met; fall 2004
Locker Rooms	Provide new locker rooms for WBB, VB and Gym as part of new m/w BB practice facility.	Renovate Memorial for VB and Gym; raise needed funds; plan and design new building.	AD, Associate AD for Operations & Facilities, Executive Associate AD, AD for Development	Fall 2006
Medical and Training Facilities and Services	Address specific women's health and nutrition needs.	Brief women on health and nutrition issues regularly, provide massage therapy as referred by trainer.	Head Athletics Trainer, sports nutritionist, coaches	Ongoing evaluation by administration, coaches
Medical and Training Facilities and Services	Address changing health needs of men/women athletes at the end of the college athletic careers.	Expand role of sport nutritionist to include a transitional session with exiting athletes.	Head Athletic Trainer, sports nutritionist	Spring 2005
Medical and Training Facilities and Services	Address men/women student-athlete psychological and emotional issues.	Make sports psychologist referral available to men and women.	AD, Head Athletic Trainer	Currently exploring options to phase in sports psychologist.
Medical and Training Facilities and Services	Form multidisciplinary committee to address health issues of at-risk student-athletes.	Establish a committee comprised of head trainer, sport psychologist, sport nutritionist and academic advisors to deal with stress and other issues.	Head Athletic Trainer; committee members	Fall 2009
Housing and Dining Facilities and Services	Provide new dorm space for WBB and VB.	Locate new dorm space for teams as available.	SWA, sport liaison, coaches	Fall 2005
Publicity	Provide qualified media support by season for m/w teams including full-time staff for Softball.	Evaluate team media staff; require media to travel with teams to championships; approval requested for 3rd full-time hire.	Asst AD Media Relations as part of office restructuring.	Fall 2004
Publicity	Increase promotional efforts for all men's and women's teams.	Continue to provide promotion budgets and staff.	Associate AD for Marketing	Ongoing evaluation by administrators; coaches feedback
Support Services	Build coaches offices for WBB, WGolf, WT&F, VB, Gym, Rifle and Softball.	Include new coaching offices in BB facility plans.	AD, Associate AD for Operations & Facilities	Fall 2006
Support Services	Achieve balanced administrative support for men's and women's team coaches.	Co-locate offices in Bball practice facility to allow balanced staff assignments.	Associate AD for Facilities & Operations	Upon building completion, fall 2006

Equity, Welfare and Sportsmanship

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Recruitment of Student-Athletes	Provide competitive budgets for all men's and women's teams to enable competitive recruiting at the national level.	Evaluate current budgets; seek coaches' feedback; study SEC and national recruiting budget ranges.	AD, Executive Associate AD, sports liaisons, and head coaches	Annual when team budgets are submitted

Equity, Welfare and Sportsmanship

Operating Principle

4.2 Minority Issues

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.2 (Minority Issues). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions, conditions for certification, or strategies for improvement imposed by the NCAA Division I Committee on Athletics Certification in the first cycle certification.

2. Report on the implementation of the plan to address minority issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion. [Please note: Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. If an institution has already submitted a plan to the committee that includes specific hiring numbers, the committee will not hold the institution accountable for achieving those specific numerical targets. Rather, the committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.]

University of Kentucky Athletics Department
 Minority Plan — 1997 Revision
 Progress Report to Date

1. The CATS Center will formalize a support group for African-American student-athletes which operated on an experimental basis this year. This group will be formally established during the 1996-97 academic year with regular meetings and scheduled activities. The support provided by this group would be a strong factor in the retention of these student-athletes.

Progress: Athletics formed a minority mentoring program and offered it for at least two years within CATS. Participation by minority student-athletes in the program was not sufficient to maintain the program. Even though Athletics devoted significant energy to making the program successful, minority student-athletes did not want to participate in a program that singled them out. Also, they did not want to do something extra given the time constraints already placed on a student-athlete's schedule. Athletics has expressed a desire to re-approach the idea behind this program. However, they suggest that perhaps it is best structured as a University program rather than an Athletics Department one.

2. The Associate Athletics Director for Student Services will continue the Cultural Diversity Workshops which have been instituted during the past two years. It is recommended that during the 1996-97 academic year athletics staff members and student-athletes participate together in such a workshop. This has been done once in the past and the dialogue between coaches, student-athletes, administrators and other staff members was extremely productive.

Progress: These workshops were replaced by the cultural diversity training that is within the curriculum of the UK 101 freshman orientation course. With few exceptions, student-athletes attend this for-credit course during their first fall semester. Athletics also now offers diversity training as one of the workshop choices available to teams. (Coaches must select three workshops per year for their teams.)

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3. The Athletics Department liaison for the support group mentioned in item #1 will also use that group to inform African-American student-athletes of the support services available to them outside the Athletics Department. The University has also recognized that retention of minority student-athletes is facilitated by providing support services in the areas of academics, personal issues and social opportunities. During the 1996-97 academic year, this group will have a meeting with a representative from Minority Affairs who can make them aware of these additional support services.

Progress: The relationship between Athletics and Minority/Multicultural Affairs has been consistently maintained since the issuance of the 1997 Minority Plan. The Director of Minority Support Services teaches one of the UK 101 sections for student-athletes. Athletics reports that the Associate Provost for Multicultural Affairs and the Director of Minority Support Services meet routinely (at least once a month) with the Associate Athletics Director for Student Services. Most often, these monthly meetings focus on the Kentucky Excel Scholarship Program (UK student-athletes serve as mentors for high school students participating in this program and students who complete the program receive scholarships.). However, it is reported that these meetings also serve to facilitate an ongoing dialogue between the University and Athletics on minority issues.

4. Within the Athletics Department, the Marketing Office, Compliance Office, Sports Information Office, Facilities and the CATS Center all hire interns to assist with their programs. These offices are strongly encouraged to actively pursue qualified African-American student-athletes who have graduated and completed their eligibility to fill these positions. By the end of the 1996-97 academic year the Career Development Coordinator in the CATS Center will provide these offices with a list of those graduates who would fit this description.

Progress: The Career Development Coordinator within the Athletics Department's CATS Center continues to routinely refer the names of student-athletes to various departments in Athletics for a variety of opportunities. Also, it is the practice of the current Athletics Director to routinely refer the names of qualified student-athletes for internship opportunities. The Marketing Office, Compliance Office, Sports Information Office, Facilities Management Office, and the CATS Center all have active efforts to recruit qualified African-American student-athletes. Successful recruitment often depends upon the availability of such candidates within, and coming out of, the academic programs that train for the disciplines that support these athletic functions.

5. The University Affirmative Action Plan also identifies financial concerns as a reason for retention problems with African-American students. Therefore, the Associate Athletics Director for Compliance will meet with each team early in the fall and discuss financial aid possibilities. This person will also assist any student-athlete who feels they might qualify for permissible aid with the paperwork required for application.

Progress: In a meeting each fall with each team, the Athletics Department informs student-athletes of certain types of financial aid available in addition to athletics aid. Through the Compliance Office staff, student-athletes are offered assistance with completing any necessary forms for financial aid. Also, Athletics Department officials continue to meet with student-athletes throughout the year to assist with the completion of additional requirements and/or forms. When a student-athlete's financial situation changes significantly, the Athletics Department assists them with the identification of financial aid for which they might have previously been ineligible. Finally, the Athletics Department identifies and recommends student-athletes for post-secondary scholarships through the Southeastern Conference (SEC) and the NCAA.

6. The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five-year period.

Progress: Current minority/African-American employment statistics within the Athletics Department reveal a maintained commitment to minority employment consistent with previous levels. The extent to which the Athletics Director has provided "leadership" of minority recruitment is best reflected in the positive minority employment statistics, and in the employment of an African-American head coach for Men's Basketball and an African-American head coach for Women's Gymnastics. However, the Athletics Department has lacked ongoing and systemic evaluation of its overall minority recruitment practices. The current Athletics Director has already acted to develop such evaluative responsibilities within his administration. A new Minority Plan was developed in association with this process, and in that plan, goal 2a commits the Athletics Department to "engage in periodic review of hiring activity to ensure commitment to diversity." This goal further states that "hiring will be reviewed at the end of the fiscal year to insure that minorities and females were considered in the hiring process."

7. In an effort to more closely approximate the representation of minority student-athletes in the University of Kentucky Athletics Department (28%), the Director of Athletics has set the following goals for the replacement of Athletics Department staff as vacancies occur in the next five years:

(a) An African-American member of the senior administrative staff (e.g., Assistant Athletics Director).

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Progress: An African-American is employed as Assistant Athletics Director and this individual participates in high-level decision making and specifically is responsible for administering the Nike contract and the student-athlete employment program.

(b) An African-American member of our full-time athletic training staff.

Progress: The athletic training program faces significant challenges in identifying qualified African-American candidates. However, this program has hired two African-American graduate assistants since the graduate program's inception in 1999. Consequently, the University is contributing to the effort to educate qualified African-Americans for athletic training position pools. In two instances, qualified African Americans were identified and recruited. One was not hired because of citizenship complications and another accepted a position with a professional sports team. Competition with professional sports teams continues to be a primary challenge in recruiting qualified African-Americans to positions within intercollegiate athletics.

(c) An African-American member of the media relations staff.

