

## GLOSSARY

|    |                        |   |
|----|------------------------|---|
| 1  |                        |   |
| 2  |                        |   |
| 3  | <b>ACES</b>            | Academic Center for Exploratory Students, which provides academic                     |
| 4  |                        | advisement services to UConn students who have not yet declared a major.              |
| 5  |                        | <a href="http://aces.uconn.edu/aboutaces.htm">http://aces.uconn.edu/aboutaces.htm</a> |
| 6  |                        |   |
| 7  | <b>AD</b>              | The Director of Athletics, currently Jeffrey Hathaway.                                |
| 8  |                        |   |
| 9  | <b>Big East</b>        | The athletic conference of which UConn is a member. The Big East                      |
| 10 |                        | consists of sixteen colleges and universities.  |
| 11 |                        | <a href="http://www.bigeast.org/">http://www.bigeast.org/</a>                         |
| 12 |                        |   |
| 13 | <b>BCS</b>             | Bowl Championship Series, a selection structure that pairs the top two                |
| 14 |                        | team in college football for the BCS National Championship Game and                   |
| 15 |                        | determines the match-up for the other BCS bowl games (including the                   |
| 16 |                        | Rose Bowl, the Sugar Bowl, the Fiesta Bowl and the Orange Bowl). The                  |
| 17 |                        | champions of the Big East, ACC, Big 12, Big Ten, Pac-10 and SEC                       |
| 18 |                        | conferences are guaranteed automatic BCS bowl appearances. The BCS is                 |
| 19 |                        | managed by the commissioners of the eleven NCAA Football Bowl                         |
| 20 |                        | Subdivision conferences, the Director of Athletics at the University of               |
| 21 |                        | Notre Dame, and representatives of the bowl organizations.                            |
| 22 |                        |   |
| 23 | <b>Coalition on</b>    | A group of representatives including more than fifty faculty senate                   |
| 24 | <b>Intercollegiate</b> | leaders at schools that play Division I-A football.                                   |
| 25 | <b>Athletics</b>       |   |
| 26 |                        |   |
| 27 | <b>CPIA</b>            | Counseling Program for Intercollegiate Athletes, a UConn unit that reports            |
| 28 |                        | directly to the Provost and Executive Vice President for Academic Affairs.            |
| 29 |                        | CPIA provides academic and other counseling services for all                          |
| 30 |                        | intercollegiate athletes.   |
| 31 |                        | <a href="http://www.cpia.uconn.edu/about.php">http://www.cpia.uconn.edu/about.php</a> |
| 32 |                        |   |
| 33 | <b>Division I</b>      | The highest level of intercollegiate athletics sanctioned by the NCAA.                |
| 34 |                        | Division I member institutions are required to sponsor at least seven sports          |
| 35 |                        | for men and seven for women (or six for men and eight for women) with                 |
| 36 |                        | two team sports for each gender. Member schools that have football are                |
| 37 |                        | classified as Football Bowl Subdivision (formerly Division I-A) or NCAA               |
| 38 |                        | Football Championship Subdivision (formerly Division I—AA). Football                  |
| 39 |                        | Bowl Subdivision teams have to meet minimum attendance requirements                   |
| 40 |                        | (average 15,000 people in actual or paid attendance per home game.)                   |
| 41 |                        |   |
| 42 | <b>EAP</b>             | Emergency Action Plan   |
| 43 |                        |   |
| 44 | <b>FAPC</b>            | Female Athlete Performance Committee, a UConn group of coaches,                       |
| 45 |                        | student-athletes and others whose function is to address issues that student          |
| 46 |                        | female-athletes face.   |

- 47  
48 **FAR** The Faculty Athletics Representative, currently Professor Scott Brown of  
49 the Neag School of Education. The FAR reports directly to the President  
50 and is responsible for reviewing the status of NCAA compliance activities  
51 and academic integrity within the University. Among other specific  
52 responsibilities, the FAR oversees investigating and reporting violations of  
53 NCAA regulations and oversees the certification process for academic  
54 eligibility of student-athletes.  
55 <http://advance.uconn.edu/2004/040322/04032211.htm>  
56
- 57 **NCAA** The National Collegiate Athletic Association, the governing body that  
58 oversees intercollegiate athletics in the United States. The NCAA was  
59 founded in 1906 and now counts approximately 1200 American colleges,  
60 universities, conferences and organizations as members and maintains a  
61 professional staff of more than 350.  
62 <http://www.ncaa.org/wps/portal>  
63
- 64 **ODE** The University Office of Diversity and Equity, which is charged with  
65 assuring the implementation of the University's commitment to diversity,  
66 multiculturalism, social equity and affirmative action.  
67 <http://www.ode.uconn.edu/>  
68
- 69 **PAAC** The President's Athletic Advisory Committee, a faculty-student-staff-  
70 alumni body appointed by the President of the University to advise him on  
71 matters related to the University's athletic program. The chair and a  
72 majority of members of the PAAC are not part of the Division of  
73 Athletics.  
74
- 75 **PSA** Prospective student-athlete, a potential UConn applicant not yet enrolled  
76 at the University.  
77
- 78 **SAAC** Student-Athlete Advisory Committee, a body consisting of student-  
79 athletes (typically two or more students from each team) that meets  
80 regularly with the Director of Athletics and other senior Division of  
81 Athletics staff and discusses issues of concern to student-athletes. SAAC  
82 communications and recommendations are routinely forwarded to the  
83 PAAC.  
84 <http://www.studentactivities.uconn.edu/vdStuOrg/index.cfm?fuseaction=vieworg&orgid=8080&backto=viewall>  
85  
86
- 87 **SWAT** Student-Athlete Welfare and Academic Team, which brings together  
88 various UConn campus constituents responsible for student-athlete  
89 academic development and oversight. Units represented include CPIA,  
90 the Division of Athletics Compliance Office, the Office of Financial Aid,  
91 the Office of the Registrar, the Office of Institutional Research, and others.  
92 The FAR and AD are members of SWAT.

93  
94  
95  
96

**UConn Club**

A private organization of supporters of UConn Athletics. The UConn Club operates under the oversight of the University of Connecticut Foundation, with staff support provided by the Division of Athletics.

DRAFT

## Governance and Commitment to Rules Compliance

97  
98  
99

### Operating Principle

101 **1.1 Institutional Control, Presidential Authority and Shared Responsibilities.** *The*  
102 *Association's principle of institutional control vests in the institution the responsibility for the*  
103 *conduct of its athletics program, including the actions of its staff members and representatives of*  
104 *its athletics interests. In fulfilling this principle, the institution shall demonstrate that:*

105 *a. The institution's governing board provides oversight and broad policy formulation for*  
106 *intercollegiate athletics in a manner consistent with other units of the institution.*

107 *b. The chief executive officer is assigned ultimate responsibility and authority for the operation*  
108 *and personnel of the athletics program.*

109 *c. Appropriate campus constituencies have the opportunity, under the purview of the chief*  
110 *executive officer, to provide input into the formulation of policies relating to the conduct of the*  
111 *athletics program and to review periodically the implementation of such policies.*

### Self Study Items

112  
113  
114 **1. List all "corrective actions," "conditions for certification," or "strategies for**  
115 **improvement" imposed by the NCAA Division I Committee on Athletics Certification in its**  
116 **first-cycle certification decision (if any) as they relate to Operating Principle 1.1**  
117 **(Institutional Control, Presidential Authority and Shared Responsibilities). In each case,**  
118 **provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the**  
119 **action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for**  
120 **any partial or non-completion of such required actions. Please note, the institution is not**  
121 **required to respond to recommendations for required actions developed by the peer-review**  
122 **team unless those same recommendations were adopted by the Committee on Athletics**  
123 **Certification.**

124  
125  
126 There are none

127  
128 **2. List all actions the institution has completed or progress it has made regarding all plans**  
129 **for improvement/recommendations developed by the institution during its first-cycle**  
130 **certification process for Operating Principle 1.1 (Institutional Control, Presidential**  
131 **Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the**  
132 **actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or**  
133 **not completed; and (e) explanations for partial completion. Please note, the institution will**  
134 **not be required to fulfill an element of a first-cycle plan if the element does not affect**  
135 **conformity with an operating principle.**

136  
137 There are none.

138  
139 **3. Describe any additional plans for improvement/recommendations relating to Operating**  
140 **Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities)**  
141 **developed by the institution since the first-cycle certification decision was rendered by the**  
142 **Committee on Athletics Certification.**

143 The University identified three issues related to governance as a result of the first-cycle  
144 certification process. A mission statement for the Division of Athletics was created, the  
145 *University of Connecticut Laws and Bylaws* were changed to reflect the fact that the Director of  
146 Athletics reports directly to the President, and a formal process of nominating members to the  
147 President's Athletic Advisory Committee was created.  
148

149 **4. Describe how the institution's governing board decisions are consistent with those of**  
150 **other on-campus units. Based upon the institution's experience in the last three years, list**  
151 **the decisions (if any) related to intercollegiate athletics in which the institution's governing**  
152 **board or individual board members have been significantly involved.**  
153

154 The *University of Connecticut Laws and By-Laws* vest corporate authority in the University's  
155 Board of Trustees and mandate the Board to determine the general policies of the University,  
156 make laws for its government, manage its investments, and direct the expenditure of funds.  
157 Working through the relevant committees (primarily including Financial Affairs and Institutional  
158 Advancement), the Board oversees policies regarding intercollegiate athletics in the same  
159 manner as it oversees other aspects of the University's operation. Specifically, the Board of  
160 Trustees approves a biennial operating budget (adjusted on an annual basis and as needed) that  
161 reflects expenditures and revenues; consults with the President on major appointments (including  
162 the Director of Athletics) and compensation arrangements; approves facilities plans and budgets,  
163 particularly in the context of the University's overall multi-billion dollar infrastructure  
164 improvement program; reviews external fundraising for all units, including the Division of  
165 Athletics; and oversees matters pertaining to Athletics Conference participation. The Board of  
166 Trustees is briefed and consulted in executive session on significant litigation relating to the  
167 Division of Athletics, as on litigation matters pertaining to other units of the University.  
168

169 The President's Athletics Advisory Committee includes, as a permanent position, a member of  
170 the Board of Trustees. A Board of Trustees members served on the Self-Study Steering  
171 Committee.  
172

173 Specific decisions during 2004-07 which the Board of Trustees played a key role are listed  
174 below. Where relevant, Board minutes citations are included. It is important to note that Board  
175 consideration of major personnel and expenditure items are not *pro forma*, but generally reflects  
176 briefings and discussion both at and prior to Board meetings.  
177

- 178 1. Consultation with the President regarding terms of employment of the Director of  
179 Athletics (recruited in 2003, but contract negotiations concluded in 2004).
- 180 2. Approval of capital budget for FY 2004-05 and relevant bonding issuances, incorporating  
181 an acceleration of the timetable for the University's Intramural, Recreational and  
182 Intercollegiate Facilities project (Burton Family Football Complex and Mark R.  
183 Shenkman Training Center). (Board Minutes, March 23, 2004, p. 8649)
- 184 3. Approval of a revised capital budget for FY 2005 of \$31 million of UCONN 2000 funds  
185 and \$10 million in private funding for the indoor practice facility then under construction,  
186 to better align expenditures with cash flow needs. (Board Minutes, February 23, 2005, p.  
187 8725.) Decision affirmed on June 21, 2005 (Board Minutes, June 21, 2005, p. 8765).
- 188 4. Approval of final Budget totaling \$45,597,000 for the Intramural, Recreational and  
189 Intercollegiate Facilities (Burton Family Football Complex and Mark R. Shenkman

- 190 Training Center), and approval of the final budget for \$900,000 for North Hillside Road  
191 Tennis Courts to replace courts displaced by the Burton and Shenkman projects. (Board  
192 Minutes, August 2, 2005, p. 8780).
- 193 5. Approval of various deferred maintenance and renovations expenditures pertaining to the  
194 Division of Athletics, including some (e.g. Field House roof replacement) that impact  
195 intercollegiate athletics (Board Minutes, September 20, 2005, p. 8795).
  - 196 6. Increase the Intramural, Recreational and Intercollegiate Facilities project (Burton Family  
197 Football Complex and Mark R. Shenkman Training Center) by \$8,200,000. (Board  
198 Minutes, June 20, 2006, p. 8884).
  - 199 7. Approval of revised final budget for the Burton Family Football Complex/Mark R.  
200 Shenkman Training Center of \$48,777,660. (Board Minutes, September 26, 2006, p.  
201 8898).
  - 202 8. Approval of Division of Athletics operating budgets for all years.
  - 203 9. Assurance that all matters affected by State of Connecticut ethics regulations are applied  
204 appropriately to Athletics activities (e.g., access to tickets for intercollegiate games).
  - 205 10. Review of all aspects of UConn conference relationships, in the context of Big East  
206 changes in 2004-05. The Board was briefed in Executive Session by the President and by  
207 the Assistant Attorney General of the State of Connecticut, and consulted on litigation  
208 goals and strategy. The Board approved by consensus the final settlement of legal issues  
209 involved.

210  
211 **5. Based upon the institution's experience in the last three years, list the decisions related to**  
212 **intercollegiate athletics in which the institution's chief executive officer has been**  
213 **significantly involved.**

214  
215 The *University of Connecticut Laws and Bylaws* state (Article VII, section 4) that "The Division  
216 of Athletics is directly responsible to the President."

217  
218 The President appoints, evaluates, and adjusts compensation for the Director of Athletics, who  
219 reports directly to the President. The Director of Athletics participates in the weekly Senior  
220 Administrative Staff meetings and either meets with or talks to the President by telephone at  
221 least two or three times each week. The President is directly engaged in all major personnel,  
222 budgetary, facilities and fundraising decisions, and through his designee (the Executive Assistant  
223 to the President) approves all significant financial and personnel transactions.

224  
225 The President has been significantly involved in the following major decisions related to  
226 intercollegiate athletics over the past three years:

- 227  
228 1. Terms of employment for the Director of Athletics and the coaches of all major sports.  
229 The President has approved compensation and all other aspects of the University's  
230 contractual relationship with these officials.
- 231 2. Determination of the Division of Athletics operating budget request to the Board of  
232 Trustees.
- 233 3. Determination of all issues involving the Division's building program, including funding  
234 requests submitted to the Board of Trustees.

- 235 4. Determination of the Division of Athletics' external fundraising priorities, and the  
236 Division's priority ranking within the University's overall fundraising campaign.  
237 5. Determination of applicability of State of Connecticut ethics requirements to specific  
238 aspects of Division of Athletics operations (e.g., ticket policy), as part of the overall  
239 oversight of University ethics issues.  
240 6. Determination of the annual list of issues for focus by the President's Athletic Advisory  
241 Committee (PAAC). In the past three years this list has included the academic progress  
242 of student-athletes, facilities utilization issues, and overall assurance of continued  
243 monitoring and compliance with all NCAA policies and regulations.  
244

245 **6. Describe the process by which the institution makes major decisions regarding**  
246 **intercollegiate athletics. In so doing, describe the role and authority of the institution's**  
247 **governing board, the chief executive officer, the athletics board or committee (if one exists),**  
248 **the faculty athletics representative(s), the director of athletics, and any other appropriate**  
249 **campus constituencies (e.g., faculty, students, institutional personnel involved in rules-**  
250 **compliance activities) in this process.**  
251

252 The **President**, in conjunction with the **Board of Trustees**, has ultimate authority for the  
253 Division of Athletics. When appropriate, the President consults with the Board of Trustees.  
254 Major issues are presented to the Board of Trustees for review, discussion or approval.  
255

256 The **Director of Athletics** reports to the President and serves as a member of the Senior  
257 Administrative Team that meets with the President weekly. As is the case with all the members  
258 of the President's Senior Administrative Team, the Director of Athletics consults with the  
259 President on major decisions related to staffing, budget and policy. The Director of Athletics  
260 depends on senior staff within the division to assist with long-term planning and oversight of  
261 day-to-day operations.  
262

263 The **President's Athletic Advisory Committee (PAAC)** makes recommendations to the  
264 President on all matters related to athletics. The specific responsibilities of the President's  
265 Athletic Advisory Committee include:  
266

- 267 • To promote an understanding of intercollegiate athletics among all members of the  
268 University community.
- 269 • To maintain and foster a clear commitment to academic integrity within the University  
270 athletic program.
- 271 • To ensure as a priority the commitment to the student-athlete in all athletic activities.
- 272 • To participate in and provide advisory support for the establishment, maintenance, and  
273 interpretation of athletic policies.
- 274 • To provide counsel to the President, Board of Trustees, Director of Athletics, and University  
275 Senate concerning matters of athletic policy formation, budgetary planning, educational  
276 programming, staff development, and athletic scheduling.
- 277 • To provide counsel to the Faculty Athletic Representative in matters of student-athlete  
278 eligibility, "standing of students" actions, general student-athlete academic advancement and  
279 NCAA legislative proposals.

- 280 • To participate in and review the results of periodic institutional departmental self-study  
281 processes, including the NCAA-required institutional athletics self-study.  
282

283 These responsibilities cover all aspects of these programs, including their impact on the  
284 University community and the general public. The PAAC plays a major role in developing and  
285 stating the policy goals and program priorities to guide the Division of Athletics. For example,  
286 the PAAC drafted the mission statement for the Division of Athletics. The PAAC is also  
287 charged with promoting an understanding of the athletic program and encouraging excellence in  
288 academics and athletics, which in turn support's the University's overall commitment to  
289 excellence. In support of this expectation the PAAC conducts regular small group meetings with  
290 faculty and staff to encourage feedback on Division of Athletics. The PAAC may recommend  
291 policy or regulations changes to the NCAA, University Senate, or to other University governing  
292 bodies. It may advise the Director of Athletics on matters regarding program evaluation,  
293 divisional policies, and divisional operations, as he may request. It also undertakes specific  
294 projects as required by the President, and is free to consider any other issues that relate to its  
295 basic mission.  
296

297 The Chair of the PAAC, with advice from a PAAC Executive Committee, selects the chairs of  
298 the standing subcommittees and appoints each subcommittee after soliciting volunteers from the  
299 PAAC membership. Members of the subcommittees receive complete information on all relevant  
300 areas upon request. Whenever expertise from within or outside the University is deemed  
301 necessary, every effort is made to provide it. Every opportunity for full discussion of each  
302 proposal is provided prior to taking action. Each subcommittee has the opportunity to present an  
303 update of its activity at every PAAC meeting, and annual reports of all subcommittees are given  
304 at the last meeting of each academic year (normally April or May).  
305

306 The standing subcommittees and their duties follow.  
307

#### 308 Academic Subcommittee

309 The general purpose of the Academic Subcommittee is to ensure that appropriate academic  
310 standards are established and maintained for all student-athletes. The subcommittee is charged to  
311 bring forward recommendations to the PAAC pertaining to the following areas:

- 312 a. Policies and procedures regarding standards and criteria for admission of student-athletes.  
313 b. Policies and procedures regarding standards and criteria for continuing eligibility of  
314 student-athletes.  
315 c. Policies and procedures for recruitment and awarding of grants-in-aid.  
316 d. Academic support services.  
317 e. Retention and graduation rates.  
318 f. Policies regarding scheduling and practice times.  
319 g. Policies regarding post-season and tournament participation.  
320

#### 321 Budget and Facilities Subcommittee

322 In general, this subcommittee is charged to monitor activities of the Division of Athletics  
323 pertaining to budget and facilities. The subcommittee is charged to bring forward



324 recommendations to the PAAC pertaining to the following areas:

- 325 a. The preparation of the Division's budget by the Director of Athletics.
- 326 b. Policies regarding the development and utilization of athletic and recreation facilities.
- 327 c. Policies regarding the number and distribution of grants-in-aid.
- 328 d. Policies and criteria regarding which sports are to be certified as intercollegiate sports.
- 329 e. Policies for athletic event price schedules, seating priorities and ticket allocation.
- 330 f. Financial audits of the Division of Athletics as well as the UConn Club and Student-
- 331 Athlete Advisory Committee.

332

### 333 Student Life Subcommittee

334 This subcommittee is concerned with non-academic aspects of student-athletes' involvement at  
335 the University. The subcommittee is charged to bring forward recommendations to the PAAC  
336 pertaining to the following areas:

- 337 a. Personal and social development of all student-athletes relevant to their full integration  
338 into campus life.
- 339 b. Policies for determining when health and other non-academic factors are used to restrict a  
340 student's involvement in intercollegiate athletics.
- 341 c. Policies concerning the nature and type of health screening and drug testing to be used.
- 342 d. Policies regarding housing assignments.
- 343 e. Policies regarding grants-in-aid and retention of these awards.
- 344 f. Policies regarding scheduling and practice times.
- 345 g. Policies regarding post-season and tournament participation.

346

### 347 Diversity and Equity Subcommittee

348 In general, this subcommittee helps the Division of Athletics ensure that the appropriate  
349 University standards are used to achieve and maintain its diversity and equity objectives. The  
350 subcommittee is charged to bring forward recommendations to the PAAC pertaining to  
351 opportunity and equity for women and minorities in the following areas:

- 352 a. Employment policies and practices that affect female and minority employees in both  
353 coaching and athletic administration and support functions.
- 354 b. Policies and practices affecting the welfare of female and minority student athletes, in  
355 conjunction with the subcommittee on Student Life.
- 356 c. Supportive and bias-free academic and workplace environments.
- 357 d. Access to and provision of resources, facilities, programs, and services to female and  
358 minority student athletes.
- 359 e. Avenues and mechanisms for addressing concerns and soliciting input from student-  
360 athletes and employees.

361

### 362 Institutional Certification and Compliance Subcommittee

363 In general this subcommittee monitors all aspects of the institutional certification process and  
364 compliance issues. The subcommittee is charged to bring forward recommendations to the  
365 PAAC pertaining to the following areas:

- 366 a. Policies and procedures regarding proposed institutional certification.

