

**Vanderbilt University**

**The Task Force on University Athletics of the Faculty Senate**

**FINAL REPORT**

**September 6, 2018**

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## 1.0 Introduction

Vanderbilt University is simultaneously one of the nation's finest Research 1 universities and a member of one of the nation's most competitive athletic conferences (the Southeastern Conference). Vanderbilt stands for the ideal that athletics excellence and academic excellence can exist side by side – a place where the former does not corrupt the latter and where elite athletics is more or less in its proper place.

NCAA regulations require intercollegiate athletics programs to be designed as a vital part of the educational system and the student-athlete to be an integral part of the student body. Because student-athletes are to be students first, faculty voices and perspectives in the oversight of intercollegiate athletics programs are recognized by the NCAA as legitimate and necessary.

The Task Force on University Athletics efforts encompassed two complementary initiatives: one labeled “Faculty Governance at the Intersection of Academics and Athletics” and a second labeled “Infrastructure for Student-Athlete Support.” “Infrastructure for Student-Athlete Support” reframed the concept “work-life balance” to “student-athlete balance” where “balance” means minimal tension or conflict between what a student-athlete needs to accomplish as a student and as an athlete, and what s/he wants to accomplish in her/his personal life. “Faculty Governance at the Intersection of Academics and Athletics” supports the work on student-athlete balance by addressing the question: How can the Vanderbilt community best support our student-athletes’ education, ensuring student-athletes receive meaningful degrees and are prepared for their next steps, whether in the athletic arena or in their chosen professional fields?

The Task Force had no preconceived notion that improprieties exist at Vanderbilt University. Instead, the motivation is to be proactive, documenting and analyzing existing Vanderbilt controls at the intersection of academics and athletics *now* in light of controls implemented at other institutions only *after* reputations were soiled. The Task Force goal is to provide Vanderbilt University stakeholders additional comfort that academic misconduct designed to circumvent varsity athlete eligibility requirements will never surface at Vanderbilt.

Operational controls were chronicled by interviewing a range of senior administrators and by analyzing a wealth of data on topics such as independent studies, clustering by major and course, and summer term courses. The Task Force offers observations about policies and practices in the sections titled ‘6.2.1 Academic Support for Student-Athletes’ and ‘6.2.2 Academic Eligibility.’ A key operational control that is in place and working is the Athletics Department leadership’s hiring in key roles competent, trustworthy individuals who are widely praised across campus for operating a student-athlete academic support program with the highest level of integrity. That said, the Task Force believes critical faculty-based structural controls are largely absent.

The two primary governance structures through which faculty exercise governance at the intersection of academics and athletics are the position Faculty Athletics Representative and the University Athletics Committee. The Task Force offers observations about each in the sections titled ‘6.1.1. Faculty Athletics Representative (FAR)’ and ‘6.1.2 University Athletics Committee.’ It is also apparent a clear statement of congruence with the host university’s mission/strategy is a best practice, covered in the section titled ‘6.1.3 Institutional Alignment.’

The Task Force recommendations that serve as the foundation for other recommendations are:

1. The Chancellor's assignment of the Faculty Athletics Representative position to the Vice-Chancellor for Academic Affairs/Provost be the exception instead of the "rule". (Recommendation #1)
2. The Chancellor implement an organizational chart change whereby the University Athletics Committee has a formal reporting relationship outside the Athletics Department. (Recommendation #6)
3. The Faculty Senate Executive Committee commit to periodic, ongoing, non-crisis meetings with the Athletics Department leadership. (Recommendation #11)
4. The Chancellor lead an effort to codify the values and principles that guide Vanderbilt University intercollegiate athletics and the delegation of authority within Vanderbilt University. (Recommendation #12)
5. The Vice-Chancellor for Academic Affairs/Provost create a new faculty committee to support the efforts of University faculty/staff and Athletics Department staff at the intersection of academics and athletics. (Recommendation #14)

The Task Force employed focus group interviews with a diverse set of Vanderbilt student-athletes. The focus groups were organized with the cooperation of Vanderbilt Student-Athlete Advisory Committee (SAAC). The Task Force offers observations about the student-athlete experience in the sections titled '6.3.1 Mental Health and Well-being,' '6.3.2 The Academics-Athletics Divide,' '6.3.3 Work-Life (Im)balance,' and '6.3.4 Social Disconnects.' The Task Force recommendations are:

1. The leadership of the Office of Student Care Coordination find opportunities to increase student-athlete access to university central wellness-related services within the normal course of Student Care Network activities in Network facilities. (Recommendation #16)
2. The Office of the Provost investigate how messaging about course accommodations is delivered/scripted to student-athletes and to faculty and then provide guidance to the four undergraduate college/school deans and the Student-Athlete Advisory Committee (SAAC) about opportunities to close the gap between student-athlete expectations and faculty practices. (Recommendation #17)

Vanderbilt University can be proud its ideal of having academic excellence and athletics excellence exist side-by-side is alive and well. Student-athletes are generally pleased with their experience at one of the nation's finest educational institutions.

## **2.0 Task Force Charge**

*(Drafted by Paul Lim, Faculty Senate Immediate Past Chair, August 2015)*

"Vanderbilt University is simultaneously a private Research One institution and is a member of one of the nation's most competitive athletic conferences (SEC). Thus far, Vanderbilt has managed to pursue excellence in both, with considerable achievements and advances in both areas, and the national trend has been to opt one at the expense of the other, which is a non-starter for Vanderbilt's dual commitment. Among its peers and aspirants in this category would be Duke, Northwestern, and Stanford.

Nevertheless, with recent significant developments within and without Vanderbilt, affecting how college athletics is carried out and how NCAA institutions (especially the aforementioned 4

institutions including Vanderbilt) offer the educational deliverables to their student-athletes, a Task Force on University Athletics would be in order to study certain salient areas for recommendation, in terms of improvement, innovation and better practices.

The Task Force on University Athletics (hereafter as TFUA) will be charged to study the current practice/performance of the following areas germane to the intersectionality of Vanderbilt's academic mission underneath which falls its athletic commitments. These areas are not exhaustive, and upon serious consideration, could be revised. [Areas are] (1) academic requirements and performance ... (2) 'Return on Investment' ... (3) VU student-athlete forevermore."

### **3.0 Task Force Composition**

The Task Force includes representatives of the key stakeholder groups: the Athletics Department, the Faculty Senate, the Office of the Dean of Students, the Student-Athlete Advisory Committee, and the University Athletics Committee. Task Force-related activities benefited greatly from the contributions of two graduate students, both former varsity athletes who, with hindsight, were able to place their prior student-athlete (and for one, professional-athlete) experiences in perspective. Likewise, an athletics trainer provided unique insights into the student-athlete experience based on his decades of experience at NCAA Division I programs and with two USA Olympic Teams.

Considerable attention was directed toward onboarding individuals who trust that intercollegiate athletics can enhance the overall value of a university education but do not apologize when opportunities to remedy shortcomings surface. The Task Force membership at the time this report was submitted are:

#### *Faculty At-large*

Karl Hackenbrack, Owen Graduate School of Management (Task Force chair)\*

#### *Faculty Senate*

Julie Johnson, Electrical Engineering & Computer Science\*

Ann Price, School of Medicine (University Athletics Committee chair)\*

Claire Smrekar, Peabody College

Jeremy Wilson, Blair School of Music (Faculty Senate Executive Committee Liaison)

#### *Staff*

E. Rachel Eskridge, Director, Center for Student Wellbeing

Candice Lee, Associate Vice Chancellor and Deputy Athletics Director

Jasper Richardson, Manager, Vanderbilt Orthopedics and Rehabilitation – Medical Fitness

#### *Student Athlete, current*

Samuel DeFabrizio (senior/cross country), College of Arts & Sciences (Student-Athlete Advisory Committee chair)

#### *Student Athletes, former*

Kelsey Davis (master/soccer), Divinity School

Scott Limbocker (Ph.D./baseball), College of Arts & Science

\* Current or former member of Vanderbilt's University Athletics Committee

Catherine Fuchs (School of Medicine) made significant contributions as a Task Force member through September 2016; Dr. Fuchs resigned when a new University appointment created a conflict of interest. Paul Lim (Divinity School) was instrumental in launching the Task Force both as the Faculty Senate chair and as an active contributor to Task Force deliberations during its formative spring semester 2016.

The following individuals received copies of draft Task Force reports as part of the vetting process: the Vanderbilt Faculty Senate Executive Committee members (2017-18 and 2018-19), former Task Force members (Paul Lim, David Weintraub),<sup>1</sup> Lissa Broome (University of North Carolina at Chapel Hill Faculty Athletics Representative), Vanderbilt Vice-Provost Cynthia Cyrus, Robert Gundlach (Northwestern University Faculty Athletics Representative), Vanderbilt Provost Susan Wenthe, and Vanderbilt Athletics Director David Williams.

#### **4.0 Overview of Task Force Activities**

The inaugural Task Force meeting was January 28, 2016. The primary spring semester 2016 activities included refining the Task Force charge, fine-tuning the Task Force membership, and brainstorming concrete initiatives. Playing to the relative strengths and interests of Task Force members, the Task Force adopted a divide-and-conquer strategy whereby members self-selected from a list of a half-dozen evolving initiatives.<sup>2</sup> Convergence was quick and member interest clear. Two project teams were formed: (1) Faculty Governance at the Intersection of Academics and Athletics and (2) Infrastructure for Student-Athlete Support.

Some would have preferred the Task Force expand its scope beyond policies and practices at the intersection of academics and athletics. We simply note that faculties typically have no direct control over the allocation of funds and are not involved in the management and operation of athletics departments. In these matters, the director of athletics is accountable to the institution's chief executive officer.

Much of the work fall semester 2016 occurred at the project team level, such that by December 2016 each project team had a clearly articulated work plan. Data collection for the Infrastructure Team occurred spring 2017. Data collection for the Governance Team occurred academic year 2017-18. Vetting and refining of draft reports occurred spring and summer 2018, culminating in the delivery of this report to the Faculty Senate Executive Committee fall 2018.

#### **5.0 Project Teams – Overview and Rationale**

The Infrastructure project team and the Governance project team are complements. The Infrastructure project team reframed the concept “work-life balance” to “student-athlete balance” where “balance” means minimal tension or conflict between what a student-athlete needs to accomplish as a student and as an athlete, and what s/he wants to accomplish in her/his personal

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<sup>1</sup> Catherine Fuchs did not participate in the vetting process out of respect for her conflict of interest.

<sup>2</sup> Evolving potential initiatives included: student-athlete admissions, congruence between intercollegiate athletics and Vanderbilt University's mission, faculty governance, definition of athletics program “success,” infrastructure for student-athlete support, return on investment, and survey of student-athlete needs/wants.

life. The work of the Governance project team supports the work on “student-athlete balance” by addressing the question: How can the Vanderbilt community best support our student-athletes’ education, assuring student-athletes receive meaningful degrees and are prepared for their next steps, whether in the athletic arena or in their chosen professional fields.

*5.1 Faculty Governance at the Intersection of Academics and Athletics.* NCAA regulations require intercollegiate athletics programs to be designed as a vital part of the educational system and the student-athlete to be an integral part of the student body. Because student-athletes are to be students first, faculty voices and perspectives in the administration and oversight of intercollegiate athletics programs are recognized by the NCAA as legitimate and necessary. The *Faculty Athletics Representative Handbook* (2015) states bluntly that, “Of all the major participants in the administration of the intercollegiate athletics program, those who represent the faculty are most likely to be independent of the financial pressures that create enormous incentives for competitive success in the revenue-producing sports” (page 6).

Organizations implement internal control systems to provide reasonable assurance their objectives are met. They continuously monitor such systems and make modifications as conditions warrant. A fresh set of eyes is typically welcome.<sup>3</sup> Documenting and analyzing existing Vanderbilt controls at the intersection of academics and athletics *now* in light of controls implemented elsewhere only *after* reputations were soiled provides Vanderbilt University stakeholders additional comfort that academic misconduct designed to circumvent varsity athlete eligibility requirements will never surface at Vanderbilt University.

The strawman question used to frame the inquiry was “How do Vanderbilt University stakeholders know Vanderbilt University is not the next University of North Carolina at Chapel Hill with respect to academic misconduct designed to enhance the academic eligibility of varsity athletes?”<sup>4 5</sup> The answer is simply the compilation of safeguards/controls/mechanisms/structures/policies that help ensure Vanderbilt will never suffer such humiliation. Chronicling the safeguards in place not only provides comfort to Vanderbilt stakeholders but also is itself an important aspect of any governance structure – continuous improvement.

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<sup>3</sup> For example, the Athletics Department recently outsourced a review of its Title 9 compliance, realizing the benefit of an independent evaluation.

<sup>4</sup> The UNC academic scandal was rooted in a sympathy for struggling students, in particular for student-athletes. The allegations focused on the offering of classes that required no attendance or course work other than a single paper with at best token involvement by a faculty member. Suspect courses were especially popular among student-athletes in the “revenue” sports at the advice of athletics department academic counselors, presumably to maintain student-athlete eligibility. The cancer spread to the non-athlete student population. Of the 3,100 identified enrollments in suspect classes, 47.4% were student-athletes even though student-athletes make up just over 4% of the UNC undergraduate enrollment (Wainstein et al. 2014).

<sup>5</sup> After a three-and-half-year investigation, the NCAA said it could not definitively conclude that the academic misconduct at UNC had been designed and offered as an effort to benefit athletes alone. Thus, according to the NCAA’s Committee on Infractions, which adjudicates allegations of wrongdoing, the courses did not violate the NCAA rules. Widely criticized, the Commission on College Basketball opined – “The NCAA must have jurisdiction to address academic fraud and misconduct to the extent it affects student-athletes’ eligibility. Member institutions cannot be permitted to defend a fraud or misconduct case on the ground that all students, not just athletes, were permitted to “benefit” from that fraud or misconduct. Coaches, athletic directors and university presidents must be held accountable for academic fraud about which they knew or should have known. The standards and punishment for academic fraud must be clarified and then enforced consistently.” (page 11)

The University of North Carolina at Chapel Hill (UNC) is an outstanding opportunity to frame such an inquiry because the post-scandal safeguards implemented at UNC were the result of extensive work by first-rate professional service providers with the full cooperation of university leadership, all on the public record. To be clear, the Task Force has no preconceived notion that improprieties exist at Vanderbilt University. Rather, the team believes UNC's response to the hard lessons learned is a template for good governance at the intersection of academics and athletics.

In addition to an extensive review of the UNC public record and NCAA materials, interviews were conducted with the Faculty Athletics Representatives at both UNC and Northwestern University: UNC for obvious reasons and Northwestern because it is an equivalent institution in terms of being the only private, Research 1 institution in its Power Five conference (the Big Ten). A key take-away is this: The two primary governance structures through which faculty exercise governance at the intersection of academics and athletics are the position Faculty Athletics Representative and the University Athletics Committee.<sup>6</sup> The Task Force offers observations about each in the sections titled '6.1.1. *Faculty Athletics Representative (FAR)*' and '6.1.2 *University Athletics Committee.*' It is also apparent a clear statement of congruence with the host university's mission/strategy is a best practice, covered in the section titled '6.1.3 *Institutional Alignment.*'

Operational controls were chronicled by interviewing a range of senior administrators and by analyzing a wealth of data on such topics as independent studies, clustering by major and course, and summer term courses. The Task Force offers observations about operational controls in the section titled '6.2 *Faculty Academic Governance – Operational.*'

Note that controls implemented elsewhere are not necessarily appropriate at Vanderbilt University. Consequently, Task Force observations do not indicate Vanderbilt practices are necessarily deficient – governance structures are inherently unique organization by organization. Rather, Task Force efforts provide a foundation for robust discussions among key stakeholders. Exhibit I is a compilation of 70 structural/procedural/policy/process improvements implemented at UNC for those eager to dig deeper.

*5.2 Infrastructure for Student-Athlete Support.* The Task Force applied the concept work-life balance to the environment of collegiate athletics and the infrastructure of support for Vanderbilt student-athletes. We define "balance" to mean there is no tension or conflict between what a person needs to accomplish in someone's work life and what a person needs or wants to accomplish in one's personal life. The concept work-life balance was adapted to student-athlete balance as a framework to explore the experiences of student-athletes and implications of (im)balance using focus group interviews<sup>7</sup> with an intentionally diverse set of Vanderbilt student-athletes.

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<sup>6</sup> Article 6 of the NCAA Constitution recognizes four sources of institutional governance: the Chancellor (the ultimate responsibility), an athletics advisory board, the Faculty Athletics Representative, and the Student-Athlete Advisory Committee.

<sup>7</sup> As Patton (2002) notes: "A focus group is an *interview*. The twist is that, unlike a series of one-on-one interviews, in a focus group participants get to hear each other's responses and to make additional comments beyond their own original responses as they hear what other people have to say. However, participants need not

The focus groups were organized with the cooperation of Vanderbilt University's Student-Athlete Advisory Committee (SAAC). SAAC members were briefed on the Task Force initiative and were invited to participate at the November 2016 regularly scheduled SAAC meeting. Task Force members noted that the goal is to better understand the perceptions and experiences of student-athletes as they navigate both academic and sports-related demands and opportunities and emphasized that

- 1) Peabody graduate students – not faculty members or staff – would be conducting the student-athlete focus groups,
- 2) participation was completely and necessarily on a voluntary basis, and
- 3) anonymity would be ensured; in other words, no real names would be used in the Task Force report.

The Task Force utilized a “snowballing” interview participant technique that uses a nomination process from which interviewees provide the names of additional, potential participants from interviewees' professional, organizational, or social networks (Patton 2002). Peabody graduate students compiled a list of the student-athlete “nominees” from SAAC members; the non-SAAC student-athletes were contacted via the Vanderbilt University email system. All were invited to participate on a completely voluntary basis. This “snowballing” technique proved fruitful in generating additional focus group members. In total, the graduate student teams completed 21 focus groups with 75 athletes representing 12 different sports,<sup>8</sup> varying year in school, scholarship status, and gender (52 females, 23 males).

Focus group interviews were conducted throughout spring semester 2017. Each interview took place at the McGugin Center on the Vanderbilt University campus during the early evening hours. Each focus group interview lasted approximately one hour; box dinners were provided to participants.

A total of six Peabody graduate students in higher education policy participated in the project. Each graduate student was trained to design interview protocols, conduct focus groups, and analyze qualitative data. Each focus group was led by one graduate student, who utilized a semi-structured interview protocol, and assisted by a second graduate student, who took notes of each interview to add specificity, confirmation, and clarity to the recorded material. Each interview was digitally recorded and analyzed by the graduate student project leaders, with specific focus on thematic patterns, key findings, and illustrative quotes. Each focus group interview was reviewed and summarized in an analytic memo that highlighted key themes, response-content patterns, and supporting evidence.

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agree with each other or reach any kind of consensus. Nor is it necessary for people to disagree. The object is to get high-quality data in a social context where people can consider their own views in the context of the views of others” (p. 385).

<sup>8</sup> Sports represented: football (12), men's golf (3), men's track and cross-country (8), women's bowling (11), women's track and cross-country (10), women's tennis (3), women's soccer (5), women's basketball (4), women's swimming (12), and women's lacrosse (7). No members of the men's basketball team or the baseball team accepted invitations to participate, despite multiple attempts.

## 6.0 Results: Observations and Recommendations

### 6.1 Faculty Academic Governance – Structural

6.1.1. *Faculty Athletics Representative (FAR)*. The NCAA Constitution 6.1.3 requires that each member institution designate an individual to serve as the FAR<sup>9</sup> and states that the FAR’s duties “shall be determined by the member institution.” Constitution 4.02.2 recognizes the FAR as a representative of the local campus and its faculty.<sup>10</sup>

The general duties of the FAR are to serve as an advisor to the chief executive officer and the director of athletics and as a liaison to the faculty, helping provide oversight of the academic integrity of the athletics program, ensuring compliance with conference and NCAA rules, maintaining institutional control of the athletics program, serving as an advocate for student-athlete well-being, and more generally promoting a positive student-athlete experience. The FAR also represents its university within its conference and participates in NCAA committees as requested. The FAR plays an important, significant, vital role at NCAA member institutions.