Progress: Media Relations has been very successful in recruiting and retaining qualified African-Americans since 1997, although this success has not been in full-time positions. The majority of this success has been in internships, student workers, and temporary "game day" workers. These efforts do contribute to the overall pool of qualified African-Americans.

(d) An additional African-American member of the Center for Academic and Tutorial Services (CATS) staff.

Progress: The CATS Center has consistently attempted to increase and maintain minority staffing. However, they often lose them to the Fayette County School System because they offer higher compensation for less work (10 month positions). Regardless of this "turn-over" issue, the CATS Center was able to increase its African-American professional staff to two, and maintain at least two African-American graduate assistants.

(e) At least one additional African-American coaching staff member.

Progress: The number of African-American head coaches was increased to two and this number has been maintained although one African-American head coach was replaced (Women's Basketball) and another African-American head coach hired (Women's Gymnastics). The Athletics Department recruited the new head Gymnastics coach (Mo Muhammad) originally to the University for his first college assistant coaching position. At UK, Muhammad was mentored and provided with an opportunity to develop his leadership skills. When the previous Gymnastics head coach retired in 2002-03, he was hired to lead the program after competing in a national search. The development and hiring of an African-American head Gymnastics coach is evidence of a continued commitment to this goal as well as a concerted effort to develop qualified African-Americans for coaching positions.

8. In addition to conventional job advertisement efforts, the University of Kentucky Athletics Department will attempt to achieve the goals in item #7 by: (a) Seeking the assistance of our Minority Affairs office on campus in identifying qualified minority applicants, and (b) Developing our own qualified minority applicant pool by encouraging African-American student-athletes whose eligibility has been exhausted to enter our internship programs and graduate assistantships. These training programs will prepare them to enter full-time positions within the athletics department as they become available.

Progress: Athletics does not have evident systematic processes to achieve these goals. Athletics has successfully recruited qualified African-Americans in specific programs and has attempted to utilize external entities to assist with this recruitment process (Office of Multicultural Affairs, national organizations, etc.). However, these efforts were not consistently evaluated to assess whether all available non-conventional means were utilized. In its new Minority Plan, the Athletics Department has outlined a program to systemize and evaluate the use of all available means/tools for minority recruitment. For example in the new plan, goal #7 states that to "recruit/interview/hire minority candidates for leadership positions" the Athletics Department will "advertise with NCAA publications, job announcements to Conference Offices for HBCs [and] interview at least one minority candidate for every professional position or provide written explanation."

9. The Associate Athletics Director for Student Affairs will continue to submit the University's application for the AmeriCorps grant through President Clinton's National Service Act. This program will continue to involve African-American student-athletes whose eligibility has expired in projects throughout our community for the benefit of minorities and women.

Progress: The AmeriCorps grant has been maintained since 1996. However, this will be the last year in which the Athletics Department participates in this program. This is due to a shift in the focus of the AmeriCorps program away from school success and violence prevention. Consequently, it was determined that AmeriCorps is no longer a good fit with the Athletic Department's mentoring and tutoring programs.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.2 (Minority Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

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Current Athletics Director Mitch Barnhart recently formulated a new Plan for addressing minority issues consistent with his operating philosophy. This Plan was revised according to findings in the self-study and is presented at the end of Principle 4.2, Minority Issues as an Improvement Plan.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.2 (Minority Issues). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The mission of the University of Kentucky's Equal Opportunity Office is to promote an environment free of discrimination and inequity in accordance with the University's Strategic Plan, and with federal and state equal opportunity statutes and regulations. In addition to this office, a President's Commission on Diversity advises the President on minority issues and the Office of Multicultural and Academic Affairs advises the Provost on multicultural issues (as well as offers a wide range of services designed to assist minority students).

In collaboration with these University entities and others, the Athletics Director is responsible for ensuring that the appropriate administrative structure exists within Athletics to monitor and address minority issues. Under the Athletics Director's leadership and supervision, the Executive Associate Athletics Director (Rob Mullens) is responsible for monitoring and addressing minority staff issues and the Associate Athletics Director for Student Services (Bob Bradley) is responsible for monitoring and addressing minority student-athlete issues on an on-going basis. Student-athlete involvement in such issues is organized within the Student Athlete Advisory Committee's (SAAC) Diversity Committee. The vision for this Committee is to provide student-athletes with a mechanism for influencing how minority issues are addressed and to offer student-athletes an opportunity to develop and recommend solutions.

6. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part-time assistant coaches (including graduate assistant and volunteer coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001 (year 3), 2001-2002 (year 2) and 2002-2003 (year 1) academic years in the chart below, Racial or Ethnic Composition, Part A: Athletics and Selected Institutional Personnel.

7. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided below on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years (Part B: Students Generally and Student-athletes on Athletic Aid).

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8. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport. [Note: Use the supplied chart to compile the data requested in this self-study item.]

The requested data are provided on the required charts for the 2000-2001, 2001-2002 and 2002-2003 academic years in Part C: Men's and Women's Sports Teams.

9. Using the program areas for minority issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's commitment across each of the areas,
- c. Identify areas of deficiency and comment on any trends, and
- d. Explain how the institution's future plan for minority issues addresses each of the areas.

1. Institutional and Athletics Department Commitment Development and maintenance of written statements that address the issues of diversity.

- a. Describe how the institution has ensured a complete study of this area.

The institution ensured a complete study of this and all program areas for minority issues through a broad-based, campus-wide review that included the following data-gathering activities:

- Athletics Department records and institutional data pertinent to this area were reviewed (including enrollment and employment data by racial/ethnic composition and publications distributed to the University community, staff and students by the Athletics Department);
- Athletics facilities were toured (led by Athletics Director, Mitch Barnhart, who answered questions related to many areas during the tour);
- Two focus group meetings were held with student-athletes in collaboration with the Student-Athlete Advisory Committee (SAAC);
- A focus group meeting with coaches and other training staff was held;
- Detailed data requests were made directly to Athletics Department administrators who coordinated internal information-gathering and subsequent responses from senior administrators, coaches, and other staff; and
- Various opportunities were made available to the campus and public communities to review self-study data and submit comments and suggestions.

The Subcommittee on Equity and Student-Athlete Welfare formed a three-person subgroup including a faculty member, an administrator, and a student-athlete, and its charge was to accumulate and review data focusing on minority issues. The subgroup pursued relevant data through the above processes (in particular through specific, detailed requests made to the Athletics Department representatives) to measure progress toward the goals outlined in the first-cycle minority plan and to evaluate the integration of the eight program areas for minority issues in Athletics Department administration. Through these processes and subsequent thorough analysis, the subgroup identified progress, concerns and/or trends that formed the basis for documenting compliance with Operating Principle 4.2. The Subcommittee reviewed and approved the work of the subgroup, and the Self-Study Steering Committee reviewed and approved the work of the Subcommittee.

- b. Provide data demonstrating the institution's commitment across this area.

The University of Kentucky adopted the following goals, objectives and key indicator in its 2003-2006 Strategic Plan, The Dream & the Challenge:

GOAL V: Nurture Diversity of Thought, Culture, Gender and Ethnicity.

The University of Kentucky is committed to creating a diverse, multicultural community of scholars and

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learners. To advance this commitment we must move forward with specific actions that demonstrate our belief in the value and richness of human differences. We must provide a model for the Commonwealth of a truly diverse society that celebrates human differences, promotes fairness and equity in policies and practices, and upholds basic principles of social justice. To become one of the nation's best research universities, we must foster a creative, supportive environment that will nurture diversity of thought, culture, gender and ethnicity.

Objectives:

1. The University will improve the climate for diversity. Programs designed to create a diverse community in which all individuals and groups can thrive, both personally and professionally, are necessary to build upon recruitment and hiring successes. We must create an inclusive living and learning environment for faculty, staff and students through leadership training, professional development, and mentoring programs that promote sensitivity and respect for the full range of human diversity.

2. The University will create a diverse workplace and learning community. A nationally prominent research university demonstrates a commitment to diversity and equity by following practices that protect and advance the interests of all its members. We must increase awareness of our diversity and equity aspirations, address equitable compensation issues, establish unit goals in support of university-wide goals, and evaluate progress at all levels. We must expect our leadership to demonstrate improvements, and we must reward those who do.

Key Indicator. By 2006, we will:

Meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan.

Following the lead of the institution in articulating a campus-wide commitment to diversity, the Athletics Department articulated its commitment to diversity in its own mission statement and operating principles. Athletics Director Mitch Barnhart issued the "Five Steps to Success" as a framework within which all student-athletes are to compete and all programs are to operate. The first of these five principles is "Be First Class in All We Do!" This operating principle is further defined in documents with three action statements: 1) Treat People with Respect; 2) Wear the Kentucky Colors with Pride; and, 3) Bring Honor to Your Family, Teammates, and School. The message of this first operating principle — one of respect and honor as essential elements of integrity — is fundamental to creating an atmosphere conducive to the success of all students, and therefore, facilitates a climate supportive of diverse student-athletes and staff. The Athletics Department has further articulated its commitment to diversity in the first paragraph of its current mission statement:

"The University of Kentucky Athletics Association is dedicated to running a first-class program with integrity while keeping the focus on the student-athlete. Our overall vision is to educate our student-athletes through graduation and compete for championships in all sports within a framework of fiscal integrity, commitment to diversity in all areas, and compliance with University, State, SEC and NCAA rules."

c. Identify areas of deficiency and comment on any trends.