- 367 b. The University's compliance with the policies and procedures of the NCAA.  
368 c. New NCAA legislation.  
369 d. Policies and procedures regarding self-reporting.  
370 e. Policies and procedures regarding rules-education.  
371

372 Faculty/Staff Relations Subcommittee

373 The purpose of this subcommittee is to provide an information mechanism for communication  
374 between the faculty, staff, Division of Athletics, and the PAAC. Its specific functions include:

- 375 a. To provide a vehicle to disseminate information related to athletics to the faculty and  
376 staff.  
377 b. To serve as a liaison for faculty and staff to present issues and opinions to the PAAC.  
378

379 Ad Hoc Subcommittees

380 With advice from the Executive Committee, the Chair of the PAAC may name *ad hoc*  
381 subcommittees when appropriate and will select chairs of these committees once volunteers from  
382 the President's Athletic Advisory Committee membership have been solicited.  
383

384 The members of the PAAC are appointed by the President of the University, who also appoints  
385 the chair. The NCAA constitution requires that a majority of the members be tenure-track  
386 faculty or administrators of the University. The NCAA Faculty Athletics Representative and the  
387 Director of Athletics are also members of the President's Athletic Advisory Committee. In  
388 addition to other appointed faculty members the University Senate elects two faculty members  
389 from the Senate to serve on the PAAC. The membership also includes a member of the Board of  
390 Trustees, a representative of the Alumni Association, a representative of the UConn Club  
391 (usually the past-President), a student who is a member of a varsity team, a student who is not a  
392 member of a team, and other alumni or friends of the University. The number of members is  
393 normally about 20 in order to meet the composition requirements. The appointments are for a  
394 fixed term, normally one year for students, and three years for others. Terms may be renewed at  
395 the discretion of the President.  
396

397 The **Faculty Athletics Representative** (FAR) reports directly to the President and is responsible  
398 for reviewing the status of NCAA compliance activities and academic integrity within the  
399 University. Specific responsibilities include:

- 400 • Oversee investigating and reporting violations of NCAA regulations.  
401 • Oversee the certification process for academic eligibility of student-athletes.  
402 • Act as liaison between the institution and the NCAA and Faculty Athletics  
403 Representatives Association.  
404 • Serve as advisor to the President on both internal and external athletic and academic  
405 issues.  
406 • Serve as an advisor to the Director of Athletics and as a liaison between the Division of  
407 Athletics and the University community.  
408 • Serve as an advisor to the President's Office and the Division of Athletics on student-  
409 athlete related issues.

- 410 • Serve as liaison between the Division of Athletics and the academic program of the
- 411 University, particularly as an advisor to the Counseling Program for Intercollegiate
- 412 Athletes and as a liaison between program participants and the faculty.
- 413 • Assist student-athletes with academic, athletic and personal issues.
- 414 • Assist the Director of Athletics in monitoring “representatives of athletics interests,”
- 415 including the UConn Club to insure compliance with NCAA regulations.

416  
417 The **University Senate** is involved with Athletics both indirectly through faculty representation  
418 on PAAC and the Faculty Athletic Representative and directly through its involvement with the  
419 Coalition on Intercollegiate Athletics, a group of representatives including more than fifty  
420 faculty senate leaders at schools that play Division I-A football. This group has collaborative  
421 relationships with the new NCAA leadership, the American Association of University Professors  
422 (AAUP), and the Association of Governing Boards, a national trustee organization. Its goal is to  
423 help concerned faculty find a national voice and to contribute momentum and ideas to the  
424 growing movement for college sports reform. The Coalition was prompted by efforts to initiate  
425 reforms made by university presidents of Bowl Championship Series schools, and for this  
426 reason, it began by contacting colleagues at those schools. In preparation for a broadened  
427 agenda, the Coalition contacted faculty senate leaders in all other Division I-A schools, including  
428 those schools that compete in football as Independents (i.e., not members of conferences). The  
429 Coalition works through a Steering Committee of 13 members, which includes several school  
430 Faculty Athletics Representatives, as well as present or recent senate leaders. The committee has  
431 drafted a plan for reform, moderate in the short term, but sustainable and comprehensive in its  
432 ultimate objectives, to address problems connected with academics, student welfare issues, costs,  
433 commercialization, and the governance of college sports. UConn’s representative attends the  
434 annual meetings of the coalition. In addition, the Director of Athletics presents an Annual  
435 Report to the University Senate in the fall semester.

436  
437 The **University of Connecticut Foundation, Inc.** (“Foundation”), chartered in 1964 as a charitable,  
438 non-profit corporation, is recognized as a tax-exempt organization under Section 501(c)(3) of the  
439 Internal Revenue Code. The Foundation is separate and independent from the University of  
440 Connecticut and operates exclusively to promote the educational, cultural, recreational, and research  
441 facilities and activities of the University. The Foundation supports the University’s pursuit of excellence  
442 in teaching, research, and public service primarily through raising and managing funds which benefit all  
443 campuses and programs of the University. The Athletic Director is a non-voting ex-officio member of  
444 the Foundation’s Board of Directors

445  
446 The Foundation has been designated as the primary fundraising arm for the University. All  
447 contributions to athletics are deposited with the Foundation under the general title of the  
448 University of Connecticut Athletic Development Fund (UCADF), except corporate sponsorships,  
449 which are deposited with the University. Typically each athletic team has a separate fund with  
450 the Foundation for receiving deposits and making disbursements. It should be noted that  
451 Foundation staff, including Athletic Development staff, receive employment supervision and  
452 direction from the Foundation. The Foundation-Athletic Development employees work in close  
453 collaboration with the Division of Athletics. The Foundation staff provides the University with  
454 deposit and disbursement details from Foundation accounts for the annual NCAA financial audit.

455

456 The **Student-Athlete Welfare & Academic Team (SWAT)** brings together various campus  
457 constituents responsible for student-athlete academic development and oversight to enhance  
458 communication and share information critical to providing complete services to student-athletes.  
459 The UConn SWAT began in 2001 and is committed to enhancing the academic support of  
460 student-athletes' welfare, advocating for the student-athlete when needed and ensuring  
461 compliance with NCAA and University regulations so that student-athletes will be successful in  
462 their academic preparation, athletic participation and personal development while at the  
463 University of Connecticut. In addition, SWAT promotes cooperation among the various  
464 departments involved with student-athlete certification of eligibility and academic progress. This  
465 mission is carried out through monthly meetings during the academic year to discuss student life  
466 issues and concerns related to student-athletes' academic success. The units represented on  
467 SWAT include the Counseling Program for Intercollegiate Athletes, the Compliance Office, the  
468 Office of Financial Aid, the Office of the Registrar/Degree Audit, the Office of Institutional  
469 Research, the NCAA Faculty Athletics Representative, and the Director of Athletics. A SWAT  
470 executive board includes the directors of each of these departments.

471  
472 The **Student-Athlete Advisory Committee (SAAC)** is a University recognized student  
473 organization and has a charter on file in the Student Union. The officers include: President, Vice  
474 President, Secretary, Community Service Chair, Social Chair, and Historian. The Vice President  
475 also serves as the Treasurer with the institution. Membership is voluntary. Generally two  
476 representatives from each varsity sport are included (selected by their head coach), but other  
477 interested student-athletes may also become involved and are encouraged to join SAAC and  
478 attend regular meetings. The organization generally includes about 40-50 active members.

479  
480 The SAAC meets monthly during the academic year. An Executive Board meets prior to each  
481 SAAC meeting and sub-committees meet as needed.

482  
483 The Division of Athletics utilizes this student organization to elicit feedback from student-  
484 athletes and serve as a means of direct connection between student-athletes and the Director of  
485 Athletics. The SAAC performs various community service projects and provides a link between  
486 campus life and the athletic administration.

487  
488 There are some instances when major decisions regarding the athletics program are made or  
489 implemented following review and action by the **Big East Conference, the Atlantic Hockey  
490 Association, the Hockey East Women's Conference, or the NCAA**. Issues determined by  
491 these entities may include the negotiation and execution of television contracts, football bowl tie-  
492 ins, and the implementation of other academic, athletic, fiscal and miscellaneous provisions. The  
493 University participates in the decision-making of these bodies through the various governance  
494 mechanisms established for each, with development of institutional positions on major issues  
495 typically formulated through a cooperative effort including the President, the Board of Trustees,  
496 the Director of Athletics, the President's Athletic Advisory Committee, the Vice President and  
497 Chief Financial Officer, the NCAA Faculty Athletics Representative, and the senior  
498 administrative staff of the Division of Athletics.

499  
500 As is the case with any campus unit that includes a significant number of students and staff, the  
501 Division of Athletics interacts on a daily basis with a host of campus departments including but

502 not limited to Human Resources, Residential Life, Accounting and Budget. Many of these  
 503 offices identify specific individuals to act as liaisons with athletics to assist with decisions that  
 504 would have a significant impact on the Division.  
 505

506 **7. Please provide the composition of the athletics board or committee (including titles and**  
 507 **positions).**

508  
 509 The athletics board at the University of Connecticut is the President's Athletic Advisory  
 510 Committee. The members are listed below.  
 511

| <b>Name</b>   | <b>Department</b>  |
|---|--|
| Daniel Blume  | Alumni Association   |
| Mark Boyer  | Professor, Department of Political Science   |
| Scott Brown<br><b>NCAA Faculty Athletics<br/>Representative</b> | Professor, Department of Educational<br>Psychology   |
| Bruce Cohen   | Director, Counseling Program for<br>Intercollegiate Athletes   |
| Robert Colbert  | Assistant Professor, Department of Educational<br>Psychology   |
| Larry Gramling  | Assistant Professor, Department of Accounting;<br>Senate Representative, Coalition on<br>Intercollegiate Athletics |
| Jeffrey Hathaway  | Director of Athletics  |
| Rob Hoskin, Chair   | Associate Professor, Department of Accounting  |
| Jason Irizarry  | Assistant Professor, Department of Education<br>Curriculum and Instruction   |
| Julius James  | Student-Athlete Representative   |
| Emily Karel   | Student-Athlete Representative; Vice President,<br>Student-Athlete Advisory Committee                              |
| Michael Martinez  | Member, University Board of Trustees   |
| Lee Melvin  | Director, Undergraduate Admissions   |
| Mayte Perez-Franco  | Director, Puerto Rican Latin American Cultural<br>Center   |
| John Saddlemire   | Vice President for Student Affairs   |
| Ronald Schurin  | Executive Assistant to the President and<br>Executive Secretary to the Board of Trustees                           |
| Bill Shults   | Associate Athletic Director,<br>Athletics/Compliance   |
| Eric Soulsby  | Assistant Vice Provost, Undergraduate<br>Education and Instruction   |
| Susan Spiggle   | Associate Professor, Department of Marketing   |
| Linda Strausbaugh   | Professor, Department of Molecular and Cell<br>Biology   |
| Jeff Von Munkwitz-Smith   | University Registrar, Division of Enrollment   |

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|                |  |
|----------------|--|
|                | Management   |
| Dana Wilder    | Assistant Vice Provost   |
| Frank Wunschel | Office of Institutional Research   |
| Janet Williams | Student-Athlete Representative; President,<br>Student-Athlete Advisory Committee |
| Paul Young     | UConn Club   |
| Steve Zinn     | Professor, Department of Animal Science;<br>Senate Representative                |

512

513 **Information to be available to the peer-review team, if requested:**

514 PAAC meeting minutes (Annual Report)

515 List of Board of Trustees with titles and positions

516 BOT published policies related to athletics

517 BOT meeting minutes related to athletics

518 University and Division of Athletics organizational charts

519 SAAC meeting minutes

520 SWAT meeting minutes

DRAFT

1 **Operating Principle**

2 ***1.2. Rules Compliance.*** *Membership in the Association places the responsibility on each*  
3 *institution to assure that its staff, student-athletes, and other individuals and groups representing*  
4 *the institution's athletics interests comply with the applicable Association rules and regulations.*

5 *Consistent with this responsibility, the institution shall demonstrate that:*

6 ***a.*** *It has in place a set of written policies and procedures that assign specific responsibilities in*  
7 *the areas of rules compliance, including assignment of direct accountability for rules compliance*  
8 *to the individual the chief executive officer assigns overall responsibility for the athletics*  
9 *program.*

10 ***b.*** *In critical and sensitive areas, institutional compliance procedures provide for the regular*  
11 *participation of persons outside of the athletics department.*

12 ***c.*** *Rules compliance is the subject of an ongoing educational effort.*

13 ***d.*** *A clear and unambiguous commitment to rules compliance is a central element in all*  
14 *personnel matters for individuals involved in the intercollegiate athletics program.*

15 ***e.*** *At least once every four years, its rules-compliance program is the subject of evaluation by an*  
16 *authority outside of the athletics department.*

17  
18 **Self-Study Items**

19 **1. List all “corrective actions,” “conditions for certification” or “strategies for**  
20 **improvement” imposed by the NCAA Division I Committee on Athletics Certification in its**  
21 **first-cycle certification decision (if any) as they relate to Operating Principle 1.1**  
22 **(Institutional Control, Presidential Authority and Shared Responsibilities). In each case,**  
23 **provide: (a) the original “corrective action,” “condition” or “strategy” imposed; (b) the**  
24 **action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for**  
25 **any partial or non-completion of such required actions. Please note, the institution is not**  
26 **required to respond to recommendations for required actions developed by the peer-review**  
27 **team unless those same recommendations were adopted by the Committee on Athletics**  
28 **Certification.**  
29

30 There are none  
31

32 **2. List all actions the institution has completed or progress it has made regarding all plans**  
33 **for improvement/recommendations developed by the institution during its first-cycle**  
34 **certification process for Operating Principle 1.1 (Institutional Control, Presidential**  
35 **Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the**  
36 **actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or**  
37 **not completed; and (e) explanations for partial completion. Please note, the institution will**  
38 **not be required to fulfill an element of a first-cycle plan if the element does not affect**  
39 **conformity with an operating principle.**  
40

41 There are none.  
42

43 **3. Describe any additional plans for improvement/recommendations relating to Operating**  
44 **Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle**  
45 **certification decision was rendered by the Committee on Athletics Certification.**  
46

1 The University identified one area related to rules compliance that has been addressed since the  
2 first-cycle certification process. At the time of the initial certification process there were a  
3 number of individual “booster clubs” associated with individual teams. Although each group  
4 was well supervised and fully cognizant of NCAA rules and regulations, it was determined that a  
5 more efficient approach would be to bring all of the groups together under one organization, The  
6 UConn Club. This change has allowed for better communication between the University and  
7 members of the support group.  
8

9 **4. Describe how the activities of the institution’s athletics booster groups, support groups**  
10 **and other representatives of the institution’s athletics interests are maintained under the**  
11 **clear control of the institution, including whether institutional personnel serve on booster-**  
12 **club, support group or foundation boards.**

13  
14 The UConn Club is the umbrella organization for groups and individuals who support the  
15 athletics program at the University of Connecticut. It is recognized as a tax-exempt organization  
16 under Section 501(c)(3) of the Internal Revenue Code. The UConn Club is governed by specific  
17 by-laws which outline the purpose, governance, membership, and finances of the organization.  
18

19 The purpose of the UConn Club is to unite alumni and friends through their interest in University  
20 of Connecticut athletics, uphold the aims and policies of UConn and the NCAA, provide  
21 financial opportunities for student-athletes who qualify academically for assistance in accordance  
22 with NCAA rules and regulations, and carry on fund-raising for the UConn Athletic  
23 Development Fund and the UConn Club. Any alumnus or friend who annually supports the  
24 UConn Development Fund at a predetermined minimum level is automatically a member of the  
25 UConn Club. All members of the organization are entitled to attend and vote at annual meetings.  
26 The Board of Directors of the UConn Club has the right to revoke membership from individuals  
27 whose conduct is in violation of University of Connecticut and/or NCAA regulations or in any  
28 other manner jeopardizes the good standing of the University and/or the Division of Athletics.  
29

30 The Executive Director of the UConn Club is an employee of the Division of Athletics. The  
31 Board of Directors is selected from the Club membership and each serves a three-year term. Up  
32 to ten new Board of Directors members are elected at the annual meeting. The Director of  
33 Athletics, the President of the University Alumni Association, the NCAA Faculty Athletics  
34 Representative and the Director of Athletics Development serve as non-voting ex-officio  
35 members.  
36

37 All requests to the UConn Club for expenditures must be approved by the Director of Athletics.  
38 The Board of Directors appoints a certified public accounting firm to conduct an annual  
39 compilation of its financial statements. In addition, the books and records are open to audit by  
40 the University to ensure compliance with NCAA regulations.  
41

42 **5. Identify how the institution has organized itself to maintain compliance with NCAA**  
43 **rules. Specify the individual (other than the institution’s compliance officer/coordinator)**  
44 **who the CEO designates as being responsible for the institution’s rules compliance. Also,**  
45 **include a description of the reporting lines for and responsibilities assigned to the faculty**  
46 **athletics representative, director of athletics, compliance coordinator, coaches, and other**  
47 **key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions**



1 **director, internal auditor) who are responsible for documenting and monitoring**  
2 **compliance with NCAA rules, including but not limited to eligibility certification,**  
3 **investigation and self reporting of violations and monitoring of financial aid.**  
4

5 The President, under the oversight of the Board of Trustees, is responsible for the Department of  
6 Athletics. The Director of Athletics is a member of the President's cabinet and is the individual  
7 ultimately responsible for rules compliance.  
8

9 Under the direction of the Director of Athletics, the University has a comprehensive compliance  
10 program designed to align with NCAA guidelines and principles, which ensures institutional  
11 control. Compliance efforts are proactive and include a comprehensive education effort  
12 provided to all University and non-University constituencies connected to athletics. Compliance  
13 efforts include a regular audit of policies and procedures by an independent agency.  
14

15 Within the Division of Athletics, the Associate Athletic Director of NCAA Rules Education and  
16 Compliance is responsible for rules compliance. The Compliance staff also includes an Assistant  
17 Director of Rules Compliance and a Coordinator of Compliance and Financial Aid.  
18

19 A thorough rules education effort is in place for individual coaches and team members.  
20 Individual coaches report to senior athletics staff and each coach is responsible for their assistant  
21 coaches.  
22

23 The Financial Aid Office and the Registrar's Office have designated staff members involved in  
24 rules compliance efforts. The Admissions office is also involved in the initial certification  
25 efforts. These offices report to the Vice Provost for Enrollment Management, who reports to the  
26 Provost and Executive Vice President for Academic Affairs.  
27

28 The Counseling Program for Intercollegiate Athletes works directly on student-athlete issues  
29 related to academic progress and personal development. The Director of the Counseling  
30 Program for Intercollegiate Athletes reports directly to the Provost and Executive Vice President  
31 for Academic Affairs.  
32

33 A major component of compliance is the Student-Athlete Welfare & Academic Team (SWAT),  
34 discussed above under Operating Principle 1.1. As indicated, this team brings together the  
35 various campus constituents involved with student-athlete certification of eligibility and  
36 academic progress. Its members meet monthly to discuss individual student concerns and review  
37 policies and procedures related to compliance and rules education. The Chair of SWAT is the  
38 Faculty Athletics Representative, and both the Director of Athletics and the Associate Athletic  
39 Director of NCAA Rules Education and Compliance are members. The units represented on  
40 SWAT include the Counseling Program for Intercollegiate Athletes, the Compliance Office, the  
41 Office of Financial Aid, the Office of the Registrar/Degree Audit, and the Office of Institutional  
42 Research. The Director of Athletics serves on SWAT.  
43

44 The Faculty Athletics Representative is a critical component of rules compliance. Serving as an  
45 advisor to the president, the Faculty Athletics Representative reviews the status of compliance  
46 activities within the University on an annual basis, oversees the certification process and assumes

1 responsibility, in conjunction with the Director of Athletics, for investigating and reporting  
2 violations of NCAA regulations.

3  
4 The Office of Compliance, part of the University Office of Audit, Compliance and Ethics, is  
5 charged with monitoring regulatory compliance activities across the University and promoting  
6 the use of best practices. As part of the University's implementation of best practices, a  
7 Compliance Officer has been identified, a University-wide Code of Conduct has been created  
8 and distributed to staff, and mandatory training is conducted for faculty and staff across the  
9 University. In addition, a University compliance committee has been established, and consists of  
10 representatives from all the regulatory compliance areas, including NCAA compliance. Through  
11 this committee, the Office of Compliance exercises oversight to ensure that appropriate policies  
12 and procedures, as well as a monitoring plan, are in place.

13  
14 **6. Describe how the institution ensures that rules compliance is a central element in**  
15 **personnel matters for individuals inside the athletics department. Specifically, the**  
16 **institution must provide evidence that all individuals inside the athletics department who**  
17 **are involved or associated with athletics have statements regarding the importance of rules**  
18 **compliance in all of the following documents: contracts or letters of appointment,**  
19 **performance evaluations and job descriptions.**

20  
21 The Division of Athletics has clear and explicit expectations for all staff involved in rules-  
22 compliance activities. These expectations are communicated directly through documents such as  
23 job descriptions and through a comprehensive educational effort provided to all Athletic Division  
24 staff.

25  
26 Position descriptions for the administrative staff in the Division of Athletics include specific  
27 statements regarding rules compliance. The scope of the statement varies depending on the  
28 individual's specific responsibilities, but a typical example is as follows, "Remains current and  
29 ensures compliance with University, Conference and NCAA rules and regulations."

30  
31 The employment agreement for coaches includes numerous references to rules compliance in  
32 general and NCAA legislation in particular. The following excerpt is one example:

33  
34 To recognize and comply with...rules and official interpretations of the  
35 National Collegiate Athletic Association (NCAA)...Also, the Coach  
36 agrees to comply with the rules and regulations of any conference the  
37 (specific sport) program may become affiliated with during the terms of  
38 this Agreement. Also, the Coach shall reasonably endeavor to ensure  
39 through rules education sessions or other means that all assistant coaches  
40 and any other employees for whom the Coach is administratively  
41 responsible, comply with aforesaid policies, rules, and regulations. If the  
42 Coach has knowledge of any information that would reasonably be  
43 considered by a person in Coach's position, as a possible violation of  
44 NCAA legislation or rule of the (specific sport) conference with which the  
45 University is affiliated, the Coach shall immediately report such

1 information to the Athletics Director, Associate Athletic Director,  
2 Compliance staff or the Faculty Athletics Representative.