The demographics of FARs is documented in *Roles, Responsibilities and Perspectives of NCAA Faculty Athletics Representatives* (Miranda and Paskus 2013).<sup>11</sup> All FARs at NCAA Division I Football Bowl Subdivision (FBS) schools are tenured faculty who have worked in higher education an average of 29 years and at their current institutions 24 years. A wide range of academic disciplines is represented, with only 7% engaged in academic disciplines that are tied to sport or athletic performance. A quarter reported they competed in NCAA athletics as an undergraduate student. 43% reported having some administrative responsibilities, e.g., program directors. 81% have no limits on the number of terms or length of time they can serve as FAR. 65% were appointed by the institution’s chief executive officer without nomination from a faculty governing body. 91% report directly to the institution’s chief executive officer.

The chief executive officer is tasked with determining the extent of a FAR’s presence in an athletics program based on institutional circumstances. The *Faculty Athletics Representative Handbook* considers the following its most important message to chief executive officers: **“Faculty Athletics Representatives can only be as effective as their institutional circumstances permit”** (page 4, bolded in the *Handbook*). The *Handbook* then enumerates three circumstances that support a meaningful role for the FAR:

- (1) commitment of institutional resources so that the *FAR has sufficient time, clerical assistance, discretionary travel privileges, and similar support*,
- (2) a *position description* that clearly specifies the FAR’s authority and responsibility, and
- (3) *recognition* by both the chief executive officer and the faculty senate of the importance of a significant FAR role in the institutional governance and oversight of the intercollegiate athletics program.

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<sup>9</sup> The FAR “shall be a member of the institution’s faculty or an administrator who holds faculty rank and shall not hold an administrative or other coaching position in the athletics department.”

<sup>10</sup> Constitution 5.4.1.2.1.2 authorizes the FAR to be one of five individuals to make contact with the NCAA membership services staff in normal interactions between the NCAA and local campuses. The other four are the chief executive officer, director of athletics, the senior woman administrator, and the compliance coordinator.

<sup>11</sup> The publication summarizes and interprets a 2011 NCAA-sponsored survey of FARs at all 1,184 NCAA member institutions. 658 FARs representing 651 institutions (some schools have two FARs) completed the survey. 81 of 130 Division I Football Bowl Subdivision schools completed the survey. All percentage references in this section (section 6.1) refer only to Division I-FBS schools sans repeated references to Miranda and Paskus (2013).

Each circumstance that supports an effective FAR is addressed in turn.

*NCAA: Faculty Athletics Representative Handbook -  
(1) FAR has sufficient time and support.*

The demands on the FAR are significant. Appendix A *Essential Faculty Athletics Representative Responsibilities and Support Services* and appendix B *Checklist of Faculty Athletics Representative Duties* from the *Faculty Athletics Representative Handbook* (2015) and appendix C *Scope of Activities/Position Description* from Miranda and Paskus (2013) list characteristic responsibilities and duties and the scope of activities FARs report performing in a typical year. These lists are by no means exhaustive. The UNC FAR's October 2017 report to the UNC Faculty Senate in Exhibit II is a more granular listing of duties and activities. Not surprisingly, 68% of Division 1 FBS FARs devote 11 or more hours per week to their FAR responsibilities, with 29% spending more than 20 hours per week.<sup>12</sup>

The FARs at Northwestern and UNC provided a bit more color:

1. A key aspect of the assignment is attending monthly meetings of the Student-Athlete Advisory Council and being visible at home sporting events of all teams. Such visibility provides student-athletes access outside the athletics department, but it is time-consuming.
2. It is customary for FARs to be members of numerous university committees. While their direct input is valued, more importantly they contribute to the continuing education of faculty and other committee members by providing insights about NCAA or conference processes, pending legislation, or other important athletics-related issues.
3. Effective participation in the conference and NCAA meetings and committees is essential because conference and NCAA legislation/policies have a direct bearing on academic issues and student-athlete well-being. Northwestern views itself within a larger conference/Division I FBS system that has a lot of problems; it is a source of pride to "push back."

Clearly, the range of activities and the scope of responsibilities elevate the FAR position well above the level of a typical faculty service appointment. Yet the practice at Vanderbilt is to assign the FAR role to the Vice-Chancellor of Academic Affairs/Provost, a position with enormous responsibilities and commensurate time commitments. This practice is unique among SEC institutions and more generally among NCAA Division I FBS institutions. Only one FAR reported being a vice-chancellor or a provost – presumably Vanderbilt University (table 8, Miranda and Paskus 2013).

**Observation:** With the competing demands on Vice-Chancellor of Academic Affairs/Provost time, it is unlikely s/he can devote the time other capable FARs devote at similarly situated institutions. This institutional constraint significantly diminishes the likelihood the breadth of responsibilities, duties, and commitments typical of an effective FAR will be fulfilled in a robust manner, thus jeopardizing a key pillar of faculty

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<sup>12</sup> Exhibit V is Duke University's *Roles of the Faculty Athletics Representative and Chair of the Athletics Council*. This document is a list of baseline duties and responsibilities, but more importantly demonstrates how the position FAR complements the position chair of the athletics committee. This observation will be explored in the section titled '6.1.2 University Athletics Committee (UAC).'

governance that over time helps ensure academic integrity, rule compliance, and student-athlete well-being. The FAR at Vanderbilt is a Chancellor appointed role.<sup>13</sup>

**Recommendation #1:** To enable the Faculty Athletics Representative to commit sufficient time to the full range of characteristic FAR-related responsibilities and duties, the Task Force recommends that the Chancellor’s assignment of the FAR position to the Vice-Chancellor of Academic Affairs/Provost be the exception instead of the “rule.”<sup>14</sup>

Necessary resources beyond sufficient time include clerical assistance, discretionary travel privileges, and similar support. 52% Division 1 FBS FARs have a separate budget or dedicated funds to support FAR-related activities, which are funded 67% of the time through the chief executive officer’s budget (10% of the time through the athletics department budget).

**Observation:** At Vanderbilt the Vice-Chancellor of Academic Affairs/Provost has access to significant administrative support (e.g., the chief of staff position) to help with FAR-related duties (e.g., paperwork tracking, recommendation letters, etc.). This support would not be available to a Vanderbilt FAR who is not the Provost. 72% of Division 1 FBS FARs receive incremental compensation and/or teaching release time.

FARs serve at the pleasure of the chief executive officer. The FARs at Northwestern and UNC have five-year renewal terms yet understand the appointment is “at will.” Both FARs encourage a sufficiently long tenure to allow for a steep learning curve and building countless relationships. 55% Division 1 FBS FARs do not have a fixed term; 81.3% do not have limits on the number of terms or length of time they can serve as FARs; and 28% have been in the FAR role for two years or less thus far.

**Recommendation #2:** To balance providing the Faculty Athletics Representative the opportunity to build meaningful relationships while maintaining a healthy degree of independence, the Task Force recommends that the FAR position be a five-year term, renewable once.

*NCAA: Faculty Athletics Representative Handbook -*  
**(2) FAR position description**

The percentage of FARs with a written position description has increased substantially in the past 15 years, from 27% to 85% in Division I FBS institutions. This has been a major initiative of the Faculty Athletics Representative Association. Exhibit II is the UNC FAR position description, the Northwestern University FAR position description,<sup>15</sup> and a Microsoft PowerPoint slide that lists Vanderbilt University FAR duties and their relationship with provost duties.<sup>16</sup>

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<sup>13</sup> The four most recent Vanderbilt Faculty Athletics Representatives are Provost Zeppos, Vice-Provost Outlaw, Provost McCarty and Provost Wentz.

<sup>14</sup> An exceptional circumstance might be a brief interregnum (sudden departure of the active FAR in the middle of an academic year) with a new FAR appointed no later than the beginning of the next academic year.

<sup>15</sup> Exhibit VII includes the companion document *University’s President’s Directive on Intercollegiate Athletics*.

<sup>16</sup> Appendix C of the *Faculty Athletics Representative Handbook* (2015) is a *Statement of the Role of the Faculty Athletics Representative*.

**Observation:** Vanderbilt lacks a FAR position description that clearly specifies the associated authority and responsibility of the position and that recognizes the time and energies required for the duties of the FAR to be effectively discharged. Such a document could be a focal point of ongoing, periodic discussions about the extent to which a FAR presence is desirable at Vanderbilt University.

**Recommendation #3:** To clarify the Faculty Athletics Representative's authority and responsibility, the Task Force recommends that the Chancellor, the Faculty Athletics Representative, and the Faculty Senate jointly draft a FAR position description.

*NCAA: Faculty Athletics Representative Handbook -*

**(3) Recognition by the CEO and Faculty Senate**

A key responsibility of a FAR is to work actively with the institution's athletics committee and to report regularly to the institution's faculty senate. An effective link between the FAR and the faculty senate is useful in assuring the faculty of accurate and timely information regarding the athletics program. Additionally, the FARs at Northwestern and UNC both highlighted the importance of recurring, non-crisis meetings with an array of stakeholders so when an issue arises there is common ground, trust, and less a sense of being reactive. Such engagement allows them to play a mediating role and "cool things off" so when the faculty senate has a question, it trusts the FAR to represent faithfully the institution. Exhibit III is the UNC FAR's October 2017 report to the UNC Faculty Senate.

**Observation:** The Vanderbilt Faculty Senate does not engage the FAR in a meaningful manner relating to intercollegiate athletics.<sup>17</sup> The FAR role, however, is typically a key aspect of faculty governance, so central that faculty senates at 20% of NCAA Division I FBS institutions nominate the candidates for the FAR position.

**Recommendation #4:** The Task Force recommends that the Faculty Senate engage the Faculty Athletics Representative in an intentional, active, ongoing basis, including periodic reports by the FAR to the Faculty Senate.

To be effective, the faculty voice imbedded in the FAR position must be recognized and empowered. 67% of FARs at Division I-FBS institutions believe they are appropriately recognized and empowered by their faculty senates. Unlike UNC's recognition of the FAR position in its faculty manual (Section 3-4 of the *University of North Carolina Faculty Code*), the *Vanderbilt University Faculty Manual* is silent. There is no reference to the position FAR in Vanderbilt Faculty Senate manuals/codes/bylaws/policies/etc.

**Observation:** The significance of the FAR role in the institutional governance and oversight of the intercollegiate athletics program is not duly recognized by Vanderbilt faculty. As a result, Vanderbilt faculty have not defined the FAR position as its voice in the governance of the intercollegiate athletics program or set expectations for its voice.

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<sup>17</sup> This is easily accomplished under the current structure where the Provost is the FAR as the Provost attends every Vanderbilt Faculty Senate meeting as an *ex officio* member and holds monthly meetings with the Faculty Senate Executive Committee. Implementation of Recommendation #1 separates the Provost and FAR positions.

**Recommendation #5:** To codify and emphasize the importance of the Faculty Athletics Representative’s role, the Task Force recommends that the Faculty Senate lead an effort to codify the FAR position in the *Faculty Manual* and/or appropriate Faculty Senate materials.

*6.1.2 University Athletics Committee (UAC).* The NCAA’s Constitution does not require a member institution to have an athletics advisory committee, but does state provisions that must be followed should a member have an advisory committee (NCAA Constitution 6.1.2). Vanderbilt’s athletics committee is generally called the University Athletics Committee.<sup>18</sup>

Wainstein et al. (2014) are widely credited as the definitive recitation on the root causes of academic misconduct at UNC.<sup>19</sup> They document that UNC’s athletics committee was close to unearthing the academic scandal after two separate outside news accounts – April 2002 and November 2006 – but did not. Reasons cited included the athletics department’s control of the information content of committee meetings, rendering committee members passive recipients of incomplete information from the athletics department. Consequently, the athletics committee exercised little effective scrutiny because, in essence, it was not empowered to peel back the cover and learn the operations of the athletics program. An engaged, independent athletics committee would have discovered the academic scandal reasonably early in its lifecycle.

This finding is important for at least two reasons. First, it demonstrates that an athletics committee is an indispensable aspect of institutional governance. Second, the UNC athletics department’s ability to control the information provided to the UNC athletics committee was a serious control deficiency.

Exhibit IV is the Vanderbilt University Athletics Committee (UAC) charge including the 2017-18 roster. The Office of the Provost drafts and maintains the charge with input from the Vice Chancellor for Athletics. Note in the section “Reports to” that the UAC reports to the Vice Chancellor for Athletics and University Affairs and Director of Athletics, whereas Northwestern’s athletics committee reports to the President and UNC’s to the faculty senate.

**Observation:** An empowered UAC would have a formal “line of authority”/reporting relationship outside of the Vanderbilt Athletics Department. Such an organizational chart change would achieve both independence in fact and independence in appearance, and it would ensure unfettered access to information committee members deem relevant.

**Recommendation #6:** The Task Force recommends that the Chancellor implement an organizational chart change whereby the University Athletics Committee has a formal reporting relationship outside the Athletics Department.

The Vice-Chancellor of Academic Affairs/Provost invites prospective members to serve on the UAC on behalf of the Chancellor. The Faculty Senate Executive Committee nominates faculty, the Dean of Students in conjunction with Vanderbilt Student Government nominates students,

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<sup>18</sup> The advisory board’s charge uses the label University Committee on Athletics, and meeting minutes occasionally use the label University Athletics Advisory Committee.

<sup>19</sup> In February 2014, University of North Carolina President Ross and UNC Chancellor Folt hired Calwalder, Wickersham and Taft LLP as independent counsel to conduct an independent, thorough investigation tasked with “...following the facts wherever they lead.”

the University Staff Advisory Council nominates staff, and the Vice-Chancellor for Athletics nominates alumni. The Provost selects the committee chair from among the current and incoming faculty members; the chair generally serves until the end of his/her term.

The section titled ‘6.1.1. *Faculty Athletics Representative (FAR)*’ chronicled the enormous responsibilities of the FAR position. The practice at both Northwestern and UNC is for the FAR and the athletics committee chair to be a different person, assuring a check-and-balance, healthy friction, and, importantly, somewhat dividing the workload.<sup>20</sup> The reinforcing roles of FAR and athletics committee chair are clearly evident in Duke University’s *Roles of the Faculty Athletics Representative and Chair of the Athletics Council* reproduced in Exhibit V. At Vanderbilt, the FAR and the UAC chair are different people.

Unlike at Vanderbilt University, athletics committee members at peer institutions have demanding service commitments. At UNC, each committee member selects or is assigned to one of four topic areas on which he or she becomes a topic expert and, in turn, leads related discussions at athletics committee meetings. The topic areas are advising, admissions, academics, and student-athlete experience. Each committee member is also assigned two or three teams for which he or she serves as the athletics committee liaison along with one other committee member. The team liaisons are expected to meet with coaches, academic counselors, and students on the team to gain an understanding of the culture and specific logistics and responsibilities associated with that team. Exhibit VI is a more granular overview of the UNC athletics committee. Northwestern’s athletics committee activities include student-athlete exit interviews; an anonymous, course evaluation-like evaluation of coaches after every season; and an annual review of the *President’s Directive on Intercollegiate Athletics* (Exhibit VII).

**Observation:** Athletics committee assignments at peer institutions are orders of magnitude more substantial than at Vanderbilt University. Embedding committee members in existing university committees whereby they become topic experts ensures UAC unbridled access to relevant, timely information and ensures university committees are well versed in relevant student-athlete related issues. A reconfigured UAC is necessary for Vanderbilt to truly capture the synergies achievable with the complementary FAR and UAC chair roles.

**Recommendation #7:** To create a more robust University Athletics Committee in a climate that fosters effectiveness, the Task Force recommends that UAC members in cooperation with the Chancellor, the Vice-Chancellor of Academic Affairs/Provost, and the FAR be empowered to define committee member responsibilities and activities within the context of the current or a revised UAC charge.

Included in the section titled ‘6.2 *Faculty Academic Governance – Operational*’ is a recommendation to create a new faculty committee to support the efforts of University faculty/staff and Athletics Department staff in the areas of academic support for student-athletes and more generally issues at the intersection of academics and athletics. The composition and responsibilities of the UAC would depend critically on the existence,

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<sup>20</sup> Northwestern requires the FAR and the chair of the athletics committee to be different persons. There is no explicit prohibition on an individual’s serving both roles at UNC; it simply has never been done (at least not in recent years).

composition, and charge of the proposed new faculty committee (see Recommendation #14 and the section titled ‘6.2.1 Academic Support for Student-Athletes, Proposed Faculty Committee’).

**Observation:** The composition of the Northwestern athletics committee includes faculty, staff, students, and alumni while UNC’s athletic committee is restricted to faculty (hence the label ‘Faculty Athletics Committee’). Importantly, Northwestern’s athletic committee meets periodically in “executive session” with attendance restricted to faculty committee members. The composition of a reconstituted University Athletics Committee would depend critically on activities envisioned to implement its charge.

**Recommendation #8:** Conditional on the weight of the academic charge of the reconstituted University Athletics Committee, the Task Force recommends that all members of the UAC hold a faculty appointment.

Analogous to observations made regarding the Faculty Athletics Representative position:

**Observation:** Athletics committees are typically a key aspect of faculty governance at the intersection of academics and athletics. The Vanderbilt Faculty Senate does not engage the UAC in a meaningful manner.

**Recommendation #9:** The Task Force recommends that the Faculty Senate engage the University Athletics Committee in an intentional, active, and ongoing basis, including periodic reports by the UAC chair to the Faculty Senate.

To be effective, the faculty voice imbedded in the UAC must be recognized and empowered. Unlike UNC’s recognition of its athletics committee in its faculty manual (Section 4-7(b) of the *University of North Carolina Faculty Code*), the *Vanderbilt University Faculty Manual* is silent. There is no reference to the UAC in Vanderbilt Faculty Senate manuals/codes/bylaws/policies/etc.

**Observation:** The significance of the UAC in the institutional governance and oversight of the intercollegiate athletics program is not duly recognized by Vanderbilt faculty. As a result, Vanderbilt faculty have not defined the UAC as its voice in the governance of the intercollegiate athletics program or set expectations for its voice.<sup>21</sup>

**Recommendation #10:** To codify and emphasize the importance of the University Athletics Committee, the Task Force recommends that the Faculty Senate lead an effort to codify faculty expectations for the UAC in the *Faculty Manual* and/or appropriate Faculty Senate materials.

Vanderbilt’s current UAC is akin to UNC’s Athletics Council.<sup>22</sup> Such bodies are worthy in their own rights as sounding boards for an athletics department but are not substitutes for a

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<sup>21</sup> Faculties typically have no direct control over the allocation of funds and are not involved in the management and operation of athletics departments. In these matters, the director of athletics is accountable to the institution’s chief executive officer.

<sup>22</sup> The UNC Faculty Athletics Representative chairs the UNC Athletics Council. The Council reports to the Athletics Director, meets several times a year, and includes faculty, alumni, students, student-athletes, staff, and development. Its primary roles are to serve as a sounding board for the Department of Athletics, to build relationships, and to “get the word out” across campus. There are no action items, *per se*.

group that exercises consequential faculty governance at the intersection of academics and athletics.

**Observation:** To capture the positive aspects of the currently configured UAC, the Athletics Department very well might continue to host an athletics committee recognizing the Athletic Department committee would not serve the governance role envisioned in Article 6 of the NCAA Constitution. Rather, it would serve the needs of the Athletics Department. Naming conventions would have to be considered that clearly distinguish an Athletics Department advisory committee and an Article 6 university-central athletics committee.

*6.1.3 Institutional Alignment.* The perception exists within an indeterminate portion of the Vanderbilt faculty community that the intercollegiate athletics infrastructure is uncomfortably distant from university central in terms of isolated facilities, mission, and culture. While such perceptions are not unique to Vanderbilt, the perceived disconnect breeds suspicion.

A significant misunderstanding occurred among the Athletics Department, the Faculty Senate, and the Task Force.<sup>23</sup> The misunderstanding is rooted, in part, in the Faculty Senate Executive Committee's not involving the Athletics Department leadership from the outset as it deliberated whether to form a task force on athletics and the Athletics Department leadership's perception that all university task forces are, by definition, adversarial. Such misunderstandings can only occur when parties fail to nurture a continuing working relationship.

**Observation:** Like the annual neighborhood picnic, periodic meetings are an opportunity to catch up and they breed goodwill.

**Recommendation #11:** To engender goodwill and create a foundation for mutual trust and respect, the Task Force recommends that the Faculty Senate Executive Committee commit to periodic, ongoing, non-crisis meetings with the Athletics Department leadership.