The Athletics Department has experienced significant leadership change in the period since the first-cycle review, and in particular in the last five years with three different Athletics Directors. The current Athletics Director, Mitch Barnhart, devoted significant effort toward the reorganization of the Athletics Department to be more consistent with his operating philosophy and with goals set forth by University President Lee T. Todd, Jr. It is clear that Barnhart's operating philosophy and the President's goals are fundamentally consistent with previous and current goals regarding diversity. However, communication of the Athletics Department's commitment to diversity could become more pervasive, better defined, and more consistently articulated in published materials.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that the department's commitment to diversity be included as a written priority within the departmental mission statement. Departmental materials will be reviewed regularly to make certain that the statement of commitment is included in appropriate publications and other media to promote high visibility.

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2. Evaluation Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Specifically in this area, the Subcommittee reviewed policies and procedures of the Athletics Department and their progress in meeting the goals of the 1997 and 2004 Minority Plans.

b. Provide data demonstrating the institution's commitment across this area.

In the most recent version of the "UKAA Policies and Procedures Manual," the following mission statement appears in Chapter VIII-Compliance:

"The mission of the Compliance Office is to ensure that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations. Honesty, integrity and accuracy of interpretation are our highest priorities. The Director of Athletics is the individual designated by the CEO to have direct accountability for rules compliance. The staff of the UKAA Compliance Office will assist the Athletics Director by conducting the day-to-day operations to ensure such compliance. In an effort to fulfill this mission, the Compliance Office staff will monitor the recruitment, admission, eligibility, and financial aid of all student-athletes. The staff will also conduct an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes and boosters. Compliance with the rules and regulations of the University of Kentucky, SEC and NCAA will be internally monitored through frequent operational checks with all sport and administrative areas. The Athletics Department will also be externally audited every four years by the Compliance Staff of the Southeastern Conference or an outside group contracted by the Southeastern Conference. The Compliance Staff will attend regional and national seminars to continually improve the effectiveness of this department. When a violation does occur, the institution will self-detect, self-investigate and self-report in a timely and thorough manner."

This mission appears to delineate a role for the Compliance Office in assisting the Athletics Director in ensuring compliance with all rules and regulations, (including those of the University of Kentucky) and in particular with monitoring the recruitment, admission, eligibility, and financial aid of all student-athletes, and this should include the department's commitment to diversity.

c. Identify areas of deficiency and comment on any trends.

The Athletics Department administration could devote additional effort to the development of systemic evaluation of its progress toward minority goals. In the current Minority Plan, additional administrative responsibility is defined for the evaluation of progress toward minority goals. Further clarification is needed regarding the role of the Compliance Office in any such evaluation as this office is currently charged with ensuring "that the University of Kentucky Athletics Department complies with the letter and intent of University, Southeastern Conference, and NCAA rules and regulations" (Chapter VIII - Policies and Procedures Manual). Other responsibilities for monitoring minority issues are assigned to the Executive Associate Athletics Director (Rob Mullens) for staff issues and the Associate Athletics Director for Student Services (Bob Bradley) for student issues. Further clarification on who has overall responsibility for coordinating all evaluative efforts in this area would add to the progress already made.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to evaluate minority participation by annually compiling and comparing the percentages of minority population for all students and for student-athletes. In response to the self-study finding that further clarification of responsibilities would be helpful, the future Minority Plan now includes assignment of responsibility for gathering minority data on each team to the sport liaisons. The sport liaisons will provide the data to senior administrative staff, who will review the data and address any emerging concerns. Additionally, all new hires will be reviewed each fiscal year to ensure that minorities and females were considered in the hiring process.

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3. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. In particular, the Subcommittee reviewed diversity programming activities and participated in conducting student-athlete focus groups to ensure a complete study of this area.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. The Athletics Department has in the past developed and maintained policies and programs intended to enhance diversity. Some of the structured diversity seminars and workshops previously conducted and offered by the Athletics Department have been replaced by programs organized outside of the Department (University courses, professional organizations, etc.). In the 2003-04 "Student-Athlete Handbook" (Personal Development chapter), the following seminar is described:

"Cultural Diversity - One of our primary programs. The UK Athletics Department is committed to helping our student-athletes address issues of diversity. This is a very important program that is directed at educating our student-athletes regarding different peoples, cultures, sexes and religions."

The Athletics Department reports that these seminars are no longer offered in lieu of the cultural diversity sessions offered as part of the UK 101 freshman orientation course that almost all incoming student-athletes take. Diversity workshops are offered to teams, however, and participation in them is determined by each team coach. In the "UKAA Policies and Procedures Manual," the Compliance Office is designated to "ensure that all coaches, student-athletes, and staff receive periodic rules education sessions on UK, SEC and NCAA rules and regulations" and that "educational materials will be available in hard copy and on-line for the continuing education of all constituencies."

The definition of these efforts and responsibilities under the Compliance Office provides an opportunity to enhance formalized and structured diversity training tailored to address unique issues presented in an intercollegiate athletics environment. This is particularly necessary for Athletics Department administrators and coaches as it is reported that diversity training for these groups is also not currently organized and consistently conducted by the Athletics Department.

c. Identify areas of deficiency and comment on any trends.

Opportunities exist for further development in this area as well as in Programs and Activities. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan addresses the findings of the self-study in several ways. It clearly assigns responsibility to the Athletics Department's senior staff to ensure an organization comprised of a diverse group that represents diverse opinions. This will be accomplished through continued recruitment of females and minorities to senior staff positions. Progress will be reviewed annually by comparing athletics data to the official UK Equal Opportunity Report. Funding will be provided for staff development via conferences that include diversity workshops. Athletics will assist minority employees with placement in the NCAA Leadership Institute for Ethnic & Gender Minorities. And finally, as an outreach activity,

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opportunities to provide funding to organizations which support diversity will be continued and reviewed each year. See section (d) under Programs and Activities for future plans to address the needs of student-athletes.

4. Enrollment Goals of the institution for enrollment of minority students and minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, a review of the University's success in meeting diversity goals contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Under Goal V (Nurture Diversity of Thought, Culture, Gender and Ethnicity) within the University of Kentucky's Strategic Plan (2003-2006), one key indicator of progress toward this goal is listed. This indicator states that the institution will "meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Higher Education and the employment goals of the University Affirmative Action Plan." This indicator is applicable for the entire student population, including student-athletes.

c. Identify areas of deficiency and comment on any trends.

In the University's Strategic Plan update of 2004 published on the Institutional Research, Planning & Effectiveness web site, the following progress was reported for the institution on this indicator:

"In January 2004, the Council on Postsecondary Education completed its most recent analysis of UK's progress in meeting the objectives of the Kentucky Plan. With the exception of the six-year graduation rate, the results below were calculated for Kentucky resident African-American students enrolled in fall 2002. The University is encouraged by fall 2003 enrollment increases for all African-Americans at both the undergraduate (+5.9%) and graduate (+3.2%) levels, which will be reflected in the January 2005 analysis of the Kentucky Plan."

As the percent of student-athletes who were African-American in 2002-03 exceeded the general University population (23% v. 5%), the Athletics Department positively contributed toward meeting the University's goal.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that future enrollment goals of minority student-athletes meet or exceed the enrollment goals for all students. This will be reviewed annually with the Registrar and the Academic Integrity Committee.

5. Comparison of Populations Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment. Also, close scrutiny and analysis of the NCAA tables entitled Part B: Students Generally and Student-Athletes on Athletics Aid, and Part C: Men's and Women's Sports Teams, contributed to the study of this area.

b. Provide data demonstrating the institution's commitment across this area.

Student-athletes of racial/ethnic minority status (mostly African-American) constitute a significantly higher percentage of total student-athletes than the percentage of minority students in the overall student population. For the most recent year (2002-03), 23 percent of student-athletes were African-American while 5 percent of the total student population was African-American.

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c. Identify areas of deficiency and comment on any trends.

For the three most recent years, the percents of racial/ethnic minority student-athletes in individual sport categories have not varied significantly, with only one sport (baseball) having a minority percentage that is less than the general minority student population in 2002-03 (the number of African-American baseball team members dropped from 2 in 2001-02 to 0 in 2002-03.) The Subcommittee found no signs of discrimination in recruitment practices of the institution in the statistics by sport.

d. Explain how the institution's future plan for minority issues addresses this area.

Although the percentage of minority student-athletes in some sports exceeds the percentage of minority students in the general student body, the institution's future Minority Plan seeks to recruit minority student-athletes in those sports where they are underrepresented. One strategy to accomplish the goal will be to monitor the ethnic composition of all prospects making official visits in those sports.

6. Participation in Governance and Decision-Making

Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In discussions with student-athletes representing almost all sports (two focus groups), it was evident that racial/ethnic minority student-athletes felt as though they had equal opportunity to compete for leadership positions on their teams. In general, student-athletes reported that the selection of team leadership was based on athletic performance. Student-athletes also reported having adequate opportunities to participate in Athletics Department decision-making through the Student-Athlete Advisory Committee (SAAC) and an "open door" policy maintained by the Athletics Director.

c. Identify areas of deficiency and comment on any trends.