3  
4 **7. Describe how the institution ensures that rules compliance is a central element in**  
5 **personnel matters for individuals outside the athletics department who are involved in**  
6 **rules-compliance activities. Specifically, the institution must provide evidence that all**  
7 **individuals outside the athletics department who are involved or associated with athletics**  
8 **have statements regarding the importance of rules compliance in all of the following**  
9 **documents: contracts or letters of appointment, performance evaluations and job**  
10 **descriptions.**

11  
12 There are clear and explicit expectations for all University staff involved directly with rules-  
13 compliance activities. These expectations are communicated directly through documents such as  
14 job descriptions and through a comprehensive educational effort.

15  
16 The areas outside of athletics most directly involved with rules compliance are the Counseling  
17 Program for Intercollegiate Athletes, the Registrar's Office and Financial Aid. All of the  
18 position descriptions for the individuals involved in these activities include statements regarding  
19 rules compliance. They are also part of a regular rotation that sends staff to NCAA Rules  
20 Seminars for new training on three-year cycle refreshers. Specific examples are listed below

21  
22 Counseling Program for Intercollegiate Athletes Counselor Responsibilities

- 23 • Demonstrate knowledge of University and NCAA rules, regulations and course  
24 requirement
- 25 • Provide Compliance Coordinator with necessary academic information as it pertains to  
26 NCAA rules

27  
28 Financial Aid

- 29 • Awards athletic Grant-in-aid in a manner compliant with University and NCAA rules and  
30 regulations and keeps up to date on NCAA legislation governing compliance and  
31 financial aid issues utilizing a variety of resources including conference attendance and  
32 training"
- 33 • Ensures compliance with NCAA regulations governing Athletic Grants-in-Aid

34  
35 Registrar

- 36 • Keeps up to date on legislation governing the conduct of intercollegiate athletics  
37 programs pertaining to eligibility through NCAA rules and regulations. Keeps informed  
38 of University, state and conference by-laws, policies, rules and regulations that pertain to  
39 eligibility. Attends NCAA conferences and other training opportunities as requested.
- 40 • Keeps informed of NCAA by-laws, policies, rules and regulations that pertain to  
41 eligibility.

42  
43 Efforts are underway with the Department of Human Resources and the University departments  
44 involved with rules compliance to create specific criteria within performance evaluations that  
45 assess an individual's actions in relation to rules compliance.

1 **8. Please indicate by clicking “yes” or “no” by the areas below, whether the institution has**  
 2 **written policies and step-by-step procedures that include assignment of specific**  
 3 **responsibilities pertaining to rules compliance.”**  
 4

|   | Yes | No |
|---|-----|----|
| Initial-eligibility                                   | X   |    |
| Continuing-eligibility certification                  | X   |    |
| Transfer-eligibility certification                    | X   |    |
| Financial aid administration                          | X   |    |
| Recruiting  | X   |    |
| Camps and clinics                                     | X   |    |
| Investigations and self-reporting of rules violations | X   |    |
| Rules education                                       | X   |    |
| Extra benefits  | X   |    |
| Playing and practice seasons                          | X   |    |
| Student-athlete employment                            | X   |    |

5  
 6  
 7 **9. Describe the institution's rules-education efforts for all individuals associated with the**  
 8 **athletics department, including student-athletes, coaches, other athletics department staff**  
 9 **members, other institutional staff members and representatives of the institution's athletics**  
 10 **interests.**

11  
 12 The University has a comprehensive rules education effort, led by the Associate Athletic  
 13 Director for NCAA Rules Education and Compliance. Rules education includes mandatory  
 14 meetings for athletics staff, student-athletes, and University staff directly involved with NCAA  
 15 compliance; published materials such as guidebooks, handbooks and a newsletter; and  
 16 opportunities for training and review from external resources including the NCAA.

17  
 18 The Division of Athletics has produced a number of formal timelines and procedures for rules  
 19 education. The best example of the Division’s coordinated and comprehensive approach to rules  
 20 education is the NCAA Rules Education Series. The NCAA Rules Education Series consists of  
 21 regular meetings for all of the constituencies involved with athletics. The number of meetings  
 22 required and the specific emphasis of each meeting varies depending on the target group but the  
 23 philosophy behind the series is the same for everyone and is best represented by a phrase from  
 24 the 2006-2007 rules series schedule which reads, “It is the responsibility of the administrators,  
 25 staff, coaches and student-athletes to follow NCAA, Big East Conference and University rules.  
 26 The NCAA Rules Education Series is a component of the educational process to ensure  
 27 ‘institutional control’ and overall eligibility of student-athletes.”

28  
 29 The requirements for attending the rules education series vary with position. Athletics  
 30 administrators and staff attend a minimum of two yearly rules review meetings. Coaching staffs,  
 31 including volunteers, are required to attend an NCAA rules review session and for some teams  
 32 that includes a fall and spring meeting. Student-athletes attend three mandatory meetings  
 33 throughout the year. Rules review meetings are offered for a variety of other departments  
 34 including Sports Information, Office of Community Standards, Residential Life, Development,

1 Counseling Program for Intercollegiate Athletes, the UConn Club, Marketing and Promotions,  
2 Admissions, Financial Aid and a number of other campus offices that work directly with student-  
3 athletes.

4  
5 The Student-Athlete Welfare & Academic Team, discussed above, plays a major role in rules  
6 education. This team brings together the various campus constituencies involved with student-  
7 athlete certification of eligibility and academic progress. SWAT members meet monthly to  
8 discuss individual student concerns and review policies and procedures related to compliance  
9 and rules education. Members attend NCAA Regional Seminars on a rotating basis to ensure  
10 that the entire group remains current with NCAA rules and regulations.

11  
12 The Division of Athletics has produced a number of publications to assist with rules education.  
13 These include internal documents such as the Coaches Handbook and the compliance calendar  
14 and resources for a broader audience such as the PAW Newsletter and the NCAA guidebook.  
15 All of these efforts are designed to provide accurate and up-to-date information while continuing  
16 to emphasize that rules compliance is a responsibility shared by the entire campus community.  
17 The website for the Division of Athletics also provides extensive information regarding rules  
18 compliance and provides contact information to the Compliance Office staff.

19  
20 **10. Indicate the individual or individuals responsible for conducting the institution’s rules-**  
21 **compliance evaluation. Further, describe the process used in selecting this authority**  
22 **outside of athletics to ensure the individual or individuals do not have day-to-day**  
23 **compliance responsibilities for the institution’s athletics department and are**  
24 **knowledgeable in NCAA legislation and rules-compliance practices. Also, provide the date**  
25 **of the institution’s most recent rules-compliance evaluation.**

26  
27 The University has contracted with Bond, Schoeneck & King, PLLC from Overland Park,  
28 Kansas to conduct the University’s rules compliance evaluation. The selection of Bond,  
29 Schoeneck & King, PLLC followed a comprehensive competitive bid process compliant with  
30 Connecticut law and administered by the University Office of procurement services. Bond,  
31 Schoeneck & King, PLLC were chosen because they are experts in the field of compliance and  
32 external to the University. The last comprehensive review was conducted in June 2005.

33  
34 The results of the rules compliance evaluations are submitted to the President, the Director of  
35 Athletics, the Associate Athletic Director for NCAA Rules Education and Compliance, and the  
36 Faculty Athletics Representative.

37  
38 **11. The rules-compliance evaluation must consist of a review to determine that the**  
39 **compliance practices are engaged and functioning and must include, at minimum, specific**  
40 **areas. Please indicate by clicking “yes” or “no” which areas were included in the rules-**  
41 **compliance evaluation.**

|                                      | Yes | No |
|--------------------------------------|-----|----|
| Initial-eligibility                  | X   |    |
| Continuing-eligibility certification | X   |    |
| Transfer-eligibility certification   | X   |    |

|   |   |  |
|---|---|--|
| Financial aid administration                          | X |  |
| Recruiting  | X |  |
| Camps and clinics                                     | X |  |
| Investigations and self-reporting of rules violations | X |  |
| Rules education                                       | X |  |
| Extra benefits  | X |  |
| Playing and practice seasons                          | X |  |
| Student-athlete employment                            | X |  |

1  
2 **12. Describe relevant corrective actions planned or implemented from the rules-compliance**  
3 **program evaluation(s).**

4  
5 There were no “corrective actions” identified in the rules-compliance program evaluation. The  
6 following statement summarizes the findings.

7  
8 In general the University’s commitment and approach to full compliance with all  
9 NCAA rules and regulations from an athletics compliance perspective was found  
10 to be well established...The University has a large and comprehensive athletics  
11 compliance program, most notably in the areas of written systems and related  
12 measuring instruments, and appears to be in a position to continue to refine its  
13 athletic compliance program by focusing greater attention on the continued  
14 coordination of its compliance operation systems.

15  
16 The most recent report did include a series of recommendations and a number of them have been  
17 implemented. For example, a formal job description has been created for the Faculty Athletics  
18 Representative, sub-committees of the President’s Athletic Advisory Committee have been  
19 created and their mission clearly defined, and the NCAA Guide Book is now distributed to all  
20 UConn employees as well as UConn Club members.

21  
22 ***Information to be available to the peer-review team, if requested:***

|   |
|---|
| List of athletics booster organizations and their officers.   |
| Description of athletics booster group policies and procedures (e.g., constitution and bylaws).   |
| Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files)                            |
| Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts  |
| Documentation related to secondary rules violations for the last three years and the institutional response to those violations.  |
| Conference manual   |
| Planning documents related to athletics   |
| Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities         |
| Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance |

|   |
|---|
| activities  |
| Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities  |
| Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities. |
| Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years   |
| (Rules Compliance) Policies and Procedures  |

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DRAFT

## Academic Integrity

### Operating Principle

**2.1 Academic standards.** *The Association's fundamental principles indicate that an intercollegiate athletics program shall be designed and maintained as a vital component of the institution's educational system, and student-athletes shall be considered an integral part of the student body. Consistent with this philosophy, the institution shall demonstrate that:*

- a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees.
  - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athletes or comparable student-body groups, the contrast shall be analyzed and explained by appropriate institutional authorities.*
  - (2) If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athletes or comparable student-body groups, this disparity shall be analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities.**
- b. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher.*
- c. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally; and*
- d. Written policies related to scheduling are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.13.*

### Self-Study Items

**1. List all "corrective actions," "conditions for certifications" or "strategies for improvement" imposed by the NCAA Division 1 Committee on Athletics Certifications in its first-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the, date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.**

There are none

**2. List all actions the institution has completed or progress it has made regarding**



1 **all plans for improvement/recommendations developed by the institution during its first-**  
2 **cycle certification process as they relate to Operating Principle 2.1 (Academic Standards).**  
3 **Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the**  
4 **date(s) of the action(s); (d) an explanation for any partial or non-completion of such**  
5 **required actions. Please note, the institution will not be required to fulfill an element of a**  
6 **first-cycle plan if the element does not affect conformity with an operating principle.**  
7

8 There are none  
9

10 **3. Describe any additional plans for improvement/recommendations in the area of**  
11 **Operating Principle 2.1 (Academic Standards) developed by the institution since the first-**  
12 **cycle certification decision was rendered by the Committee on Athletic Certification.**  
13

14 There are none  
15

16 **4. Describe the process by which student-athletes are admitted to your institution**  
17 **and identify the agencies vested with this responsibility. In what ways (if any) do the**  
18 **process and/or criteria used for the admission of student-athletes differ from the process**  
19 **for admitting students generally. Be specific and, give careful attention to key decision**  
20 **points (e.g., establishment of admission criteria, approval of, special admissions) in these**  
21 **processes and the individuals or groups involved at each point, including the role, either**  
22 **formal or informal, the athletics department plays (if any) in the admission process for**  
23 **student-athletes.**  
24

25 The philosophy of the University of Connecticut is to admit only those students who have a  
26 reasonable expectation of graduating from our University.  
27

28 Prospective UConn student-athletes are admitted to the University via the same criteria and  
29 holistic application review as the general student body. All individuals interested in admission to  
30 UConn submit their credentials for consideration. Standard credentials include being a graduate  
31 of an approved secondary school, completing 16 units of work of which 15 must be college  
32 preparatory in nature (higher than the minimum required by NCAA), being in the upper half of  
33 their high school graduating class, and having achieved an appropriate score on the SAT or ACT  
34 (UConn Undergraduate Catalog, 2006/2007, p. 7). For the SAT, the writing score is not used in  
35 the admission review process for any student being admitted to UConn.  
36

37 UConn's holistic review for all applicants means that no single criterion is used as a cut-off point  
38 or a deciding factor, and that emphasis is on assuring a reasonable chance of success at UConn.  
39 The entire portfolio of any prospective student is assessed, including examination of the  
40 application for special talents or special interests. On the application itself, students are able to  
41 indicate an interest in athletics or other special field. If a PSA identifies him- or herself as such  
42 on the application form, the Office of Admissions notifies the specific coach and the Division of  
43 Athletics Office of Compliance. (If a coach is recruiting a specific PSA, he or she will inform

1 the Office of Admissions as a courtesy.) (Similarly, when a prospective student identifies him-  
2 or herself as a candidate for a program involving special talents, such as music or painting, the  
3 relevant dean (e.g., the Dean of the School of Fine Arts) is so informed. The sharing of the  
4 information is not designed to determine the Admissions' Office decision but rather to provide  
5 an opportunity for additional data to be added to the application for review by the Admissions  
6 Office.

7  
8 The holistic review process involves a comprehensive review of the following factors: high  
9 school courses, academic grade point average as reported by high school, class rank, SAT scores,  
10 strength of academic program, competitiveness of the high school, essay, recommendations,  
11 special talents, service contributions, leadership qualities, multi-cultural contributions, and  
12 special circumstances. This comprehensive review assures a fair and equitable process for all  
13 students and a reasonable chance of student success, and allows UConn to meet its enrollment  
14 goals in all categories.

15  
16 The Admissions Office, under the direction of Lee Melvin, Director of Undergraduate  
17 Admissions, is responsible for admitting all undergraduate students to the University. Dependent  
18 on the students preferred major, specific Admissions staff members are assigned to review  
19 applications. Neither coaches nor faculty members make freshman admissions decisions. This  
20 responsibility rests solely with the Office of Undergraduate Admissions.

21  
22 However, recruitment of student-athletes to apply for admission is the responsibility of the  
23 coaches and the coaching staff. When a prospective student-athlete (PSA) is being considered for  
24 recruitment by a coach or his/her staff, the Division of Athletics Office of Compliance will  
25 review the candidate's academic record prior to receipt of an application. The student's academic  
26 data are entered into the NCAA Clearinghouse by the prospective student-athlete and monitored  
27 for compliance issues with NCAA required courses and progression. This is done so that both the  
28 PSA and the coach are aware of the PSA's likely chance of being cleared for athletic competition  
29 at UConn. The Counseling Program for Intercollegiate Athletes (CPIA) might review a PSA  
30 transcript. It is important to note that UConn does not admit a PSA identified as a non-qualifier  
31 by the NCAA. To reiterate, although the Compliance Office is involved in initial and on-going  
32 assessment of the PSA's academic performance and NCAA eligibility, the Compliance Office is  
33 not involved in the decision to admit or not to admit a student to the University of Connecticut.

34  
35 For students with some prospective majors and for some students with special talents or needs,  
36 subsequent reviews of profiles may occur over the course of the admissions process. For  
37 instance, students with musical talent who are considered for admission to the School of Fine  
38 Arts, students who are being considered for the University's Student Support Services program,  
39 or students who are being considered for athletic competition may be reviewed as part of a  
40 collaborative process involving the Office of Undergraduate Admissions and relevant  
41 professional staff. This process is used to assure that all elements of the prospective students'  
42 portfolio are reviewed prior to the rendering of an admission decision, and to assure that  
43 enrollment goals of programs are met and that admitted students can be successful at UConn.

44  
45 In all cases, however, final admission decisions are made by the Office of Undergraduate  
46 Admissions. Only those students with a reasonable probability of success at UConn are admitted

1 regardless of special talent, or designated major. All admitted students, including PSAs, who  
2 are offered admission to the University must meet the university's admission standards for all  
3 campuses.  
4  
5

6 **5. Compare and explain any differences in the admissions profile of student-**  
7 **athletes who received athletics grants-in-aid with the profiles of students in general by**  
8 **submitting the following information for the three most recent academic years: average**  
9 **standardized test scores for freshman student-athlete who received athletic aid (by gender,**  
10 **by racial or ethnic group, and according to the eight sport groups listed in the NCAA**  
11 **Division 1 Graduation Rates Disclosure Form) and for all entering freshman students ( by**  
12 **gender and by racial ethnic group), [Note: Use the supplied charts (Standardized Test**  
13 **Scores, by Genders on Page 19, Standardized Test Scores, by Racial or Ethnic Group on**  
14 **Page 20 and GPA and Test Scores, by Sport Group on Page 21) and the graduation-rates**  
15 **disclosure form methodology compile these data.**  
16

17 *(NOTE: CHARTS TO BE INSERTED BELOW)*

18 As stated above, SAT averages are based on the critical reading (verbal) and math scores only.  
19 The SAT writing score is not included, due to the Office of Undergraduate Admissions policy  
20 regarding all applicants. Six student-athletes who received aid and submitted an ACT score are  
21 excluded from this analysis. This is done deliberately because the number (N) is very small and  
22 the provided SAT/ACT Conversion Chart included component scores not collected at UConn.  
23 Thus any comparisons regarding these students with UConn scores would be inaccurate and  
24 open to misinterpretation.  
25

26 As noted on the accompanying charts, the SAT scores for the student-athletes are lower than  
27 those of the non-student-athletes, and the scores earned by male student-athletes are lower than  
28 those earned by female student-athletes. As noted above, UConn does not identify a specific  
29 SAT/ACT score as a requirement for admission, but rather requests an "appropriate score." The  
30 Office of Undergraduate Admissions' holistic review discussed above includes the SAT as one  
31 of several criteria, but does not deny admission to any student if the SAT is below a set score.  
32 Such a student, regardless of field or special interest, may be admitted if the Office of  
33 Undergraduate Admissions determines that he or she has a reasonable probability of success.  
34

35 The Director of the Office of Undergraduate Admissions has affirmed to the Subcommittee that  
36 no student-athlete (financially aided or unaided) has been admitted through processes not  
37 available to other students with special talents. As noted in response to Self-Study Item 4, a  
38 holistic approach is used for the review of all candidates for admission to UConn, and no single  
39 criterion other than graduation from high school is considered an absolute condition for  
40 admission; no single criterion is considered an absolute guarantee of admission.  
41

42 Student-athletes' reasonable chances for success are supported through services focused on  
43 transition, retention, and graduation. (Many similar programs exist for other students at the  
44 University.) Admissions decisions weigh the impact of such services as independent academic  
45 advising, access to tutors, designated student halls sessions, life skills seminars, and financial  
46 management workshops.

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

There are no such processes. UConn does not offer “Presidential admits” or any type of admission wherein a student is exempt from either review or criterion consideration.

**7. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item Number 6 above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sports groups, organized by year, and listed in the NCAA Division 1 Graduation –Rates Supplemental Form [Use the supplied chart (Special-Admissions Information on Page 23 to compile these data.)]**

Not applicable

**8. List the step-by-step sequence of actions taken by particular individuals on your institution’s campus to certify student-athletes’ continuing eligibility. Provide name(s) (including title(s)) of who has ultimate responsibility in determining student-athlete’s continuing eligibility.**

Initial eligibility is certified by the NCAA Initial Eligibility Clearinghouse, and is based on NCAA-legislated criteria. (For an outline detailing the certification process, see “Initial Eligibility Certification Process.”) Student-athletes entering a collegiate institution for the first time between August 2005 and July 2008 must have completed the NCAA list for eligibility consideration. It is important to note that UConn will not admit any prospective student-athlete who is identified as a non-qualifier by the NCAA. Student-athletes initially enrolling in a collegiate institution prior to August 1, 2005 may be certified under the old 13-core course standard, which only requires two additional core courses (which may also include computer science courses).

Once a prospective student-athlete (PSA) is recruited by a coaching staff member, they are entered into the NCAA Clearinghouse website so that they can be monitored on each team’s Web Status Report. The Web Status Report gives the coaching staff and compliance office a “real time” evaluation of where the PSA stands with regard to their academic credentials that have been submitted to the NCAA Clearinghouse by the PSA’s guidance office. If there is

1 incomplete information, the coaches are to notify the PSA immediately. In addition, coaches are  
2 encouraged to submit an up-to-date transcript of each PSA to the Compliance Office and CPIA  
3 for further review. This will give the institution a better idea as to whether the PSA is taking  
4 enough core units in order to meet initial eligibility standards, and it will also provide the  
5 institution with information as to whether or not the PSA will be able to meet UConn's and the  
6 NCAA's admission standards.

7 On a weekly basis prior to initial collegiate enrollment, coaches receive from the Compliance  
8 Office a list of each PSA and their NCAA Clearinghouse status. Coaches are responsible for  
9 ensuring the completeness of this list and following up with each student-athlete to ensure that  
10 he/she has registered with the Clearinghouse and submitted all appropriate documentation. This  
11 is done as early as possible in the summer prior to initial enrollment rather than at the beginning  
12 of the academic year, as non-certified student-athletes may not compete or receive financial aid,  
13 and delays in the certification process may also render student-athletes ineligible for practice.  
14 Note that all PSAs are considered non-qualifiers until a final certification is received from the  
15 NCAA Clearinghouse. For further information, including an address for the Clearinghouse, see  
16 NCAA Clearinghouse Report ([www.nationalstudentclearinghouse.org](http://www.nationalstudentclearinghouse.org)).