NCAA regulations require intercollegiate athletics programs to be designed as an integral aspect of the educational mission. Northwestern and Duke describe in a clear, deliberate, thoughtful manner how intercollegiate athletics is integral to their university's mission (and how each institution approaches institutional oversight of intercollegiate athletics). Exhibit VII is Northwestern University's *President's Directive on Intercollegiate Athletics*. Duke University's *Athletics Policy Statement* is Appendix II of its Athletics Policy Manual (<http://www.goduke.com/fls/4200/web-docs/Athletic%20Policy%20Manual-2014.pdf>).

**Observation:** NCAA Constitution 6.1.1 vests the ultimate responsibility and final authority for the conduct of an intercollegiate athletics program with a member institution's chief executive officer. Absent at Vanderbilt is a written, public "tone at the top" rendering from the Office of the Chancellor of the values and principles that guide Vanderbilt intercollegiate athletics and the delegation of authority within Vanderbilt University. Such a rendering of key values and responsibilities would provide a foundation for periodic, non-crisis discussions on not only the role of intercollegiate athletics at Vanderbilt University but also the role, if any, of faculty in the governance process.

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<sup>23</sup> The Task Force chair asked to distribute a draft titled "Motivation and Perspective" for planned Faculty Governance/Academic project team activities at the April 2017 UAC meeting. The project team document was not distributed.

**Recommendation #12:** To engender a shared vision and understanding of the perspectives that direct intercollegiate athletics, the Task Force recommends that the Chancellor lead an effort to codify the values and principles that guide Vanderbilt University intercollegiate athletics and the delegation of authority within Vanderbilt University.

Vanderbilt embarked on an ambitious, campus-wide strategic planning exercise that culminated in the *2013-14 Academic Strategic Plan*. It was a faculty-driven process involving all 10 colleges/schools, and resulted in having each college/school carefully re-craft its mission and vision statements in light of the University's strategic plan. Staff functions, such as the Athletics Department, were out of scope.

**Observation:** Since 2014 various staff functions crafted documents specifying how the unit supports Vanderbilt's *2013-14 Academic Strategic Plan*. Documenting the congruence of the Athletics Department's mission<sup>24</sup>/vision /values with the *2013-14 Academic Strategic Plan* would provide stakeholders a better understanding of what athletics contributes to the broader Vanderbilt community and, importantly, would be a basis for periodic, non-crisis discussions about how best to continue integrating and elevating intercollegiate athletics into the broader Vanderbilt community.

## 6.2 Faculty Academic Governance – Operational

*6.2.1. Academic Support for Student-Athletes.* Members of the TFUA interviewed senior staff in multiple areas across the Vanderbilt campus, including the Athletics Department, the Registrar's Office, and the Office of the Provost to understand the scope of academic support services provided to Vanderbilt student-athletes. Three recurring themes were voiced across the academic enterprise during the course of our multi-month inquiry:

1. Vanderbilt student-athletes are considered students first and athletes second.
2. The Office of the Provost and the Athletics Department desire a "clear space" between the Athletics Department's Academic Support for Student-Athletes unit and university central academic advising.
3. The Director of the Athletics Department's Academic Support for Student-Athletes unit, Elizabeth Wright, is universally praised for operating a student-athlete academic support program with the highest level of integrity.

*University Central Academic Advising.* Undergraduate academic advising is organizationally positioned under the Office of the Provost and is in no way organizationally linked with the Athletics Department. Exhibit VIII reflects the college/school-based undergraduate policies for assigning academic advisors.<sup>25</sup> Across all colleges/schools student-athletes are treated no differently than the general student population with respect to the assignment of faculty academic advisors; there is no attempt to cluster student-athletes with specific advisors. In addition there is no difference in the type of advice or the type of aid a student-athlete

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<sup>24</sup> In summer 2010, Vanderbilt season ticket holders, members of the National Commodore Club, and the athletics staff were asked to suggest three words they believe best describe what Vanderbilt Athletics should strive to represent. The responses were woven into the following Athletics Department Mission Statement: "We prepare student-athletes to become leaders and champions in life by placing the highest values on integrity, character, sportsmanship and victory." It has not been revised since.

<sup>25</sup> There are seven advising models across the four undergraduate colleges/schools.

receives from his/her college/school-assigned academic advisor as compared to the general student population.

The advisor/advisee relationship can vary greatly depending on the personalities involved, the college/school, the department, or the program. The advisor/advisee relationship is as good as the student chooses, recognizing that some faculty take “shortcuts.” At a minimum, all Vanderbilt University academic advisors are tasked with meeting with their advisees at least once a semester to review with the student his/her progress toward graduation and to release the advisor’s hold on the student’s registration. Faculty advisors have access to mid-semester deficiency reports compiled by the Office of the Registrar and/or the relevant Office of the Dean. A student may be required to meet with his/her advisor or alternatively with an Associate Dean of his/her college/school depending on the number of deficiencies and the college/school in which the student holds his/her first major.

Exhibit IX is an overview of the Athletics Department’s award winning Summer Bridge Program prepared by Elizabeth Wright for the November 30, 2016, University Athletics Committee meeting.<sup>26</sup> Now in its tenth year, the program is designed to educate incoming student-athletes on the importance of academics, integrity, character, and sportsmanship. It includes information about university central’s academic advising system, academic resources, and the Honor Code. Content is provided by representatives from Academic Affairs (the Office of the Provost), the Office of Student Accountability, Community Standards and Academic Integrity, Housing and Residential Education, and Project Safe. Student-athletes are counseled that academic advising is college/school-based and there is no attempt to pair student-athletes with university-central academic advisors.

A key value shared by the Office of the Provost and the Athletics Department leadership is maintaining a “clear space” between university central academic advising and programming and the Athletics Department’s academic support services. Though not required by the NCAA, such a “clear space” is a best practice in the athletics community. Lack of a “clear space” risks having student-athletes identify themselves as athletes first and students second and risks the tracking of student-athletes into less challenging majors or courses deemed compatible with student-athletes’ time demands and eligibility needs.<sup>27</sup> Such practices risk leaving student-athletes ill-prepared for their next steps in life. See Svyantek, Connelly, O’Neill, Boudreaux, Struempfer and Teeter (2017) for a review of the academic major and course clustering literature including data on clustering at FBS football programs.

In light of the existing values, policies, and practices, it is disconcerting to learn from the student-athlete focus groups chronicled in the section titled ‘6.3.2. *The Academics-Athletics*

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<sup>26</sup> Vanderbilt’s Athletic Department’s Stratton Foster Academic Center for Student-Athletes received the Model Practices Award for academic support from the National Association of Academic and Student-Athlete Development Professionals in June 2018. The award recognized in particular the Athletics Department’s Summer Bridge Program.

<sup>27</sup> The academic fraud allegations at the University of North Carolina at Chapel Hill focused on the offering of classes that required no attendance or course work other than a single paper with at best token involvement by a faculty member. Suspect courses were especially popular among student-athletes in the “revenue” sports at the advice of *athletics department academic counselors*, presumably to maintain student-athlete eligibility (Wainstein et al. 2014).

*Divide, Academic Support'* that most student-athletes are unable to name campus-wide resources and most discounted any value of advising garnered through their university-central academic advisors. Rather, student-athletes note that they rely primarily on Athletics Department-based academic resources, namely the Athletics Department's Academic Support for Student-Athletes (ASSA) unit.

*Academic Support for Student-Athletes (ASSA) Unit.* Vanderbilt Athletics Department has made significant investments in its highly regarded Academic Support for Student-Athletes (ASSA) unit. ASSA is funded by the Athletics Department, housed in McGugin Center, and the director and staff are employees of the Athletics Department.<sup>28</sup> The integrity of the ASSA is respected across campus; the respect is largely a function of the high esteem afforded Elizabeth Wright, Director of Academic Support. All student-athletes are assigned to ASSA Academic Counselors by team regardless of school or major. Exhibit X is an overview of ASSA prepared by Elizabeth Wright for the November 30, 2016, University Athletics Committee meeting.

Multiple controls exist within ASSA to help ensure the desired "clear space" between the Athletics Department and university academic affairs exists and is maintained. For example, coaches are prohibited from contacting faculty, proctoring tests, referring athletes for tutoring, or referring athletes for a learning disabilities evaluation. Importantly, Athletics Department academic counselors are prohibited from providing student-athletes with advice regarding course selection in order to maintain a "clear space" between their work and that of the student-athlete's college/school-based academic advisor. Exhibit XI is a Task Force rendering of the structure and key controls within the Athletics Department and ASSA for those wishing to dig deeper.

The athlete-specific tutoring program too is housed in the Athletics Department's ASSA unit. It is under the direct oversight of the Director of Tutoring who reports to the Director of ASSA and is assisted by the Tutor Coordinator. Approximately half of all student-athletes work with an ASSA employed tutor. Tutoring sessions may be individual or group based and are provided to student-athletes at no charge. To evaluate an individual tutor's effectiveness and the student-athlete's satisfaction with the tutoring received, student-athletes are requested to submit end-of-year evaluations of their tutors.

With regards to tutoring, again, ASSA is to be commended for implementing a number of important controls. For example, the use of only Vanderbilt students who are bound by the Honor Code and have short tenures is a key difference for Vanderbilt student-athlete tutoring as compared to other schools that routinely employ Athletics Department-based professional tutors with lengthy tenures. Professional tutoring staff employed by athletics departments and who hold lengthy tenures within the department have been implicated as a potential risk factor for academic misconduct.<sup>29</sup> Tutors submit a written report on every

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<sup>28</sup> The NCAA promotes that benefits to student-athletes include "...academic support, such as state-of-the-art technology and tutoring, and have access to athlete-focused academic advisors in addition to traditional academic advisors ..." (<http://www.ncaa.org/student-athletes/benefits-college-student-athletes> )

<sup>29</sup> Elizabeth Wright, Director of Academic Support in the Athletics Department's ASSA unit, attended a conference two years ago at which an NCAA Compliance representative discussed long tenure as one of the risk factors for

session. Exhibit XII is a Task Force rendering of key Athletics Department controls over its tutoring program.

In 2016, the American Council on Education convened a diverse group of university presidents, athletics directors, and other higher education leaders for a Roundtable discussion focused on ensuring intercollegiate athletes have legitimate and meaningful opportunities to be *student-athletes* (American Council on Education 2016). Among the best practices enumerated in the Report are:

1. “Academic advising and support operations for student-athletes should report to (or have regular access to) senior academic executives, such as chief academic officers, ensuring that there is regular access, communication, and oversight,” and
2. “Athletic directors, athletic staff, and coaches should not have supervisory responsibility over or influence the selection of academic support staff for specific teams” (page 4).

All controls and oversight of the ASSA unit are based within the Athletics Department. Faculty are non-participants in the governance of primary programming at the intersection of academics and athletics; consequently, they are not agents who bolster and support the desired “clear space” between Athletics Department academic support and faculty-based academic advising, student-athlete academic tutoring, or transparency. From a compliance perspective, faculty do not help ensure student-athletes do not receive unwarranted academic assistance.

**Observation:** Vanderbilt’s faculty advising policies are college/school-based and treat student-athletes and non-athletes the same. The desired distinctive roles of Athletics Department’s academic counseling unit and university central academic advising are documented in various policies and are supported by both the Office of the Provost and Athletic Department/ASSA leadership. It is a shared value to instill in student-athletes the desire to look beyond McGugin and use university central academic resources and to ensure university central resources are reasonably available given student-athlete legitimate time constraints. Yet, the desired “clear space” is, at best, fragile. Student-athletes report that they rely primarily on Athletics Department-based academic resources, namely the Athletics Department’s Academic Support for Student-Athletes (ASSA) unit. (See section titled ‘6.3.2. *The Academics-Athletics Divide, Academic Support.*’)

**Observation:** The Athletic Department’s Academic Support for Student-Athletes (ASSA) unit is organizationally positioned within the Athletics Department. It enjoys a strong reputation for integrity across campus and has implemented numerous controls to safeguard the academic integrity of the academic counseling and academic tutoring services. Most student-athletes rely primarily on Athletics Department-based academic resources. (See the section titled ‘6.3.2. *The Academics-Athletics Divide, Academic Support.*’) University central faculty are non-participants in the governance of primary programming at the intersection of academics and athletics.<sup>30</sup>

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academic fraud. Vanderbilt Athletics adopted its policy of using only Vanderbilt-student tutors many years ago in order to preemptively address potential occurrences of academic fraud. The policy also prevents outside people who may be “boosters” from working with and having access to our student-athletes. Vanderbilt Athletics is one of few institutions that hires only current students to act as tutors.

<sup>30</sup> The Vice Chancellor for Athletics and University Affairs holds a faculty appointment in Vanderbilt’s Law School.

**Task Force Recommendation #13:** To more clearly delineate the desired distinct roles of the Athletic Department’s academic counselors and university-central academic advisors, the Task Force recommends that the position “academic counselor” be retitled to avoid the term “academic” (perhaps “Education Counselors”).

**Task Force Recommendation #14:** To help maintain the “clear space” between university-central academic advising and Athletics Department academic counseling and, from a compliance perspective, help ensure student-athletes receive meaningful degrees, the Task Force recommends the Vice Chancellor for Academic Affairs/Provost create a new faculty committee to support the efforts of University faculty/staff and Athletics Department staff at the intersection of academics and athletics.

*Proposed Faculty Committee.*<sup>31</sup> With regards to the proposed faculty committee’s charge, one of the key considerations discussed at the *Student-Athlete, Academic Integrity, and Intercollegiate Athletics Roundtable* is the need for regular, extensive monitoring of academic behavior patterns, particularly but not exclusively among student-athletes (American Council on Education 2016). The resulting best practice would be a primary charge of the proposed faculty committee: “Colleges and universities should have regular processes in place to identify and monitor situations involving unusual course or major clustering involving student-athletes” (page 5).<sup>32</sup>

An important aspect of Task Force efforts was to provide a roadmap for the proposed faculty committee. Members interviewed a range of senior administrators to determine what reports to run and analyzed a wealth of data on such topics as independent studies, clustering by major and course, GPAs in majors compared to non-athletes, and summer term courses – questions that had not been asked previously outside of the Athletics Department. The Office of the Registrar was the primary source of data. The resulting sensitive, confidential reports and analyses were shared with the Vice-Chancellor of Academic Affairs/Provost who, in turn, asked the Deans of the appropriate colleges/schools to do additional research into a few courses and independent studies and to report their findings directly to her. The report was also shared with the Deputy Athletics Director. Needless to say, the analyses were judged quite informative by both the Office of the Provost and the Athletics Department. Such analyses consistently implemented and reviewed will shine light on trends with respect to “easy” courses, “easy” majors, independent studies, and other anomalous activity as well as on faculty who potentially went “rogue.” Such monitoring does not currently occur at Vanderbilt University, yet is essential to identify and monitor situations involving unusual course or major clustering involving student-athletes.

Task Force efforts also provide the proposed faculty committee a roadmap in the area of honor code compliance. The Task Force analyzed Honor Council violations by both individual student-athletes and teams and placed the findings in the context of problems experienced by the entire student body. The Office of Student Accountability was the primary

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<sup>31</sup> The composition and responsibilities of the proposed faculty committee would depend critically on the existence, composition, and charge of the University Athletics Committee (UAC) (see Recommendation #7 in the section titled ‘6.1.2 University Athletics Committee (UAC).’

<sup>32</sup> See Svyantek, Connelly, O’Neill, Boudreaux, Struempfer and Teeter (2017) for a review of the academic major and course clustering literature including data on clustering at FBS football programs.

source of data. The Task Force reviewed its report with the Provost and the Deputy Athletics Director.

The Task Force envisions that the Associate Dean from each undergraduate college/school charged with oversight of academic advising and hearing student academic appeals be members of the proposed faculty committee. In addition to efforts described in the preceding three paragraphs, the charge for the proposed faculty committee might include acting as the liaison between the Athletics Department's ASSA unit and college/school-based academic advisors, reviewing academic advising, reviewing the academic progress of student-athletes, reviewing tutor session reports, reviewing student-athletes' end-of-year evaluations of tutor effectiveness, and making periodic reports to the Athletics Department, the Office of the Provost and the University Athletics Committee. The current University Athletic Committee (UAC) does not perform such activities.<sup>33</sup>

*Learning Disabilities.* As of the spring semester 2018, all matriculated student requests for accommodations for learning disabilities proceed through the Office of Student Access Services. Student-athletes with an established diagnosis of a learning disability must submit the same documentation and follow the same procedures as the general student population in order to receive accommodations through the Office of Student Access Services.

To date, all incoming freshman student-athletes enrolled in summer classes were screened with a battery of assessment tools co-administered by the Psychological and Counseling Center (PCC) staff and ASSA staff. Such inclusive screen does not occur in the non-athlete student population. The summer student-athlete screening program ceased to exist in its current form with the July 1, 2018, transition from the PCC to the University Counseling Center (UCC). Future screening of summer student-athlete enrollees is currently the subject of discussions between the UCC and the Athletic Department's ASSA unit.

Based on an established diagnosis, a student-athlete with a learning disability receives the same access to accommodations available to all students. In addition, the ASSA has a learning specialist who can work with the student-athlete with a learning disability according to his/her diagnosis. Importantly, coaches are prohibited from referring student-athletes to the Office of Student Access Services or to any other campus resource related to the evaluation, accommodation, or learning disability-related services.

**Observation:** Vanderbilt student-athletes with learning disabilities have access to the same accommodations afforded to the general student population. Future screening of summer student-athlete enrollees is currently the subject of discussions between the UCC and the Athletic Department's ASSA unit.

*6.2.2 Academic Eligibility.* The authority to certify the NCAA eligibility of a student-athlete is delegated to NCAA member institutions by NCAA Bylaw 3.2.4.3 (Certification of Eligibility/Declaration of Ineligibility). Vanderbilt has a well-defined and publicly available

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<sup>33</sup> The charge for the proposed new faculty committee might also include deciding the merits of cases where coaches request to rescind an athlete's scholarship. Such cases are now handled by the Office of Financial Aid which reports to the Provost. It might be difficult for the proposed new faculty committee to make such decisions because such cases often come with time urgencies and occur throughout the calendar year.

policy that governs certification of eligibility of student-athletes. Vanderbilt's policy "Certification of Eligibility Procedures for Student-Athletes" is maintained by the Athletics Department's Director of Compliance. It was first drafted in 2015 and updated in academic year 2017-2018. It is reproduced in its entirety in Exhibit XIII.

Vanderbilt's academic eligibility policy vests the final authority for the initial and continuing academic eligibility certification of student-athletes in the University's Faculty Athletics Representative (FAR). Vanderbilt's FAR (currently the Vice-Chancellor of Academic Affairs/Provost) delegated academic eligibility decisions to the Office of the Registrar. The Registrar's office works closely with the Athletics Department's Director of Compliance and Director of Academic Support throughout the year in an ongoing review of student-athlete eligibility.

The Athletics Department's Eligibility Oversight Committee (EOC) monitors eligibility certification for Vanderbilt student-athletes including initial and continuing academic eligibility and financial aid. The Committee's charge is reproduced in Exhibit XIV. This committee has broad campus representation. A faculty member<sup>34</sup> was added in academic year 2018 as a result of Task Force efforts.

**Recommendation #15:** To maintain greater transparency, the Task Force recommends the Vice-Chancellor/Provost appoint to the Athletics Department's Eligibility Oversight Committee the Faculty Athletics Representative and three faculty who represent the three colleges/schools with the greatest enrollment of student-athletes for that academic year (or appoint an established percentage of committee members).

*Admission Decisions.* Vanderbilt's Office of Undergraduate Admissions (OUA) has sole discretion over all undergraduate admissions decisions, including prospective student-athletes. Included in Exhibit XIII is a description of the review process which includes a secondary review by the dean of the college/school to which a prospective student-athlete is applying. Coaches are prohibited from contacting the OUA on behalf of a prospective student-athlete. The Athletics Director may appeal when a prospective student-athlete's admission application is rejected by the OUA.<sup>35</sup> An appeal generated by the Athletics Director will include not only a review of the prospective student-athlete's academic profile, but also a list of conditions, proposed by the Athletic Department, that the candidate for admissions must accept in order to be admitted to Vanderbilt University. A sample "conditions letter" is included in Exhibit XIII.

*Ongoing Eligibility.* The Office of the Registrar is responsible for certifying a student-athlete's ongoing academic eligibility. The process is managed by the Assistant University Registrar for Student Services who reports to the University Registrar, importantly not to the Athletics Department. The Office of the Registrar is able to load data from the university's PeopleSoft

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<sup>34</sup> The Athletics Department selected the current chair of the University Athletics Committee and Task Force member. She is an associate dean in the School of Medicine.