No deficiencies were identified by the Subcommittee in this area. It is noteworthy, however, that a current trend is to re-distribute some of the governance responsibilities of student-athletes to avoid placing too many demands on the time of key individuals. For example, starting in 2004-05, the president and vice-president of SAAC will no longer automatically serve as student-athlete representatives to the UKAA Board of Directors; rather, other student-athletes will be appointed to these positions. The positive effects of this change are to help these student-athlete leaders balance their academic and athletics demands and to involve more student-athletes in the governance process.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to ensure that minority student-athletes are involved on the Student-Athlete Advisory Committee (SAAC) and that the composition of SAAC is evaluated annually. Minority student-athletes will be given strong consideration for service as members of the Athletics Board and as participants in campus-wide activities.

7. Employment Opportunities

Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

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b. Provide data demonstrating the institution's commitment across this area.

In the Minority Plan developed in 1997, the following goal was stated:

"The Athletics Director will continue to pursue qualified minority applicants for all positions within the Athletics Department as they become vacant. Currently 13 of 114 positions within the Athletics Department are filled by minorities, or 11.4%, which exceeds the university percentage of 10.8%. Our goal will be to maintain or exceed this percentage for the next five year period. "

The Athletics Department, under new leadership in 2001, has maintained a commitment to this goal and to the promotion and hiring of minority coaches and administrators. For the most recent year (2002-03), the Athletics Department exceeded the 1997 goal with 15 of 119 positions (12.6%) filled by racial/ethnic minorities.

c. Identify areas of deficiency and comment on any trends.

Over the previous three years, the percentage of racial/ethnic minority employment has increased each year: 2000-01 = 8.9%; 2001-02 = 10.2%, and 2002-03 = 12.6%. Specifically, an African-American assistant coach was hired as the head coach for Women's Gymnastics. Also, significant improvement was realized in the numbers of racial/ethnic minority assistant coaches with a doubling of the number from 5 in 2000-01 to 10 in 2002-03.

d. Explain how the institution's future plan for minority issues addresses this area.

In the institution's future Minority Plan, minority candidates are to be recruited, interviewed and hired for leadership positions within the Athletics Department. This is to be accomplished through placement of job advertisements in publications regularly reviewed by minorities, appointment of diverse selection committees, and either interviewing at least one minority candidate for each professional position or providing written explanation of why this did not take place. The Athletics Department will assist graduating minority student-athletes with contacts and recommendations for internships at SEC and NCAA offices and with placement in the NCAA Leadership Institute for Ethnic Minority Males. Also, professional development opportunities for minority employees will be provided and funded.

8. Programs and Activities Establishment of programs that address the needs and issues affecting minority student-athletes.

a. Describe how the institution has ensured a complete study of this area.

See part (a) under Institutional and Athletics Department Commitment.

b. Provide data demonstrating the institution's commitment across this area.

In both of the student-athlete focus groups, student-athletes reported that they experienced greater exposure to diversity issues than non-student-athletes because the intercollegiate athletics world is more diverse than the campus-at-large. See section (b) under Organization and Structure for additional discussion on diversity programming.

c. Identify areas of deficiency and comment on any trends.

Some diversity related programs (such as the experimental support group for minority students presented in the 1997 Minority Plan) were reported to be unsuccessful as they failed to attract minority student participation. Minority students were often reluctant to participate in programs and services that singled them out from the general student-athlete population. In response, diversity programs were modified or replaced. For example, Athletics Department diversity training is now offered only to teams rather than to targeted groups of student-athletes. Opportunities exist for further development in this area. In the voices heard in the student-athlete and coaches focus groups, it was apparent that the Athletics Department's commitment to diversity was not widely known. Further, student-athletes reported that their only exposure to "diversity workshops" was in the UK 101 freshman orientation course. Reliance on the diversity component in the UK 101 freshman orientation course is most likely not sufficient to address all the unique needs of these minority student-athletes and to promote a value for diversity in its broadest sense among

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all student-athletes. The Athletics Department could research other athletic programs to discover organizational models that offer examples of meaningful and lasting diversity programs that consistently communicate a commitment to diversity; that purposefully address the educational and support needs of student-athletes, coaches, staff and administrators; and that attract meaningful participation.

d. Explain how the institution's future plan for minority issues addresses this area.

The institution's future Minority Plan seeks to provide diversity programming using a model that will ensure each student-athlete ample opportunity to benefit from such programs during their four years of eligibility. This includes participation in UK101 and a diversity awareness session; the offering of personal development workshops on diversity to all teams on an annual basis; and sponsoring guest speakers to provide development opportunities for staff as well as student-athletes. By offering three levels of programming each year, a typical student-athlete should have greater opportunity than students in general to participate in meaningful programming that will promote diversity in its broadest sense. However, in response to the self-study findings, the Athletics Department will also encourage University faculty who teach the UK101 class for student-athletes to offer more content on diversity in UK101.

- 10. Using the "plan for improvement" section, please provide a written, stand-alone institutional plan for addressing minority issues for the future in the intercollegiate athletics program. The plan must address all eight program areas for minority issues as listed previously; however, an evaluation mechanism to monitor the institution's status in those program areas without deficiencies is acceptable, provided the identification of such a mechanism is included in the institution's minority-issues plan. Further, the plan must extend at least five years into the future and be active at all times. [Note: Please see this web site for an example format outlining all required elements of a plan.]**

Within minority-issues written plans, specific numerical targets may place an institution at legal risk and are not expected nor should they be included in an institution's written plan. The committee advises institutions to submit plans that have broad, flexible non-numeric hiring goals.

The Steering Committee reviewed the existing Minority Issues Plan as developed by the current athletics administration in light of the findings of the self-study and made recommendations for changes to the current plan. The revised Minority Issues Plan was enhanced further at the request of the Self-Study Steering Committee to include a column for periodically recording progress in achieving the goals outlined in the Plan. This internal, working version of the Minority Issues Plan assures that the Plan will be an active document. The resulting Minority Issues Plan for the future is presented in Plans for Improvement section below.

- 11. Describe the institution's efforts to ensure the plan for addressing minority issues for the future in the intercollegiate athletics program was developed through a process involving broad-based participation and received institutional approval.**

The institution's future Minority Plan was developed initially by the new athletics administration under the leadership of Athletics Director, Mitch Barnhart. This initial plan addressed all eight program areas and reflected the philosophies of the new Athletics Director as well as the new President of the University of Kentucky, Lee T. Todd, Jr. The Minority Plan was reviewed by the Subcommittee on Equity and Student-Athlete Welfare and by the NCAA Self-Study Steering Committee, and based on their self-study findings, the plan was revised to address several concerns. The self-study findings resulted from the collection and analysis of data from numerous sources, including student-athlete focus groups, meetings with coaches and their staffs, a student-athlete survey, and two invitations to the campus to provide input through the NCAA Self-Study website. Prior to finalization of the revised plan the self-study findings were communicated broadly to campus constituencies and the public through a series of presentations, and the Steering Committee encouraged these groups to review the draft reports on the website and provide input to the self-study plans for improvement. Presentations were made to the following: Student-Athlete Advisory Committee (SAAC), Alumni Association, University Faculty Senate, Provost Dean's Council, President's Executive Staff, the UKAA Board of Directors, the UK Board of Trustees, and a community forum. The institution's future Minority Plan was reviewed and approved along with the NCAA Self-Study report by the Board of Trustees on December 14, 2004.

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Evaluation

1. Has the institution implemented its approved minority-opportunities plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its minority-issues plan was modified or not carried out fully? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

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Plan Date Range: 2004-05 thru 2008-09