17 Under Big East Conference rules, a non-qualifier may not participate in athletics unless he/she  
18 meets an applicable transfer rule. Non-qualifiers who do not meet a transfer rule or initially  
19 enroll at a Big East institution are permanently ineligible to participate in intercollegiate athletics  
20 in the Big East Conference.

21 *(NOTE: CHART TO BE INSERTED BELOW)*

22  
23 **9. List the step-by-step sequence of actions taken by particular individuals on your**  
24 **institution's camps to certify student-athletes' eligibility. Provide name(s) (including**  
25 **title(s)) of who has the ultimate responsibility in determining student-athlete's continuing**  
26 **eligibility.**

27

1 The certification of continuing eligibility is ongoing throughout the academic year. Student-  
2 athletes must meet all institutional, Big East Conference, and NCAA regulations in order to  
3 remain eligible to participate in intercollegiate athletics. Both the NCAA and the University of  
4 Connecticut require that a returning student-athlete be in good academic standing, as defined by  
5 the University, and meet specific minimum satisfactory progress requirements in order to be  
6 eligible for competition. While certification of continuing eligibility is preformed at the  
7 beginning of each semester, steps are taken to make certain student-athletes maintain eligibility  
8 throughout the semester. A report through the University's student administration system is run  
9 daily to review registration status of all active student-athletes. If a student-athlete drops below  
10 full time status, the Sport Administrator, Head Coach, Equipment Room, Strength &  
11 Conditioning, Counseling Program for Intercollegiate Athletes (CPIA), Faculty Athletics  
12 Representative and Registrar are immediately notified of eligibility consequences.

13

#### 14 **Before the "Certification of Eligibility" Meeting**

15 At the beginning of each semester, Compliance Assistant Internet (CAi) is updated to identify  
16 new student-athletes as well as those who have left the team. Compliance Assistant Eligibility  
17 Checklists are then printed and reviewed to ensure all required fields are completed by the  
18 Athletics Compliance Staff. Communication between the Registrar's Office, CPIA, Compliance  
19 Office and FAR prior to the certification meeting is essential so any eligibility problems are not  
20 first discussed at the meeting. The Compliance office also confirms with the Registrar's Office  
21 and CPIA that they have all necessary paperwork to certify transfer students, including the  
22 transfer release and the Transfer Certification Summary.

23

#### 24 **During the "Certification of Eligibility" Meeting**

25 The eligibility meeting includes the Registrar (and staff), CPIA (staff), the Associate Director of  
26 Athletics for Compliance (and staff), and the Faculty Athletics Representative. The names of all  
27 student-athletes to be certified are read aloud by the CPIA counselor from the Eligibility  
28 Checklist. The Registrar, referring to Satisfactory Academic Progress Evaluations, which are  
29 maintained for each student-athlete, will then state whether or not the student-athlete is eligible.  
30 All student-athletes who are not yet ready to be certified will be reviewed by the CPIA  
31 counselor, Compliance staff, the FAR and the Registrar's Office. A note stating what each  
32 student-athlete is lacking to meet eligibility requirements is written in the comment field of the  
33 Eligibility Checklist by the FAR. Any discrepancy in eligibility status will be discussed at that  
34 time. Each team Eligibility Checklist is signed by the Associate Director of  
35 Athletics/Compliance, University Registrar and the FAR prior to the end of the certification  
36 meeting, and each page of a multiple page report is initialed and dated by each of the three  
37 signing authorities during the meeting.

38

#### 39 **After the Certification of Eligibility Meeting**

40 **A memo is sent to each Head Coach with an attached copy of the**  
41 Eligibility Checklist signed by the Registrar, the FAR and Compliance Associate Athletic

1 Director. The memo indicates all student-athletes who are still on the squad list but not eligible,  
 2 and thus not allowed to participate. One copy of the memo and Eligibility Checklist are placed in  
 3 the sport binder (correspondence/eligibility sections) and are kept in the Compliance Office.  
 4 Additional copies are sent to the Sport Administrator, the FAR, SWA, the Registrar, and CPIA  
 5 counselor.

6  
 7 Based on the signed Eligibility Checklist, CAi is updated (by sport) to reflect changes in  
 8 eligibility. “Yes” is noted under “Eligibility Field” for all student-athletes who were certified for  
 9 competition. “No” is selected for any student-athletes not certified for competition. Comments  
 10 are added to note whether the student-athlete is eligible for “practice only.” If the student-athlete  
 11 was not certified for competition notes are added stating the student-athletes are of deficiency  
 12 (e.g., in progress toward degree).

13  
 14 An e-mail reminder is then sent to all CAi users (CPIA, Strength & Conditioning, Sports  
 15 Medicine, Athletic Training, etc.) to notify them to check for updated eligibility information.

16  
 17 The Compliance Office then follows up on any student-athletes who have not been certified as  
 18 eligible, by continuing to check with their respective CPIA counselor and the Registrar’s staff.  
 19 When a student-athlete reestablishes eligibility by correcting the deficiency, he or she is notified  
 20 by the CPIA counselor and/or the Registrar. An addendum to the Eligibility Checklist is then  
 21 created and signed by the Associate Director of Athletics/Compliance, the Registrar and the  
 22 FAR, and distributed to the Coach and Sport Administration.

23  
 24 **10. Review the graduation rates for student-athletes who received athletic grants-in-**  
 25 **aid, for various student-athlete subgroups and for students generally during the last three**  
 26 **years, and comment on any trends of significant changes. Specifically, identify and explain**  
 27 **deficiencies in graduation rates for any of the following when compared to the graduation**  
 28 **rates of students generally: student-athletes generally, student-athletes of particular sports**  
 29 **teams, student-athletes by gender, student-athletes by ethnicity and student-athlete**  
 30 **subgroups (i.e. ethnicity) within particular sport teams. If graduation rate for student-**  
 31 **athletes, or for any student-athlete subgroup, is less that graduation rate for students**  
 32 **generally, the institution must analyze and address, as appropriate (1) the magnitude of the**  
 33 **difference between the student-athlete (or subgroup) rate; and (2) the trends over three**  
 34 **reporting periods in these rate differences.**

35  
 36 For the reporting years (1998, 1999 and 2000), a total of 75 student-athletes did not complete  
 37 their degree within the six-year period of initial enrollment at UConn.

38  
 39 Table : Student-athletes who did not graduate within six years (Cohort groups 1998,1999 and  
 40 200 combined) by sport and gender

| Sport      | Male | Female |
|------------|------|--------|
| Football   | 22   | 0      |
| Baseball   | 11   | 0      |
| Basketball | 7    | 2      |
| Track      | 9    | 7      |
| Other      | 2    | 15     |

|       |    |    |
|-------|----|----|
| Total | 51 | 24 |
|-------|----|----|

1 Of these 75 student athletes, 50 transferred out of UConn (33 males and 17 women) for assorted  
2 academic and nonacademic reasons. However, 42% (N = 21) earned a baccalaureate degree from  
3 another school, university or college.

4  
5 Table : Male student athletes, by sport, who did not graduate from UConn within six years

| Male sport       | No evidence of transfer | Transferred to another school | Graduated after transfer | Professional player |
|------------------|-------------------------|-------------------------------|--------------------------|---------------------|
| Football (N=22)  | 11                      | 11                            | 1                        | 2                   |
| Baseball (N=11)  | 2                       | 9                             | 5                        | 1                   |
| Track (N=9)      | 1                       | 8                             | 1                        | 0                   |
| Basketball (N=7) | 4                       | 3                             | 1                        | 2                   |
| Other (N=2)      | 0                       | 2                             | 1                        | 0                   |
| Total (N=51)     | 18                      | 33                            | 9                        | 5                   |

6  
7 Table : Female student athletes, by sport, who did not graduate from UConn within six years

| Female sport     | No evidence of transfer | Transferred to another school | Graduated after transfer | Professional player |
|------------------|-------------------------|-------------------------------|--------------------------|---------------------|
| Basketball (N=2) | 1                       | 1                             | 0                        | 0                   |
| Track (N=7)      | 1                       | 6                             | 5                        | 0                   |
| Other (N=15)     | 5                       | 10                            | 7                        | 0                   |
| Total (N=24)     | 7                       | 17                            | 12                       | 0                   |

8  
9  
10 Of the remaining 25 students (33%) who did not transfer, five (20%) received professional sport  
11 league contracts in major or minor leagues, and the others either failed to register or simply did  
12 not return the next academic year. In conclusion, 54 of 206 (26%) financially aided student  
13 athletes did not earn a degree within six years of initial enrollment. Of the 29 student athletes  
14 identified as not graduating within six years but not transferring to another school, four (13.7 %)  
15 are currently enrolled at UConn and finishing their degrees.

16  
17 While the NCAA asks us to attend to a six-year graduation rate, the position of UConn is that  
18 graduation is important and an achievable goal no matter how many years from the initial date of  
19 enrollment. UConn works with its student-athletes whenever they are ready to return to complete  
20 their degree. One student, noted in the above numbers as not graduating, actually graduated in  
21 December 2006, beyond the six years.

22  
23 Men's baseball, football and basketball are the two teams with the greatest number (not percent)  
24 of student athletes who did not graduate within six years. This is explained in part by the  
25 demands of the sport, and the opportunity for professional athletics in the United States or in  
26 another country. CPIA maintains contact with these students and all student-athletes who did not  
27 graduate and encourages them on a regular and routine basis to return to complete their degree.



1  
2 UConn also collaborates with the Degree Completion Program (DCP). In collaboration with the  
3 National Consortium for Academics and Sports, the DCP enables former University student-  
4 athletes to complete their education in exchange for community service. Coordinated by Sport in  
5 Society, the former student-athlete receives a tuition waiver from their former institution by  
6 completing one hour of community service per \$100 of tuition. The service must be performed  
7 directly with underserved youth at pre-selected service sites. Program participants develop sport  
8 programs, tutor and mentor school-aged youth, and are engaged in other community support  
9 initiatives.

10  
11  
12 **11. Identify and describe the academic standards and policies contained in the**  
13 **university's catalog/bulletin, athletics department manual, student-athlete handbook**  
14 **and/or institutional handbook for students. Describe exceptions, if any, to the institution's**  
15 **regular academic standards and policies applicable to the general student body (e.g., good**  
16 **academic standing, definition of minimum full-time status) that are available to student-**  
17 **athletes.**

18  
19 UConn publishes, on-line and in print, the Undergraduate Catalog, which includes sections on  
20 Academic Regulations and Support for Student Success. All students must complete a minimum  
21 of 120 credits to earn a baccalaureate degree from UConn (the requirements are higher for some  
22 majors, e.g., Pharmacy, Engineering). Students must have a cumulative GPA of 2.0 (on a 4 point  
23 scale) at the time of graduation. Specific General Education Requirements (courses and skills)  
24 must be met by all students and are specified in detail in the catalog. If a student wants to seek an  
25 exemption from a University requirement or substitute a course other than that which is  
26 prescribed, he or she must speak with the Dean of their respective School or College. If the Dean  
27 recommends such a change or exemption, the Vice Provost for Undergraduate Education must  
28 approve it (UConn Undergraduate Catalog 2006-2007, p. 21).

29  
30 All students are held to specific standards for continued enrollment based on academic  
31 eligibility. Students are placed on academic probation if they have enrolled in 0-11 credits and  
32 earned less than a 1.8 GPA. For those with 12-23 credits, their GPA must be greater than 1.8 and  
33 for those with 24 or more credits, their GPA must be at 2.0 or greater to continue enrollment  
34 without conditions. Student-athletes are subject to the same standards for academic success, as  
35 noted in the catalog (p. 27) and Student-Athlete Handbook (p. 29). A student graduates using the  
36 regulations set forth in the catalog in the year they were admitted to the University. There  
37 are no special exceptions provided to student-athletes that are not available to general student  
38 body.

39  
40 In some instances, student-athletes must exceed that which is required of the general student  
41 body. For instance, all UConn students may choose to enroll part-time with permission of the  
42 student's academic dean. Yet student-athletes must be enrolled for no fewer than 12 credits at all  
43 times in order to maintain their athletic eligibility.

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UConn also publishes *Responsibilities of Community Life: The Student Code*, which outlines the code of student conduct approved by our Board of Trustees. All students, including student-athletes, are required to meet the standards for values and behavior outlined in the Code. ([http://www.dosa.uconn.edu/student\\_code.html](http://www.dosa.uconn.edu/student_code.html)). It embraces a creed of: academic integrity, dignity for others, community responsibility, spirit of inquiry and pride in UConn.

The Division of Athletics publishes a manual for student-athletes called *UConn Division of Athletics Student-Athlete Handbook*. The handbook specifies regulations and behavior for student-athletes, none of which conflict with the University Catalog or code of conduct. Student-athletes know both sources of information exist and that they are required to comply with all University regulations.

UConn does not publish an Athletics department manual or an institutional handbook for students. As indicated, the three major documents for student-athletes are the University of Connecticut Catalog, the *UConn Division of Athletics Student-Athlete Handbook* and the *Responsibilities of Community life: The Student Code*.

**12. Describe the procedure used by the institution to monitor missed class time for student-athletes.**

The University Senate By-laws (Section II:E;11) describes the University’s position in regard to class attendance. UConn does not have a mandatory class attendance policy, nor is there a number of classes identified that a student may miss and still complete the course. Student-athletes are expected to attend all classes when they are not participating off campus in intercollegiate athletic competitions. Student-athletes should not miss class for practice at any time. The *Student-Athlete Handbook* (p. 30) states that regular attendance at class and laboratory sessions is expected for all courses in which the student-athlete is enrolled. CPIA requests from faculty formal attendance and progress reports (electronically) twice during the semester. In addition, CPIA counselors communicate in a variety of informal ways with faculty to monitor student-athlete attendance and academic progress. Reports are routinely shared with coaches so that they may intervene when students have not been attending class or meeting their academic obligations. Individual coaches deal with their students in a variety of ways, including individual meetings, punitive measures, or, in extreme cases, suspension from athletic activities.

**13. Analyze, explain and address missed class time that has been determined by the institution to be significant or excessive for any sport(s).**

No sport has identified a pattern of missed class time for student-athletes. At PAAC Faculty-Staff subcommittee meetings held with randomly selected faculty from throughout all University departments during the academic years, no faculty members have reported any pattern of missed classes by student-athletes in general, or by sport.

1 **14. Describe the means by which the institution's policies regarding the scheduling**  
2 **of athletics competition and practices (e.g., missed class policy) are communicated to**  
3 **student athletes.**

4  
5 The following information will be available for review by peer-review team, if requested:

- 6 -A copy of the institution's most recent catalog and/or bulletin.
- 7 -A copy of the institution's standard or regular, published entrance requirements,  
8 including the provisions under which students may be admitted by special  
9 exception to the institution's standard or normal entrance requirements.
- 10 -Information regularly reported to the chief executive officer, faculty senate or  
11 director of athletics concerning the academic performances of sports teams (if  
12 any).
- 13 -All student-athlete eligibility files (including, when appropriate, final high-school  
14 transcripts, high schools' lists of approved core courses, and final certification  
15 reports, verification of standardized test scores, NCAA student-athlete  
16 statements, institutional transcripts, transfer documentation).
- 17 -Information from exit interviews of student-athletes.
- 18 -Athletics department manual and/or policies and procedures.
- 19 -Student-athlete handbook.
- 20 -As noted, the University does not have an institutional handbook for students.

21  
22 Institutional policies and procedures in regard to athletic competition and practices are  
23 communicated to the student-athlete through the *UConn Division of Athletics Student-Athlete*  
24 *Handbook*, initial and routine meetings with the student-athlete and coaching staff, initial and  
25 routine meetings with the student-athlete and their sport-identified CPIA counselor, and  
26 schedules posted in CPIA and the sports complexes.

27  
28 **Operating Principle**

29 **2.2 Academic Support.** *Members of the Association have the responsibility to conduct*  
30 *intercollegiate athletics programs in a manner designed to protect and enhance the educational*  
31 *well-being of student-athletes and to assure proper emphasis on educational objectives.*  
32 *Consistent with this responsibility, the institution shall demonstrate that:*

- 33 **a.** *Adequate academic support services are available for student-athletes.*
- 34 **b.** *Student-athletes are encouraged and assisted in reaching attainable academic goals of their*  
35 *own choosing.*
- 36 **c.** *When it is determined that individual student-athletes have special academic needs, these*  
37 *needs are addressed.*
- 38 **d.** *The support services are reviewed and approved periodically by academic authorities*  
39 *outside the department of intercollegiate athletics; and*
- 40 **e.** *There is a commitment to the fair treatment of student-athletes, particularly in their*  
41 *academic role as students.*

42  
43 **Self-Study Items**

44

1 **1. List all “corrective actions,” “conditions for certification” or “strategies for**  
2 **improvement” imposed by the NCAA Division 1 Committee on Athletics Certification in its**  
3 **first-cycle certification decision (if any) as they relate Operating Principle 2.2 (Academic**  
4 **support). In each case, provide: (a) the original “corrective action,” “condition” or**  
5 **“strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the**  
6 **action(s); and (d) an explanation for any partial or non-completion of such required**  
7 **actions. Please note, the institution is not required to respond to recommendations for**  
8 **required actions developed by the peer-review team unless those same recommendations**  
9 **were adopted by the Committee on Athletics Certification.**

10  
11 There are none.

12  
13 **2. List all actions the institution has completed or progress it has made regarding all plans**  
14 **for improvement/recommendations developed by the institution during its first-cycle**  
15 **certification process as they relate to Operating Principle 2.2 (Academic Support).**  
16 **Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the**  
17 **date(s) of the action(s); (d) an explanation for any partial or non-completion of such**  
18 **required actions. Please note, the institution will not be required to fulfill an element of a**  
19 **first-cycle plan if the element does not affect conformity with an operating principle.**

20  
21 There are none.

22  
23 **3. Describe any additional plans for improvement/recommendations in the area of**  
24 **Operating Principle 2.2 (Academic Support) developed by the institution since the first-**  
25 **cycle certification decision was rendered by the Committee on Athletics Certification.**

26  
27 Not applicable.

28  
29 **4. Identify how the institution is organized to provide academic support and advising**  
30 **services to student-athletes (i.e., reporting lines and identification of who does what).**

31  
32 Academic support and advising are two important elements for success of all students. The  
33 University Catalog defines academic advising as describing the goals of higher education and the  
34 aims of disciplinary and interdisciplinary study, describing registration procedures and  
35 educational opportunities, helping students plan semester by semester registration consistent with  
36 plans of study, and referral to appropriate resources for specialized services (2006/2007  
37 Undergraduate Catalog, p.15). All UConn students are assigned an academic advisor in their  
38 school/college or major department. The responsibility for assignment rests with the Deans of the  
39 respective schools and colleges within the University. Students are expected to meet with their  
40 academic advisors on a regular basis and routinely each semester for registration activity and  
41 degree progression assessments.

42  
43 Each student-athlete also has a counselor assigned from CPIA (Counseling for Intercollegiate  
44 Athletes) counseling staff. These counselors work in concert with the academic advisors. The  
45 academic advisor assists the student to determine course sequence and course selection. CPIA

1 meets with the students to affirm that the selected courses and enrollment plans are consistent  
 2 with maintenance of athletic eligibility. In addition, CPIA counselors work with the student to  
 3 address the psychosocial issues that student athletes face on a regular basis.

4  
 5 COUNSELING PROGRAM FOR INTERCOLLEGIATE ATHLETES

6 Bruce N. Cohen, Director

7 Telephone: 486-5515 U-2194

8 TEAM ASSIGNMENTS

9

| 10 COUNSELOR  | TEAM   | COACH   | EXTENSION                            |
|---|--|---|--------------------------------------|
| 11 Bruce Cohen<br>12 6-6483<br>13 E-Mail: bruce.cohen@uconn.edu   | Women's Basketball   | Geno Auriemma   | 4756                                 |
| 14 Ellen Rennie<br>15 6-6484<br>16 E-Mail: ellen.rennie@uconn.edu   | Football   | Randy Edsall  | 2718                                 |
| 17 Vernon Percy<br>18 6-1658<br>19 E-Mail: vernon.percy@uconn.edu   | Football   | Randy Edsall  | 2718                                 |
| 20 Mansour Ndiaye<br>21 6-3557<br>22 E-Mail: mansour.ndiaye@uconn.edu   | Football   | Randy Edsall  | 2718                                 |
| 23 Becky Taylor<br>24 6-4376<br>25 Men's Ice Hockey<br>26 Men's Golf<br>27 Men's Soccer<br>28 E-Mail:rebecca.taylor@uconn.edu   | Women's Rowing<br>Women's Ice Hockey<br>Men's Ice Hockey<br>Men's Golf<br>Men's Soccer | Jennifer Sanford<br>Heather Linstad<br>Bruce Marshall<br>Ron Dubois<br>Ray Reid | 3848<br>0612<br>3072<br>6056<br>4231 |
| 29 John Miceli<br>30 6-6482<br>31 Women's Swimming<br>32 Women's Soccer<br>33 Women's Track<br>34 E-Mail: john.miceli@uconn.edu | Men's Swimming<br>Women's Swimming<br>Women's Soccer<br>Women's Track                  | Robert Goldberg<br>Robert Goldberg<br>Len Tsantiris<br>Bill Morgan              | 3155<br>3155<br>2813<br>3405         |
| 35 Ingrid Hohmann<br>36 6-6481<br>37 Lacrosse<br>38 Men's Track<br>39 E-Mail: ingrid.hohmann@uconn.edu                          | Field Hockey<br>Volleyball<br>Lacrosse<br>Men's Track                                  | Nancy Stevens<br>Holly Strauss<br>Bonnie Rosen<br>Greg Roy                      | 4162<br>4239<br>0888<br>2365         |
| 40 Ted Taigen<br>41 6-4216<br>42 Email: taigen@uconn.edu  | Men's Basketball   | Jim Calhoun   | 2720                                 |
| 43 Alana Linick<br>44 6-0492<br>45 Softball<br>46 Men's & Women's Tennis  | Baseball<br>Softball<br>Men's & Women's Tennis   | Jim Penders<br>Karen Mullins<br>Glenn Marshall                                  | 4089<br>5020<br>0766                 |

TUTORIAL COORDINATOR

Email: [alana.linick@uconn.edu](mailto:alana.linick@uconn.edu)

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Academic advisors report to the deans of the respective schools and colleges. Professional advisors not within a school or college report to the Vice Provost in the Center for Undergraduate Education, and CPIA counselors report to the Director of CPIA. Bruce Cohen, the CPIA Director, reports directly to the Provost and Executive Vice President for Academic Affairs. There is no formal organizational relationship between CPIA and the Division of Athletics.