<sup>35</sup> In the last three years, the Athletics Director did not request more than three appeals in a single year. Two appeals is typical. There were no appeals academic year 2017-2018.

system directly into the NCAA’s Compliance Assistant system<sup>36</sup> greatly reducing the opportunity for error. The Assistant University Registrar for Student Services has the single source sign-on for the NCAA’s Compliance Assistance database and has the sole authority to change eligibility status within the system, a key access control. The Office of Registrar is also responsible for:

1. Signing off on SEC “Squad Lists” – documents that list every student-athlete eligible to compete by team.
2. Compiling Academic Progress Rate<sup>37</sup> and Graduation Success Rate<sup>38</sup> and sending the reports to the NCAA.

Data for these reports comes directly out of Vanderbilt’s PeopleSoft system, the same system used to track all Vanderbilt student academic information.

The Athletics Department also continuously tracks NCAA enrollment and academic progress requirements to assess each student-athlete’s continued eligibility to compete in his/her sport. Any student-athlete whose performance deems him or her academically at-risk is flagged and monitored closely by his/her Athletics Department academic counselor. Data is provided by the Office of the Registrar.

**Observation:** Vanderbilt’s “Certification of Eligibility Procedures” policy is well designed and well executed. It appropriately delegates:

1. To the Office of the Provost all decisions relevant to the admission of prospective athletes as well as decisions concerning the certification of eligibility of all student-athletes.
2. To the Office of Undergraduate Admissions authority for initial academic credential review and all decisions related to the admission of a prospective student-athlete.
3. To the Office of the Registrar the monitoring and NCAA reporting of academic eligibility including eligibility for post-season play. The Registrar has the sole authority to deem a student-athlete eligible/ineligible.
4. To the Office of the Registrar, independent eligibility decisions and final authority for all eligibility and reporting decisions.<sup>39</sup>

### 6.3 Infrastructure for Student-Athlete Support

*6.3.1. Mental Health and Well-being.* Across all focus groups, mental health was consistently an important focus in the life of a student-athlete. Most frequently, mental health was addressed during discussions of support systems and resources; however, it was also mentioned when

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<sup>36</sup> The Compliance Assistant program is a tool designed to help ensure that athletics departments and student-athletes are in compliance with NCAA legislation. In addition to applying NCAA legislation in the areas of financial aid, eligibility, recruiting, athletics personnel, and playing and practice seasons, it is a data-collection system that can be used to generate NCAA-required forms and other forms created by the user. The program, documentation, and technical support are provided free to the NCAA member institutions. See <http://www.ncaa.org/compliance-assistant> for a more detailed description of the NCAA Compliance Assist System.

<sup>37</sup> See <http://www.ncaa.org/aboutresources/research/academic-progress-rate-explained> for a description of the NCAA’s Academic Progress Rate (APR).

<sup>38</sup> See <http://www.ncaa.org/about/resources/research/graduation-success-rate> for a description of the NCAA’s Graduation Success Rate (GSR).

<sup>39</sup> The Office of the Registrar is assisted in its work by Athletics Department’s Director of Compliance, Director of Academic Support, and Eligibility Oversight Committee.

more broadly discussing the student-athlete balance. One student communicated the need for mental health resources for student-athletes by saying:

“The way we represent ourselves is representative of the school. It’s a major psychic cost. Emotionally, you have to be on your toes at all times. That emotional cost can be pretty big.”

Students most often mentioned the important and productive role of the Athletic Department Performance/Life Coach, Vickie Woosley, Psy.D., the Psychology and Counseling Center (PCC),<sup>40</sup> and the Center for Student Wellbeing. These units and individuals were identified as formal ways to address mental health concerns. Less formal methods were also discussed and varied from student to student, ranging from getting off campus for time away, talking to other student-athletes, or speaking with coaches and athletics staff with whom students had developed close relationships.

Wellness resources in McGugin were generally viewed as a positive resource. The convenience of having a life coach in McGugin was expressed in multiple focus groups. One student referenced Vickie Woosley, noting:

“Having her in this building was pretty amazing; they should have more of her.”

This sentiment was shared across several focus groups, with a student suggestion that “we need four of her” – underscoring how important her role is in their lives. Another group described the life coach as an “underused resource” and said they would “encourage everybody” to see her.

Despite the appreciation students expressed for the life coach, multiple focus groups expressed concern regarding her availability. In a focus group of male and female athletes, one student stated, “It’s difficult to get time with her unless there’s something going very badly in life.” One focus group suggested hiring more life coaches within McGugin to meet the high demand.

**Observation:** Mental health resources are very important to student-athletes, in particular the wellness services provided in McGugin. Many students referred to the life coach, Vickie Woosley, Psy.D., by name, expressing their appreciation for her. Due to high demand on her time, there was widespread concern among the athletes regarding access and availability for life coach-related services.

**Observation:** The Task Force finds that there is a compelling rationale to provide additional life coach services. Funding is a constraint. All Office of the Provost services are open to all students; it simply cannot direct special privileges for student-athletes and not for student-workers (e.g., work study), student leaders (e.g., in VSG), student-performers (e.g., Blair or theatre), ROTC, and other such groups. Consequently, university policy is the Athletics Department must fund all support that is restricted to student-athletes.

In another focus group, a student expressed that the Psychology and Counseling Center is a good resource too; however, other students in the group shared that “there was a stigma going

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<sup>40</sup> Vanderbilt launched July 2018 the University Counseling Center (UCC) that reports to the Office of the Dean of Students. The UCC replaced the PCC which reported to the Vanderbilt University Medical Center.

to the PCC,” whereas the life coach’s office is in McGugin – a place where student-athletes spend much of their time. Another student referenced the PCC, stating that some athletes report:

“It’s just a large machine that you get put into...it is way too time-consuming and they do not have enough individualized attention.”

In a group of female student-athletes, the participants recognized the numerous resources available through the Center for Student Wellbeing and the PCC; however, they also acknowledged that practice schedules and student-athlete time commitments made it extraordinarily difficult for them to use any of the broader array of university-provided resources. This point was punctuated by all sub-groups – male and female athletes and students across all sports – regardless of schedules and revenue-generating or scholarship-supported status.

Time and time again, student-athletes explained that they were unable to access service hours at the various student support offices on campus. This lack of access is compounded by perceptions of a cultural and institutional disconnect between athletics and other university units. One student-athlete echoed sentiments expressed throughout the focus groups when he urged “more coordination between [athletics and other university units].”

Another student echoed a common sentiment expressed throughout the focus groups – the desire to expand support services where student-athletes tend to spend time and where comfort, convenience, and familiarity are at the highest levels:

“I think bringing professional resources to McGugin and creating a new culture about utilizing them – I think that there would be a lot of positive outcomes based on having resources here rather than being across campus.”

When identifying resources that they utilized to manage their student-athlete balance, participants tended to cite athletics-specific resources as the most useful, comfortable, and familiar, as this student explained:

“I haven’t really felt the need to utilize that [university support] but I think it’s definitely important to most people....I feel more comforted by just Vanderbilt athletics...it’s a smaller community. I just feel like if I needed something I would come here. I wouldn’t seek out something through the university.”

**Observation:** Students expressed concerns about utilizing other on-campus mental health resources, such as the Center for Student Wellbeing and the UCC/PCC, because of limited service hours, scheduling difficulties, and practice/game time demands. The Student Care Network is governed by and funded by the Office of the Provost. Consequently, all services must be open to all students, including student-athletes. That said, it cannot direct special privileges to student-athletes and not direct those privileges to others.

**Task Force Recommendation #16:** The Task Force finds that there is a compelling rationale for providing more accommodating access to university central wellness-rated services and recommends that the leadership of the Office of Student Care Coordination find opportunities to increase student-athlete access to university central wellness-related services within the normal course of Student Care Network activities in Network facilities.

### 6.3.2. *The Academics-Athletics Divide.*

*Academic Support.* Student-athletes agreed that they often turn to the Athletics Department because it is more convenient than seeking out other campus resources and because the Athletics Department better understands the needs of student-athletes. In explaining the tendency to utilize athletic resources more frequently, students communicated feeling a disconnect between the Athletics Department and other parts of the university. Repeatedly, students pointed blame at the academic side of campus. One student summed up the situation this way, which resonated with many others' viewpoints and experiences:

“Athletics is trying to coordinate with academics, but academics isn't trying to coordinate with athletics.”

In discussing this disconnect between university central and its Athletics Department, students often discussed the difficulties of scheduling as contributing to the divide. In multiple focus groups, participants agreed that while Vanderbilt offers many resources across campus including the Career Center and the Writing Studio, it is difficult for athletes to utilize a majority of them due to scheduling. In a focus group of female student-athletes, one student noted, “I had to do a lot of seeking to find resources” and felt that these resources do not work to make their presence known to athletes. This perceived lack of accessibility was echoed by many participants across the focus groups. One student noted that she primarily uses academic support programs through athletics because regular tutoring schedules do not fit in with all the responsibilities and time constraints associated with her sport.

In considering their role as a student-athlete, often athletes felt that they were held more accountable by their coaches and teammates than by their professors and academic/major advisors, and that the time spent with coaches and teammates exceeded time spent with professors or classmates. This striking contrast between relations with coaches/teammates and professors/classmates is influenced by accountability structures, geography (McGugin and “other” parts of campus), and a sense of community among the student-athletes. One observation demonstrates a shared struggle with their identity:

“We have a joke on our team that we call ourselves ‘athlete-students’...We would rather miss class than miss part of a practice.”

When addressing academic advising, several participants thought academic advisors in their major departments, in particular, were disconnected from the experience of athletes. Multiple participants expressed their desire for expanded advising support and services targeted toward athletes and suggested bringing those specific resources to McGugin. Most student-athletes discounted any value of advising garnered through their academic advisors within their majors.

The consensus of faculty in the four undergraduate colleges/schools with oversight responsibilities for undergraduate advising is that student-athletes are bonded into their McGugin experiences and are not always compliant with or responsive to the school-based systems of support. There appears to be a culture gap in which student-athletes expect special accommodations (e.g., advising sessions in McGugin) as if no support were available elsewhere. This divide is likely rooted in the fact that student-athletes arrive before the general student population with campus life beginning in McGugin instead of the Commons. While the Commons experience is intended to be used to onboard all students, student-athletes tend to be disconnected from the Commons experience so miss an intentionally paced exposure to university-central resources. The Athletics Department's Summer Bridge program tries to fill the void (see Exhibit IX).

**Observation:** A lack of awareness of university central academic or career resources exists among many student-athletes. Most athletes were unable to name university central academic resources. Students believe access to university central academic resources is limited. Consequently, most student-athletes rely primarily on Athletics Department-based academic resources.

The section titled '*6.2.1 Academic Support for Student-Athletes*' explores the desired distinctive roles of the Athletic Department's Academic Support for Student-Athlete (ASSA) unit and university-central academic advisors. It offers related Task Force recommendations motivated in part by this focus group observation (see Recommendations #13 and #14).

*Faculty Discretion.* An area identified by students for improvement was creating more consistency among professors and their policies towards student-athletes. Students reported wide and deep variation in their experiences with professors and professors' degrees of willingness to accommodate (or to understand) students' athletic responsibilities. Some students described professors who were very willing to provide time outside of class to assist student-athletes "catch up" on course lectures and discussions following students' class absences linked to game schedules and traveling. Other students described being penalized for missing class for athletics obligations (game and traveling); in a few circumstances, students reported the need to drop courses as a result of these absences.

Student-athlete perceptions overlook university values that grant individual faculty discretion and authority over the conduct of their courses, including attendance policies.<sup>41</sup> Attendance policies and office hours are provided in course syllabi; the onus is on the student to know syllabus standards and practice times before enrolling in a course. Practice times are not a consideration for missing class. All students are treated the same.

**Observation:** Students identify inconsistencies in faculty expectations and attendance policies. In general, student-athletes perceive a persistent lack of coordination between the Athletics Department and academic departments. University policies grant individual faculty discretion and authority over the conduct of their courses, including attendance policies.

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<sup>41</sup> Vanderbilt's Center for Teaching is drafting guidelines on class absences.

**Task Force Recommendation #17:** The Task Force recommends that the Office of the Provost investigate how messaging about course accommodations is delivered/scripted to student-athletes and to faculty and then provide guidance to the four undergraduate college/school deans and the Student-Athlete Advisory Committee (SAAC) about opportunities to close the gap between student-athlete expectations and faculty practices.

*6.3.3 Work-Life (Im)balance.* The focus group sessions with student-athletes point to a clear and compelling takeaway: the role as an athlete is frequently in conflict with the role as a student. Despite having many students explain that they came to Vanderbilt University because it is a strong and highly ranked academic institution, they frequently describe making trade-offs between being a student and being an athlete. These trade-offs involve choosing between their athletic demands – training, practice, games – and virtually any other extracurricular activity; most student-athletes reported few extracurricular activities (e.g., Greek life, campus clubs, service organizations). Students described an internal struggle between balancing their two roles but, overall, were comfortable in choosing athletics while balancing academic demands.

Student-athletes report that their time commitment to athletics is more than the time on paper indicates. Generally, students acknowledged that they felt particularly out of balance during the “season,” but were able to recover that balance to some degree when their sports were not actively practicing and competing. Some athletes felt that their role became more defined and “balanced” as they progressed through Vanderbilt. Notably, junior and senior student-athletes were more likely to report that they felt “balanced” in their roles. At times, the disconnect between the role of student and the role of athlete became unhealthy for some student-athletes, and the stresses and strains were made evident in the focus group discussions. One student noted:

“I try to balance the two, but what ends up suffering for me is my health. I’ll wind up skipping meals and eating granola bars the entire time.”

**Observation:** Student-athletes continue to express a sincere interest in a priority registration system for student-athletes, anchored to the desire to align an academic schedule with an athletic season to ensure success and fulfillment in both fields. The Office of the Provost has repeatedly denied the request considering it unfair to direct special privileges to student-athletes and not to student-workers (e.g., work study), student leaders (e.g., in VSG), student-performers (e.g., Blair or theatre), ROTC, and other such groups.

*6.3.4. Social Disconnects.* A divide was also apparent in students’ descriptions of their social involvement on campus. Students reported that they often had to give up sleep, sacrifice attending social activities, and forgo opportunities to join extracurricular activities on campus. The intensity of their schedules was cited as a major reason that interacting with non-athletes is extremely difficult.

Participants in the focus groups expressed the deep difference between the student-athlete experience and that of their non-athlete peers. One participant explained:

“I feel really disconnected from the whole Commons experience that is so important to most freshmen just because I’m at McGugin so often.”

Another student noted:

“Besides the people on my floor, I don’t really connect with a lot of people just because I have not been able to have the same experiences as them.”

Participants in the focus groups indicated that their primary friendship network is comprised of athletes. Many participants observed that their roles as student-athletes means the high likelihood of “missing out” on other aspects of the college experience; many students said they felt “disconnected” from student life at Vanderbilt. All participants in a mixed focus group of male and female athletes from different sports teams underscored the central idea of shared experiences, obligations, and support services that coalesce at McGugin, agreeing with the sentiment that “athletes live at McGugin.” Focus group participants suggested that being a student-athlete requires a different lifestyle.

**Observation:** Socially, student-athletes perceive a divide between their experience and the experience of non-athletes. Though student-athletes report that they are unable to participate in the traditional social activities at Vanderbilt, most are generally pleased with the social lives provided by their sports and their team members. The Task Force notes that Vanderbilt student-athletes chose to compete in a major athletics conference at one of the nation’s finest Research 1 universities; they chose an experience that differs from the experience of a non-student-athlete.

Focus group participants were asked: “If you had the opportunity to be a student-athlete at Vanderbilt again, knowing what you know now, would you do it again?” All responded ‘yes.’

## 7.0 Next Steps

The Vanderbilt community should be proud of its ideal and affirmation that academic excellence and athletics excellence can coexist successfully. Vanderbilt is fortunate the Athletics Department leadership has hired competent, trustworthy individuals in key positions – individuals who are widely praised across campus for operating a student-athlete academic support program with the highest level of integrity. The Task Force on University Athletics offered a number of key structural recommendations which members believe will help ensure that the Vanderbilt community sustains its good fortunes as key personnel turn over. Members recognize governance structures are inherently unique organization by organization, and key stakeholders have insights and perspectives that will importantly shape how Task Force recommendations can be tailored to Vanderbilt’s unique community. Consequently, the Task Force views its efforts as providing a foundation for robust discussions among key stakeholders, and is equipped to contribute to the dialogue.

## 8.0 References/Faculty Senate Archived Materials

*Athletics Policy Manual*, Duke University, undated.

*Commission on College Basketball: Report and Recommendations to NCAA Board of Governors, Division I Board of Directors and NCAA President Emmert*, April 2018.

*Faculty Athletics Representative Handbook*, Faculty Athletics Representative Association in cooperation with the National Collegiate Athletics Association, 2015.

Miranda, M.A. and T.S. Paskus, *Roles, Responsibilities and Perspectives of NCAA Faculty Athletics Representatives*, National Collegiate Athletics Association, February 2013.

*The Student-Athlete, Academic Integrity, and Intercollegiate Athletics*, American Council on Education, Washington, D.C., 2016.

Svyantek, D.J., B. Connelly, S. O'Neill, M. Boudreaux, B. Struempler and L. Teeter, *Academic Clustering Among College Athletes*, Sports and Understanding Organizations, pp. 283-298, 2017.

Patton, M., *Qualitative Research & Evaluation Methods*, Sage Publications, 2002. (not included in the Faculty Senate archive)

Wainstein, K.L., A.J Jay III and C.D. Kukowski, *Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill*, Cadwalader, Wickersham & Taty LLP, October 16, 2014.

**EXHIBIT I**  
**University of North Carolina at Chapel Hill**  
**Sources of Recommended Controls and Related Responses by Academic Process<sup>42</sup>**

This exhibit links more than 70 recommendations from nine reports on the academic scandal at UNC-Chapel Hill to a corresponding academic process.

**Sources of the Recommended Controls Categorized by the Working Group**

- Academic Support Program for Student-Athletes (ASPSA) Report, September 2011  
<http://www.unc.edu/news/12/3.pdf>
- NCAA Public Infractions Report (Appendix 2), March 2012  
<http://www.ncaa.org/sites/default/files/UNC%2BPublic%2BInfractions%2BReport.pdf>
- Independent Study Task Force Report, April 2012 <http://www.unc.edu/news/12/2.pdf>
- Hartlyn-Andrews Report/Review of Courses in African and Afro-American Studies, College of Arts and Sciences, May 2012 [http://www.unc.edu/news/050412/Review\\_of\\_courses.pdf](http://www.unc.edu/news/050412/Review_of_courses.pdf)
- Report of the Special Subcommittee of the Faculty Executive Committee, July 2012  
<http://www.unc.edu/news/12/4.pdf>
- Baker Tilly Academic Policies Procedures Report, December 2012  
<http://www.unc.edu/news/12/UNC-Baker-Tilly-Academic-Policies-Procedures-Report-12-19-12-Final.pdf>
- Martin Final Report & Addendum, January 2013 <http://www.unc.edu/news/12/UNC-Governor-Martin-Final-Report-and-Addendum.pdf>
- The Report of the UNC Board of Governors Academic Review Panel, February 2013  
[http://www.unc.edu/news/12/the-report-of-the-unc-bog-acadademic-review-panel-2\\_7\\_13.pdf](http://www.unc.edu/news/12/the-report-of-the-unc-bog-acadademic-review-panel-2_7_13.pdf)
- Hunter Rawlings Report, September 2013  
[http://rawlingspanel.web.unc.edu/files/2013/09/Rawlings-Panel\\_Intercollegiate-Athletics-at-UNC-Chapel-Hill.pdf](http://rawlingspanel.web.unc.edu/files/2013/09/Rawlings-Panel_Intercollegiate-Athletics-at-UNC-Chapel-Hill.pdf)

**Recommended Controls Categorized by Academic Process**

- [1.0 Recruiting](#)
- [2.0 Admissions](#)
- [3.0 Financial Aid](#)
- [4.0 Orientation & Summer Programs](#)
- [5.0 Enrollment & Advising](#)
- [6.0 Registration](#)
- [7.0 Academic Support for Student-Athletes](#)
- [8.0 Faculty Relations & Governance](#)
- [9.0 Class Attendance & Travel](#)
- [10.0 Resources for Student-Athletes with Disabilities](#)
- [11.0 Eligibility & Compliance](#)
- [12.0 Academic Performance Monitoring](#)
- [13.0 Communications & Recognition](#)
- [14.0 Budgeting](#)

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<sup>42</sup> Initially prepared by the UNC Student-Athlete Academic Initiative Working Group, which became the Process Review Group.