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Institutional & Athletics Department Commitment	Articulate in the mission statement the department's commitment to diversity of thought and collective intelligence as a priority for the Athletic Department.	1. Each year review statement and confirm the maintenance of diversity in leadership and in department.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	Athletics Director(AD), Director of Publications.	July 1 of each fiscal year.
Institutional & Athletics Department Commitment	A stated goal of the UKAA will include a commitment to diversity.	1. UKAA's written goals and objectives include a commitment to diversity.	AD	September 1 of each fiscal year.
		2. Review the materials printed to ensure high visibility in appropriate publications.	AD	September 1 of each fiscal year.
Evaluation	UKAA will engage in a periodic review of activities consistent with a commitment to diversity.	Annually compile percentage of minority population for all students and student-athletes to be reviewed by senior staff.	Compiled by Sport Liaisons and reviewed by senior administration staff.	May 15 of each fiscal year.
Evaluation	Engage in periodic review of hiring activity to ensure commitment to diversity.	Hirings will be reviewed at the end of the fiscal year to ensure that minorities and females were considered in the hiring process.	AD, Executive Associate AD	July 31 of each fiscal year.
Organization and Structure	UKAA's senior staff sets policy to determine the organization of the department and will continue to be a diverse group and thus represent diverse opinions.	1. Continue to recruit females and minorities to senior staff positions.	AD, Senior Administration Staff.	May 15 of each fiscal year.
		2. Review progress annually by comparing to the official UK Equal Opportunity Report.	AD, Senior Administration Staff.	May 15 of each fiscal year.
Organization and Structure	Use professional development opportunities for staff to attend national conferences or regional meetings which include diversity workshops.	Provide funding through budget planning for travel and registration for such meetings and track usage.	AD, Assistant AD/Business.	April 15 of each fiscal year.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Organization and Structure	Assist current minority employees with placement in the NCAA's Leadership Institutes for Ethnic and Gender Minorities.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Organization and Structure	Provide funding to conferences and/or organizations which support diversity.	UKAA has financially assisted the Annual Black Women's Conference and will review other opportunities	AD, Executive Associate AD.	September 15 of each fiscal year.
Enrollment	Ensure that future enrollment goals of minority student-athletes equal or exceed the enrollment goals the University establishes for all minority students.	Meet annually with the University registrar through the Academic Integrity Committee to compare these goals.	University Registrar, Academic Integrity Committee.	September AIC meeting of each fiscal year.
Comparison of populations.	The percentage of minority student-athletes shall equal or exceed the percentage of minority students in the general student body.	Continue to recruit minority prospects in all sports.	AD, Sports Liaisons.	Throughout appropriate recruiting periods for each fiscal year.
Comparison of Populations	Address recruitment of minorities within those sports where minority student-athletes are under-represented, with consideration given to cultural variations in some sports.	Monitor ethnic composition of all prospects making official visits in those sports.	Associate AD for Compliance.	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Ensure minority student-athletes involvement on the Student Athlete Advisory Committee (SAAC)	Evaluation of the composition of SAAC.	Associate AD for Student Services; SAAC liaison.	September 15 of each fiscal year.
Participation in Governance and Decision-Making	Minority student-athletes will be strongly considered for representation on Athletics Board.	Selection process will include diversity.	AD	May 15 of each fiscal year.
Participation in Governance and Decision-Making	Diversity will be considered in selecting student-athletes for participation in campus-wide activities.	Selection process will consider diversity.	AD	Throughout each fiscal year as opportunities arise.
E m p l o y m e n t Opportunities	Recruit/interview/hire minority candidates for leadership positions.	1. Advertise with NCAA publications, job announcements to Conference Offices for HBC's, publications of the Black Coaches Association.	AD.	As needed.
		2. Appoint diverse search committees.	AD.	As needed.

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		3. Interview at least one minority candidate for every professional position or provide a written explanation.	AD.	As needed.
Employment Opportunities	Assist graduating minority student-athletes with contacts and recommendations for internships at the SEC & NCAA Offices.	Actively pursue all openings at SEC & NCAA through phone and personal contact with those staffs.	AD, Associate AD for Compliance.	May 31 of each fiscal year.
Employment Opportunities	Assist graduating minority male student-athletes with placement in the NCAA's Leadership Institute for Ethnic Minority Males.	Obtain applications and facilitate application to this program.	Associate AD for Compliance.	March 15 of each fiscal year.
Employment Opportunities	Support professional development for gender/ethnic minorities.	Provide leave/funding for development at NCAA, Professional Development academies.	AD, coaches.	April 15 of each fiscal year.
Programs and Activities.	Offer diversity training department-wide and minority development opportunities for staff; minority specific opportunities for student-athletes.	Provide funding and staff necessary to provide these opportunities.	AD, Associate AD for Student Services, Executive Associate AD.	April 15 of each fiscal year.
Programs and Activities	Educate first-year student-athletes on diversity issues.	Offer a diversity session as one of the components of the UK101 class and encourage professors to include an additional diversity session in UK101.	Associate AD for Student Services.	Fall and spring semester of each academic year.
Programs and Activities	Encourage open discussion of diversity issues among teammates.	Offer a personal development workshop on diversity to all teams.	Associate AD for Student Services.	Fall and spring semester of each academic year.

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Operating Principle

4.3 Student-Athlete Welfare

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

There were no corrective actions for Operating Principle 4.3 imposed by the NCAA Certification Committee during the first-cycle certification.

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 first-cycle certification process as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Suggestions for improvement from the last report included, "The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews." The self-study group found that the Student-Athlete Advisory Committee (SAAC) is used to disseminate information from administration to the individual teams. Information shared in exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well being of the student-athlete. Due to the limited number of students interviewed, issues/concerns that are discussed in exit interviews are not specifically identified as exit interview topics.

In addition, the peer-review team suggested, but did not require, that exit interview forms should include a question that would enable the student-athlete to indicate whether the student-athlete believed every effort was made to minimize the disruption of his or her academic schedule. Exit interviews, conducted annually at the end of each individual sport's season in December and April, now include the question, "Did athletics scheduling interfere greatly with academics?" and student-athletes have been open with their comments on scheduling concerns. Summaries for exit interviews indicate the scheduling conflict primarily occurs during the competitive season when games are scheduled during the week, thereby requiring student-athletes to miss class. However, the student-athletes expressed this was unavoidable due to the nature of athletics and thought the Athletics Department helped avoid and resolve conflicts, when necessary. Additionally, while 70 percent of the student-athletes that responded to the self-study survey indicated they do experience scheduling conflicts between class and athletics, 87 percent indicated they know what to do when a conflict arises.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.3 (Student-Athlete Welfare) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University of Kentucky's plan for Commitment to Equity includes a plan for Gender Equity and the need to address medical/training facilities and services for gender equity. This specifically includes the need to address

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changing health needs of female athletes, the plan to expand the role of the health educator meeting with exiting female athletes, and the need to provide support for psychological and emotional concerns.

In addition, the Director of Athletics has implemented a five-principle philosophy for the University of Kentucky Athletics Department that includes "Keep the focus on the student-athlete." This principle includes, but is not limited to, improving graduation rates, providing outstanding academic support to student-athletes, providing support services necessary to exceed the needs of the student-athlete, and role modeling for student-athletes by all staff.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.3 (Student-Athlete Welfare). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not applicable.

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

The University of Kentucky makes a strong commitment to the welfare of all students. This commitment is evidenced by the existence and administration of UK 101, Stuckert Career Center, Freshman Orientation, Counseling & Testing Center, Academic Ombud, and Student Health Services. In addition, the University of Kentucky has made an intense commitment to the student-athlete. The "Student-Athlete Handbook" delineates the institution's commitment to the student-athlete and the responsibilities of the student-athlete.

Primary responsibility for student-athlete welfare lies with the Associate Athletics Director for Student Services, who reports directly to the University of Kentucky Associate Provost for Undergraduate Education. Day-to-day reporting is to the Director of Athletics, who reports directly to the President.

The Associate Athletics Director for Student Services is responsible for the programs and administration of the Center for Academic and Tutorial Services (CATS), whose mission is to create an environment where all student-athletes have the opportunity to maximize their academic, personal and social growth and improve post-college quality of life. The CATS Center includes the following: study center, tutoring and advising services, and the Career and Life Skills Resource Center. This center provides opportunities for career development, shadowing/mentoring, and graduate/professional school preparation. Also contained in the Career & Life Skills Center are seminar videos on social issues, as well as issues the student-athlete will face as a new college student. The ultimate goal of the CATS staff is to ensure that the Athletics Department provides every opportunity for student-athletes to mature and grow personally and academically while pursuing athletic excellence.

The University has a formally recognized, standing committee called the Academic Integrity Committee (AIC) that reviews CATS' policies and addresses issues with CATS. This group has as one of its charges to monitor the CATS program. The AIC consists of the Associate Provost for Undergraduate Education, the University Registrar, the Associate Director of Financial Aid, the Associate Director of Athletics for Compliance, the UK Compliance Director, the Faculty Athletics Representative (Chair), the Associate Athletics Director for Student Services, the Associate Athletics Director for Administration, and other representatives from the Office of Undergraduate Admissions and the Registrar. The Academic Integrity Committee meets regularly to review reports from the Athletics Department on CATS operations, to monitor and evaluate activities, and to assess concerns and develop strategies for improvement. Minutes from the committee meetings are kept on file.

Additionally, as described in Governance and Rules Compliance, Principle 1.2, Self-Study Item 7, the UK Athletics Association has established a Student-Athlete Welfare Committee, chaired by the Vice President for Student Affairs, and charged with reviewing all matters related to the welfare and improvement of every student involved with a University NCAA athletics program. The Committee delivered its initial report to the UKAA Board of Directors at their November 19, 2004 meeting. Through the work of the AIC noted above and the new Student-Athlete Welfare Committee, the Athletics Department has in place a comprehensive mechanism for ensuring ongoing evaluation of the programs and services designed to promote student-athlete welfare.

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6. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

The Center for Academic and Tutorial Services - CATS is the academic center for student-athletes and provides the academic support for student-athletes. In addition to being an academic center, CATS provides an environment where all student-athletes have an opportunity to maximize their academic, personal and social growth and to improve their post-college quality of life. The Career & Life Skills Resource Center is housed in the CATS Center, and provides the Career Development and Personal Development Programs.

CHAMPS Life Skills: Program of Excellence workshops - This life skills program is designed to help UK student-athletes achieve success in all areas of life. Seminars are available on a variety of topics, including substance abuse, violence against women, diversity, nutrition and eating disorders, stress management, time management, financial responsibility, sexual responsibility and STDs, gambling and academic success, succeeding after college, developing personal interests (campus/community involvement), achieving athletic excellence, and media relations. Each student-athlete is required to participate in at least one workshop per semester at their choosing. In addition, each team is required to participate in an Alcohol & Drug Education program and a Diversity Workshop during the academic year.