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

- a. The specific academic support services offered to student-athletes (if any);
- b. Any policies that govern which students can use these services;
- c. The mechanisms by which student-athletes are made aware of these services;
- d. The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
- e. The mechanism for periodic approval of these services by academic authorities outside athletics.

If the institution has additional or different academic support services included in the list of examples, please click "Add Academic Support Area".

- Academic Advising- Course selection, class scheduling, degree program assistance, priority.
- Tutoring- Availability; procedures and criteria for obtaining assistance; assignment; qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
- Success Skills-Study skills, note and test taking, writing and grammar skills, time management skills.
- -Study hall- Availability, facilities, policy for mandatory attendance.
- Freshman/transfer orientation-Availability, attendance requirements.
- Academic progress monitoring and reporting- Individual's responsibility, frequency, procedures for periodic grade and attendance checks.
- Assistance for special academic needs-Provisions for diagnosis and treatment of learning disabilities.
- Learning assessments-Provision for testing and evaluation (e.g., placement testing).
- Mentoring-Availability of mentors, identification and assignment methods, frequency of interaction.
- Assistance for at-risk students-Availability including institution-wide assistance.
- Post-eligibility programs-Availability of scholarships, assistantships and academic support.

At UConn, the Counseling Program for Intercollegiate Athletes (CPIA) is the designated the body which provides academic and other support services to UConn's student-athletes.

1 a. The services of CPIA are listed below:

- 2
- 3 1. Academic counseling (sport-specific)
- 4 2. University financed tutorial support for *all* student-athletes
- 5 3. University-financed diagnostic assessment for learning disabilities
- 6 4. Life skills programming: Freshmen Year Experience, Junior Year Experience, and
- 7 Female Athlete Performance Courses
- 8 5. Degree Completion Program for returning students
- 9 6. Computers labs (60 work stations)
- 10 7. Academic monitoring
- 11 8. Pro-active academic enhancement and intervention
- 12 9. Provision of information to prospective student-athletes during the recruiting process
- 13 10. Career counseling
- 14 11. Provision of priority registration for a portion of the student-athletes population
- 15 12. Helping to monitor and advise concerning NCAA academic regulations
- 16 13. Advocacy for student-athletes
- 17 14. Serving as liaison between the Division of Athletics and the academic community
- 18 15. Study hall supervision
- 19

20 Student-athletes are welcome, and encouraged, to avail themselves of any and all of the services  
21 noted above. Some student-athletes access every service and others only a few. The CPIA  
22 services are available to all student-athletes, whether or not they are eligible for athletic  
23 participation.

24  
25 CPIA is located on the second floor of Hall Dorm, an academic building. The majority of the  
26 services are offered at this site. Football-specific CPIA counseling is provided in the athletic  
27 complex and basketball CPIA counseling provided in space within Gampel Pavilion.

28 b. There are no specific policies that govern student use other than status as a student-athlete.

29  
30 c. Student-athletes are made aware of the services of CPIA in at least three ways: through the  
31 student-athlete handbook provided during orientation, by the coaching staff, and on the CPIA  
32 website (<http://www.cpia.uconn.edu/about.php>). Additionally, 90-95% of the student-athletes  
33 enroll in CPIA FYE (Freshman Year Experience) courses which thoroughly provide exposure to  
34 CPIA and University-wide services. Finally, student-athletes are made aware of the services of  
35 CPIA through Compliance Squad meetings held with all teams at the beginning of the academic  
36 year to provide an overview of expectations and support services.

37  
38 d. CPIA and its services are reviewed internally and by the coaches and student-athletes on a  
39 regular basis. The CPIA director submits an annual report to the Provost and Executive Vice  
40 President for Academic Affairs each spring upon completion of the academic year (See  
41 Attachment for 2005-2006 report). A student-athlete's experience with CPIA is an item on the  
42 exit survey administered to all student-athletes on graduation or departure from the University.

43  
44 Fall 2006 marked the first time the services of CPIA were reviewed by University members  
45 outside the Division of Athletics. The Chairperson of the PAAC Academic Affairs sub-  
46 committee oversaw of this external review. It was marked by three major components: 1)

1 establishment of a process and timeline for all future regularly-planned reviews every three  
2 years; 2) the review itself including a list of strengths and areas for improvement; and 3) a plan  
3 to address any areas of concern that surfaced during the review process.

4  
5 DATA will be inserted here as it is created; timeframe January 2007.

6  
7 e. The annual report the CPIA Director submits to the Provost and Executive Vice President for  
8 Academic Affairs serves as a means of review and approval of the services offered. CPIA does  
9 not report to the Division of Athletics, so the services provided are consistent with the plans and  
10 funding determined by the Provost. Along with all other departments that report to the Provost  
11 and Executive Vice President for Academic Affairs, CPIA undergoes an annual budget review  
12 hearing. Plans for the following academic year are defined at this meeting, consistent with the  
13 fiscal resources available.

14  
15 **Academic advising**

- 16
- 17 • The objectives are to provide student-athletes with the necessary information and guidance to  
18 meet their educational goals while competing in intercollegiate athletics. As part of the  
19 process, students are educated concerning the possibilities (and, for most, the remote  
20 likelihood) of playing professional sports. Students are encouraged and counseled to earn a  
21 degree and consider the possibilities of graduate school and employment in the public and/or  
22 private sector. Students are advised concerning University and NCAA academic rules and  
23 regulations and are helped to navigate within these two mutually exclusive organizations.  
24
  - 25 • The keys to the success are twofold. First, there is an appropriate ratio of students to  
26 counselor, so that students receive the time and attention they require to help make sound  
27 decisions. Secondly, the ratio is based upon academic need, so students with the most  
28 intensive needs are part of a smaller cohort. In addition, counselors have become an essential  
29 part of the recruitment, retention and graduation process of student-athletes. Counselors  
30 meet with students during the recruiting process and meet with them regularly (from daily to  
31 weekly) in order to monitor progress, anticipate problems, and help them retain a balance  
32 between their academic and athletic lives.  
33
  - 34 • An effective practice is the aggressive nature of the counseling/advisement. Every student-  
35 athlete meets with a counselor and they have a continuous relationship that lasts during the  
36 students' academic careers. Since there has not been a great deal of counselor turnover, there  
37 is a long history of excellent rapport between all the counselors' concerned groups, most  
38 notably including students, coaches, and parents.  
39
  - 40 • The measures of success are feedback, student satisfaction, and graduation rate. Evidence  
41 includes the senior year survey, personal testimonies in a variety of public venues, and  
42 positive evaluations from coaches and faculty. In addition, student-athlete graduation rates  
43 are comparable to the general population and the academic dismissal and ineligibility rate has  
44 been less than 1% for over a decade. Last year, for example, UConn was one of only seven



1 Division IA football programs that boasted a graduation rate of 90% or better and was the  
2 only public institution in that group.

- 3
- 4 • Student-athletes determine the appropriate courses in which to enroll in the same way as all  
5 students at the UConn. Each student is advised by a school or college professional or faculty  
6 advisor. In addition, each student-athlete is co-advised by his/her CPIA counselor to ensure  
7 that he/she is taking appropriate degree-applicable courses in order to be in compliance with  
8 NCAA regulations as well as to meet University general education and major requirements.  
9 CPIA counselors are sensitive to the particular time and scheduling demands of their students  
10 as well as having a keen sense as to their students' academic strengths and weaknesses.

11

12 The University of Connecticut has recognized that some groups of students (honors students,  
13 and student-athletes as two examples) require priority registration in order to optimize their  
14 opportunities for academic success. Each semester, 100 student-athletes  
15 are granted this privilege, and student-athletes from every team are allocated some of these  
16 "spots" in order to be fair and in compliance with Title IX. CPIA assumes responsibility for  
17 the equitable allocation of these 100 spaces, which is annually reviewed by the CPIA  
18 Director.

19

20 The elements that CPIA has established as reasonable justifications when selecting student-  
21 athletes to receive priority enrollment are:

- 22 a. Students with restricted labs or studios
- 23 b. Students who are struggling academically and are making a forthright effort
- 24 c. Students with learning issues
- 25 d. Students who are in season or have rigorous travel schedules

26

27 Regardless of the allocation of 100 seats, the University's philosophy is that student-athletes  
28 should be integrated in all courses and not enroll in courses in which all enrollees are student-  
29 athletes.

30

### 31 **Tutoring**

32

33 Through CPIA, the services of tutors are made available to student-athletes. The services are  
34 financially supported by CPIA. Tutors are recruited by CPIA from announcements on the CPIA  
35 website, advertisements placed in the campus newspaper, and word-of-mouth recruitment by  
36 current and prior tutors. Student-athletes also recommend specific tutors for defined courses.

37

38 All student-athletes are eligible to receive tutoring services, paid for by CPIA. The student-  
39 athlete applies online on the CPIA website and a CPIA counselor replies within 48 hours. An  
40 assignment is made based on the student-athlete need and the available tutor pool. The website  
41 provides the student-athlete the needed forms and procedures to follow in order to access  
42 tutoring services.

43

44 Tutors also use the CPIA website to apply for tutor positions. Each tutor completes an  
45 application, their credentials are reviewed, they are interviewed by a CPIA counselor, they

1 complete the Tutor Training Program sponsored by CPIA (see Attachment) and they are then  
2 approved for tutoring activities. The manuals prepared for tutors state:

3  
4 *It is important you remember the main tenet of the Tutor program is to meet the academic needs*  
5 *of the students. While you may want to be their “friend” or “buddy,” it is important you keep in*  
6 *mind your primary goal is to help students improve their academic performance. Strictly*  
7 *adhering to the CPIA Tutor Program, University and NCAA guidelines outlined in this manual is*  
8 *crucial. You, as the tutor, should be supportive and encouraging, yet demanding. Your goal is to*  
9 *facilitate students to engage in the learning process and clarify course content – your*  
10 *responsibility is NOT to re-lecture the course content or simply answer questions.*

11  
12 The tutors receive the Tutor Handbook, designed and updated by CPIA, and adhere to the  
13 General Tutorial Policies posted on the CPIA website ([www.cpia.uconn.edu](http://www.cpia.uconn.edu)).

14  
15 Tutors are a vital component of the academic success of student-athletes. Therefore, CPIA  
16 closely monitors, evaluates and discusses the work of the tutor and the student-athlete so that  
17 appropriate and satisfactory relationships are developed and academic progress is made.

## 18 19 **Success Skills**

20  
21 Success skills are taught and promoted through the CPIA Life Skills program. It has been  
22 determined that the most effective ways to teach, enforce and enhance academic and social skills  
23 in students is to offer small, seminar courses. These skills help students make a successful  
24 transition to college. UConn supports a Freshman Year Experience (FYE) program and many  
25 FYE classes are offered in specific majors or for students of specific talents and interests.  
26 Traditionally, CPIA offers eight sections of FYE courses (INTD 180) during the Fall semester.  
27 Virtually every incoming freshmen student-athlete participates in a FYE course. In addition,  
28 CPIA offers Junior Year Experience courses in the Spring (presently two per semester) in order  
29 to provide students with the necessary skills to help them make a successful transition to life  
30 after sports and life after college.

31  
32 The primary goal of the Life Skills Program at UConn is to provide information, knowledge, and  
33 confidence that will help students feel secure in their new environment and promote the  
34 successful transition from high school to college. The course helps students develop a set of  
35 adaptive, coping, critical thinking, and problem-solving skills and acquaint them with available  
36 resources that will enable them to balance the myriad of academic, athletic and social demands  
37 and adjust to college life. It is important that students learn to identify attitudes and behaviors  
38 and discover ways that they can confront them in positive ways. The course helps student-  
39 athletes develop a sense of themselves as part of the student-athlete community and part of the  
40 larger human, community.

41  
42 Students are introduced to the notion of the University as a starting point where, regardless of  
43 their background, they can become engaged in the academic challenge of higher education.  
44 Students are exposed to the idea of learning for learning’s sake, for personal enrichment, and to  
45 become comfortable with the life-long process of intellectual exploration. They are confronted

1 with varied and sometimes conflicting aspects of their lives, and taught ways to make those  
2 seemingly disparate parts blend in a way that makes them unique. Along these lines, students are  
3 asked to explore some of the ethical, moral, and behavioral choices they make that will shape  
4 them into the adults they will become. Students are given ways to help resolve both internal and  
5 external conflicts while remaining true to who they are; this is a central theme in the course and a  
6 vital aspect of student-athletes' personal growth.

7  
8 Through the Life Skills Program, student-athletes are introduced to academic advising and the  
9 vast array of campus resources in order to help them extract the most from their college  
10 experience. They are also encouraged to become involved in other activities beyond their  
11 academic and athletic pursuits. Most importantly, the course helps develop self-advocacy skills  
12 and teaches them social skills that will help them become more independent. Students-athletes'  
13 holistic development and uniqueness are emphasized so that they will be better able to clarify  
14 their reasons for being in college and identify their personal preferences, enabling them to  
15 establish realistic major, career, and personal goals. Furthermore, student-athletes are introduced  
16 to University academic expectations and taught ways to enhance their chances for educational  
17 success. Because of the diverse cultural make-up of a large public university and the changing  
18 demographics of the nation, it is essential that all students, including student-athletes, become  
19 sensitive to a diverse population and aware of cultural differences. Student-athletes are routinely  
20 asked to participate in community outreach programs and take on leadership qualities.

21  
22 Most importantly, student-athletes learn to balance their new freedom with a sense of  
23 responsibility as part of the process of enhancing and promoting self-confidence and self-  
24 knowledge. "High profile" student athletes are further assisted in development of self in an  
25 academic and athletic environment by working with the CPIA counselors.

26  
27 The primary goal of the Life Skills for Junior/Senior Student-Athletes course at UConn is to  
28 provide information, techniques, and strategies that will help student-athletes feel confident  
29 while making decisions about their post-collegiate lives. The focus of the class is to help student-  
30 athletes make a successful transition from college to the working world. Because student-  
31 athletes' personal identities have been at least partially defined as being athletes for much of  
32 their lives, the course introduces students to other aspects of life that they need to develop in  
33 order to be successful adults. Student-athletes explore and identify the skills and abilities they  
34 have acquired through their athletic participation and learn ways to transfer those skills into  
35 future careers, and they are encouraged to become more independent and self-advocacy skills are  
36 a main focus. While the course helps guide students into the next phase of their lives, student  
37 also have the opportunity to invent ways to retain their identities as athletes and participate in  
38 sports as part of a healthy lifestyle.

39  
40 The course incorporates former student-athletes who share experiences about their transitions  
41 and provide guidance and suggestions about helping students make appropriate decisions about  
42 future choices. Student-athletes have an opportunity to discuss their collegiate experience with  
43 academic and athletic administrators and provide information concerning how to make the  
44 freshman experience better for future students.

1 They also receive pragmatic advice about job searches, resume writing, internship possibilities,  
2 and the interview process, and explore the mysterious world of personal finance and discover  
3 ways to simultaneously enhance their personal, physical and mental health while contributing to  
4 the community at large.

5  
6 In short, the Life Skills Program gives student-athletes a means to re-explore the notion of the  
7 University as a starting point where they can (regardless of their background) become engaged in  
8 the academic challenges of higher education and consider continuing their graduate education.

### 9 10 **Study Hall**

11  
12 Study halls are available and the participation and attendance is sport-dependent. Student-  
13 athletes are provided a list of study hall times, places and rules of conduct in study halls at the  
14 beginning of every semester. Study hall times are posted in locker rooms, throughout the  
15 facilities of CPIA, and wherever student-athletes routinely congregate. Football, basketball (men  
16 and women), men's track and field and men's cross country teams mandate two hours of study  
17 hall five days per week. These study halls take place in either the CPIA rooms at Gampel  
18 Pavilion, in a separate classroom building determined by the specific coach, or in the Burton  
19 Football Complex. Structured learning groups are used in swimming and diving, women's  
20 soccer, track and field and cross country. These activities are held in places outside of Athletics  
21 facilities. Tennis, golf and rowing teams are not mandated to have either study halls or structured  
22 learning groups. The coaches make individual plans for the student-athletes in these areas.

23  
24 Study hall and structured learning group conduct includes but is not limited to rules stipulating  
25 that no cell phones are permitted, use of a student ID to check in, talking must be related to  
26 academics and check-in required. A student-athlete must attend the entire study hall in order to  
27 meet the mandated requirement for that specific session.

28  
29 Study halls are a structured component of the majority of student-athletes' days. This structure  
30 enhances student-athlete academic success just as structured practice enhances their athletic  
31 success.

### 32 33 **Freshman/transfer Orientation**

34  
35 Freshmen and transfer student-athletes are highly encouraged (but not required) to attend the  
36 orientation programs which are offered to all students at the University of Connecticut. In fact,  
37 most student-athletes do attend unless there is a geographical or financial barrier that prohibits  
38 attendance. Those few students who do not attend orientation receive similar information  
39 through their participation in FYE courses, tea and compliance meetings, and college advising  
40 sessions.

### 41 42 **Academic Progress and Monitoring**

43  
44 As mentioned earlier, CPIA makes attendance checks each semester and periodically throughout  
45 the semester. The faculty member of record for each course in which a student-athlete is enrolled  
46 receives a form to complete which asks for information about the student-athlete's attendance,

1 preparedness for class assignments, and status of their progress within the course. These forms  
2 are returned to the specific CPIA counselor for the identified student. In turn, the CPIA  
3 counselor meets with the individual student-athlete to discuss the progress report and address any  
4 areas of concern. Plans are developed to assure future and continued academic success.

### 6 **Assistance for Special Academic Needs**

#### 8 • Learning assessment

10 The University of Connecticut offers a comprehensive support program for students  
11 diagnosed with Learning Disabilities.

12 Three types of program services are offered along a continuum leading to independence.  
13 **Direct Instruction, Monitoring, and Consultation** are offered as part of the UPLD  
14 (University Programming for Students with Learning Disabilities) Continuum of Services.  
15 The overall goal of the UPLD Continuum is to promote the student's level of independence  
16 and self-determination within the academically competitive University environment.

17 At the **Direct Instruction** level, students are assigned to an individual Learning Specialist.  
18 Sessions are scheduled once or twice a week. These sessions typically last for 45 minutes and  
19 focus on the development and independent application of learning skills and study strategies,  
20 the development of self-advocacy skills, and assisting the student in understanding the nature  
21 of his or her learning disability. Sessions also focus on helping students to identify and access  
22 relevant campus resources, such as tutoring, the Writing Center, and the Math Center.

23 At the **Monitoring** level, students are assigned to an individual Learning Specialist. One to  
24 two sessions are scheduled per month. The student is applying learning skills and strategies  
25 on an independent basis, and uses the sessions to monitor progress in courses, to plan for  
26 upcoming tasks, and to continue to plan for increased independence on campus.

27 At the **Consultation** level, students contact UPLD on an as-needed basis. Typically students  
28 contact the program at the outset of a semester to arrange testing accommodations. A student  
29 at the Consultation level might also contact the program if a particular need arises that he or  
30 she wishes to discuss.

31 However, some student-athletes experience academic difficulties beyond the scope of our  
32 CPIA counselors. In those cases, students are referred to an outside consultant for a thorough  
33 educational-psychological evaluation and diagnostic assessment for potential learning  
34 disabilities. This service is coordinated by and financed through CPIA. Once the  
35 assessments are completed, a strategic plan is shared with students and counselors and  
36 students begin working with the UPLD Program when their diagnosis warrants. In some  
37 cases, it is discovered that students are found to have poor academic preparation in particular  
38 areas and recommendations are made to CPIA as to how they should best address the  
39 student's deficiencies.

#### 40 • **Mentoring**

1 While there is no formal mentoring program available, there are a number of CPIA  
2 sponsored programs that would fall into the mentorship category. The Female Athlete  
3 Performance Committee was developed to address issues that female student-athlete faces.  
4 The FAPC team was originally established to help students who were diagnosed with  
5 eating disorders or were thought to be dealing with eating issues. As time went on, FAPC  
6 evolved and began taking a more holistic approach to help female students and the  
7 committee grew to include professionals from the entire campus. Its mission now is to  
8 develop programs to help educate female student-athletes as well as to provide support for  
9 students with eating disorders.

10  
11 In Spring the FAPC Peer group will initiate a Female Student-Athlete Life Skills Course.  
12 A seminar format, this course will discuss topics pertinent to female athletes such as body  
13 image, breast cancer, HPV, communication and social issues. Further goals for the year are  
14 to develop a female athlete career fair, develop a comprehensive survey for female student-  
15 athletes to uncover their needs and to develop a resource handbook.

16  
17 An additional mentor type program is also being implemented. Support systems have been  
18 created for gay, lesbian, bisexual or transgender (GLBT) student-athletes which include  
19 workshops in INTD 180 classes, one on one support, and establishing an office  
20 environment that is gay-friendly. We are in the process of creating a website which will be  
21 called **P A<sup>2</sup> W S (Providing Athletes and Allies With Support)**. CPIA has support from  
22 the Rainbow Center, the cultural center devoted to GLBT students, and hopes to have the  
23 site running in Spring 2007. The website will be resource to help others understand more  
24 about the GLBT community. There will be a message board to post anonymous questions,  
25 a calendar with GLBT University and community events, a page with GLBT definitions, a  
26 heterosexual questionnaire and links to other informative GLBT websites. One of the links  
27 will be to the Rainbow Center where any student can report any hate crime incidents. One  
28 of our student-athletes is in the process of creating a sticker which would show the Division  
29 of Athletics supports gay athletes. We also hope to be working with the rainbow center to  
30 bring in more speakers.