- [15.0 Facilities for Student-Athlete Academic Support](#)
- [16.0 Housing & Residential Education](#)
- [17.0 Honor Court](#)
- [18.0 Student-Athlete Development](#)
- [19.0 Supporting Non-Participant Student-Athletes](#)
- [20.0 Student-Athlete Focus Groups and Surveys](#)
- [21.0 Ongoing Review & Improvement of Processes](#)

**EXHIBIT II**  
**Faculty Athletics Representative**  
**Position Descriptions**

**The University of North Carolina at Chapel Hill**

**NCAA, ACC, and UNC-CH Statements Regarding the Faculty Athletics Representative**

The NCAA's Constitution 6.1.3 requires that each member institution designate an individual to serve as the faculty athletics representative (FAR). This individual "shall be a member of the institution's faculty or an administrator who holds faculty rank and shall not hold an administrative or other coaching position in the athletics department." This same provision states that the FAR's duties "shall be determined by the member institution."

The Atlantic Coast Conference (ACC) Constitution, Article V. provides that each institution's voting delegate to the ACC "shall be the representative of the member institution, appointed by the president, or by the duly constituted authority of the institution, and shall be a regular full-time member of the faculty at the time of appointment or an administrative officer in that institution. The voting delegate shall be one whose primary duty is not in athletics."

Section 3-4 of the University of North Carolina at Chapel Hill Faculty Code provides:

The faculty athletics representative is appointed by the chancellor from among the voting faculty for an indefinite term, subject to formal review at least every five years. In making an appointment to this position or reviewing the incumbent, the chancellor follows a process established with the advice and consent of the Advisory Committee. The faculty athletics representative is the University's voting delegate to the Atlantic Coast Conference and the University's faculty representative within the National Collegiate Athletic Association. He or she makes an annual report to the Faculty Council and makes special reports to the Council from time to time as may be requested by the Agenda Committee.

**Duties and Activities of the Faculty Athletics Representative**

The general duties of the FAR are to serve as an advisor to the Chancellor and the Director of Athletics and as a liaison to the faculty, help ensure academic integrity and compliance with ACC and NCAA rules, and assist in promoting a positive student-athlete experience at the University. The FAR also represents the University within the ACC and participates in NCAA committees as requested. The specific duties and activities of the FAR at the University of North Carolina at Chapel Hill include the following:

1. Make an annual report to the Faculty Council and special reports as may be requested by the Agenda Committee.
2. Serve as a member of the Faculty Athletics Committee (*ex officio* if not an elected member).
  - a. Serve as the secretary for the Faculty Athletics Committee.
  - b. Participate in exit interviews of senior student-athletes (with members of the Faculty Athletics Committee and senior administrators from the Department of Athletics).
3. Chair the Athletic Council.

4. Serve as an *ex officio* member of the Educational Foundation Executive Board.
5. Serve as an *ex officio* member of the Admissions Subcommittee of the Advisory Committee on Undergraduate Admissions.
6. Serve as an *ex officio* member of the Licensing Labor Code Advisory Committee.
7. Meet regularly with the Student-Athlete Advisory Committee.
8. Serve on the committee that annually reviews the Department of Athletics' Drug Testing Policy for Student-Athletes.
9. Serve as the chair of the appeals committee on student-athlete transfers.
10. Participate on Department of Athletics search committees, interview candidates, or consult on selection criteria as requested by the Chancellor and the Director of Athletics.
11. Participate in the Division 1-A FAR group, as appropriate.
12. Monitor the academic progress of student-athletes
  - a. Provide reports to the Faculty Athletics Committee and Faculty Council on the Academic Progress Rate (APR) and Graduation Success Rate (GSR) of student-athletes, including comparisons with results at other institutions.
  - b. Participate in the meetings with head coaches in which academic progress and the metrics related to it are reviewed.
13. Confer with the Director and staff of the Academic Support Center for Student-Athletes.
14. Support the University's compliance program regarding NCAA regulations.
15. Administer the NCAA test on recruiting legislation to all coaches.
16. Review and approve in conjunction with the Chancellor and/or the Director of Athletics institutional requests for waivers of ACC and NCAA rules.
17. Be advised of and review the summary of secondary violations and selected cases, as appropriate.
18. Participate in on-campus investigations of possible infractions of NCAA or ACC rules.
19. Assist in reviewing any major institutional inquiry into alleged or suspected rules violation and in the preparation of any major infraction reports submitted to the NCAA or ACC.
20. Represent the University in meetings of the Atlantic Coast Conference.
21. Evaluate and help formulate the institution's position on legislative proposals before the ACC and NCAA.
22. Serve on ACC and NCAA committees as requested and appropriate.
23. Participate in the periodic ACC Compliance Reviews.
24. Participate in the periodic NCAA Certification Process.
25. Help coordinate the application process for NCAA and ACC postgraduate scholarships and assist in the selection of nominees for other academic and athletic awards, including the Patterson Medal.
26. Participate in student-athlete activities, including orientation and the all-sports banquet.
27. Participate in other activities as requested or needed.

Approved by Chancellor Holden Thorp: September 14, 2011

**EXHIBIT III**  
**The University of North Carolina at Chapel Hill**  
**Report of the Faculty Athletics Representative for 2016-17**  
**Faculty Council**  
**October 13, 2017**

My annual report as the faculty athletics representative (FAR) accompanies the annual report of the Faculty Athletics Committee (FAC).

The general duties of the FAR at UNC are, pursuant to a position description approved by the Chancellor in September 2011, to serve as an advisor to the Chancellor and the Director of Athletics, and as a liaison to the faculty. Areas of focus include the academic success and academic integrity of student-athletes, compliance with ACC and NCAA rules, and a positive student-athlete experience. I also help represent the University at the ACC and participate in NCAA activities.

My regular duties and activities as the FAR include the following:

- o Monthly meetings with the Chancellor;
- o Monthly meetings with the Athletics Director;
- o Several meetings each semester with the Director of the Academic Support Program for Student-Athletes (ASPSA), often with the Senior Associate Dean for Undergraduate Education Abigail Panter;
- o Attend monthly head coaches meetings;
- o Attend monthly meetings of the Student-Athlete Advisory Council (SAAC);
- o Ex officio member and secretary of FAC (meets monthly during the academic year) and prepared onboarding document for and met with new FAC members and new Faculty Chair;
- o Ex officio member of the Educational Foundation Executive Board (meets quarterly);
- o Ex officio member of the Faculty Advisory Committee to the Academic Support Program for Student-Athletes (ASPSA) (meets 5 times per year);
- o Ex officio member of the Committee on Special Talent of the Advisory Committee on Undergraduate Admissions (meets as needed, approximately 6 times per year);
- o Ex officio member of the Process Review Group, the successor to the Student-Athlete Academic Initiative Working Group (meets 4 or 5 times per year);
- o Ex officio member of the Athletic Department's Title IX Review Committee (began work in spring 2016 with report to be finalized soon);
- o Ex officio member of the Licensing Labor Code Advisory Committee (meets as needed; did not meet in 2015-16 or 2016-17);
- o Attend the meetings of CARE (Compliance, Academics, Registrar, Engagement) (meets monthly during the academic year);
- o Chair the Athletic Council (meets once or twice each year);
- o Monitor the academic progress of student-athletes, report to the FAC data on the Academic Progress Rate (APR) and Graduation Success Rate (GSR) of our student-athletes, and consult on plans for improvement (a chart is attached showing a sample of this data over time and in comparison with other institutions);
- o Attend numerous athletic contests and other student-athlete events, including Heel Camp (student-athlete annual orientation), the Baddour Leadership Academy recognition dinner, the Student-Athlete Scholarship luncheon, and Scholarship donor dinners;

- o Serve on the Awards Committee that coordinates the application process for NCAA and ACC postgraduate scholarship awards, assists in the selection of nominees for other academic or service awards, and plans and coordinates the Student-Athlete Scholarship Luncheon (meets 2 to 4 times a year);
- o Serve on the group that reviews the uses and guidelines for the Student Assistance Fund (meets 1 time per year);
- o Serve on the committee that annually reviews the Department of Athletics' Drug Testing Policy for Student-Athletes (meets 1 time per year);
- o Serve on search committees or interview candidates for various positions in the Athletics Department and ASPSA;
- o Review, with the Registrar, the Senior Associate Dean for Undergraduate Education in the College of Arts and Sciences, and two members of FAC student-athlete enrollment and grade patterns;
- o Support the university's compliance program regarding NCAA regulations;
- o Participate in investigations of potential NCAA rules violations;
- o Review and approve in conjunction with the Chancellor and/or the Director of Athletics institutional requests for waivers of ACC and NCAA rules;
- o Be advised of and review secondary violations of NCAA rules;
- o Administer the NCAA test on recruiting to all coaches annually;
- o Evaluate NCAA legislative proposals and participate in ACC discussions;
- o Represent the university in meetings of the ACC (as described more fully below).

Within the ACC, the chancellor/president, the director of athletics, the senior woman administrator, and the faculty athletics representative of each member school have the primary governance and operating responsibility. Conference by-laws direct that unless the chief executive officer is present, the faculty athletics representative shall be the voting delegate for the institution. I assist in advising the Chancellor before the ACC Presidents/Chancellors meetings which occur two times per year. As FAR, I participate in regular conference meetings in October, December, February, May, and in any specific committee assignments. In 2016-17, I served on the ACC Finance Committee, the Investment Committee, the Audit Subcommittee, the Constitution and By-Laws Committee, the Nominating Committee, the Television Committee (ex officio), and the Awards Committee. I also served as the ACC's President for 2016-17.

At the national level, I attended the Division I-A FAR Annual Conference in September 2016 and September 2017 and the NCAA National Convention in January 2017. I assist in reviewing and commenting on proposed legislation at the Division I level and the "autonomy" legislation for the Power Five Athletic Conferences. I participate in other activities as requested or needed. In 2016-17, I spent a great deal of time assisting in the preparation and review of the University's response to the NCAA investigation into academic issues. This included written responses and preparation for two different hearings before the NCAA's Committee on Infractions – October 28, 2016 (limited to certain procedural issues) and August 16-17, 2017.

I have attached some publicly available data regarding academic performance of student-athletes. This data is regularly reviewed by the Faculty Athletics Committee.

Appendix 1 (p. 4) shows a chart I prepared from the NCAA websites listed following the chart. I choose to present the results from only 4 of our 28 intercollegiate athletic teams, focusing on some of the teams that might be in the public eye, but the full source material for these charts for 2015-16 are also attached if you desire more information about particular teams. It is important to note that the information presented in the charts on this page and in the NCAA reports that follow is only for student-athletes who received athletics aid in their first year of enrollment.

Appendix 2 (p. 6) presents the Graduation Success Rate and Federal Graduation Rate information for each team. The 2015-16 data is based on a 4-year average for the cohorts entering in 2006, 2007, 2008, and 2009 and based on six years to graduation.

Appendix 3 (p. 7) presents more detailed information with breakdowns by race/ethnicity, gender, and by team.

Appendix 4 (p. 12) presents the Academic Progress Rate information by team.

Appendix 5 (p. 15) is the list of UNC student-athletes named to the ACC Honor Roll for 2016-17, a record number.

Please feel free to contact me or the FAC Chair, Dr. Daryhl Johnson, with any comments or concerns.

Lissa Broome  
Burton Craige Distinguished Professor, School of Law  
Faculty Athletics Representative  
[lbroome@email.unc.edu](mailto:lbroome@email.unc.edu); 919-962-7066  
[FAR@unc.edu](mailto:FAR@unc.edu)

*EXHIBIT III continues on the following page with Northwestern University's FAR responsibilities.*

**Northwestern University**  
**Faculty Athletics Representative--Description of Responsibilities**

At Northwestern, as is stated in the *Presidential Directive on Self-Regulation of Intercollegiate Athletics*, success in intercollegiate athletics is inextricably linked to the educational mission of the University, especially with regard to the academic and personal development of student-athletes and the institution's commitment to honoring the highest standards of amateur competition. A central task of Northwestern's Faculty Athletics Representative is to help the University achieve success in these terms. The Faculty Athletics Representative works with the President, the Director of Athletics, and the University Committee on Athletics and Recreation to safeguard the integrity of the intercollegiate athletics program and to ensure the compatibility of its aims with the broader aims of the University. The Faculty Athletics Representative reports to the President.

The Faculty Athletics Representative represents Northwestern to the NCAA and the Big Ten Conference. In this role, the Faculty Athletics Representative (along with the President, the Director of Athletics, and the Senior Women's Athletics Administrator) represents Northwestern in NCAA and Big Ten meetings and participates with representatives from other institutions in conference-level governance activities. The Faculty Athletics Representative also represents the University in discussions or actions regarding proposed NCAA and Big Ten legislation, consulting with the President, the University Committee on Athletics and Recreation, the Director of Athletics, the Student-Athlete Advisory Council, and other members of the University community who may be affected by particular legislation under consideration.

On campus, the Faculty Athletics Representative plays a key role in monitoring Northwestern student-athletes' academic experience and performance. The Faculty Athletics Representative also helps to oversee the University's compliance with NCAA, Big Ten, and institutional regulations, and participates in the University's governance system for assuring institutional control of its athletics programs.

The Faculty Athletics Representative's responsibilities are summarized below. These responsibilities are consistent with those outlined in *The NCAA Faculty Athletics Representative Handbook*.

**The Faculty Athletics Representative**

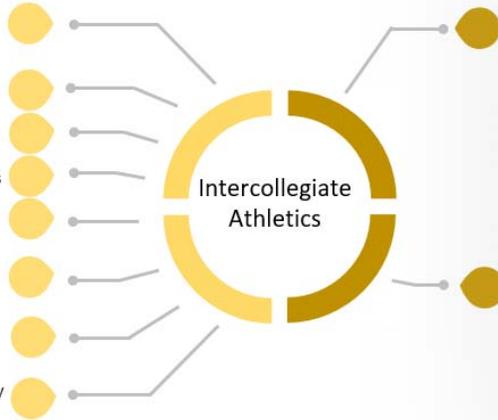
- represents Northwestern to the Big Ten Conference and the NCAA.
- advises the University President on matters pertaining to intercollegiate athletics.
- serves as a member (*ex officio*) of the University Committee on Athletics and Recreation and provides regular reports and updates at Committee meetings.
- ensures that student-athletes meet NCAA, Big Ten, and Northwestern requirements for initial and continuing eligibility.
- reviews quarterly reports on student-athletes' academic performance.
- monitors institutional compliance activities that involve campus entities outside the athletics department (e.g., certification of eligibility by the Registrar).
- participates in investigations of possible rules violations and reviews all reports of rules violations.
- interacts regularly with student-athletes (e.g., attends meetings of the Northwestern Student Athlete Advisory Council (SAAC)).

### Faculty Athletics Representative (FAR)

Represents faculty perspectives in the governance of intercollegiate athletics

### Provost

- Oversees academic integrity of the program
  - including eligibility, recruiting and student-athlete academic performance and support
- Advocates for student-athletes outside of the Athletic Program
- Investigates and reports violations to the NCAA/SEC
- Approves team beginning and end of year rosters and schedules
- Approves waivers, accommodations, and reinstatements for student-athletes
- Nominates student-athletes for NCAA/SEC postgraduate scholarship awards
- Attends annual FAR meetings
  - Serves on SEC Scholarship selection committee with other FARs
- Participates in Athletics committee meetings, including Eligibility Oversight, and on searches for athletic department administrators and head coaches



Responsible for management of the SEC Faculty Achievement Awards program

Will appoint SEC Academic Leadership Development Program Liaison

**EXHIBIT IV**  
**University Committee on Athletics**  
**Charge and 2017-2018 Roster**

**Charge:**

The University Athletics Committee will be responsible for:

- providing periodic advice and counsel to university leaders on current and emerging policy issues relating to intercollegiate athletics
- at the request of university leaders, helping to design and refine specific university policies at the intersection of academic and athletic concerns
- helping to establish policies, guidelines, and networks to facilitate student-athletes' recruitment, success, and integration into the university community
- maintaining an advisory relationship with the university's official Faculty Athletics Representative
- serving as an informal voice on athletics issues for university faculty, staff, students, and alumni

Except as specifically requested by university leaders, the committee is not formally responsible for:

- overseeing or evaluating intercollegiate athletics programs and staff,
- overseeing or evaluating recreational sports programs and facilities,
- helping recruit or evaluate prospective student-athletes for the university.

**Reports to:** Vice Chancellor for Athletics and University Affairs and Director of Athletics

**CATEGORY: Administrative/Ex Officio**

David Williams, Vice Chancellor for Athletics and University Affairs and Director of Athletics  
 Susan Wentz, Provost and Vice Chancellor for Academic Affairs OR Faculty Athletics Representative

**CATEGORY: Faculty (eight required; to include at least one faculty member from Peabody College—serve three year terms)**

NAME	DEPARTMENT/SCHOOL	TERM EXP.	Email addresses
Ann Price, Chair	Medicine	2019	<a href="mailto:ann.price@Vanderbilt.Edu">ann.price@Vanderbilt.Edu</a>
Sharon Shields	Peabody	2018	<a href="mailto:sharon.l.shields@Vanderbilt.Edu">sharon.l.shields@Vanderbilt.Edu</a>
Jay Clayton	A&S, English	2019	<a href="mailto:jay.clayton@Vanderbilt.Edu">jay.clayton@Vanderbilt.Edu</a>
Rolanda Johnson	Nursing	2019	<a href="mailto:rolanda.johnson@Vanderbilt.Edu">rolanda.johnson@Vanderbilt.Edu</a>
Sal March	Owen	2019	<a href="mailto:salvatore.t.march@Vanderbilt.Edu">salvatore.t.march@Vanderbilt.Edu</a>
Laurel Schneider	A&S, Religious Studies	2019	<a href="mailto:laurel.c.schneider@vanderbilt.edu">laurel.c.schneider@vanderbilt.edu</a>
Gregory Barz	Blair	2020	<a href="mailto:gregory.barz@vanderbilt.edu">gregory.barz@vanderbilt.edu</a>
Amanda Rose	Law	2020	<a href="mailto:amanda.rose@Law.Vanderbilt.Edu">amanda.rose@Law.Vanderbilt.Edu</a>

**CATEGORY: Students (three required—serve one year term)**

NAME	DEPARTMENT/SCHOOL	TERM EXP.	Email addresses
Navin Balaji	Undergraduate	2018	<a href="mailto:navin.c.balaji@vanderbilt.edu">navin.c.balaji@vanderbilt.edu</a>

Heather Haynes	Undergraduate	2018	<a href="mailto:heather.haynes@vanderbilt.edu">heather.haynes@vanderbilt.edu</a>
Mackenzie Sundin	Undergraduate	2018	<a href="mailto:mackenzie.e.sundin@vanderbilt.edu">mackenzie.e.sundin@vanderbilt.edu</a>

**CATEGORY: Staff (three required—serve 3 year term)**

NAME	DEPARTMENT/SCHOOL	TERM EXP.	Email addresses
Kenneth Brown	Economics Dept.	2018	<a href="mailto:Kenneth.l.brown@vanderbilt.edu">Kenneth.l.brown@vanderbilt.edu</a>
Katherine Anderson	Health Sci Edu office	2019	<a href="mailto:katherine.m.anderson@vanderbilt.edu">katherine.m.anderson@vanderbilt.edu</a>
Vickie Latham	A&S Dean's office	2019	<a href="mailto:vickie.latham@Vanderbilt.Edu">vickie.latham@Vanderbilt.Edu</a>

**CATEGORY: Alumni (two required)**

NAME	DEPARTMENT/SCHOOL	TERM EXP.	Email addresses
John Stein	Alumnus	2018	<a href="mailto:bigskyjfs@gmail.com">bigskyjfs@gmail.com</a>
James Threalkill	Alumnus	2018	<a href="mailto:threal89@gmail.com">threal89@gmail.com</a>

**EXHIBIT V**  
**Roles of the Faculty Athletics Representative and the Chair of the Athletics Council  
in appendix II, Duke University's *Athletics Policy Manual***

With the creation of a separate position of the Chair of the Athletic Council (CAC), the duties of the Faculty Athletics Representative (FAR) have changed. In this document the major responsibilities of the two positions are detailed. Both positions retain the need to interact broadly within and outside the Athletic Department, and to provide advice and information to various entities. The CAC largely reports to the faculty and the Academic Council (and ECAC); the FAR to the President. In the role as Chair of the Academic Subcommittee of the Council, the CAC also reports to the Provost. The Athletic Director and others in the Athletic Department should feel free to call on either or both representatives for advice from a faculty member's perspective, although the FAR retains a more formal relation with the Athletic Director as Duke's representative to the ACC. Below is an informal summary of the responsibilities, however as these positions evolve these duties are expected to evolve.