In addition to the services provided through CATS and CHAMPS, student-athletes also have fair access to all services and programs at the University. Some examples include:

University Counseling and Testing Center - This office provides personal, learning skills, and career counseling to all UK students. The Center provides individual and group counseling, alcohol and drug counseling, and counseling for issues related to body image. Their purpose statement includes, "We exist to help all students succeed academically, develop and make progress toward life goals, and be productive members of the university and society. Often students encounter obstacles that make reaching those goals difficult. Our services are designed to help students work through or around those obstacles to reach their goals."

Stuckert Career Center - This center works closely with students, alumni, faculty and employers to integrate career planning, job search and employment information into educational experiences, extracurricular activities, and work experiences. Services include on-campus interviews, on-line career library, practice interviews, resume development, and an interactive computer program which covers all major aspects of career planning and career decision making.

Student Health Services - The mission of University Health Service is to provide preventive and primary health care and education to the students and other members of the University of Kentucky community in a manner that exhibits compassion, professionalism and excellence. Services include student health, smoking cessation intervention, AIDS testing/information, sleep disorders, health education, and eating disorders.

UK 101 - New student orientation course which focuses on issues relevant to students during the first year of college, increasing awareness and use of University resources, learning the most effective strategies for studying, taking notes, increasing test scores, managing time, and understanding the purpose and nature of a college education in order to make the most of opportunities at UK. Special sessions of UK 101 are conducted for student-athletes, and topics specifically geared to issues for student-athletes are discussed. Former athletes are often called upon to share their experiences.

Study Abroad Office - Services available through this office inform students about studying, working, teaching, and traveling abroad. The office serves as a great source for information, counseling, and assistance for students interested in working, traveling, or studying abroad.

Various practices and procedures are in place to encourage and assure student-athletes' access to the above programs. Information on each of these services is disseminated to the student-athlete through various forms of communication, including:

- The Athletics Director discusses the services during the opening of the term meeting with individual teams;
- Coaches and trainers promote each service;
- The "Student-Athlete Handbook" outlines each center/service; and
- Student-athletes have mandatory study hours in the CATS Center.

Additionally, the "University Bulletin" and website provide information on the services provided to all UK students.

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During the course of the self-study, student-athlete input indicated unanimous satisfaction with the services and information provided by the various CATS programs.

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

Following the completion of each sport's season, the Athletics Department's Compliance Office prepares a list of student-athletes whose eligibility has been exhausted during the academic year. This list provides the sport in which the athlete participated at the University of Kentucky. This list is sent to the Faculty Athletics Representative to select a sample of student-athletes to be interviewed.

The sample consists of at least two representatives from each of the sports. The faculty representative then returns the list of selected student-athletes to the Athletics Department's Compliance Office for verification, at which time the Associate Athletics Director for Compliance may request additional students for exit interviews to ensure diversity and fair representation of gender, ethnicity and other factors. The Compliance Office is responsible for contacting the student and arranging the exit interview.

Each student-athlete's interview is conducted by a group of two to three University administrators including the Faculty Athletics Representative, Associate Athletics Director for Compliance, and the Director of Compliance. Topics discussed include the recruitment process and experience, concerns related to their sport, 20 hours per week time restrictions, changes they recommend for intercollegiate athletics, student-athlete welfare and treatment by the institution, overall impression of athletics program, good and bad experiences, and scheduling conflicts between athletics and academics. Information shared in the exit interviews is held in strict confidence so as not to implicate a specific student-athlete with an issue/concern, which ensures the well-being of the student-athlete and also ensures that the student-athlete feels comfortable sharing opinions.

Once interviews are complete, results are summarized and a written report is given to the Athletics Director for review. The Athletics Director reviews the interview results and meets with appropriate athletics administrators to discuss recommendations. Due to the limited number of exiting athletes, the information generally does not go directly to the coaching staff, as the comment/concern may be easily associated with a particular player. However, attention is given to all issues. Concerns and problems are reviewed with coaches in a non-incriminating mode.

Exit interview responses and open communication channels available to student-athletes have been well received. The Athletics Director has an open-door policy and invites student-athletes to visit should they have questions, comments or concerns.

Additionally, there are other opportunities for student-athletes to voice opinions and provide input to the Athletics Department. The Student-Athlete Advisory Committee (SAAC) consists of an elected representative from each sport, who serves a two-year term. The Faculty Athletics Representative serves as the faculty advisor to the SAAC. Attendance at all meetings is mandatory. Any student-athlete is invited to attend the SAAC meetings, but not allowed voting privileges. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." Committee meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department, who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Other avenues for student-athlete input include the open-door policy by all Athletics Department administrators and coaches for every student-athlete, surveys conducted across the student-athlete population on issues related to athletes, and the Athletics Director and the Associate Athletics Director for Compliance meeting with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The efforts by the Athletics Department to include student comments and opinions in this self-study have been greatly appreciated and respected.

8. Describe the institution's and/or athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e. financial aid and transfers) and in other areas (e.g. harassment, hazing, abusive behavior, sexual orientation). Also, identify the individual(s) responsible for overseeing the administration of the grievance and/or appeals procedures and describe the means by which the grievance and/or appeals procedures are communicated to student-athletes and staff.

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In General — As with all students in general, the rights of student-athletes are addressed and protected by UK Student Rights and Responsibilities rules governing student conduct, the University Judicial System for non-academic grievances and appeals, and Student Academic Affairs for academic grievances and appeals.

Financial Aid — The Associate Athletics Director for Compliance is responsible for grievances and appeals for financial aid and scholarships. The Athletics Department participates in a mandated hearing procedure. If aid is cancelled or reduced, the student-athlete has the right to a hearing upon request.

Transfer — Any student-athlete wishing to transfer must receive a written release through the Compliance Office with permission of the appropriate head coach. An appeal hearing conducted by an institutional entity outside the Athletics Department is available if the request for a release is denied.

Academics — The Academic Ombud handles grievances and appeals for academics and inappropriate or unprofessional instruction behavior, while the Dean of Students' Office and the Equal Opportunity Office handle grievances and appeals for hazing, abusive behavior, harassment and alleged discrimination.

Procedure — If a student-athlete has a grievance or appeal issue, the Athletics Department instructs the student-athlete to go to the appropriate coach. If allegations are against the coach, the student-athlete would go to the sports liaison for their team who is an Assistant or Associate Athletics Director. Student-athletes receive this information in a mandatory meeting held by the Athletics Department prior to each academic year. At this meeting, "Student-Athlete Handbooks" are distributed. Team meetings are held and the Athletics Director and staff member (s) from the Compliance Office speak with students regarding rules and regulations and respond to questions. Student-athletes are also involved in orientation prior to attending UK, where all students receive information about the Student Rights and Responsibilities Code of Student Conduct. Most student-athletes take a UK 101 course. This one-credit-hour course offered to first-year students is an introduction to University of Kentucky policies and procedures.

Fifty-eight percent of the student-athletes surveyed reported not knowing how to file a grievance or appeal, and another nine percent were unsure. Focus group responses from student-athletes were consistent with survey results. The focus group meeting with Athletics Department staff confirmed that numerous sources of information are in place to advise student-athletes of grievance and appeal procedures, including the sports academic advisor in CATS. Student-athletes were consistent in reporting that they readily seek the assistance of their sports academic advisors to help them resolve difficulties when needed.

Grievance and/or appeals procedures for staff are included in the Human Resources Policy and Procedure Administrative Regulations entitled Grievances. New Employee Orientation, Staff Employee Handbook, and SuperVision (a training program for supervisory personnel) advise staff members of their right to appeal adverse employment decisions.

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.

The Student Code of Conduct Admission policy states that an applicant for admission to the University shall not be discriminated against because of race, color, religion, sex, marital status, sexual orientation, national origin, age or beliefs. Moreover, no otherwise qualified person with a disability will be denied admission solely because of the person's disability.

Student-athletes are encouraged by their academic advisors to enroll in a UK 101 course that introduces students to college life. A diversity workshop is taught in this course that recognizes each individual as unique and different, including those with diverse sexual orientations.

The Counseling & Testing Center provides academic, career and personal counseling, outreach programs, consultation, training and community service to help all students succeed academically, develop and make progress toward life goals, and be productive members of the University and society. Often students encounter obstacles that make reaching those goals difficult. The Counseling & Testing Center services are designed to help students work through or around those obstacles to reach their goals. Issues that students often discuss in a counseling session include being different from others due to ethnicity, sexual orientation, disability, nationality and race.

Two University of Kentucky student organizations offer supportive environments for students with diverse sexual orientations. UK Lambda is an officially recognized gay, lesbian, bisexual, and transgender student organization that provides an outlet for students in social, political and educational arenas. UK Lambda empowers its members to develop an identity in the gay and lesbian community. Lavender Society is a safe and fun place to promote dialogue

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and community among lesbians, bisexual women, transgender people, and their straight allies. Lavender Society addresses heterosexism as well as sexism, and meetings have a woman-centered focus.