31  
32 • **At-risk Students**

33  
34 Student-athletes who are determined to be academically “at-risk” are provided with  
35 intensive academic support. In addition, coaches are heavily involved with the students’  
36 academic development and are provided with regular reports from CPIA.

37  
38 Students in this category meet with their respective CPIA counselors on a regular basis,  
39 generally weekly, but in many cases more often. These students are encouraged, and in  
40 some cases mandated, to participate in academic enhancement activities such as tutoring,  
41 counseling, skill development and strategies to optimize academic performance. While  
42 these services are available, in a slightly different form, for the general population, CPIA  
43 offers these services for the student-athlete population. Coaches are provided with regular  
44 progress reports and when poor performance is evident, intervention takes place.

45

1 Naturally, some students continue to work with UPLD and participate in tutorial sessions  
2 offered by particular departments to supplement the academic support offered by CPIA.  
3 Students are further encouraged to meet regularly with their respective faculty members  
4 and utilize office hours for additional help.  
5

6 • **Post-eligibility Programs**  
7

8 UConn admits only those students whom we believe have a likely probability of academic  
9 success. UConn defines academic success as graduation. Thus, student-athletes are  
10 encouraged to complete their degree even if their athletic eligibility has expired or it has  
11 ended as a result of injury or illness. Former student-athletes are assisted through  
12 scholarships and full CPIA services. Upon recommendation from the coach and CPIA  
13 counselor and endorsement from Athletics Director, student-athletes who have exhausted  
14 their eligibility receive athletics financial aid and have 1-2 semesters remaining to complete  
15 the requirements for an undergraduate degree may receive athletics aid equivalent to what  
16 was received in the prior year. Such students are required to have a completed and signed  
17 program of study and have a degree audit completed by the Office of the Registrar.  
18  
19

20 **6. Please submit a copy of the report from the academic support services review to**  
21 **your NCAA staff liaison with the submission of your self-study report.**  
22

23 A complete copy of the review is appended.  
24

25 The Academic Subcommittee of the PAAC conducted the review of CPIA and its services. The  
26 following is excerpted from the report.  
27

28 *Based on the data collected and interviews conducted, we conclude that CPIA is performing in*  
29 *an exemplary way and that student-athletes are being well-served by CPIA counselors. As with*  
30 *organizations, there are marginal changes that can be made to increase service delivery and*  
31 *effectiveness, but our overall evaluation is strongly positive.*  
32

33 *The review outlined the following strengths:*  
34

- 35 (1) *CPIA reports directly to the Provost's Office providing it with significant independence*  
36 *from the Division of Athletics.*
- 37 (2) *CPIA, while certainly not over-funded, seems to have sufficient resources to fulfill its*  
38 *primary obligations. In addition, with the recent opening of the Burton Family Football*  
39 *Complex, CPIA is now less constrained in terms of physical space.*
- 40 (3) *CPIA counselors do a very good job of keeping up with all student-athletes and giving*  
41 *them proper academic advice.*
- 42 (4) *CPIA counselors also appear to work well with faculty and academic advisors within a*  
43 *student's major. This includes a collaborative relationship with the Academic Center for*  
44 *Entering Students (ACES).*
- 45 (5) *CPIA runs an extensive set of tutoring sessions and has a large cadre of tutors. In terms*  
46 *of funding, this is one area where more resources might be necessary in the future.*

1 (6) CPIA also has very strong communication links with the administrators and coaches in  
2 athletics.  
3

4 *Weaknesses:*

5  
6 *Although our assessment of CPIA is strongly positive, we did identify one area potentially in*  
7 *need of attention. Specifically, and in the context of a perceived University-wide need, CPIA*  
8 *could significantly improve its services to student-athletes if it had greater ability to perform*  
9 *diagnostic work on students who potentially have learning disabilities. Currently, CPIA is*  
10 *providing this service by contracting with sources outside the university. Greater University-*  
11 *wide resources in this area would help CPIA and all UConn students, as there is typically a*  
12 *lengthy waiting period for assessment and results.*

13  
14 *Plans for Improvement:*

15 *Decisions for plan to address this one identified issue will need to be discussed within the*  
16 *Provost's Office in consultation with CPIA, ACES and other academic relevant units.*  
17

18  
19 **7. Describe relevant corrective actions planned or implemented from academic**  
20 **support services review.**

21  
22 There are no areas that require corrective action from the academic support services review.  
23  
24  
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## Equity and Student-Athlete Well-Being

### *Operating Principle*

**3.1 Gender Issues.** *Consistent with NCAA Constitution 2.3, it is the responsibility of each institution to implement the Association's principle of gender equity. In accordance with this fundamental principle, the institution shall:*

- a. Have implemented its approved gender-equity plan from the previous self-study. If modified or not carried out fully, the institution shall provide and explanation from appropriate institutional authorities.*
- b. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel.*
- c. Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.*

### *Self-Study Items*

**1. List all “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Gender Issues). In each case, provide: (a) the original “corrective action,” “condition” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.**

The NCAA Division I Committee on Athletics Certification imposed no “corrective actions,” “conditions for certification,” or “strategies for improvement” on the University of Connecticut in its first-cycle certification decision.

It should be noted, though, that the NCAA Committee on Athletics Certification recommended after its 26-29 January 1999 peer review campus visit that the Mission Statement of the University of Connecticut Division of Athletics be modified “to ensure that it contains all the elements of the NCAA by-law 23.2.1.1 (Institutional Mission); specifically ensure that it addresses the support of equitable opportunities for all students and staff, including women and minorities...” (see Attachment 1 of the UConn Division of Athletics Interim Report, dated 22 July 2003). This modification was accommodated with the addition of new language to the mission statement as reflected in a Division of Athletics memorandum dated May 2003 (see Attachment 2 of the UConn Division of Athletics Interim Report, dated 22 July 2003).

**2. Report on the implementation of the plan to address gender-equity issues developed by the institution during its first-cycle certification process. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) an explanation for any partial or non-completion of such required actions. The committee will**

1 **not accept the following explanations for partial completion or non-completion: 1) the**  
2 **institution did not possess sufficient funds to implement the plan, and 2) the institution has**  
3 **had personnel changes since the original development of the plan. [Please note: Within**  
4 **gender-equity written plans, specific numerical targets may place an institution at legal**  
5 **risk and are not expected nor should they be included in an institution's written plan. If an**  
6 **institution has already submitted a plan to the committee that includes specific hiring**  
7 **numbers, the committee will not hold the institution accountable for achieving those**  
8 **specific numerical targets. Rather, the committee advises institutions to submit plans that**  
9 **have broad, flexible non-numeric hiring goals.]**

10 The original plan put forth by the institution during its first-cycle certification process is as  
11 follows.

12 “The University of Connecticut is committed to providing a setting within which the fullest  
13 personal growth and development of students may be realized. It considers the social  
14 environment of its campuses to be an integral part of such an educational experience and,  
15 therefore, seeks to maintain cultural, ethnic, and economic diversity in the student and employee  
16 populations. Efforts will be continued to attract students from diverse racial, ethnic and  
17 economic backgrounds and to encourage their participation in fields in which they have been  
18 traditionally underrepresented. The enrollment of women students is equal to that of men, but it  
19 is nevertheless desirable to encourage their involvement in disciplines which have historically  
20 excluded them.

21 “The societal forces which have shaped the career aspirations of these and other groups are not  
22 exclusively economic, and financial awards based upon need alone cannot alter them; however,  
23 tangible recognition in the form of merit scholarship awards may increase the students' incentive  
24 to expand their horizons. This being so, the University will pursue monetary contributions to  
25 support its commitment to achieving and maintaining a diverse student body, even in the absence  
26 of financial need, as well as providing strong financial aid programs.”  
27 (<http://www.ode.uconn.edu/dpolicy.html>, Approved by Board of Trustees at regular meeting of  
28 March 12, 1982.)

29 In this vein, the University has maintained a long-term relationship with Lamar Daniel of Lamar  
30 Daniel, Inc. (Consultants for Gender Equity and Sports Management from Fayetteville, GA) for  
31 annual evaluation of gender equity within the Division of Athletics. Each year since 1995, Mr.  
32 Daniel has reviewed compliance with Title IX athletics at the University of Connecticut and  
33 helped the Division of Athletics develop plans for addressing any gender equity issues evident at  
34 the University. The Division of Athletics Title IX Compliance Plan was prepared by Mr. Daniel  
35 and presented to the University's Board of Trustees at its 9 February 1996 meeting. Of  
36 particular focus in this plan was the impact of the University moving to Division 1-A football.  
37 (See attachment XX – Lamar Daniel Compliance Plan from 1996)

38 Major components of the Title IX Compliance Plan included:

- 39 • Selection of three new teams. After a thorough assessment of club and intramural sports  
40 and high school sports offerings in Connecticut, the Division of Athletics decided to

1 move three club sports to the women's varsity level over a three-year period. These were  
2 lacrosse (1996), crew (1997) and ice hockey (1998). The goal was to reach gender  
3 proportionality by the end of the three-year period.

- 4 • The football "upgrade" was not planned to reduce sport opportunities for men, but would  
5 be handled through the addition of the three sports noted just above.
- 6 • Although the University was found in compliance regarding financial assistance, the  
7 increase in women's participation also required a tandem increase in athletic scholarships  
8 for women athletes.
- 9 • In addition, a lengthy list of more "minor" changes in athletic support (e.g., equipment  
10 availability and replacement, support staff assignments) were recommended as part of the  
11 plan. (See attachment XX – Lamar Daniel Compliance Plan from 1996 for full details).

### 12 ***Recent Updates on Gender Equity at the University***

13 In the December 2005 Title IX Compliance Report written by Mr. Daniels (see Attachment  
14 XXX), several points were noted. Enrollment and athletics participation data during the 2004-  
15 2005 academic year presented below:

#### 16 **Overall University**

17 Full-time male undergraduates 7,016 (47.3%)

18 Full-time female undergraduates 7,806 (52.7%)

19 Total 14,822

#### 20 **Athletics**

21 Male participants 355 (49.7%)

22 Female participants 360 (50.3%)

23 Total 715

- 24 • At the time of the 2005 report, Mr. Daniel found the University in substantial compliance  
25 with Title IX. Specific points noted since the interim NCAA report are summarized and  
26 addressed in Item 6, pp. 6-21 of this report.

### 27 28 **3. Describe any additional plans for improvement/recommendations in the area of** 29 **Operating Principle 3.1 (Gender Issues) developed by the institution since the first-cycle** 30 **certification decision was rendered by the Committee on Athletics Certification.**

31  
32 The University continues to utilize an annual Title IX review by Lamar Daniel Inc. (Consultants  
33 for Gender Equity and Sports Management) to ensure a pro-active and long term commitment to  
34 gender equity. There has also been continued commitment to maintaining coaching staffs at the  
35 maximum level allowed by NCAA.

1  
2 The University Division of Athletics continues its efforts to bring minorities into the executive  
3 and administrative ranks as well as within the coaching staffs. This is accomplished by  
4 continuing to work with the Office of Diversity and Equity on its employment searches to ensure  
5 that all opportunities to increase diversity are utilized. This is consistent with the University plan  
6 for diversity.

7  
8 **4. Explain how the institution is organized to further its efforts related to the gender issues**  
9 **operating principle for both athletics department staff and student-athletes and provide**  
10 **evidence that matters concerning gender equity are monitored, evaluated and addressed on**  
11 **a continuing basis.**

12  
13 The Director of Athletics and the Senior Women's Administrator has overseen the assessment,  
14 evaluation and management of issues concerning gender equity for the Athletics Department  
15 staff and the student-athletes. Since 1995, the consulting firm of Lamar Daniels, Inc. has  
16 provided annual review of the Title IX compliance plan. Lamar Daniels is responsible for  
17 reviewing all thirteen program areas (operating principle 3.1-No.6).

18  
19 The University Senate, the President's Athletic Advisory Committee and the Office of Diversity  
20 and Equity provide constant oversight of the Division of Athletics with regard to gender equity  
21 issues. In addition, the Division created the Female Athlete Performance Committee (FAPC) in  
22 1997 which consists of members of the sports medicine staff, student health services, coaches for  
23 the women's teams, university faculty and student athletes. This committee routinely addresses  
24 issues specific to performance for both men's and women's sports, while being cognizant of  
25 gender specific issues. Presentations are made to these groups by members of the Athletic  
26 Department including the Athletic Director and the Senior Women's Administrator. Topics for  
27 these presentations have included eating disorders, body image, alcohol and performance,  
28 overtraining, and performance nutrition. These presentations are equitable across men's and  
29 women's teams.

30  
31 **5. Using your institution's completed Equity in Athletics Disclosure Act survey form and**  
32 **the worksheets for the three most recent academic years for which the information is**  
33 **available, analyze, explain and address any discrepancies through institution's gender-**  
34 **equity issues plan for future, in the data between male and female student-athletes and**  
35 **comment on any trends or significant changes.**

36  
37 *Athletics Participation*

38 The percentage of female student-athletes has decreased slightly over the past three years,  
39 although at no point in time has their percentage dropped to less than equal that of male student-  
40 athletes. Female participants in Women's Rowing did decrease from 90 participants in 2003-  
41 2004 to 61 in 2004-2005. This reduction in roster size for Women's Rowing was thought to be  
42 due to the scheduling of the first contest early in the semester, which did not allow adequate time  
43 for novice student-athletes to be added to the team.

44  
45 *Athletically Related Student Aid*

1 Over the period of the review, female student-athletes received a higher percentage of  
2 athletically related student aid than male student-athletes. All women's sports have financial aid  
3 to the maximum NCAA limits with the exception of two sports: women's rowing and women's  
4 tennis. The disparity between the rate of participation and athletically related student aid for  
5 women's sports occurred in 2004-2005 because the maximum aid available was not awarded due  
6 to a transitional period between coaching staffs in our women's track and field program. The  
7 disparity has since been corrected by redistributing unused aid available for women's teams to  
8 female student-athletes in their graduating year. The Division of Athletics works closely with  
9 coaches to ensure that all available aid is awarded.

10  
11 In addition, summer school allocations were made available to all student-athletes on an equal  
12 basis in response to a recommendation from each student-athlete's respective academic  
13 counselor in the Counseling Program for Intercollegiate Athletics (CPIA) and head coach with  
14 final approval from the Director of Athletics. These student-athletes enrolled in summer school  
15 courses to satisfy institutional and NCAA eligibility requirements, or as an opportunity to  
16 advance academically to ensure graduation in a timely manner. Summer school financial aid is  
17 also available to incoming freshmen student-athletes.

18  
19 *Operating Expenses*

20 Operating expenses for men's sports are roughly equivalent with those of women's sports when  
21 Football is removed from the equation (**2003-2004** – Men=\$2,417,275.00  
22 Women=\$2,014,536.00 **2004-2005** – Men=\$3,021,844.00 Women=\$2,668,870.00 **2005-2006** –  
23 Men=\$3,763,716.00 Women=\$3,272,838.00)\*.

24  
25 *Recruiting Expenditures*

26 The percentage of recruiting expenditures allocated to women's sports is less than their  
27 respective participation rates. However, the dollar amount spent on recruiting for women's sports  
28 increased to \$245,182.00, its highest level ever in 2005-2006.

29  
30 *Overall Revenues and Expenses*

31 Note: The following numbers were derived using external revenues:

32 **2003-2004**, 94 percent of total revenue from all sports was generated from Men's and Women's  
33 Basketball, and Football. These sports also account for 65 percent of the total expenses. Men's  
34 Basketball, and Football, represent 64 percent of the total revenue (49 percent total expense) and  
35 93 percent of the revenue from men's sports (75 percent total men's sports expenses). Women's  
36 Basketball represents 30 percent of the total revenue (15 percent total expenses) and 95 percent  
37 of the revenue from women's sports (81 percent of total women's sports expenses).

38  
39 **2004-2005**, 96 percent of total revenue from all sports was generated from Men's and Women's  
40 Basketball and Football. They also account for 68 percent of the total expenses. Men's  
41 Basketball and Football represent 72 percent of the total revenue (54 percent of the total  
42 expense) and 96 percent of the revenue from men's sports (83 percent of total men's sports  
43 expenses). Women's Basketball represents 24 percent of the total revenue (14 percent total  
44 expenses) and 95 percent of the revenue from women's sports (68 percent of total women's  
45 sports expenses).

1 **2005-2006**, 95 percent of total revenue from all sports was generated from Men's and Women's  
2 Basketball and Football. They also account for 66 percent of the total expenses. Men's  
3 Basketball and Football represent 75 percent of the total revenue (52 percent of the total  
4 expense) and 95 percent of the revenue from men's sports (81 percent of the total men's  
5 expenses). Women's Basketball represents 21 percent of the total revenue (14 percent total  
6 expense) and 95 percent of the revenue from women's sports (36 percent of total women's sports  
7 expenses).

8  
9 **6. Using the program areas for gender issues, please:**

- 10  
11 **a. Describe of the institution has ensured a complete study of each of the 13 areas,**  
12 **b. Provide data demonstrating the institution's status/commitment , including resource**  
13 **allocation, across, each of the 13 areas,**  
14 **c. Identify areas of deficiency and comment on any trends. If the institution identifies any**  
15 **areas of deficiency, include the deficiency in the institution's gender-equity issues plan**  
16 **for the future, and**  
17 **d. Explain how the institution's future plan for gender issues addresses each of the 13**  
18 **areas.**

- 19  
20 1. *Athletic Scholarships – Scholarship dollars to be awarded to women and men at same*  
21 *proportion as their respective rate of participation in the intercollegiate athletics*  
22 *program.*

- 23  
24 **a. Describe how the institution has ensured a complete study of each of**  
25 **the areas.**

26  
27 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
28 provision of equipment and supplies to all teams as part of this self-study  
29 report. On an annual basis, the Division of Athletics at the University of  
30 Connecticut maintains a relationship with Lamar Daniel, Inc, which began  
31 in 1995, for the purpose of ongoing evaluation of the University's  
32 compliance with Title IX of the Education amendment of 1972. This  
33 annual review constitutes an evaluation of gender-equity that identifies  
34 any areas of deficiency and recommendations and comments for gender-  
35 equity for the future with regard to *Athletic Scholarships*. This self-study  
36 represents a compilation of those reviews following the interim report of the first-  
37 cycle certification (i.e. 2003 through 2005).

- 38  
39 **b. Provide data demonstrating the institution's status/commitment,**  
40 **including resource allocation, across each of the areas.**

41  
42 During the 2002-2003 year, the awards of athletic financial assistance  
43 were substantially proportionate to the rates of participation and in  
44 compliance.

- 45  
46 **c. Identify areas of deficiency and comment on any trends.**  
47

1 During the 2003-2004 and 2004-2005 year, there was a 2.1% difference  
2 favoring the men's and then the women's programs, respectively. This  
3 difference was significant for both years. The reverse in rates of awards to  
4 women (vs. men) was due to the action taken by UConn athletic  
5 administration in redistributing available unused aid for women's teams to  
6 women seniors for the spring semester. Mr. Daniel's report (p. 6,  
7 December 2005 report) stated that "this is a good practice" that he is  
8 recommending to other schools with similar problems.  
9

10 **d. Explain how the institution's future plan for gender issues addresses**  
11 **each of the areas.**

12  
13 UConn is constantly vigilant in complying with Title IX and an effort will  
14 be made to estimate the amount of redistribution that is necessary prior to  
15 awarding aid in the spring so UConn will fall within the 1% required for  
16 compliance.  
17

18 **2. Accommodation of Interests and Abilities – Participation proportionate to**  
19 **enrollment; and/or, history and continuing practice of program expansion for**  
20 **underrepresented sex; and/or, fully and effectively accommodate**  
21 **underrepresented sex; equivalent levels of competition. Please note, when**  
22 **presenting gender-equity plans for the future, institutions must clearly identify**  
23 **methods (e.g., proportionality, history of program expansion, etc.) for addressing**  
24 **accommodation of interests and abilities.**  
25

26 **a. Describe how the institution has ensured a complete study of each of**  
27 **the areas.**  
28

29 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
30 provision of equipment and supplies to all teams as part of this self-study  
31 report. On an annual basis, the Division of Athletics at the University of  
32 Connecticut maintains a relationship with Lamar Daniel, Inc., which  
33 began in 1995, for the purpose of ongoing evaluation of the University's  
34 compliance with Title IX of the Education amendment of 1972. This  
35 annual review constitutes an evaluation of gender-equity that identifies  
36 any areas of deficiency and recommendations and comments for gender-  
37 equity for the future with regard to *Accommodation of Interest and*  
38 *Abilities*. This self-study represents a compilation of those reviews  
39 following the interim report of the first-cycle certification (i.e., 2003  
40 through 2006)  
41

42 **b. Provide data demonstrating the institution's status/commitment,**  
43 **including resource allocation, across each of the areas.**  
44

45 For 2002-2003, there were twenty-four varsity intercollegiate teams,  
46 eleven for men and thirteen for women, with 339 men and 362 women  
47 participants were acknowledged. With less than a 1% discrepancy, no

1 immediate concern was documented. The increase in female student-  
2 athletes for this period was offset by an increase in male student athletes  
3 subsequent to the increase in football players.  
4

5 **c. Identify areas of deficiency and comment on any trends.**  
6

7 A decrease in overall participation in women's ice hockey from 28 to 22  
8 participants from the previous year was the only noted concern for 2002-  
9 2003. During 2003-2004, there would have been exact proportionality  
10 across teams with either 7 to 8 more women or 7 to 8 fewer men. There  
11 was an increase in male participants (7 men) while female participants  
12 were reduced (19 less women) due to a non intentional reduction in female  
13 participants in rowing, in 2003-2004.  
14

15 **d. Explain how the institution's future plan for gender issues addresses**  
16 **each of the areas.**  
17

18 For 2002-2003, the Head Women's Ice Hockey Coach was informed that  
19 increased participation was necessary. In more recent years, it has become  
20 necessary to develop a roster management scheme to direct efforts at clear  
21 proportionality. These efforts include recommendations to reduce the  
22 roster of specific men's teams (i.e., baseball - 1, ice hockey - 1, soccer - 4,  
23 swimming/diving - 3, tennis - 1) and increase members of specific  
24 women's teams (ice hockey - 1, lacrosse - 3, rowing - 4+).  
25

26 **3. Equipment and Supplies – Quality; amount; suitability; maintenance and**  
27 **replacement; availability of equipment and supplies.**

28 **a. Describe how the institution has ensured a complete study of each of**  
29 **the areas.**  
30

31 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
32 provision of equipment and supplies to all teams as part of this self-study  
33 report. On an annual basis, the Division of Athletics at the University of  
34 Connecticut maintains a relationship with Lamar Daniel, Inc., which  
35 began in 1995, for the purpose of ongoing evaluation of the University's  
36 compliance with Title IX of the Education amendment of 1972. This  
37 annual review constitutes an evaluation of gender-equity that identifies  
38 any areas of deficiency and recommendations and comments for gender-  
39 equity for the future with regard to *Equipment and Supplies*. This self-  
40 study represents a compilation of those reviews following the interim  
41 report of the first-cycle certification (i.e. 2003 through 2006).  
42

43 **b. Provide data demonstrating the institution's status/commitment,**  
44 **including resource allocation, across each of the areas.**  
45

46 Since the interim report period, all equipment and supplies were  
47 considered suitable for the various sports and head coaches and women



1 participants rated equipment and supplies as good to excellent. Equipment  
2 and supplies were provided to all teams as necessary for practice and  
3 competition with the exception of men's golf, men's and women's tennis  
4 and men's and women's swimming. These student athletes furnish their  
5 own practice clothes and clubs, racquets, and practice suits, respectively.  
6 Four full time certified professional equipment managers handle  
7 equipment and supplies for all teams with temporary employment of a 5<sup>th</sup>  
8 manager. Student managers assist the full time staff and football has its  
9 own Head Equipment Manager. Most equipment is maintained in a central  
10 location in Greer Field House and some is stored in the Gampel Pavilion  
11 equipment room. Football and hockey store their equipment in their  
12 facilities building and ice arena, respectively. Equipment is replaced  
13 annually, as well as needed. In the December 2004 report, Mr. Daniels  
14 stated that "This is one of the best-staffed, best-operated equipment  
15 operations I have seen." The provision of equipment and supplies has  
16 been equivalent during this cycle.