In addition to these general roles, the duties of the positions include:

**Chair of the Athletic Council (CAC)**

The athletic council and its business is largely the responsibility of the CAC, however the FAR will chair the Compliance Committee, and be responsible for activities relating to that committee. General breakdown of duties are:

- Organizes meetings, sets agendas, and assists the President in appointment of members to the Athletic Council (CAC)
- Organizes and chairs meetings of the academic committee (CAC)
- Manages the Athletic Policy Manual – reviews for necessary changes, provides reports on appropriate changes to the President and Board of Trustees (who are authorized to actually make the changes). (CAC)
- Prepares formal reports of council activities to the President (overall) and Provost (academic subcommittee). (CAC)
- Reports as necessary to ECAC and Academic Council. (CAC)
- Communicates with Provost, academic deans and director of admissions on regular basis to discuss issues of student athlete admission, progress and integration into community. (primarily CAC, but also FAR)
- Participates in reports to the Board of Trustees as deemed necessary by the President (CAC & FAR).
- Serves on major search committees involving athletic department personnel. (FAR & CAC as appropriate)
- Works intensively on NCAA certification (equivalent to major accreditation effort; once every 10 years). (FAR & CAC)
- Receives “student athlete misconduct reports” from the Compliance Office (FAR & CAC)
- Conducts interviews of current athletes, faculty members and academic and athletic administrators to assess academic programs and student welfare (CAC, FAR and Academic Subcommittee)
- Conducts annual exit interviews of graduating student athletes (FAR, CAC and Academic Subcommittee).

- Meets with President and senior officers at times when major policy issues regarding athletics are on the table. (FAR & CAC as appropriate)
- Meets on regular basis with President for discussion of variety of athletic issues.
- Available for advice at any time. (CAC and FAR)
- Serves on various ad hoc committees involving athletic issues (CAC and FAR as appropriate)

#### **Formal on-campus duties of FAR**

- A number of activities are appropriately shared between the CAC and FAR, and many of these are listed above.
- Is responsible for formal student athlete appeals as defined in the Athletic Policy Manual (FAR)
- Participates in annual exit interviews of graduating student athletes (FAR, CAC and Academic Subcommittee).
- Nominates student athletes for scholarships and honorary awards (conference and NCAA). (FAR)
- Formally oversees NCAA eligibility certification process (eligibility certification performed by the Registrar). (FAR)
- Organizes and chairs meetings of the Compliance Subcommittee (FAR)
- Is involved in various appeals of ACC or NCAA regulations when necessary. (FAR)
- Audits violations and Duke's responses to violations. (FAR)

#### **Representation of Duke at the ACC and other organizations (largely the FAR).**

- Attends meetings of the conference. (FAR)
- Reviews all legislation, and makes recommendations for Duke's and the ACC's voting position. (FAR in consultation with various constituencies)
- Serves as an officer of the ACC following normal rotation. (FAR)
- Serves on misc. ACC committees. (FAR)
- On occasion represents Duke and/or the ACC at the NCAA and FARA conventions. (FAR)
- Participates in other national organizations regarding athletics. (FAR & CAC)
- May represent the conference on a major NCAA committee. (FAR)

#### **Performs certain tasks assigned by the conference and NCAA (FAR)**

- Administers NCAA recruitment regulation test to all coaches on an annual basis (FAR and CAC as necessary).
- Signs off on/certifies variety of paperwork (FAR).
- Administers NCAA sponsored surveys (FAR).

#### **President's/faculty's eye/representative in athletics (Both CAC and FAR)**

These are less formal responsibilities, but are activities that will enhance both the CAC and FAR to perform their job better. They are best defined as shared/joint responsibilities of these two positions.

- Is an active participant in the activities of the athletic department on behalf of the academic side of the University
- Serves as an advisor to the Director of Athletics (formally FAR)

- Establishes and maintains strong relationships with senior athletic department staff and coaches of major teams.
- Is in frequent communication with directors of compliance and academic support.
- Serves on search committees and/or interviews candidates for head coaching positions.
- Maintains a sufficient presence so that individuals in the athletic department would feel comfortable contacting the individual for advice.
- Attend a variety of athletic events (sporting and social) to become a familiar, supportive presence to coaches, staff and to what extent possible student-athletes.
- On occasion travels with teams to gain closer relation with coaching staff and students, and also assess demands on student time/energy.
- Becomes familiar with individuals involved in athletic fundraising.
- Works as possible with the student athlete advisory committee.
- Communicates regularly with academic support services to monitor athlete progress and available support services.

**EXHIBIT VI**  
**University of North Carolina at Chapel Hill Athletics Committee**

**Charge and Responsibilities**

“The committee informs and represents the faculty and advises the chancellor on any aspect of athletics, including, but not limited to, the academic and broader University experience for varsity student athletes and the general conduct and operation of the University’s athletic program. [Amended 2/19/16]” ([Faculty Code § 4-7\[b\]](#))

Each committee member selects or is assigned to one of four topic areas on which he or she is to become the topic expert and lead discussions at athletics committee meetings. The topic areas and additional expectations for each topic area are set forth below.

***Advising***

- Participate on the Advisory Committee to the Academic Support Program for Student-Athletes
- Serve as the liaison with the University’s Undergraduate Academic Advising Program
- Coordinate with the Process Review Group on the processes related to the student-athlete experience.

***Admissions***

- Serve as the liaison with the University’s Undergraduate Admission Committee and the Committee on Special Talent
- Coordinate with the Process Review Group on the processes related to the student-athlete experience.

***Academics***

- Participate in the every semester review of class clustering and the annual review of student-athlete majors (in conjunction with the FAR, the registrar, and the Associate Dean for Undergraduate Education)
- Coordinate with the Process Review Group on the processes related to the student-athlete experience.

***Student-Athlete Experience***

- Organize the annual SAAC focus group discussions
- Coordinate with the Process Review Group on the processes related to the student-athlete experience.

Each FAC member is also assigned two or three teams for which he or she serves as the athletics committee liaison along with one other committee member. The team liaisons are expected to meet with coaches, academic counselors, and students on the team to gain an understanding of the culture and specific logistics and responsibilities associated with that team. Committee members are also invited to attend SAAC meetings.

**Composition of Committee**

12 faculty members, each of whom serves a three-year term and elected by the voting faculty. The FAR is an ex officio, voting member if not otherwise an elected member of the committee.

**Selection of Voting Committee Members**

The three-year committee member terms are staggered, so each year three members are elected by the voting faculty of the University. The FAR (also a voting member of the committee) is appointed by the Chancellor and subject to a review every five-years.

**Term**

The term is for three years. Two consecutive terms are permitted.

**Others Who Regularly Attend Meetings**

The Chancellor, the Athletics Director, the Senior Associate Athletics Director, the Director of the Academic Support Program for Student-Athletes, and two student-athletes who are members of the Student-Athlete Advisory Council.

**Role of FAR on the Committee**

The FAR is an ex officio, voting member of the Committee. The FAR also serves as the recording secretary. The FAR prepares a monthly written report to the committee highlighting NCAA and ACC activities and usually reports on and solicits feedback on some items at each meeting.

**Selection of Chair**

The chair is selected from the athletics committee voting members by their vote. The chair is selected annually.

**Number of Meetings Per Year**

Monthly during the academic year. The committee has occasionally held half-day retreats in May, June, or August.

**How Does the Committee Fit into Your University's Faculty Governance Structure?**

The committee is one of a number of elected committees of the faculty that reports to the faculty senate.

**EXHIBIT VII**  
**Northwestern University**  
**President's Directive on Intercollegiate Athletics**  
**October 2016**

**I. Institutional Purpose and Athletic Philosophy**

The mission of Northwestern University is to pursue the highest order of excellence in its academic and professional programs. Special emphasis is given to quality undergraduate education, research committed to institutional leadership in scientific discovery, intellectual inquiry, and creative performance, as well as a commitment to serve society through teaching and research.

Northwestern excels among private American research universities in providing a rich array of programs in all its undergraduate schools. Its talented and highly diverse student body enters with a broad range of interests and backgrounds. As both the talent and the diversity of undergraduate students increase, Northwestern undergraduates should enjoy such common experiences as a sense of responsibility for the ownership of their education, the opportunity to work closely with faculty, the mastery of core competencies, an appreciation of the social, academic, or artistic context in which various disciplines function, and the development of the intellectual and artistic passion that defines a liberally educated person.

Intercollegiate athletics has long been an integral part of Northwestern University life. The success of the athletic program both on and off the field is inextricably linked to the educational mission of the University, especially with regard to the academic and personal development of student-athletes and the institution's commitment to honoring the highest standards of amateur competition. It is not measured solely by wins and losses.

The well-being of its student-athletes is an integral part of what constitutes success. A truly effective athletic program produces student-athletes who succeed in their academic work as well as in their chosen sport and whose careers after graduation are a tribute both to them and their university. As part of the educational mission of the University, the athletic program should provide student-athletes with the opportunity to exercise leadership, to develop the ability to work with others as a team, to accept the discipline of sustained practice and training, and to realize the value of good sportsmanship.

Observance of rules and awareness of policies are integral to the success of a program. It is the responsibility of the University administration and the Department of Athletics and Recreation to adhere to all regulations promulgated for the governance of intercollegiate athletics by the Big Ten Conference, the NCAA, and other groups to which the University belongs. Specifically, Northwestern policies and practices regarding institutional governance and control of intercollegiate athletics are consistent with the May 2015 Big Ten Conference Standards. Beyond these controls, and in the interest of its student-athletes, Northwestern has adopted procedures, guidelines, and policies that are more stringent than those for which it is held accountable externally. The University administration and the Department of Athletics and Recreation are equally responsible for observing these internal standards.

The joining of academic experience with athletic experience is the guiding principle behind Northwestern's participation in Division I athletics. To accomplish this goal, Northwestern University offers its student-athletes a comprehensive system of services and resources, including excellent athletic and recreational facilities, high-quality coaching, academic counseling and assistance, first-rate medical care, and highly competitive athletic programs.

Therefore, on the recommendation of the Committee on Athletics and Recreation, the following instructions have been issued by the president to guide the University administration, the Department of Athletics and Recreation, and other administrative units of the University in the oversight of its intercollegiate athletic programs.

## **II. Student-Athlete Well-Being and Educational Experience**

### ***Recruiting***

It is the responsibility of the Department of Athletics and Recreation to develop booster educational materials outlining the philosophy and mechanics of a program to recruit student-athletes to Northwestern University. These materials will be reviewed regularly by the Committee on Athletics and Recreation and the president of the University or his/her representative. All individuals who qualify as "representatives of our athletic interests" must receive copies.

The vice president for athletics and recreation is responsible for ensuring that files are maintained on all prospective student-athletes who are recruited in accordance with NCAA guidelines. These files are to include information on off-campus contacts evaluations by University personnel, on-campus visits (official and unofficial), and admissions materials. Furthermore, all expenses associated with the recruitment of prospective student-athletes will be subject to review the Athletics Compliance Office.

It is the responsibility of each coach to know and abide by all rules, to understand thoroughly the University's philosophy on intercollegiate athletics, to articulate that philosophy, and to become familiar with the academic programs of the University. Each coach must understand the sporting-like behavior regulations of the NCAA and the Big Ten Conference and, in particular, its prohibition of negative recruiting. In addition, each coach must accurately represent both the athletic and academic programs of the University. To do so, each coach will include academic information in communications with all prospective student-athletes early in the recruiting process. The Presidential Directive will be available to all prospective student-athletes in the recruiting section of the athletics department website.

### ***Admission***

All formal contact between the Department of Athletics and Recreation and the Office of Undergraduate Admission and the University Registrar will be through individuals designated by the vice president for athletics and recreation. Coaches, assistant coaches, and other department

staff will not deal directly with either of these offices but will transmit materials through the appointed liaisons.

Responsibility for decisions regarding undergraduate admission has been delegated by the faculties to the associate provost for enrollment management, who relies on the dean of undergraduate admission and his/her staff. Appeal of decisions by the dean of undergraduate admission concerning any potential student-athlete may be made only to the provost. All members of the staff of the Department of Athletics and Recreation who recruit student-athletes must understand the admission policy standards of the University.

The Department of Athletics and Recreation may present unofficial copies of high school transcripts and test scores to the dean of undergraduate admission for a preliminary admission evaluation for recruiting purposes. Before an admission decision is rendered, an official transcript (secondary school and/or college) must be forwarded directly to the Office of Undergraduate Admission along with the admission application. Such transcripts must come from the school and/or college responsible for processing transcripts. If these documents are sent to the Department of Athletics and Recreation, they must be official and sealed when delivered to the Office of Undergraduate Admission.

The transcripts of transfer students and transcripts validating any summer session work taken at other institutions by student-athletes will be subject to review by the University Registrar's Office and also may be subject to review by the faculty athletic representative.

Determination of eligibility of transfer students for participation in athletic practice and/or receipt of financial aid is contingent on the following steps:

1. Completion of a credit evaluation by the University Registrar.
2. Determination of admissibility by the dean of undergraduate admission. Materials submitted at this time must include a completed student-athlete admissibility form, attached credit evaluation and all necessary admissions materials.
3. A written summary of the prospective student-athlete's eligibility status both at the time of admission and projected over his/her time of enrollment at Northwestern will be provided by the University Registrar and distributed to the prospective student-athlete and the coach and is filed with the Compliance Office.

### ***Financial Aid***

It is the policy of Northwestern University that an individual who is offered and accepts athletically related financial aid will continue to receive such support provided that he or she continues to be a team member and continues to make normal progress towards graduation as defined by the University and the Big Ten Conference. A student-athlete whose athletic grant-in-aid has been reduced or canceled is entitled to an appeals hearing, as designated by NCAA, Big Ten, and University financial aid regulations.

All decisions regarding the packaging of financial aid for student-athletes will be made by the director of financial aid or his/her official representative. At the beginning of the academic year, all student-athletes must submit a written statement listing any commitments that have been

made to them for any forms of financial assistance and summer jobs other than that contained in their financial aid packages.

### ***Academic Advising and Assistance for Intercollegiate Athletes***

The University will provide academic advising to all student-athletes. Academic advising is the shared responsibility of the faculty, the undergraduate deans' offices, and the designated academic advisor in the Department of Athletics and Recreation. Each student-athlete must be assigned a faculty academic advisor in accordance with the general policies of the undergraduate school in which the student-athlete is enrolled.

While decisions regarding course programs and individual course choices are the sole prerogative of the student-athlete, the athletic academic advisor and faculty advisor of the undergraduate dean's office should be involved in all aspects of the academic advising process. The athletic academic advisor is responsible for ensuring that student-athletes consult faculty advisors on a regular basis and may not assume the sole responsibility for advising student-athletes.

In all cases involving a student-athlete's eligibility or normal progress towards a degree, the athletic academic advisor must be consulted, but the final decision regarding a student-athlete's academic program rests with the student-athlete in consultation with the faculty advisor or the dean's office involved.

All schedules of competition in intercollegiate athletic events are subject to the approval of the Committee on Athletics and Recreation. Competition must be arranged so as to provide minimal interference with academic commitments. Northwestern expects coaches to allow occasional absences from practice for valid academic reasons.

There will be no in-season competition during any final examination week without the approval of the Committee on Athletics and Recreation. Any postseason competition that interferes with a student-athlete's final examination schedule must also have the approval of the Committee on Athletics and Recreation or its designated subcommittee on scheduling. Coaches should also be sensitive to the academic demands of midterms.

The Committee on Athletics and Recreation is also responsible for reviewing the effects of intercollegiate practices and competitions on the academic performance of student-athletes and for reviewing the Department of Athletics and Recreation's academic assistance program for student-athletes.

The associate athletic director for academic services and student development will maintain files that will be subject to review by the faculty athletics representative, the Committee on Athletics and Recreation, the vice president for student affairs, the president, or the president's designee. These files will include information about tutoring activities, eligibility statistics, graduation statistics, and a team-by-team summary of grade point averages. They will also describe steps taken to improve the academic performance of student-athletes both in general and in specific cases.

### ***Certification of Eligibility***

Certification and monitoring of athletic eligibility involves a variety of individuals and a wide range of rules and considerations. Given the inherent complexity of these matters, the University has developed a set of guidelines designed to facilitate the certification and monitoring of eligibility for student-athletes. These guidelines also define the roles and responsibilities of the University Registrar, athletic staff, academic deans, and the faculty athletic representative. These guidelines must be updated whenever changes in NCAA, Big Ten, or University regulations alter existing eligibility rules, procedures, or policies. Final approval and responsibility for updating these guidelines rest with the vice president for athletics and recreation, the faculty athletics representative, and the president.

All records of student-athletes are to be flagged in the University database. Full-time enrollment reports based on information in the University database will be reviewed regularly by the associate athletic director for academic services and student development. One copy of the required forms certifying eligibility to the Big Ten Conference and one copy of the internal forms verifying the data used on such certification will be filed with the University Registrar at the time of submission to the Big Ten office.

### ***Academic Progress***

In order for a student-athlete to graduate from Northwestern University within four academic years, he or she must make progress towards a degree at a faster rate than the minimum required for athletic eligibility by the NCAA and the Big Ten Conference. The associate athletic director for academic services and student development is responsible for monitoring the academic progress of student-athletes on both a quarterly and yearly basis. While every effort must be made to give every student-athlete the opportunity to graduate from Northwestern in four academic years, the University recognizes that in some cases this is not possible. Under such circumstances, the University is fully committed to financial support of such student-athletes during their fifth year.

### ***Health and Safety of Student-Athletes***

Northwestern is deeply concerned with both the short- and long-term effects of intercollegiate competition on the well-being of student-athletes. The head team physician, who is responsible for the quality of medical care of student-athletes, reports directly to the executive director of University Health Services. In all matters bearing on the healthcare of student-athletes, an approach taking into account the entire person, rather than only his or her medical and/or psychological diagnosis will be emphasized.

The head team physician will have authority for the return to practice and/or competition of any student-athlete who has been limited from participation by injury or illness. The head team physician will also directly supervise the athletic training staff and all ancillary healthcare providers regarding medical decisions and treatments pertaining to student-athletes. This administrative structure provides independent medical care and affirms the unchallengeable

autonomous authority of primary athletics health care providers (team physicians and athletic trainers) to determine medical management and return-to-play decisions related to student-athletes. Further, this structure ensures that no coach serve as the primary supervisor for any medical provider, nor have hiring, retention, and dismissal authority over that provider. The psychological care of student-athletes, just as with all students, is the responsibility of Counseling and Psychological Services (CAPS). CAPS psychologists and psychiatrists report to the executive director of CAPS, and provide both mental health care and performance psychology services for student-athletes. The CAPS sport psychology team will collaborate closely with the head team physician and other healthcare providers to ensure care of the whole person.

Both University Health Services and Counseling and Psychological Services report to the vice president for student affairs.

All coaches must conduct their programs in such a way as to maximize the well-being of their student-athletes, and coaches will be provided with appropriate education and feedback from intercollegiate and health service sports medicine services and CAPS in order to do so. Opportunities for student-athletes to enhance their performance and well-being will be provided by therapeutic and educational resources through both University Health Services and Counseling and Psychological Services.

Northwestern's concern for the well-being of its student-athletes includes opposition to the use of all illegal and NCAA-banned chemical substances as well as support for the Big Ten and NCAA drug testing programs. The vice president for athletics and recreation will, in consultation with the head team physician, provide a written statement outlining the athletic department, NCAA, and Big Ten Conference policies on such chemical substances to all student-athletes, coaches, and department staff on an annual basis.

The head team physician will provide an annual report to the president of the University furnishing data on athletic-related injuries and sanctions related to alcohol/drug incidents and positive drug screens incurred during the previous year.

### ***Senior Exit Interviews and Student Evaluations***

The Committee on Athletics and Recreation reviews student-athlete evaluations annually for all intercollegiate teams. These confidential evaluations encompass all aspects of student-athlete experience at Northwestern. In addition, the Committee conducts exit interviews for all graduating student-athletes. Results of exit interviews will be reported in groups of three or more to the Committee and discussed with coaches.