- 10. Identify the mechanisms in place to ensure the health and safety of student-athletes and the administrator(s) responsible for the institutional awareness of health, safety (including travel) and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]**

Athletic Training — The Athletics Director supervises the Head Athletics Trainer-Administration and the Head Athletics Trainer-Football. The Head Athletics Trainer-Administration coordinates and supervises athletic training coverage of all sports except football. As part of the student-athlete's educational program, athletic training staff arranges for lectures to all student-athletes on medically related topics for individuals, groups and teams. The athletic training staff also offers instruction in athletic training skills, first aid, and CPR. Compliance is responsible for ensuring that each student-athlete is eligible to train, practice and compete in sports by passing their physical exam.

Athletic Medicine Program — The Athletic Medicine Program, under the leadership of the Medical Director for Athletic Medicine, provides comprehensive sports medicine care for athletically related illnesses and injuries. This is subject to NCAA, SEC and Athletic Association rules and within the limitation of the Athletic Association insurance policies. Specific treatment and rehabilitation programs are developed for the student-athlete's illness or injury following athletic training staff evaluation and medical referral. The primary vehicles for disseminating information on the program include the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Alcohol and Drug-Free Environment — The Athletics Department is committed to providing an alcohol and drug-free environment. To meet this commitment a comprehensive Alcohol and Drug Policy and Program, under the leadership of the Head Athletic Trainer-Administration, has been developed and implemented with the following objectives:

- Provide a non-abusive alcohol use and drug-free environment.
- Educate student-athletes, coaches and staff members.
- Identify student-athletes, coaches, or staff members who are abusing alcohol or drugs.
- Assist individuals who use or abuse drugs or alcohol with referral for counseling and rehabilitation.
- Provide a fair administrative process for sanctions and appeals.
- Provide information and warnings about the use of supplements.

On October 1, 2003 the Athletics Department hosted a mandatory presentation for student-athletes and staff. Will Keim, the guest presenter, included in his presentation the pitfalls of drug and alcohol use, and how drug and alcohol use affects lives. The featured speaker for October 11, 2004 was Richard Lapchick. Mr. Lapchick's presentation addressed athletes as role models and student-athlete integrity. Information on the program, including a description of the CATS CARE program, is disseminated through the "Student-Athlete Handbook" and the "UKAA Policies and Procedures Manual."

Travel Safety — Distance of competition and size of the team determine if the team travels by air or takes charter buses or vans. During the course of the self-study, student-athlete input indicated unanimous satisfaction with safety and accommodations while traveling. The Athletics Commitment to Equity Plan establishes a fall 2004 goal to provide options for per diem or team meals based upon nutrition, travel and team needs for women's teams.

Before away competition, teams are gathered for a meeting and given safety rules while traveling. The policy regarding the health and safety of student-athletes while traveling is provided in the Athletic Training Department Handout and the "Student-Athlete Handbook" under Injuries on the Road. A trainer ensures that each student-athlete is being cared for in case of an injury. Overall responsibility to ensure team safety during travel rests with the head coach.

- 11. Describe the institution's emergency medical plan for practices and games. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]**

Every student-athlete is entitled to state-of-the-art medical care. The Athletic Training/Medical staff coordinates and delivers professional and comprehensive preventive, treatment, rehabilitation and counseling services to all UK

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student-athletes. A summary of specific guidelines is contained in the "Student-Athlete Handbook" and distributed each year in mandatory Athletics Department meetings.

The Athletics Medical staff is comprised of a Head Team Physician and Orthopedic Team Physicians. A Team Physician and a Staff Athletic Trainer coordinate all consultation appointments. The full-time certified Athletic Training Staff consists of an Administrative Head Athletic Trainer, Football Head Athletic Trainer, Staff Assistants, and Graduate Assistants. After the athletic training staff evaluates an injured student athlete, specific guidelines are followed for medical referral.

An Athletic Trainer is assigned to every home game and practice session to assist student-athletes as needed. If a student-athlete is injured during away competition, and no University of Kentucky Athletic Trainer is in attendance, the coach will contact the host Athletic Trainers for evaluation and treatment.

Eight athletic training rooms are maintained to meet the student-athlete's needs. The three main athletic training rooms contain state-of-the-art equipment specifically for the treatment and rehabilitation of athletic injuries. Five satellite athletic training rooms are equipped to handle routine athletic training needs and treatment. Unique equipment strategically placed to service the most student-athletes possible includes the following:

—Portable X-Ray Unit with CR Reader: a portable x-ray unit set up with a computer that enables x-rays to be taken on location within minutes for a physician's viewing. This unit is available for home football games and men's basketball games.

—Biodex Isokinetic Rehabilitation Unit: a computer generated machine that applies isokinetic resistance to joints tested or rehabilitated to determine strength level. This unit is available for all sports.

—Swim-Ex Aquatic Rehabilitation Pool: A pool that allows all student-athletes to condition while rehabilitating from an injury. Aquatic rehabilitation does not stress injured joints and other parts of the body as much as actual running or lifting of free weights. All advanced treatment and rehabilitation are performed under the supervision of members of the full-time professional Athletic Training staff.

In response to the student-athlete survey, 77 percent of the student-athletes reported being injured in practice or competition. Most of those injured required medical care for their injuries. Eighty-six percent rated the quality of medical care received as good or excellent.

Procedures for emergency care of student-athletes are reviewed and updated annually.

12. Describe the institution's written emergency plan for the athletics program and specific coverage for out-of-season workouts, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The procedures to follow when an emergency occurs in the evening after practice or in the off-season are disseminated to student-athletes in the "Student-Athlete Handbook" as follows:

—If the injury is not life threatening, first try to contact the Athletics Trainer in charge of the sport.(If not available, contact a Staff Athletic Trainer.)

—If unable to contact an Athletic Trainer, go to the UK Emergency Room unless the athlete has a specific HMO or insurance policy which requires treatment elsewhere.

—If the emergency is not directly related to a supervised official practice or competition, the parent or athlete will be responsible for the cost.

—It is necessary to contact the Athletic Trainer within 24 hours so consistent medical care and documentation can be maintained.

—If the Athletic Trainer is contacted, they will perform an evaluation and if necessary, the student-athlete will be referred to a UK Team Physician or to University Health Services for a follow up.

13. Using the program areas for student-athlete welfare issues please:

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

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1. Evaluation. Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to student-athlete welfare, including the evaluation of the effectiveness of mechanisms to ensure the health and safety of student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The welfare of student-athletes is continuously monitored and evaluated by the Athletics Department as part of their strategic planning and periodic review of activities related to goals and objectives for student-athlete welfare. Student-athlete welfare is monitored and evaluated by the Athletics Department through the following methods: strategic planning and evaluation that includes the gender and minority plans, exit interviews and summaries, Student-Athlete Advisory Committee feedback, review by the Academic Integrity Committee, review by the UKAA Student-Athlete Welfare Committee, and the open door policy of athletics administration. Additionally, the grievance procedure provides a means for students to express their concerns and bring to light any areas that may need to be addressed. Furthermore, university-wide evaluations for student-athlete welfare and general student welfare issues are conducted by the various University offices which administer student welfare programs, as well as the Office of Institutional Research, Planning, and Effectiveness, which oversees the ongoing strategic planning and evaluation conducted by all university departments.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

Annual summaries are written following the completion of exit interviews, survey results are tabulated, feedback for SAAC meetings are reviewed, minutes are taken at each Academic Integrity Committee meeting, and program evaluations are recorded as part of ongoing strategic planning and evaluation. Responses are provided to the appropriate personnel within the Athletics Department for analysis. Information gathered is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming and results are used to make adjustments in programs and services offered to student-athletes. For example, since the first-cycle certification process, the following issues have been addressed and improved based on exit interview results:

—In response to student-athlete feedback that some coaches, at their discretion, withheld the full amount of meal money allocated for road trips (i.e. provided less for breakfast than allowed and so forth) for various purposes, the Athletics Department implemented changes to ensure that all student-athletes receive the same amount;

—In response to female student-athlete feedback that athletic trainers assigned to them were not sufficiently experienced in working with female athletes, trainers more experienced with female athletes are now assigned to female teams; and

—In response to student-athlete feedback that athletic trainers are not always sufficiently experienced in a particular sport to which they are assigned, trainers with sport specific experience are now assigned appropriately to teams.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. Annual evaluations of employees and programming are also required. Three groups described at various times throughout this report — the Student-Athlete Advisory Committee (SAAC), the Academic Integrity Committee (AIC), and the UKAA Student-Athlete Welfare Committee — will help ensure regular evaluation in the future.

2. Organization and Structure Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare.

a. Describe how the institution studies these topics as they apply to all student-athletes.

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The Athletics Department has professional staff members in the CATS center that have specific responsibility for student-athlete welfare, including career development, academic advising, and life skills, as well as professional staff in the area of athletic training. Interaction between student-athletes and Athletics Department personnel provides an open system of support and immediate points of contact for all student-athletes. In addition, the University provides outstanding services for the general student population in areas related to health and wellness, personal counseling, career services, academic achievement, diversity workshops, and orientation. Evaluation of organization and structure is conducted annually as part of the ongoing strategic planning and evaluation process of the University.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Athletics Department promotes an open-door policy, which provides student-athletes and Athletics Department personnel an open system of support. Frequent interaction between student-athletes and Athletics Department personnel provides greater accessibility for student-athletes seeking support and assistance. Through annual reviews conducted by all university departments, the organization of all student welfare programs is reviewed and evaluated. For example, results of the most recent university-wide Graduating Senior Survey indicated the percent of students using services that were satisfied or very satisfied with various organizations or structures related to student welfare as follows:

- Counseling & Testing Center (personal counseling) — 60%
- Career Center Services — 63%
- Health Services — 72%
- Fitness and Athletic Facilities — 84%
- Student Center Recreation Areas — 60%

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services provided for student-athletes and will continue to work to improve the quality and effectiveness of services.