17  
18 **c. Identify areas of deficiency and comment on any trends.**

19  
20 None noted.

21  
22 **d. Explain how the institution's future plan for gender issues addresses**  
23 **each of the areas.**

24  
25 The institution intends to maintain this standard in the future.

26  
27 **4. Scheduling of Games and Practice Time – *Number of games; number, length,***  
28 ***and time of day of practices; time of day of games; preseason and postseason***  
29 ***opportunities.***

30  
31 **a. Describe how the institution has ensured a complete study of each of**  
32 **the areas.**

33  
34 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
35 provision of equipment and supplies to all teams as part of this self-study  
36 report. On an annual basis, the Division of Athletics at the University of  
37 Connecticut maintains a relationship with Lamar Daniel, Inc., which  
38 began in 1995, for the purpose of ongoing evaluation of the University's  
39 compliance with Title IX of the Education amendment of 1972. This  
40 annual review constitutes an evaluation of gender-equity that identifies  
41 any areas of deficiency and recommendations and comments for gender-  
42 equity for the future with regard to *Scheduling of Games and Practice*  
43 *Time*. This self-study represents a compilation of those reviews following  
44 the interim report of the first-cycle certification (i.e., 2003 through 2006).

45  
46 **b. Provide data demonstrating the institution's status/commitment,**  
47 **including resource allocation, across each of the areas.**

1  
2 Data regarding the NCAA maximum for regular season competitive  
3 events can be found in the Title IX reports submitted December 2003,  
4 2004 and 2005. There were no problems in this area and the Scheduling of  
5 Games and Practice Times was equivalent, with the exception of concerns  
6 expressed regarding the competitive season for women's softball.  
7

8 **c. Identify areas of deficiency and comment on any trends.**  
9

10 Because it is necessary to travel South in February and March for  
11 competition, the Softball team exhausts its budget early with travel. The  
12 2004 report also noted the possibility that teams may be reluctant to  
13 schedule away games due to a concern with the condition of an opponent's  
14 facility. As a result, the maximum number of competitive events was not  
15 reached.  
16

17 **d. Explain how the institution's future plan for gender issues addresses**  
18 **each of the areas.**  
19

20 Either increasing the budget or scheduling more games in April and May  
21 were two suggested approaches to increase the competitive season for  
22 softball in 2003 and 2004. In addition, increasing the softball team's  
23 budget to support travel in February and March will address this particular  
24 deficiency.  
25

26 **5. Travel and Per Diem Allowance – Modes of transportation; housing furnished**  
27 **during travel; length of stay before and after competitive events; dining**  
28 **arrangements and per diem.**  
29

30 **a. Describe how the institution has ensured a complete study of each of**  
31 **the areas.**  
32

33 The Equity and Student-Athlete Welfare subcommittee reviewed the  
34 provision of equipment and supplies to all teams as part of this self-study  
35 report. On an annual basis, the Division of Athletics at the University of  
36 Connecticut maintains a relationship with Lamar Daniel, Inc. which began  
37 in 1995, for the purpose of ongoing evaluation of the University's  
38 compliance with Title IX of the Education amendment of 1972. This  
39 annual review constitutes an evaluation of gender-equity that identifies  
40 any areas of deficiency and recommendations and comments for gender-  
41 equity for the future with regard to *Travel and Per Diem Allowance*. This  
42 self-study represents a compilation of those reviews following the interim  
43 report of the first-cycle certification (i.e. 2003 through 2006).  
44

45 **b. Provide data demonstrating the institution's status/commitment, including**  
46 **resource allocation, across each of the areas.**  
47

1 Using travel data and interviews with coaches and participants, all related areas  
2 to travel were determined to be without problems. An itemization of the mode of  
3 transportation (i.e., air, bus, van) is summarized in the Lamar Daniel, LLC  
4 reports (p. 11, December 2003, p. 12, December 2004; p. 11, December 2005).  
5 When overnight travel is required, each team stays in good to excellent lodging  
6 establishments selected by a member of the coaching staff or an administrator.  
7 Participants share rooms with 2 beds per room and one individual per bed.  
8 Teams are provided with approximately the same amount of money per day  
9 depending on the number and time of day of meals. All women participants  
10 confirmed the quantity and quality of food provided during travel as sufficient.

11  
12 **c. Identify areas of deficiency and comment on any trends.**

13  
14 No areas of deficiency were noted in this area for this cycle period.

15  
16 **d. Explain how the institution's future plan for gender issues addresses  
17 each of the areas.**

18  
19 The institution will maintain current standards, efforts and expectations for  
20 gender equity in this area.

21  
22  
23 **6. Tutors – Availability – procedures and criteria for obtaining assistance,;  
24 Assignment – qualifications, training, experience, etc.; Compensation –rate of  
25 pay, pupil loads, qualifications, experience, other terms and conditions of  
26 employment.**

27  
28  
29 **a. Describe how the institution has ensured a complete study of each of  
30 the areas.**

31  
32 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
33 provision of equipment and supplies to all teams as part of this self-study  
34 report. On an annual basis, the Division of Athletics at the University of  
35 Connecticut maintains a relationship with Lamar Daniel, Inc., which  
36 began in 1995, for the purpose of ongoing evaluation of the University's  
37 compliance with Title IX of the Education amendment of 1972. This  
38 annual review constitutes an evaluation of gender-equity that identifies  
39 any areas of deficiency and recommendations and comments for gender-  
40 equity for the future with regard to *Tutors*. This self-study represents a  
41 compilation of those reviews following the interim report of the first-cycle  
42 certification (i.e. 2003 through 2006).

43  
44  
45 **b. Provide data demonstrating the institution's status/commitment,  
46 including resource allocation, across each of the areas.**  
47

1 The Director of Counseling Programs for Intercollegiate Athletics (CPIA)  
2 supervises the staff providing academic services to student athletes. There  
3 were 8 full-time CPIA counselors and 4 graduate assistants. Two graduate  
4 assistants are assigned to football while the other two graduate assistants  
5 serve as a tutor and an assistant in office administration. The CPIA  
6 Director reports to the Provost and Executive Vice President for Academic  
7 Affairs. The tutoring system, which utilizes undergraduate and graduate  
8 students who are paid \$8 to \$12 hourly depending on course and academic  
9 level, is online and accessible to student athletes within 24 hr of a request  
10 at no charge to the athlete. The CPIA staff and services are highly rated by  
11 the head coaches and student-athletes.  
12

13 **c. Identify areas of deficiency and comment on any trends.**

14  
15 The opportunity to receive tutoring and the assignment and compensation of  
16 tutors was evaluated as equivalent for men's and women's sports for this  
17 certification cycle.  
18

19 **d. Explain how the institution's future plan for gender issues addresses**  
20 **each of the areas.**

21  
22 The Director of CPIA will review assignment of staff and make necessary  
23 changes annually to maintain equivalency.  
24

25 **7. Coaches – Availability – full time, part time, assistant, and graduate assistants;**  
26 **Assignment – training, experience, professional standing, and other professional**  
27 **qualifications; Compensation – rate of compensation, duration of contracts,**  
28 **conditions relating to contract renewal, experience, nature of coaching duties,**  
29 **working conditions, and other terms and conditions of employment.**  
30

31  
32 **a. Describe how the institution has ensured a complete study of each of**  
33 **the areas.**  
34

35 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
36 provision of equipment and supplies to all teams as part of this self-study  
37 report. On an annual basis, the Division of Athletics at the University of  
38 Connecticut maintains a relationship with Lamar Daniel, Inc. which began  
39 in 1995, for the purpose of ongoing evaluation of the University's  
40 compliance with Title IX of the Education amendment of 1972. This  
41 annual review constitutes an evaluation of gender-equity that identifies  
42 any areas of deficiency and recommendations and comments for gender-  
43 equity for the future with regard to *Coaches*. This self-study represents a  
44 compilation of those reviews following the interim report of the first-cycle  
45 certification (i.e. 2003 through 2006).  
46

1           **b. Provide data demonstrating the institution's status/commitment,**  
2           **including resource allocation, across each of the areas.**  
3

4           In 2002-2003 there were 24 full-time coaches for nine men's teams with  
5           10 in football. There were 22 full-time coaching positions for 11 women's  
6           teams. The only men's team not at the NCAA maximum allowance was  
7           golf and all women's teams were at the NCAA maximum for coaches  
8           allowed. There were also 5 part-time coaches or graduate assistants for  
9           men's teams and 6 for women's teams. Men's and women's  
10          swimming/diving teams and the women's tennis team were not at the  
11          maximum for coaches allowed by the NCAA. Overall, the availability of  
12          coaches was equitable.  
13

14          **c. Identify areas of deficiency and comment on any trends.**  
15

16          No deficiencies were noted for the 2002-2003 and 2003-2004 years. A  
17          recommendation was made in the 2004 report to have separate coaches for  
18          the men's and women's tennis programs (p. 14). In the 2005 report,  
19          upgrades noted in the recommendations were to increase Graduate  
20          Assistant positions from part- to full-time and concerns regarding  
21          coaching assignments for men's and women's tennis remained a minor  
22          issue (p. 13).  
23

24          **d. Explain how the institution's future plan for gender issues addresses**  
25          **each of the areas.**  
26

27          Gender equity is maintained throughout procedures for searches,  
28          interviews, and hiring per the Institution's gender equity plans, policies  
29          and procedures.  
30

31          **8. Locker Rooms, Practice and Competitive Facilities – *Quality, availability, and***  
32          ***exclusivity of practice and competitive facilities; quality and availability of locker***  
33          ***rooms; maintenance and preparation of practice and competitive facilities.***  
34

35          **a. Describe how the institution has ensured a complete study of each of**  
36          **the areas.**  
37

38          The Equity and Student-Athlete Welfare subcommittee reviewed the  
39          provision of equipment and supplies to all teams as part of this self-study  
40          report. On an annual basis, the Division of Athletics at the University of  
41          Connecticut maintains a relationship with Lamar Daniel, Inc., which  
42          began in 1995, for the purpose of ongoing evaluation of the University's  
43          compliance with Title IX of the Education amendment of 1972. This  
44          annual review constitutes an evaluation of gender-equity that identifies  
45          any areas of deficiency and recommendations and comments for gender-  
46          equity for the future with regard to *Locker Rooms, Practice and*  
47          *Competitive Facilities*. This self-study represents a compilation of those

1 reviews following the interim report of the first-cycle certification (i.e. 2003  
2 through 2006).  
3

4 **b. Provide data demonstrating the institution's status/commitment,**  
5 **including resource allocation, across each of the areas.**  
6

7 The only teams which do not have locker rooms for their exclusive use are  
8 men's golf and men's and women's tennis. The locker rooms for men's  
9 and women's basketball were renovated and evaluated as excellent. With  
10 the exception of field hockey, baseball, and football, head coaches and  
11 women participants rated the locker rooms as good to excellent. Prior to  
12 the construction of the new campus football facility (Burton Family  
13 Football Complex), the Head Football Coach rated his team's then  
14 existing locker room as fair. The Burton Family Football Complex was  
15 completed in August, 2006. The locker room for football at Rentschler  
16 Stadium was rated excellent. While minimal complaints about locker  
17 rooms were noted early in the certification cycle, the 2004-2005 report  
18 stated that "almost all coaches and participants complained about locker  
19 rooms. Increased participation in some sports justified complaints  
20 regarding the size of some locker rooms (i.e., women's rowing).  
21

22 **c. Identify areas of deficiency and comment on any trends.**  
23

24 A list of the practice and competitive facilities can be found in the  
25 December 2003, 2004, and 2005 Title IX reports. Since the interim report,  
26 practice and competitive facilities have continued to deteriorate at a  
27 similar rate. Those deficiencies specific to women's sports were noted in  
28 the annual Title IX reviews.  
29

30 **d. Explain how the institution's future plan for gender issues addresses**  
31 **each of the areas.**  
32

33 A Division of Athletics Facilities Master Plan has been undertaken in  
34 conjunction with the University's overall master plan for facilities. The  
35 development of the Division of Athletics Facilities Master Plan began in  
36 2005 and is nearing completion, under the guidance of the University's  
37 Department of Architectural and Engineering Services. This plan  
38 incorporates consideration of needs specific to gender equity. The early  
39 process of hiring architects to program and design facilities is currently  
40 moving ahead in conformity to University standard procedures. Upon  
41 completion of the designs and subsequent development of architectural  
42 renderings, the projects will move to the fundraising stage. In the  
43 meantime, many teams, including women's teams, are utilizing the new  
44 Mark R. Shenkman Training Center for indoor practices. Plans to replace  
45 the track and artificial field in the George J. Sherman Family Sports  
46 Complex are moving forward.  
47

1           9.    **Medical and Training Facilities and Services – Availability of medical**  
2                    *personnel; availability and quality of weight training, and conditioning facilities;*  
3                    *availability and qualifications of athletic trainers; health, accident, and injury*  
4                    *insurance coverage.*

5  
6            **a.       Describe how the institution has ensured a complete study of each of**  
7                    **the areas.**

8  
9                    The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
10                    provision of equipment and supplies to all teams as part of this self-study  
11                    report. On an annual basis, the Division of Athletics at the University of  
12                    Connecticut maintains a relationship with Lamar Daniel, Inc. which began  
13                    in 1995, for the purpose of ongoing evaluation of the University's  
14                    compliance with Title IX of the Education amendment of 1972. This  
15                    annual review constitutes an evaluation of gender-equity that identifies  
16                    any areas of deficiency and recommendations and comments for gender-  
17                    equity for the future with regard to *Medical and Training Facilities and*  
18                    *Services*. This self-study represents a compilation of those reviews  
19                    following the interim report of the first-cycle certification (i.e. 2003 through  
20                    2006).

21  
22            **b.       Provide data demonstrating the institution's status/commitment,**  
23                    **including resource allocation, across each of the areas.**

24  
25                    Primary health care coverage for all student-athletes is through student health  
26                    insurance or parents' insurance. With regard to the availability and quality  
27                    of weight and conditioning facilities, there are four weight rooms: A new  
28                    18,000 square foot weight room has opened in the Mark R. Shenkman  
29                    Training Center, which is connected to the Burton Family Football  
30                    Complex. The Shenkman facility is presently being utilized by the football  
31                    team and will be available for use by some women's teams. Other weight  
32                    rooms are at the Greer Field House (5200 sq ft), the upper level of Gampel  
33                    Arena (3200 sq ft) and the lower level of Gampel Arena (2000 sq ft). The  
34                    latter weight room was redone and all equipment is new. This weight  
35                    room is used primarily by men's and women's basketball; however,  
36                    volleyball, field hockey and other sports also use this weight facility.  
37                    Teams are scheduled in the Greer Field House weight room in one-hour  
38                    blocks. There are four full-time, certified strength coaches and two  
39                    graduate assistants to supervise teams during scheduled workouts. Two of  
40                    the full-time staff are females. The facilities were rated by participants as  
41                    adequate (upper Gampel) to excellent.

42  
43                    Two fully equipped medical training rooms are located in the Burton complex  
44                    and Gampel Pavilion. Other medical training facilities are located in the Greer  
45                    field House, the Freitas Ice Forum and Rentschler Field. All facilities were rated  
46                    as good to excellent.

1 The Director of Sports Medicine is a licensed and certified physician in  
2 the field of sports medicine who oversees the treatment of all student-  
3 athletes. He coordinates the medical staff and covers all football events.  
4 There is a contractual relationship with orthopedist and a general  
5 agreement or referral service for other allied health professionals working  
6 with the student-athletes. Physicians are present at home games for  
7 football, men's and women's basketball, men's and women's ice hockey,  
8 men and women's soccer and field hockey. Thorough physicals are given  
9 to all incoming freshman and transfer student-athletes and previously  
10 injured athletes are carefully reviewed and other returning athletes are  
11 screened. As of December 2006, there were seven full-time trainers, five  
12 graduate assistants and twenty-two student trainers. All full time and  
13 graduate assistant athletic trainers are nationally certified. While all sports  
14 have certified trainer coverage for home competition, a number of sports  
15 have limited trainer coverage at practice or away competition and some  
16 teams (men's baseball and soccer) have only student coverage. Similarly,  
17 women's field hockey, lacrosse, soccer, and volleyball only have student  
18 coverage during their non-traditional season.  
19

20 **c. Identify areas of deficiency and comment on any trends.**

21  
22 Problem areas identified included lack of trainer coverage with a greater  
23 impact being noted on women's teams compared to men's teams. The  
24 lack of a certified trainer for rowing was considered a deficiency in this  
25 area and a recommendation to provide at least a student trainer for  
26 swimming was made. The strength and conditioning program does not  
27 have enough coaches. This affects both men's and women's teams  
28 equally.  
29

30 **d. Explain how the institution's future plan for gender issues addresses**  
31 **each of the areas.**

32  
33 Efforts to have sufficient personnel in these areas of sports medicine are  
34 constantly underway.  
35

36 **10. Housing and Dining Facilities and Services – *Housing provided; special***  
37 ***services as part of housing; dining arrangements.***

38  
39 **a. Describe how the institution has ensured a complete study of each of**  
40 **the areas.**

41  
42 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
43 provision of equipment and supplies to all teams as part of this self-study  
44 report. On an annual basis, the Division of Athletics at the University of  
45 Connecticut maintains a relationship with Lamar Daniel, Inc., which  
46 began in 1995, for the purpose of ongoing evaluation of the University's  
47 compliance with Title IX of the Education amendment of 1972. This



1 annual review constitutes an evaluation of gender-equity that identifies  
2 any areas of deficiency and recommendations and comments for gender-  
3 equity for the future with regard to *Housing and Dining Facilities and*  
4 *Services*. This self-study represents a compilation of those reviews  
5 following the interim report of the first-cycle certification (i.e., 2003  
6 through 2006).

7  
8 **b. Provide data demonstrating the institution's status/commitment,**  
9 **including resource allocation, across each of the areas.**

10  
11 Housing for student-athletes, whether in dormitories, or apartments on or  
12 off campus, was considered equitable. Similarly, no differences in housing  
13 selection or locations during holiday breaks were found. With the  
14 exception of football in-season, there is no training table (i.e., special table  
15 for meals) and participants on room and board scholarship have a meal  
16 card for on campus dining or receive a check to dine where they choose.  
17 Sports that require athletes be on campus for practice in August provide  
18 students with access to a University dining hall to provide participants 3  
19 meals a day. For holidays and breaks, student athletes eat at a University  
20 dining hall if one is open or they receive money for meals. These options  
21 are at the coaches' discretion and are equitable across genders.  
22

23 **c. Identify areas of deficiency and comment on any trends.**

24  
25 The provision of housing and dining Facilities was considered equivalent  
26 during this certification cycle.  
27

28 **d. Explain how the institution's future plan for gender issues addresses**  
29 **each of the areas.**

30 While this area was satisfactory in the context of the Title IX reports, it is  
31 important to note the Division of Athletics has aggressively pursued  
32 greater access to dining services for all athletes. As a result the University  
33 of Connecticut Department of Dining Services works closely with the  
34 Division of Athletics to provide meal options for a diverse group of  
35 student athletes. This service includes providing bag lunches, on-site  
36 meals, scheduling meals within any of the institution's eight resident  
37 dining facilities or the food court through the Student Union. Dining  
38 Services' extensive hours of for resident operations (continuous service  
39 from 7:15am to one unit closing at 10:00pm), and the late night hours of  
40 retail enable student-athletes to be accommodated in the same manner as  
41 non-student athletes that have conflicts with labs or off campus  
42 internships.