### **III. Intercollegiate Financial Affairs, Personnel, and Administration**

Final institutional authority in all personnel and financial affairs relating to intercollegiate athletics at Northwestern resides with the president of the University. The president and the president's staff are responsible for specifying the lines of authority for the hiring of the vice president for athletics and recreation and head coaches, approving the annual operating budget

for the athletic program, and monitoring institutional compliance with NCAA and Big Ten rules and regulations.

NCAA Legislation requires Division I institutions to have a qualified independent accountant perform an annual review of all revenues, expenses and capitalized expenditures associated with intercollegiate athletics. The accountant is selected by the president (or designee) and must be an independent party who is not a staff member of the University. This review is performed in accordance with the NCAA Agreed-Upon Procedures guidelines and submitted to the president by January 15th. The Agreed-Upon Procedures report ensures that the president is made aware of all financial activity for athletics purposes and assists the institution in exercising control over all financial activity made by or on behalf of the intercollegiate athletics program.

The hiring procedures of all intercollegiate program personnel will include formal consideration of the candidate's willingness and capability to abide by NCAA and Big Ten rules. Northwestern will not knowingly hire any individual who has been officially sanctioned by either the NCAA or the Big Ten Conference for violating NCAA or Conference rules.

Because the president is ultimately responsible for the administration of intercollegiate athletics and institutional compliance with all NCAA and Big Ten regulations, copies of all reports to the NCAA or Big Ten Conference regarding possible rules violations, all audit reports regarding the athletics program, and performance reviews of all head coaches must be on file in the appropriate Northwestern Department of Athletics and Recreation office and readily available to the president.

#### **IV. Interactions outside the Department of Athletics and Recreation**

The vice president for athletics and recreation will notify in writing representatives of athletics interests, including N Club members, booster club members, and others who may come in contact with student-athletes or prospective student-athletes of the constraints imposed on contacts with student-athletes by NCAA, Big Ten, and University regulations. A complete list of individuals (and their affiliations) who receive complimentary tickets to football and men's basketball games will be maintained in the athletic ticket office and readily available to the president. A list of individuals invited to the Stadium Club for home football games will also be maintained on file. A complete record will be maintained of all individuals traveling with athletic teams to any contest away from the Northwestern campus. These files will be maintained by the vice president for athletics and recreation and will be subject to examination by the University's auditors at any time.

#### **V. "Concern" Reporting**

Northwestern University uses EthicsPoint for anonymous and confidential reporting of activities that may involve violations of NCAA regulations by Northwestern coaches, faculty, staff, student-athletes, boosters, or members of the public at large. A report may be filed by accessing EthicsPoint online (<https://secure.ethicspoint.com/domain/media/en/gui/7325/index.html>) or by calling EthicsPoint toll-free (866-294-3545). Reports submitted via EthicsPoint are handled promptly and discreetly. No retaliatory action will be taken against anyone for reporting or inquiring in good faith about potential violations of NCAA regulations.

## **VI. Review of the Presidential Directive on Self-Regulation of Intercollegiate Athletics**

This directive will be reviewed annually and revised as necessary by the Committee on Athletics and Recreation and approved by the president or the president's designee to ensure compliance with all internal, NCAA, and Big Ten principles and regulations.

Morton O. Schapiro  
President and Professor  
Northwestern University

**EXHIBIT VIII**  
**Vanderbilt University**  
**Undergraduate Academic Advising Policies**  
**Assignment of Academic Advisors**

**College of Arts & Science (A&S)**

A&S utilizes the CASPAR advising system. CASPAR employs professional advisors who are all PhDs with training specifically related to advising at Vanderbilt University. All A&S students are randomly assigned to CASPAR advisors. There is no attempt whatsoever to cluster student-athletes with specific advisors. An initial advising session may take place over the summer and is accomplished via phone or Skype, while meeting in person is mandatory in order to remove the “Advisor Approval Hold.” This hold is placed on every student every semester and must be removed in order for a student to register for the upcoming semester's classes. Once a student declares a major (whether the student is a varsity athlete or a non-athlete), student advising is shifted to a faculty member affiliated with the student’s choice of major. Again, there is no attempt to cluster student-athletes with specific faculty advisors.

**Blair School of Music**

Blair students are assigned a faculty advisor at the beginning of the student’s first year. Summer advising is done by the Head of Academic Advising. There is no special assignment for student-athletes.

**School of Engineering**

First-year students are asked to declare a tentative major, and on that basis they are assigned a faculty adviser from the major department. Summer advising for incoming students is done by the School of Engineering’s professional advising staff, part of the Dean’s office. First-year students meet their faculty advisers during academic orientation. Student-athletes are assigned academic advisers in the same manner as all students (based on academic major.)

**Peabody College of Education and Human Development**

Students at Peabody declare a major when applying to Vanderbilt. This choice of major can be changed but no change is permitted before May of the student’s freshmen year. Summer advising is done by Peabody’s professional advising staff (summer staff members are located in the Dean’s office). Students are immediately placed with faculty advisors related to the student’s declared academic major and begin meeting with them when they arrive on campus. There is no attempt to pair student-athletes with specific advisors.

**EXHIBIT IX**  
**Vanderbilt Athletics Department**  
**Elizabeth Wright, Director of Academic Support**  
**November 30, 2016, University Athletics Committee Presentation**

**Student-Athlete Summer Bridge Program**

The Summer Bridge Program was designed to assist student-athletes in their transition to Vanderbilt University. The workshops educated student-athletes on the importance of academics, integrity, character, and sportsmanship in a positive representation of Vanderbilt University. These sessions emphasized Vanderbilt University's commitment to preparing our student-athletes to become leaders and champions in life.

This past summer, 43 incoming freshman student-athletes participated in the Summer Bridge Program, meeting every Monday, Wednesday, and Friday, and occasionally on Tuesdays. The students met with Vice Chancellor and Director of Athletics, David Williams, every Thursday afternoon.

**Purpose:**

- Develop an understanding of Vanderbilt University's Academic Support for Student-Athletes
- Become familiar and comfortable with utilizing campus resources
- Better understand academic expectations and college culture
- Acquire insight on goal setting, classroom etiquette, professor communication, and leadership
- Identify and address potential issues faced by students on a college campus (integrity, student conduct, alcohol, mental health, etc.)

**Summer Session Highlights:**

- Student Assessments- Frances Niarhos, Psychological Counseling Center
- Financial Management- Academic Support Staff
- Time Management, Note-Taking, Test Anxiety- Academic Support Staff
- Social Media- Dana Reynolds, Social Media Coordinator
- Introduction to College Writing- Holli Loomans, Writing Studio Consultant
- Mental Health/ Wellness- Vickie Woosley, Vanderbilt Athletics Sports Psychologist
- Honor Code/ Plagiarism- Mary Helen Solomon, Director of the Office of Student Accountability, Community Standards, and Academic Integrity
- Classroom Etiquette- Academic Support Staff
- Academic Integrity- Andy Van Schaack, Principal Senior Lecturer, Human and Organizational Development
- Academic Research Skills- Central Library Staff
- Guest Speaker- Andrew Maraniss, author of [Strong Inside](#)
- Guest Speaker- Dean Vanessa Beasley, Dean of the Ingram Commons
- Alcohol and Its Effects- Katherine Drotos Cuthbert, Office of Wellness Programs
- Campus Conduct & Safety- Campus Police, Lt. Leshuan Oliver and Lt. Horace Lanier
- Nutrition- Jessica Bennett, Vanderbilt Athletics Dietician
- Goal Setting- Krystal Clark, Office of Student Leadership and Development
- Student Athlete Panel- Current/ Former Vanderbilt Student-Athletes
- 100 Jobs- Vanderbilt Career Center
- College Majors/Minors Fair- Campus Faculty

**EXHIBIT X**  
**Vanderbilt Athletics Department**  
**Elizabeth Wright, Director of Academic Support**  
**November 30, 2016 University Athletics Committee Presentation**

**ACADEMIC SUPPORT FOR STUDENT-ATHLETES**

- **Structure:** 9 full-time Staff Members:
  - Director; 1 Associate Director, 4 Assistant Directors; Director of Tutoring; Tutor Coordinator; Academic Counselors for Each Sport; All Have Masters Degree or Higher
- **Study Hall:** Academic Counselor on Site Mon-Thurs 8 am-10 pm, Fri 8 am-5 pm, Sun 6 pm-10 pm
- **Tutoring Program:** All Tutors are Current Undergrad/Graduate Students, So All Are Covered under Honor Council Regulations.
  - Academic Year 2015-16:
    - 45 Active Tutors
    - 224 Individual Student-Athletes Tutored
    - 3,117 Hours of Tutoring in 2015-16 Academic Year
- **Interaction with Faculty:**
  - Encourage Students to Meet Regularly with Faculty Advisors and Attend Office Hours of Professors
  - Mandate Meeting Faculty Advisors of Incoming Freshmen Who Are Enrolled in Summer
  - Written Notification to All Faculty at the Beginning of Each Semester and Summer with Academic and Compliance Information
  - Written Notification to Faculty Regarding Excused Absences for Team Travel
  - Written Notification to Deans for Absences due to Surgery, Illness, Family Emergencies
- **Class Attendance Policy**
  - Adherence to Mandatory Attendance Policy; Class Checking: Approximately 30 Classes/Week
- **Proctoring of Tests During Team Travel:** Academic Counselor, Sport Administrator, and /or Host School Academic Support Are Only Ones Who May Proctor Tests
- **Book Purchases/Book Returns**
  - Monitoring of all Required Books and Equipment Purchased
- **Postgraduate Awards**
  - SEC and NCAA Postgraduate Award Opportunities, University Office of Honor Scholarships
- **Degree Completion Efforts**
  - Highest Graduation Rate of Student-Athletes in the SEC. Graduates Who Have Returned to Complete Their Degrees Since Spring 2014: **Baseball:** Jared Miller, Brian Miller, Vince Conde, Conrad Gregor, Tony Kemp, Anthony Gomez, Navery Moore, Joe Loftus, Kevin Ziomek, Corey Williams. **Men's Tennis:** Bobby Reynolds. **Football:** Larry Franklin, Ryan van Rensburg, Logan Stewart, Joe Townsend, Doyle Crosby, Fred Baker, Trey Wilson, Earl Bennett
- **Work with University Registrar and Compliance to Certify Eligibility of All Student-Athletes**
- **Summer Workshops for Incoming Freshmen and Transfers**
- **Major/School Distribution for 2015/16 Academic Year:**
  - Of **331** student-athletes: **263** in A&S (Economics and Medicine, Health & Society); **60** in Peabody (HOD and Child Development); **29** Engineering (Biomedical and Mechanical); **4** Graduate School (Peabody LOP program, Nursing, Medicine, Health & Society)
  - **42** majors represented; 25 student-athletes have double majors
- **Overall GPA – 3.125 for 2015-16 Academic Year (Goal 3.2)**
  - All Teams Except Two Over a 3.0 GPA (Goal: All Teams Above a 3.0)
  - Incoming Freshman GPA Summer 2016: 3.573
- **Study Abroad** – Eleven student-athletes studied abroad last year (10 in summer)
  - Sports: Track/Cross Country, Men's Tennis, Lacrosse, Women's Golf, Soccer, Football
  - Countries: Brazil, New Zealand, England, France, Italy, Denmark, and Switzerland

**EXHIBIT XI**  
**Vanderbilt Athletics Department**  
**Academic Support for Student Athletes Unit**  
**Task Force Rendering**

At the heart of VU's academic support for student-athletes is the Stratton Foster Academic Support Center and its staff. The Academic Support for Student Athletes (ASSA) unit is located in McGugin and is headed by Elizabeth Wright, Director of Academic Support. Director Wright reports to Candice Lee, the Associate Vice Chancellor of University Affairs and Deputy Athletic Director, who reports to David Williams II, Vice Chancellor for Athletics and University Affairs and Athletics Director.

Under the oversight of the ASSA's Director, there are nine staff Academic Counselors. Each holds a Masters Degree and has a minimum of two years of experience. ASSA Academic Counselors are assigned to athletic teams and meet weekly to bi-weekly with all student-athletes from their assigned athletic teams and monitor each student-athlete's progression toward graduation. In addition ASSA Academic Counselors proctor study halls and monitor class attendance by dropping in on classes to see if enrolled student-athletes are indeed present. ASSA Academic Counselors stay abreast of the full complement of Vanderbilt academic resources and refer student-athletes to these campus-wide resources as appropriate.

An ASSA Academic Counselor may travel with his/her assigned team(s) and may proctor tests during travel to away competitions. ASSA Academic Counselors do not provide tutoring services and do not offer specific advice to athletes about course selection, keeping a clear distinction between their role as academic counselor and that of the faculty academic advisor.

ASSA Academic Counselors provide letters of travel to VU faculty if a student-athlete's travel for competition necessitates missing a class or test. Academic counselors notify the dean of the appropriate school if a student-athlete is sick or injured and will miss classes and/or test periods. Of note, a student-athlete may also contact a faculty instructor regarding travel and illness; coaches are not members of the ASSA organization structure and are forbidden from contacting faculty. In addition, coaches are never allowed to proctor tests, including while the student-athlete is traveling for a team competition. Only an ASSA Academic Counselor, an ASSA administrator, a VU Sports Administrator, or, on occasion, an academic staff member of the host school may proctor tests during away competitions.

While a student-athlete who is struggling academically may come to the ASSA's attention through a deficiency report, the struggling student-athlete may preemptively approach the ASSA to request academic counseling and support services. On rare occasions, a faculty instructor reaches out to the ASSA. The ASSA Academic Counselor assigned to the student-athlete will assess the student-athlete's academic situation and will determine if ASSA-based tutoring will best meet the athlete's needs or if the student-athlete should be referred to a VU school-based tutoring program that is available to all students within that school.

**EXHIBIT XII**  
**Vanderbilt Athletics Department**  
**Tutoring Services**  
**Key Controls**

The ASSA has implemented the following controls pertinent to the tutoring of student-athletes by ASSA employed tutors:

1. ASSA recruits and hires only VU Juniors, Seniors, and Graduate students, all of whom are bound by the University's Honor Code. The average length of tenure is two to three years.
2. Before a tutor may work with a student-athlete:
  - a. The tutor must first undergo training/orientation administered by the Athletics Department's Director of Tutoring and the Tutor Coordinator, with an annual review by the Director of Compliance that strictly instructs tutors as to the acceptable scope of practice within a tutoring session. Post this orientation session:
    - i. The tutor must complete a quiz addressing the discussed policies.
    - ii. The tutor will receive bi-weekly emails from the ASSA tutoring staff that include policy reminders and updates.
  - b. The tutor receives a manual that reinforces the acceptable role of a tutor and re-emphasizes that all tutoring is bound by the VU Honor Code.
  - c. The tutor is advised that any impermissible assistance will be an Honor Code violation for both the tutor and the student-athlete and will be reported if discovered.
3. ASSA-hired tutors are only permitted to communicate with student-athletes via emails that must be copied to the ASSA tutoring staff.
4. ASSA-hired tutors will tutor only student-athletes. They are never permitted to tutor coaches' children or staff children.
5. All ASSA-provided tutoring must be conducted during normal ASSA office hours in McGugin with an academic counselor, the Tutor Coordinator, the Director of Tutoring, or the Director of the ASSA present within the ASSA area.
6. Tutors are required to submit a written report within 24 hours of the completion of each tutoring session detailing the work done during the session and updating the student-athlete's academic counselor on the student-athlete's academic progress. As an additional control, each of these reports is also reviewed by the Director of Academic Support.
7. All requests for tutors must be made through the student-athlete's academic counselor.
8. All writing tutors are "on boarded" by the Director of the ASSA, and all work with student-athletes in an open area monitored by either the Director of the ASSA or an ASSA academic counselor.

In addition to ASSA employed tutoring, many student-athletes utilize school-based tutoring resources. Student-athletes may also choose to employ tutors outside of the ASSA, though the Athletics Department will not pay for such tutoring.

**EXHIBIT XIII**  
**Vanderbilt Athletics Department**  
**Certification of Eligibility Procedures for Student-Athletes**  
**Academic Year 2017-2018**

**Delegation of Responsibility**

Pursuant to NCAA Bylaw 3.2.4.3 (Certification of Eligibility/Declaration of Ineligibility), “An active member is responsible for certifying the eligibility of student-athletes under the terms of the constitution, bylaws or other legislation of the Association, before permitting a student-athlete to represent the institution in intercollegiate competition.”

The final authority for the initial and continuing academic eligibility certification for all student-athletes at Vanderbilt University is vested in the University’s Faculty Athletics Representative (FAR). The FAR delegates academic eligibility decisions for student-athletes to the University Registrar who has been designated the coordinator of academic certification. Although the final determination of academic eligibility lies with the University Registrar, the Director of Compliance (Athletics) and Director of Academic Support work closely with the University Registrar to review student-athlete eligibility. Information flows freely throughout the year between these offices, including formal meetings as needed. The Eligibility Oversight Committee also assists with monitoring student-athlete academic eligibility. It is the responsibility of the Director of Academic Support to monitor and support the ongoing academic progress of student-athletes at the institution and to serve as a liaison between Athletics and the faculty.

Final authority for all other NCAA and SEC compliance requirements is vested in the Chancellor and delegated to the Director of Athletics, Compliance Office (Athletics) and the Office of the General Counsel.

**Identification and Admission of New Student-Athletes**

The Office of Undergraduate Admissions (OUA) is solely responsible for making admissions decisions for all undergraduate students, including prospective student-athletes.

For each sport, the coaching staff identifies prospective student-athletes as part of its ongoing formal recruiting process. It is the responsibility of the coaches to inform recruits of the admission and eligibility paperwork required for submission to Vanderbilt and the NCAA Eligibility Center.

Academic materials are submitted to the Compliance Office for initial vetting. The Compliance designee calculates the core GPA, records available test scores, and determines potential Qualifier status per NCAA initial eligibility standards. Files are updated as necessary and ultimately forwarded to the Athletics Liaison in the OUA to determine admission potential. Informal review of academic materials may occur at any time during the recruiting process.

The formal process for reviewing and making admissions decisions for potential recruited student-athletes (denoted as Grant-In-Aid or GIA’s) generally begins in the summer prior to the GIA’s senior year in high school and continues through the summer after their senior year in

high school. At various points during that time, Pre-Applications for potential GIA's are delivered from the Compliance Office to the Athletics Liaison in the OUA for review. These offices meet on a regular basis to discuss files. The Pre-Application consists of a copy of a triplicate Pre-Application form, the student's high school transcript through junior year, list of senior courses, a copy of the SAT or ACT scores, "Recruited Student-Athlete Information Form" and a form summarizing the student's academic profile known as the "blue-sheet."

Upon receipt of the Pre-Application, the Athletics liaison in the OUA determines if the student will be "recommend" or "not recommended" for admission. In the event a Pre-Application is not recommended, the Compliance Office is notified and follow-up will take place should the coach/athletics wish to request reconsideration of the decision. Pre-Applications that are recommended are sent to the undergraduate school/college to which the student is applying for review by the designated Academic Dean. Again, a determination is made as to whether to "recommend" or "not recommend" the student and the Pre-Application is returned to the Athletics Liaison in the OUA.

Pre-Applications returned from the Academic Dean are given a final decision by the Athletics Liaison within the OUA of either "approved" or "not approved" (in consultation with the Director of Undergraduate Admissions). If there are differing recommendations between the OUA and the Academic Dean, the OUA makes the final determination. The yellow copy of the Pre-Application that is signed with a final "approved" or "not approved" is forwarded to the Compliance Office (and/or an electronic message confirming final status is sent to the Compliance Staff from the OUA). Only after official admission approval by the OUA is received is the GIA permitted to sign scholarship papers and/or National Letter of Intent forms (subject to NCAA regulations).

If Athletics desires reconsideration of a "not recommended" decision of a Pre-Application, the Vice Chancellor/Director of Athletics contacts the Vice Provost for Enrollment Management/Dean of Admissions for further discussion. The reconsideration process consists of a detailed review of the student's academic profile (and may include a telephone or in-person interview) and an ultimate recommendation by the Vice Provost. This decision is final.

On a strictly limited basis, the OUA may consider midyear admission for potential students (including freshmen and transfer prospective student-athletes). While only those students whose background and talents deemed an appropriate fit for the Vanderbilt community may be considered, additional factors, such as housing availability, may impact the decision. Prospective student-athletes must present academic credentials within the parameters for admission. Each decision is case-by-case and decided independent of precedent.