3. Participation in Governance and Decision-Making Involvement of student-athletes in the governance and decision-making processes of the athletics department (including the student-athlete advisory committee).

a. Describe how the institution studies these topics as they apply to all student-athletes.

The Athletics Department has a Student-Athlete Advisory Committee (SAAC) composed of an elected representative from each sport, who serves a two-year term. The mission of the Student-Athlete Advisory Committee is "to assist in the creation of an environment where all student-athletes have the opportunity to maximize their academic, personal, and social growth and improve their post-college quality of life." In addition to the team representatives, SAAC meetings are attended by the SAAC athletics liaison, a staff member within the Athletics Department who reports back to the Athletics Director. The Committee serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals.

Additionally, each athletic team elects a team captain and conducts regular team meetings. The team captain has the responsibility to bring student-athlete concerns to the attention of coaches and professional staff. Through the process of the self-study, it became apparent that the effectiveness of the team captain and the SAAC liaison depends on the elected person and their willingness to be an active leader and strong advocate for their team.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

The Student-Athlete Advisory Committee (SAAC) serves as a voice for University of Kentucky student-athletes and votes on recommended NCAA proposals. In response to the student-athlete survey, 14% of

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the student-athlete respondents felt the SAAC was very effective, 45% felt the SAAC was effective, 39% felt SAAC was somewhat effective, and only 8% felt SAAC was not effective.

Athletes also participate through discussions at team meetings as information and/or concerns from these meetings are passed along to the Athletics Department administration through team captains. Additionally, the Athletics Director and the Associate Athletics Director for Compliance meet with each athletic team individually at the beginning of the year to explain the rules and solicit feedback from student-athletes. The evaluation process for programs within the Athletics Department incorporates information from these meetings, which ensures important information on student-athlete welfare is brought to the attention of athletics administrators.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The Athletics Department does not plan any changes to the structure of the Student-Athlete Advisory Committee or to other opportunities for student input. However, as a result of this self-study, the Subcommittee recognizes the need for minutes from SAAC meetings to be kept by an assigned administrator and available for review at any time.

4. Programs and Activities Establishment of programs that address the needs and issues affecting student-athletes.

a. Describe how the institution studies these topics as they apply to all student-athletes.

The University provides a variety of programs and activities within the Athletics Department and in the overall University created to promote the welfare of student-athletes. Specifically, the CATS center and the CHAMPS Life Skills programs are the main avenues to maximize academic achievement, personal growth, and improve post-college quality of life among student-athletes. Additionally, the University provides new student orientation and UK 101 courses to aid the transition from high school to college life, as well as workshops on life issues, assistance with study abroad, student health services, career development, and personal counseling.

The University requires ongoing strategic planning of all University departments, which requires an annual review of these programs. Information from exit interviews, surveys, SAAC feedback, and Academic Integrity Committee meeting minutes is used by the Athletics Department to regularly evaluate the effectiveness of student-athlete welfare programming. Results are used to make improvements in programs and services offered to the student-athletes. Additionally, input from staff, students and coaches is constantly examined, as well as annual evaluations of employees and programming, in analyzing the effectiveness of the programs offered.

b. Provide data demonstrating the institution's commitment to these issues for all student-athletes.

As listed previously, all programs and activities involving student-athlete welfare are annually reviewed and evaluated by the associate athletic director responsible for their administration. Additionally, the ongoing strategic planning of all University departments requires every program to provide data and be thoroughly reviewed and analyzed for student welfare and effectiveness.

c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

The University of Kentucky's ongoing strategic planning requires regular review of student welfare issues both within the Athletics Department and for the general student population. The Athletics Department does not plan any reduction in services or programming provided for student-athletes. Three major groups — SAAC, AIC, and the UKAA Student-Athlete Welfare Committee — will continue to monitor student-athlete needs and identify areas for improvement.

Information to be available for review by the peer-review team, if requested:

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- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.
- Media guides.
- Institution's student-athlete handbook or, if no such handbook exists, institution's method(s) for conveying athletics policies and procedures to student-athletes.
- Written materials (e.g., forms) used to document student-athlete exit interviews.
- Institution's and/or athletics department written grievance and/or appeal procedures available to student-athletes in areas mandated by NCAA legislation and in other areas.

Evaluation

1. Does the institution demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students? **Currently Yes**
2. Does the institution provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis? **Currently Yes**
3. Does the institution have established grievance or appeal procedures available to student-athletes in appropriate areas? **Currently Yes**
4. Does the institution provide evidence that the institution has in place programs that protect the health of and provide a safe environment for its student-athletes? **Currently Yes**

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Operating Principle

4.4 Sportsmanship and Ethical Conduct

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). In each case, provide: (a) the original "corrective action," "condition" or "strategy" 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 recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

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 first-cycle certification process as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Not Applicable.

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 4.4 (Sporting and Ethical Conduct) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Not Applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 4.4 (Sporting and Ethical Conduct). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

Not Applicable.

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

Not Applicable.

6. Provide the institution's written policies and procedures on sporting and ethical conduct.

Not Applicable.

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7. Describe any sanctions that may be levied for inappropriate behavior by all individuals associated with the intercollegiate athletics program.

Not Applicable.

8. Describe the institution's method(s) for communicating the institution's sporting and ethical conduct policies and procedures to all individuals associated with the intercollegiate athletics program.

Not Applicable.

9. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.

Not Applicable.

10. Describe educational activities related to sporting and ethical conduct for student-athletes, coaches, institutional staff members, boosters, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.

Not Applicable.

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

Not Applicable.

12. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sporting and ethical conduct (e.g., citations or sanctions from the conference office, sanctions or reprimands from the NCAA for conduct during its championships, awards received by the institution or its athletes for exemplary behavior in this area).

Not Applicable.

Evaluation

1. Does the institution demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sporting and ethical conduct? **Currently Yes**
2. Does the institution have established a set of written policies and procedures for this area? **Currently Yes**
3. Does the institution demonstrate that educational activities related to sporting and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience? **Currently Yes**
4. Does the institution provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis? **Currently Yes**

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION ATHLETICS AND SELECTED INSTITUTIONAL PERSONNEL

		Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
Year		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
S e r A d m i n i s t r a t i v e D e p t	F	0	0	0	0	0	0	1	1	1	0	0	0	10	11	11	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
O t P r o f e s s o r i a l A t h D e p t	F	0	0	0	1	0	0	1	1	1	0	0	0	53	54	40	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
H e a d C o a c h	F	0	0	0	0	0	0	2	2	2	0	0	0	15	15	16	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A s s i s t C o a c h	F	0	0	0	0	0	0	10	8	5	0	0	0	26	25	25	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T o t a l s (f o r A t h D e p t P e r s o n n e l)	F	0	0	0	1	0	0	14	12	9	0	0	0	104	105	92	0	0	0
	P	0	0	0	0	0	0	0	0	0	0	0	0	1	2	2	0	0	0
F a c u l t y - B a s e A t h B o a r d C o m m u n i t y M e m b e r s		0	0	0	0	0	0	4	5	4	0	0	0	25	30	29	0	0	0

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O t	r	0	0	0	0	0	0	4	4	4	0	0	0	15	16	16	0	0	0
Advi	or																		
P o	i c y -																		
M a	g																		
G r	p																		
Mem																			

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

Year	Racial or Ethnic Group																	
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
All Students	37	41	39	489	490	449	1299	1328	1310	228	207	183	21216	20339	19731	926	947	831
Student-Athletes	1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance

Equity, Welfare and Sportsmanship

RACIAL OR ETHNIC COMPOSITION MEN'S AND WOMEN'S SPORTS TEAMS

Sports	Year	Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball		0	0	0	0	0	0	0	2	2	0	0	0	27	24	21	0	0	0
Men's Basketball		0	0	0	0	0	0	10	11	9	0	0	0	2	2	1	0	0	0
Football		1	1	0	0	0	0	43	42	44	0	1	1	34	44	44	1	0	0
Men's Track / Cross Country		0	0	0	0	0	0	4	3	4	0	0	0	11	12	16	0	0	0
Men's Other Sports and Mixed Sports		0	0	0	0	0	0	7	4	0	4	3	3	70	66	52	2	0	1
Women's Basketball		0	0	0	0	0	0	9	10	10	0	0	0	3	2	2	0	0	0
Women's Track / Cross Country		0	0	0	0	0	0	7	7	11	0	1	0	17	14	13	0	0	0
Women's Other Sports		0	0	0	1	2	1	4	1	2	1	1	1	100	94	91	5	2	2
Total		1	1	0	1	2	1	84	80	82	5	6	5	264	258	240	8	2	3

Name of person completing this chart: John Butler

Title: Director of Compliance