The Compliance Office creates and maintains a spreadsheet listing all incoming student-athletes as they are identified and approved. Student-athletes must submit the same documentation required of all students applying to the institution. The receipt of this documentation is noted on the spreadsheet (the Compliance Office has electronic access to the NOLIJ system which tracks receipt of all aspects of the admission application). This spreadsheet is also used to monitor the total number of GIA's in the entering class.

Note: GIA's are responsible for submitting a completed Common Application like all other applicants to Vanderbilt by an established deadline and must also pay the \$50 application fee. New student-athletes who are graduate/professional students must be formally approved for admission by the respective school's graduate program (graduate/professional student admission is not centralized).

### **Academic Credential Review Process**

Pursuant to Southeastern Conference (SEC) bylaw 14.1.2.2, Vanderbilt University bears primary responsibility for reviewing and ensuring the validity of the NCAA Eligibility Center certification of incoming student-athletes. During the recruiting and admission process, the OUA evaluates transcripts and accompanying documents for academic irregularities. Any concerns identified by the Admissions staff must be adequately addressed prior to official approval for admission.

At the conclusion of each semester, select members of the Eligibility Oversight Committee (representing the Admissions, Academic Support, Registrar and Compliance Offices) also review the academic files for incoming student-athletes who plan to enroll the following semester.

Irregularities that may trigger additional review include, but are not limited to, the following:

- Significant test score variance (equal to the Southeastern Conference test score review standard\*\*)
- Senior year transfer or withdrawal
- Disproportionate core course enrollment in senior year
- Concurrent sequential core courses
- Core courses taken out of sequence
- Transcript revisions (other than to correct clerical errors)
- Non-traditional coursework
- Negative grade trend

In the event that further review is needed, the Director of Compliance (or designee) will gather additional details as needed and present this information to the Admissions Staff and/or Eligibility Oversight Committee for resolution. Ultimately, the university shall only certify for competition those individuals deemed eligible by NCAA, SEC and institutional standards. Additionally, SEC bylaw 14.1.2.2 specifies conditions under which a Special Report must be submitted to the SEC Commissioner for review. To execute such a report, the Director of Compliance prepares a memo to the Chancellor outlining the identified irregularities for each prospective student-athlete that has been flagged. Upon review by the Chancellor, a subsequent memo (prepared by the Director of Compliance, but officially sent from the Chancellor) is sent to the Commissioner for a final determination.

Any prospective student-athlete who triggers a Special Report review may not compete without authorization from the Commissioner.

\*\* The Southeastern Conference Test Score Review Standard is: (a) An ACT composite score or sub score variance of six or more; or (b) An SAT composite score (Verbal and Math) variance of

300 or more, or an SAT sub score (Verbal or Math) variance of 150 or more. An institution may establish a more restrictive test score variance review standard at its discretion.

### **Determining Academic Eligibility for Fall Semester**

Beginning in July, the Compliance Office enters new student-athletes (first-year and transfers) into the Compliance Assistant system (CA). Per NCAA regulations, student-athletes may not compete unless their eligibility has been certified and documented on a squad list. Furthermore, in the event that a student-athlete's academic record renders him or her ineligible, such ineligibility is immediately certified and the squad list is updated accordingly.

The NCAA Eligibility Center certification status reports (48-C's) are downloaded for all incoming student-athletes by both the Compliance Office and the University Registrar's Office. The University Registrar's Office marks the eligibility status in CA of those first-year student-athletes whose files have been reviewed and for whom the NCAA Eligibility Center has awarded Division I "Final Qualifier" certifications. The eligibility of students for whom one or more "red flags" have been identified cannot be determined until any irregularities have been resolved. Copies of the certification status reports used in the eligibility review are kept on file in the Compliance Office and the University Registrar's Office. Documentation of the receipt of final high school transcripts (with proof of graduation) is the responsibility of the OUA and is documented in NOLIJ.

The institution does not generally admit "non-qualifiers." In the rare event that first-year student-athletes are not yet certified as academic qualifiers by the NCAA Eligibility Center prior to the first day of class, clearance to attend should be obtained from the FAR. Additionally, these student-athletes will not receive athletics aid until Qualifier status is confirmed. It is the responsibility of the Compliance Office to ensure that athletics aid is not applied for academic non-qualifiers. This protocol has been implemented to ensure NCAA regulations are followed with regard to non-qualifiers and receipt of athletics aid. However, any student-athlete in this position is expected to be ultimately deemed a Qualifier.

Any first-year student-athlete who has a lapse in time between high school graduation and enrollment at Vanderbilt University must verify that he or she was not enrolled in another postsecondary institution or engaged in any activity that would possibly jeopardize his or her amateur status. Such verification may be provided as follows:

- If the student's official admissions materials confirm the student-athlete's enrollment at a preparatory school, this information can be used for verification. Both the Compliance Office and the University Registrar's Office have access to this information from the Office of Undergraduate Admissions.
- For those student-athletes who were not enrolled in a preparatory school, he or she must submit a written explanation of his or her activities during the time frame in question to the Compliance Office. The Compliance Office will forward this information to the University Registrar's Office.

The NCAA Eligibility Center's amateurism certification process as well as information solicited from the Compliance Office during the recruiting and initial eligibility process will be used to determine amateurism status.

To determine the eligibility of a transfer student-athlete, the University Registrar's Office must have the following:

- Copies of official transcripts from all postsecondary institutions attended (to include grades for the last term attended and any degree notations). The OUA may supply these transcript copies to the University Registrar's Office (via the NOLIJ system), or these transcripts may be obtained from the student-athlete's respective college within Vanderbilt.
- Copies of the Transfer Release Form completed by each 4-year institution attended (supplied by the Compliance Office)
- Transfer credit evaluated and entered into the Student Record System. As with all students transferring to Vanderbilt, coursework from the student-athlete's prior institution is reviewed by the appropriate academic dean's office and academic departments.

NCAA and SEC requirements are used to determine the eligibility of two-year, four-year and four-two-four transfer student-athletes. During the recruiting process, the school registrars may also review unofficial transcripts provided by the Compliance Office and estimate the total number of transferable hours for transfer prospective student-athletes.

The eligibility of transfer student-athletes whose paperwork is complete and in the University Registrar's Office by August 1 will be marked in the CA system by August 15.

The Compliance Office also begins updating all returning student-athletes in the CA system in July. Beginning in early August, based on grades and other materials available at that time and pursuant to NCAA guidelines for continuing eligibility, the University Registrar's Office begins entering the confirmation date for returning eligible student-athletes in the CA system.

At the conclusion of the Fall semester, any student-athlete who fails to meet any applicable mid-year benchmarks (as dictated by NCAA and SEC regulations) will be deemed ineligible as soon as the change in eligibility status is known, but no later than the date of the mid-year review (approximately January 4th). A change in eligibility status is noted in CA with the applicable date entered by the University Registrar's Office.

Note: per NCAA regulations, any football student-athlete who does not earn 9 hours in the Fall/APR eligibility point is ineligible for a specified period of games in the upcoming season unless the criteria for relief is achieved. Any student-athlete who is declared ineligible under these circumstances or whose performance deems him or her academically at-risk is flagged and monitored closely by his or her Academic Counselor.

## **Monitoring Throughout Academic Year**

The Director of Academic Support and Academic Counselors use the daily electronic report detailing any student-athletes who are enrolled in less than 12 hours to track the enrollment of student-athletes throughout the academic year. This automated email report is distributed daily. Student-athletes must be registered in 12 or more hours to be eligible to compete. Exceptions to this rule are:

- Graduate or professional student-athletes whose school requires less than 12 hours to be a full-time student
- Student-athletes who are in their last term of enrollment and need less than 12 hours to complete all degree requirements
- Student-athletes who have been granted a waiver to the full-time requirement by the NCAA

Prior to the term in which one of these exceptions occurs, the University Registrar's Office will review (in consultation with the applicable school registrars) and verify any exceptions. These notations are then added in the CA system.

If a student-athlete drops below full-time during a term and does not meet one of the above exceptions, the Director of Academic Support will immediately notify the Compliance Office who will remove the eligibility confirmation in CA accordingly. The University Registrar's Office, coaching staff, Sport Administrator and student-athlete will also be informed of any participation consequences by the Compliance Office.

A "hold" is placed on student-athletes' schedules in the electronic course registration system does not permit dropping below full-time without the authorization of the Director of Academic Support. The appropriate school registrar contacts the Director of Academic Support to receive such approval prior to a student-athlete reducing his or her course load below full-time.

The Academic Support staff continuously review the academic progress of all student-athletes. Any student-athlete whose performance deems him or her academically at-risk is flagged and monitored closely by his or her Academic Counselor.

## **End of Spring Semester/Summer Eligibility Certification**

Once grades are posted for the spring semester, the Director of Compliance and Director of Academic Support review the academic progress of each student-athlete pursuant to institutional, NCAA, and SEC progress-toward-degree guidelines. Student-athletes that do not meet satisfactory progress are flagged and may be required to attend summer classes. Upon completion of each summer term, the Academic Support staff reviews and disseminates information concerning the progress of these student-athletes.

The University Registrar's Office completes an independent review within two weeks of commencement in the spring and as soon as grades are available at the end of the last summer

term and shares the results with the Director of Compliance and the Director of Academic Support.

Per NCAA regulations, Football and Basketball student-athletes must meet additional academic requirements to participate in required summer workouts. The spring/summer eligibility certification process includes this review as well as a follow-up on any football student-athletes flagged in the fall for not meeting the 9-hour/APR requirement.

### **Determining Academic Eligibility for Postseason Play**

The Director of Compliance, Director of Academic Support, and the University Registrar's Office review student-athletes' eligibility for postseason play, in particular postseason competition that occurs between academic terms (e.g., during a vacation period). The following criteria must be met to participate in postseason play:

- Pass six degree hours in the term immediately preceding the post-season play (unless enrolled in fewer hours for graduation, in which case he or she must pass all hours for which he or she is enrolled)
- Not be suspended or dismissed at the end of the term immediately preceding the post-season play and have exhausted all available appeals
- Not be identified as ineligible during the normal end-of-term review and with no ability to become eligible by the first day of class for the following term

Eligibility lists for Conference postseason play occurring during the academic year is submitted by the Compliance Office.

### **Squad List Approval and Dissemination Process**

Compliance Assistant (CA) is populated by the University's Student Record system (including Registrar and Financial Aid data) on a daily basis. CA is accessible to those involved in the certification process for viewing student-athlete data, squad lists, and selected reports. Those directly responsible for entering information into the CA system have update capabilities for selected fields. The following categories of students must be included on squad lists in CA:

- Any student who signs a NCAA Drug-Testing Consent form
- Any student who participates in organized practice (including male practice players)
- Any student who is receiving an athletic grant-in-aid (even if medically exempt or eligibility is exhausted)

Once a student appears on a squad list by means of one of the above, he or she remains on it for the duration of the academic year (regardless of any change in eligibility status).

By August 1, the Compliance Office provides the first dates of competition and the target date for the initial squad list transmission for all sports to the University Registrar's Office and the Office of Student Financial Aid. Initial squad lists are transmitted to the SEC before the date of the first competition or by October 1, whichever date comes first. Squad lists include all

scholarship and walk-on student-athletes. Subsequent squad lists are transmitted as needed when a student-athlete's status changes or when new student-athletes are added.

Each squad list is initially created and prepared by the Compliance Office designee. The University Registrar's Office reviews initial or continuing academic eligibility. If NCAA regulations have been met and there are no outstanding issues, the date on which eligibility for competition is certified is entered into CA.

The Office of Student Financial Aid also reviews the financial aid information for each student and team to ensure compliance with financial aid regulations. If NCAA regulations (including verification of individual and team limitations and documentation of all countable and non-countable aid) have been met and there are no outstanding issues, the Office of Student Financial Aid indicates the date in CA on which their review has been completed in the Financial Aid Date field.

The Compliance Office verifies that both reviews have been completed and subsequently confirms that student-athletes are ultimately eligible to compete (e.g. other NCAA and conference regulations have also been satisfied). Once a squad list is ready for final review, the Compliance Office notifies by email the Office of Student Financial Aid and the University Registrar's Office (with a copy to the Faculty Athletics Representative) that the squad list has been prepared for review and approval.

Once written confirmation of both reviews and approvals are received, the Compliance Office submits an electronic copy of the squad list to the Conference Office, with follow-up confirmation to the Office of Student Financial Aid, the University Registrar's Office and the Faculty Athletics Representative.

The submitted squad list is saved in a shared drive. A hard copy squad list is provided to Head Coach for his or her reference. A second copy is circulated for review and signature by the Head Coach, Director of Compliance, Director of Athletics and Faculty Athletics Representative. The hard-copy squad list with signatures is kept on file in the Compliance Office and scanned into the shared drive.

In the event that new student-athletes are certified as eligible or eligibility status changes, the squad list is subject to the same review and approval process.

Note: Male students who practice with women's teams are certified by the University Registrar's Office using the criteria below:

- Must be a full-time student
- Must be within 5 year clock
- First-year students must be certified as Qualifiers by the NCAA Eligibility Center
- Must Sign NCAA Drug Testing Consent form

These individuals are added to a designated squad list for male practice players in Compliance Assistant. This list is not transmitted to the SEC Office.

## **End of Year Squad Lists**

At the end of each academic year, the Compliance Office prints an end-of-year squad list for each sport after updating the participation status of the student-athletes. These squad lists are not transmitted to the SEC but are subject to the established sign-off procedure (to include the Dean of Admissions). Copies of signed end-of-year squad lists are kept on file in the Compliance Office and scanned into the shared drive.

## **ELIGIBILITY OVERSIGHT COMMITTEE**

### **Purpose**

The Eligibility Oversight Committee (EOC) monitors eligibility certification for Vanderbilt student-athletes. This includes, but is not limited, to initial and continuing academic eligibility, administration of financial aid and athletic eligibility matters.

### **Objectives**

1. Maintain regular communication between all institutional offices involved in certification process.
2. Create and implement policies and procedures related to eligibility certification.
3. Maintain working knowledge of NCAA, SEC and University rules and regulations pertaining to eligibility.
4. Provide input on legislative proposals related to eligibility certification for NCAA and SEC legislative cycle.
5. Assist with preparation and submission of NCAA and SEC waivers for student-athlete eligibility as necessary.

### **Members**

The EOC is chaired by the Director of Compliance (Athletics) and includes representatives from the following areas:

- Office of Student Financial Aid and Undergraduate Scholarships
- Office of Undergraduate Admissions
- University Compliance Office
- Athletics Compliance Office
- Provost's Office (represented by Faculty Athletics Representative or designee)
- Academic Support
- University Registrar
- Faculty Member

Example of an actual “**conditions letter.**” Name, exact date, coach, sport, athletic administrator’s name and pronouns have been generalized to protect the specific student-athlete’s identity.

November X, 201X

Dear XXXX:

Congratulations! Enclosed you will find the Southeastern Conference Financial Aid Agreement and the National Letter of Intent. *Both you and your parent/guardian will need to sign and date all documents.* **You may not sign these forms before 7:00 am local time on Wednesday, November X.** Also, please be sure to add the time when you sign the National Letter of Intent pages.

In order for the documentation to remain valid, you and your parent/guardian MUST sign and date both copies no later than **November XX, 201X.**

Additionally, when **both** you and your parent/guardian have **signed both** documents, please **fax or scan/email a copy of the signature pages immediately to (615) 343-3618 or [james.j.feeney@vanderbilt.edu](mailto:james.j.feeney@vanderbilt.edu) or [erin.adkins@vanderbilt.edu](mailto:erin.adkins@vanderbilt.edu).** By doing this, you will ensure that your information is processed in a timely manner and on file with Vanderbilt, the Southeastern Conference and the NCAA. Additionally, Vanderbilt also may not publicize your commitment until your signed scholarship paperwork is returned.

If you have trouble sending your signature pages using the number/emails listed above, feel free to also send your paperwork to **[michelle.towns@vanderbilt.edu](mailto:michelle.towns@vanderbilt.edu)**.

Please note that the scholarship offer is contingent upon official approval for admission by the Vanderbilt Office of Undergraduate Admissions. You should complete and submit the **entire** admissions application as soon as possible.

As you prepare to come to Vanderbilt, please review the following academic guidelines that have been put into place in order to help you successfully transition:

- **You are required to attend both 201X Summer Sessions (June and July) and earn at least a 2.25 cumulative GPA (and earn at least a C+ in each course) in order to participate in basketball in the Fall without restriction.**
- **You will also participate in our Summer Orientation and Bridge program, which includes a number of assessments and programming to enhance your skills. The summer can provide a valuable opportunity to become acclimated to the University and understand the resources in place to support your academic success.**
- **Your academic progress will be reviewed on a regular basis. In particular, both the Fall and Spring semesters of your freshman and sophomore years are critical to establishing a solid foundation for you academically.**
- **It is our aim to support you so that you achieve above our minimum standards, so you must earn at least a 2.25 GPA each semester (for the first 2 years of your enrollment) in order to continue participation, the following semester.**

- In general, if your academic performance is deemed unsatisfactory at any time (i.e. deficiency progress reports, academic honor code violations, low grades), you will be restricted from participating until you demonstrate improvement in the classroom.
- You should also plan for regular meetings with David Williams, Vice Chancellor and Athletics Director during your first year. Again, the ultimate goal is to assist you in achieving your potential in every aspect while at Vanderbilt, including academically.

Please do not hesitate to contact me with any questions. Again, congratulations and we look forward to your arrival at Vanderbilt.

Sincerely,

Erin Adkins  
Assistant Athletics Director/Director of Compliance

Cc: David Williams, Vice Chancellor/Athletics Director  
Candice Lee, Associate Vice Chancellor/Deputy Athletics Director  
XXXX, Name of Coach, Team Name

**Please return this form with your scholarship paperwork**

**ACKNOWLEDGMENT OF ACADEMIC EXPECTATIONS FOR XXXXXX**

Below are the guidelines implemented for XXXX,XXXX, which have been created to support a successful transition from high school to Vanderbilt University. This transition will begin in the summer, which can provide a valuable opportunity to become acclimated to the University and fully understand the resources in place to support academic success. The ultimate goal is to assist [him/her] in achieving [his/her] potential in every aspect while at Vanderbilt.

- XXXX is required to attend both 201X Summer Sessions (June and July) and earn at least a 2.25 cumulative GPA (and earn at least a C+ in each course) in order to participate in [xxxx sport] in the Fall without restriction.
- XXXX will also participate in the Summer Orientation and Bridge program.
- XXXX's academic progress will be reviewed on a regular basis. In particular, both the Fall and Spring semesters of [his/her] freshman and sophomore years are critical to establishing a solid foundation for [him/her] academically. **It is our aim to support [him/her] so that [he/she] achieves above our minimum standards, so [he/she] must earn at least a 2.25 GPA each semester (for the first 2 years of his enrollment) in order to continue participation, the following semester.**
- In general, if [his/her] academic performance is deemed unsatisfactory at any time (i.e. deficiency progress reports, academic honor code violations, low grades), [he/she] will be restricted from participating until demonstrating improvement in the classroom.
- XXXX will meet regularly with Vice Chancellor David Williams, Vice Chancellor and Athletics Director during [his/her] first year.

My signature below acknowledges my understanding of and agreement to the expectations and conditions listed above.

\_\_\_\_\_  
XXXXXXXX

\_\_\_\_\_  
Date

\_\_\_\_\_  
Coach

\_\_\_\_\_  
Date

\_\_\_\_\_  
Athletics Administrator

\_\_\_\_\_  
Date

**EXHIBIT XIV**  
**Vanderbilt Athletics Department**  
**Eligibility Oversight Committee Charge**

**Purpose**

The Eligibility Oversight Committee (EOC) monitors eligibility certification for Vanderbilt student-athletes. This includes, but is not limited, to initial and continuing academic eligibility, administration of financial aid and athletic eligibility matters.

**Objectives**

1. Maintain regular communication between all institutional offices involved in certification process.
2. Create and implement policies and procedures related to eligibility certification.
3. Maintain working knowledge of NCAA, SEC and University rules and regulations pertaining to eligibility.
4. Provide input on legislative proposals related to eligibility certification for NCAA and SEC legislative cycle.
5. Assist with preparation and submission of NCAA and SEC waivers for student-athlete eligibility as necessary.

**Members**

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- Academic Support
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- Faculty Member