43 **11. Publicity – Availability and quality of sports information personnel; access to**  
44 **other publicity resources; quantity and quality of publications and other**  
45 **promotional devices.**

1                   **a. Describe how the institution has ensured a complete study of each**  
2                   **of the areas.**  
3

4                   The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
5                   provision of equipment and supplies to all teams as part of this self-study  
6                   report. On an annual basis, the Division of Athletics at the University of  
7                   Connecticut maintains a relationship with Lamar Daniel, Inc., which  
8                   began in 1995, for the purpose of ongoing evaluation of the University's  
9                   compliance with Title IX of the Education amendment of 1972. This  
10                  annual review constitutes an evaluation of gender-equity that identifies  
11                  any areas of deficiency and recommendations and comments for gender-  
12                  equity for the future with regard to publicity. This self-study represents a  
13                  compilation of those reviews following the interim report of the first-cycle  
14                  certification (i.e. 2003 through 2006).  
15

16                  **b. Provide data demonstrating the institution's status/commitment,**  
17                  **including resource allocation, across each of the areas.**  
18

19                  Sports information (SI) is under the supervision of the Associate Athletic  
20                  Director for Communication/Sports Information Director (SID). There are  
21                  4 full-time assistants and 2 interns. There are varied levels of experience  
22                  and the staff is attributed across sports. There is also a web site  
23                  coordinated by an Assistant SID. With the exception of lacrosse (good),  
24                  softball (fair), and swimming and diving (poor), SI staff services were rated  
25                  as good to excellent. The quality of publications varies across sports with  
26                  men's and women's cross country/track, swimming/diving, tennis and  
27                  golf, lacrosse, and rowing receiving no marketing and promotions. There  
28                  is also an assistant AD for Marketing and Promotions who has one full-  
29                  time staff member, 4 graduate assistants and 42 student assistants. Very  
30                  little marketing is needed for men's and women's basketball. The men's  
31                  soccer team led the nation in attendance over the last several years and  
32                  women's soccer is in the top 5. Marketing and promotion efforts received  
33                  good to excellent ratings from coaches.  
34  
35

36                  **c. Identify areas of deficiency and comment on any trends.**  
37

38                  Comments for this certification cycle include 1) the number of sports  
39                  covered by interns, and in particular the greater impact this has on  
40                  women participants, and 2) the reduction in marketing in promotions  
41                  did not negatively impact women's sports. Mr. Daniels stated that  
42                  "Publications and marketing and promotions are without problems and  
43                  seem better than ever" on p. 23 of the December 2005, Title IX report.  
44

45                  **d. Explain how the institution's future plan for gender issues**  
46                  **addresses each of the areas.**  
47

The institution will continue to evaluate equivalency in this area.

12. **Support Services**– *Administrative, secretarial, and clerical support; office space.*

a. **Describe how the institution has ensured a complete study of each of the areas.**

The Equity and Student-Athlete Welfare subcommittee reviewed the provision of equipment and supplies to all teams as part of this self-study report. On an annual basis, the Division of Athletics at the University of Connecticut maintains a relationship with Lamar Daniel, Inc., which began in 1995, for the purpose of ongoing evaluation of the University's compliance with Title IX of the Education amendment of 1972. This annual review constitutes an evaluation of gender-equity that identifies any areas of deficiency and recommendations and comments for gender-equity for the future with regard to *Support Services*. This self-study represents a compilation of those reviews following the interim report of the first-cycle certification (i.e. 2003 through 2006).

b. **Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas.**

A new Director of Athletics was in transition during 2002-2003 and reorganization subsequent to this administrative change was initiated in 2003-2004. All head coaches have private offices. Assistant coaches for three men's teams (basketball, football and soccer) have private offices Assistant coaches for three women's teams (basketball, rowing and soccer) also have private offices. Support services and office equipment and supplies are equivalent.

c. **Identify areas of deficiency and comment on any trends.**

There was no concern or deficiencies noted in this area.

d. **Explain how the institution's future plan for gender issues addresses each of the areas.**

The institution will continue to maintain equivalency in this area.

a. **Recruitment of Student-Athletes** – *Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities, and treatment of prospective athletes.*

a. **Describe how the institution has ensured a complete study of each of the areas.**

1 The Equity and Student-Athlete Well-Being Subcommittee reviewed the  
2 provision of equipment and supplies to all teams as part of this self-study  
3 report. On an annual basis, the Division of Athletics at the University of  
4 Connecticut maintains a relationship with Lamar Daniel, Inc., which began in  
5 1995, for the purpose of ongoing evaluation of the University's compliance  
6 with Title IX of the Education amendment of 1972. This annual review  
7 constitutes an evaluation of gender-equity that identifies any areas of  
8 deficiency and recommendations and comments for gender-equity for the  
9 future with regard to *Recruitment of Student-Athletes*. This self-study  
10 represents a compilation of those reviews following the interim report of the  
11 first-cycle certification (i.e. 2003 through 2006).  
12

13 **b. Provide data demonstrating the institution's status/commitment,**  
14 **including resource allocation, across each of the areas.**  
15

16 The availability of coaches/recruiters, as well as the opportunity to recruit, is  
17 equivalent at the University of Connecticut.  
18

19 **c. Identify areas of deficiency and comment on any trends.**  
20

21 During this certification cycle areas noted for improvement were 1) since  
22 women's swimming is fully funded with grants-in-aid, recruitment funding  
23 should be addressed, 2) the provision of courtesy cars/car allowances to  
24 another team should be considered, 3) a transition period was necessary for  
25 the new Head Coach for baseball to establish a recruiting budget, 4)  
26 recruitment funding should be provided for women's ice hockey, and 5) a  
27 review of the tennis budget in consideration of additional funding for  
28 recruitment.  
29

30  
31 **d. Explain how the institution's future plan for gender issues addresses each**  
32 **of the areas.**  
33

34 The institution intends to maintain current standards and be appropriately  
35 responsive to issues in this area.  
36

37 **7. Using the "plan for improvement" section, please provide a written, stand-alone**  
38 **institutional plan for addressing gender equity for the future in the intercollegiate athletics**  
39 **program. The plan must address all 13 program areas for gender issues as listed**  
40 **previously; however, an evaluation mechanism to monitor the institution's status in those**  
41 **program areas without deficiencies is acceptable, provided the identification of such a**  
42 **mechanism is included in the institution's gender-issues plan. Further, the plan must**  
43 **extend at least five years into the future and be active at all times.**  
44

45 **Within gender-equity written plans, specific numerical targets may place an institution at**  
46 **legal risk and are not expected nor should they be included in an institution's written plan.**

1 **The committee advises institutions to submit plans that have broad, flexible non-numeric**  
2 **hiring goals.**

3  
4 Please see item 6.

5  
6 **8. Describe the institution's efforts to ensure the plan for addressing gender-equity issues**  
7 **for the future of the intercollegiate athletics program was developed through a process**  
8 **involving broad-based participation and received institutional approval.**

9  
10 Information to be available for review by the peer-review team, if requested:

- 11 -Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- 12 - Equity in Athletics Disclosure Act survey forms and worksheets.

13  
14 The President appointed faculty (4 members), University-wide staff members (6 members), athletic  
15 department staff members (3 members), athletes (1 member) and coaching staff members (2 members) to  
16 the Equity and Student-Athlete Welfare Subcommittee (ESAWS). The ESAWS met bi-monthly with  
17 subcommittee meetings aimed at full and open discussions regarding each of the areas covered under the  
18 purview of the ESAWS in the NCAA Self-Study document. Data was gathered from various groups  
19 including athletic administrators, CPIA staff, student athletes, coaching and sports medicine staff. The  
20 meetings provided an opportunity for input, discussion and reflection on topics regarding equity and  
21 student-athlete welfare. The comments and raw data were incorporated into the final report and reflected  
22 in the ESAWS subcommittee's comments.

23  
24 The final report was submitted by the chair of the ESAWS to the University community and the Steering  
25 Committee for comments and approval. Finally, the report was reviewed and approved by the Provost  
26 and President.

### 27 28 29 ***Operating Principle***

30 ***3.2 Minority Issues.*** *It is a principle of the Association to promote respect for and sensitivity to*  
31 *the dignity of every person and to refrain from discrimination prohibited by federal and state*  
32 *law. Consistent with this fundamental philosophy, the institution shall:*

- 33 ***a.*** *Have implemented its approved minority-opportunities plan from the previous self-study. If*  
34 *modified or if not carried out fully, the institution shall provide an explanation from*  
35 *appropriate institutional authorities.*
- 36 ***b.*** *Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment*  
37 *of all minority student-athletes and athletics department personnel.*
- 38 ***c.*** *Formally adopt a written plan for the future for the intercollegiate athletics program that*  
39 *ensures the institution maintains a program, or continues progress toward a program, which*  
40 *expands opportunities and support for minority student-athletes and athletics personnel. The*  
41 *plan shall include measurable goals the institution intends to achieve, steps the institution*  
42 *will take to achieve these goals, persons responsible and timetables.*

### 43 44 ***Self-Study Items***

45  
46 **1. List all "corrective actions", "conditions for certification" or "strategies for**  
47 **improvement" imposed by the NCAA Division I Committee on Athletics Certification in its**  
48 **first-cycle certification decision (if any) as they relate to operating Principle 3.2 (Minority**

1 **Issues), In each case provide: (a) the original “corrective action”, “condition” or**  
2 **“strategy” imposed; (b) the action(s) taken by the institution; (c) the dates(s) of the**  
3 **action(s); and (d) an explanation for any partial or non-completion of such required**  
4 **actions. Please note, the institution is not required to respond to recommendations for**  
5 **required actions developed by the peer-review team unless those same recommendations**  
6 **were adopted by the Committee on Athletics Certification.**

7  
8 The NCAA Division I Committee on Athletics Certification imposed no corrective actions or  
9 conditions for certification on the University of Connecticut in its first-cycle certification  
10 decision. The Division of Athletics modified its mission statement to ensure it addressed the  
11 support of equitable opportunities for all students and staff, including women and minorities.  
12 (See Attachment #1)

13  
14 **2. Report on the implementation of the plan to address minority issues developed**  
15 **by the institution during its first-cycle certification process. Specifically, include (a) the**  
16 **original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) an**  
17 **explanation of any partial or non-completion of such required actions, [Please note:**  
18 **Within minority-issues written plans, specific numerical targets may place an institution at**  
19 **legal risk and are not expected nor should they be included in an institution’s written plan.**  
20 **If an institution has already submitted a plan to the committee that includes specific hiring**  
21 **numbers, the committee will not hold the institution accountable for achieving those**  
22 **specific numerical targets. Rather, the committee advises institutions to submit plans that**  
23 **have broad, flexible non-numeric hiring goals.]**

24  
25  
26 **(a)** The University of Connecticut is committed to providing a setting within which the  
27 personal growth and development of students may be fully realized. It considers the social  
28 environment of its campuses to be an integral part of such an educational experience and,  
29 therefore, seeks to maintain cultural, ethnic, and economic diversity in the student and employee  
30 populations. Efforts will be continued to attract students from diverse racial, ethnic and  
31 economic backgrounds and to encourage their participation in fields in which they have been  
32 traditionally underrepresented. The enrollment of women students is equal to that of men, but it  
33 is nevertheless desirable to encourage their involvement in disciplines which have historically  
34 excluded them.

35 The societal forces which have shaped the career aspirations of these and other groups are not  
36 exclusively economic, and financial awards based upon need alone cannot alter them; however,  
37 tangible recognition in the form of merit scholarship awards may increase the students' incentive  
38 to expand their horizons. Accordingly, the University will pursue monetary contributions to  
39 support its commitment to achieving and maintaining a diverse student body through  
40 scholarships awarded on bases including but not limited to financial need, and will continue to  
41 provide strong need-based financial aid programs. (This policy was approved by the Board of  
42 Trustees on March 12, 1982 and has been repeatedly reaffirmed by the Board and the University  
43 administration.)

1 The [Office of Diversity and Equity](#) (ODE) supports the University's commitment to diversity,  
2 multiculturalism, social equity, and affirmative action by providing advice and services. ODE  
3 advises the President, executive and senior administration on institutional civil rights and social  
4 equity policies, issues and problems. Individually and in collaboration with other divisions and  
5 units, the Office develops and implements programs and activities to promote a positive campus  
6 environment. ODE manages diversity training programs, monitors the University's compliance  
7 with and develops activities to support the Americans with Disabilities Act (ADA), investigates  
8 complaints of discrimination and discriminatory harassment, and manages all pre-litigation civil  
9 rights cases filed against the University with state and federal enforcement agencies. The Office  
10 prepares the University's Affirmative Action Plan for Employment (State and federal versions);  
11 monitors employment systems, including search policies and procedures; and assists the  
12 University administration on matters relating to institutional compliance. ODE engages in  
13 outreach activities to campus units and external groups in the state, region, and nation.

14 In April 2002, the University's Diversity Action Plan was presented and accepted by the Board  
15 of Trustees. That plan acknowledged the definition and principle of diversity to be ever-  
16 changing and recognized the need for constant and appropriate review. Diversity encompasses  
17 the presence and participation of people who differ by age, color, ethnicity, gender, national  
18 origin, race, religion, and sexual orientation, and includes those with disabilities and from  
19 various socio-economic backgrounds. It encompasses not only individuals and groups, but also  
20 thoughts and attitudes. The University seeks to assure that the fabric of diversity here is woven  
21 in thought and in experience, within a climate in which diverse views are welcomed and  
22 respected and in which there is a commonality that comes from working together to effect  
23 constructive change.

24 The Diversity Plan includes 134 recommendations for campus-wide implementation. Although  
25 some recommendations name the Division of Athletics specifically, several others are targeted  
26 for "all campuses, all offices". (See attachment #2)

27 **(b)** The President's Athletic Advisory Committee (PAAC), discussed in earlier parts of this  
28 report, serves as an advisory group to the President composed primarily of University faculty and  
29 staff. The Committee meets regularly throughout the academic year discussing policies,  
30 activities and issues pertaining to intercollegiate athletics. PAAC's Diversity and Equity  
31 subcommittee assists the Division of Athletics in the application of University standards with  
32 regard to the achievement and maintenance of diversity and equity in the Division. The charge  
33 of the subcommittee is to put forth recommendations to PAAC pertaining to opportunity and  
34 equity for women and minorities in several areas, including: policies and practices in coaching  
35 and athletic administration; student life/welfare issues; the academic and work environment;  
36 existence and ability to access resources, facilities, programs and services; and the existing  
37 mechanisms available to address and communicate on issues of concern.

38 **(c)** In 2003-04 the subcommittee objectives were: 1)assemble data regarding the demographics  
39 of the Division of Athletics administrative and support staff; 2)characterize the student-athlete  
40 population with regard to diversity; and 3)identify resources regarding diversity and equity  
41 services, as well as opportunities, for University of Connecticut student- athletes.

1 In 2004-05, the subcommittee looked into opportunities for women and minorities regarding  
2 1)employment policies and practices; 2)practices related to student life; 3)supportive and bias  
3 free academic and work environments; 4)access to and provision of resources, facilities,  
4 programs and services; and 5)avenues and mechanisms for addressing concerns and obtaining  
5 input.

6 **3. Describe any additional plans for improvement/recommendations in the area of**  
7 **Operating Principle 3.2 (Minority Issues) developed by the institution since the first-cycle**  
8 **certification decision was rendered by the Committee on Athletics Certification.**  
9

10 The Division of Athletics continues its efforts to bring minorities into its administrative and  
11 coaching staffs. This is accomplished by working with the Office of Diversity and Equity on its  
12 employment searches to ensure that all opportunities to increase diversity are utilized.  
13

14 **4. Explain how the institution is organized to further its efforts related to the**  
15 **minority-issues operating principle for athletics department staff and student-athletes and**  
16 **provide evidence that matters concerning minority issues are monitored, evaluated and**  
17 **addressed on a continuing basis.**  
18

19 The Division of Athletics employs a full time Compliance Coordinator to provide internal  
20 oversight, while the Faculty Athletics Representative (FAR) provides external oversight. As  
21 discussed earlier in this report, the FAR reports to the President. In addition, the President's  
22 Athletic Advisory Committee serves as an advisory group to the President composed primarily  
23 of University faculty and staff. The Committee meets regularly throughout the academic year  
24 discussing policies, activities and issues pertaining to intercollegiate athletics. PAAC  
25 membership is diverse in race, gender, and in various constituencies represented. The Director  
26 of the Counseling Program for Intercollegiate Athletes (CPIA) is an ex-officio member of  
27 PAAC. The CPIA Director reports to the Provost and Executive Vice President for Academic  
28 Affairs and is able to act independently, while working collaboratively with the Division of  
29 Athletics. The CPIA Director has hired people from diverse groups to help with the issues  
30 concerning minority student-athletes.  
31

32 In addition, the Division has developed a *Guidebook to NCAA Regulations* to inform alumni,  
33 friends and boosters of UConn sports programs about rules and regulations. The Division of  
34 Athletics provides NCAA rules education to its student-athletes, coaches and staff as well as the  
35 University community, donors, corporate partners and other constituencies that interact with the  
36 Division of Athletics. Staff work with Big East Conference and NCAA representatives, and,  
37 when necessary, with a law firm that specializes in NCAA compliance to provide continuous  
38 assessment and suggestions for improvement in the compliance program. As discussed earlier,  
39 UConn maintains a Student Athlete Advisory Council to provide student input to the Division of  
40 Athletics.  
41

42 The Office of Diversity and Equity reviews and approves searches for faculty and non- teaching  
43 professional staff and serves in a consultative role throughout the search process. ODE also  
44 investigates any complaints of discrimination and discriminatory harassment, filed internally and  
45 externally, against non-students. The Dean of Students Office handles harassment complaints



1 filed against students, under the provisions of the Student Conduct Code. In addition, the Office  
2 of Diversity and Equity monitors institutional compliance to the Americans with Disabilities Act  
3 (ADA), Sections 503 and 504 of the Rehabilitation Act, and Title IX of the Amendments.

4  
5 In 2006 the Division of Athletics appointed a Senior Associate Director of  
6 Athletics/Administration whose responsibilities includes serving as a liaison to the Office of  
7 Diversity and Equity and continuing to promote and enhance the diversity of the Division of  
8 Athletics.

9  
10  
11 **5. For the three most recent academic years, provide the racial or ethnic**  
12 **composition for full-time senior administrative athletics department staff members (i.e.**  
13 **assistant athletics directors up through the athletics director level). Other full-and part-**  
14 **time professional (i.e.) non-clerical) athletics department staff members (such as trainers,**  
15 **tickets managers, academic support staff and facility managers, even if the position if not**  
16 **funded by or does not report to the athletics department); full- and part-time head coaches;**  
17 **full-and part-time assistant coaches (including graduate assistant and volunteer coaches):**  
18 **faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics,**  
19 **faculty athletics committee) members, and other advisory or policy-making group (e.g.**  
20 **governing board for athletics, student-athlete advisory committee) members (any).**  
21 **Analyze and comment on any trends over the three-year period. [Note: Use the supplied**  
22 **chart (Racial or Ethnic Composition) to compile the data requested in this self-study item.]**  
23

24 See attached chart.

25  
26 **6. For the three most recent academic years, provide the racial or ethnic**  
27 **composition for student-athletes who received athletics aid and for students generally.**  
28 **[Note: Use the supplied chart (Racial or Ethnic Composition) to compile the data requested**  
29 **in this self-study item.]**  
30

31 See attached chart.

32  
33 **7. For the three most recent academic years, provide the racial or ethnic**  
34 **composition of student-athletes who received athletics aid by the eight sport groups listed**  
35 **in the NCAA Graduation-Rates Disclosure Form. Also, for those sports not at the varsity**  
36 **level for three years, indicate the year in which the sport was recognized by the institution**  
37 **as a varsity sport. [Note: Use the supplied chart (Racial or Ethnic Composition) to compile**  
38 **the data requested in this self-study item.]**  
39

40 See attached chart.

41  
42 **8. Using the eight program areas for minority issues please:**  
43 **a. Describe how the institution has ensured a complete study of each of the eight**  
44 **areas,**  
45 **b. Provide data demonstrating the institution's commitment across each of the**  
46 **eight areas,**

- 1           c. **Identify areas of deficiency and comment on any trends. If the institution**  
2           **identifies any areas of deficiency, include the deficiency in the institution's**  
3           **minority-issues plan for the future.**  
4           d. **Explain how the institution's future plan for minority issues addresses each of**  
5           **the eight areas.**

- 6  
7 1. Institutional and Athletics Department Commitment – Development and maintenance of  
8 written statements that address the issues of diversity.

- 9  
10           a. **Describe how the institution has ensured a complete study of each of the eight**  
11           **areas**

12  
13           The Equity and Student-Athlete Well-Being Subcommittee reviewed the Division of  
14           Athletics Mission Statement, the University's recently modified Mission Statement (April  
15           2006) and the Office of Diversity and Equity's policies on Diversity, Non-discrimination,  
16           Affirmative Action and Equal Employment opportunity as part of this self-study report.

- 17  
18           b. **Provide data demonstrating the institution's commitment across each of the**  
19           **eight areas**

20  
21           The University has a comprehensive Affirmative Action Plan as well as an on-going  
22           Diversity Action Plan. Units on campus are developing unit-specific plans and the  
23           Division of Athletics will also be developing their specific plan.

- 24  
25           c. **Identify areas of deficiency and comment on any trends. If the institution**  
26           **identifies any areas of deficiency, include the deficiency in the institution's**  
27           **minority-issues plan for the future.**

28  
29           The University's Affirmative Action Plan does not specifically reference the Division of  
30           Athletics or any other specific unit of the University, nor does it specifically address  
31           minority opportunities and needs for student-athletes or Division of Athletics personnel.  
32           Although the Diversity Action Plan does include several recommendations that do pertain  
33           to the Division of Athletics, it does not address specific issues and goals related to the  
34           various departments within the Division. A specific diversity plan for the Division that  
35           includes recruitment objectives and goals is being developed.

- 36  
37           d. **Explain how the institution's future plan for minority issues addresses each of**  
38           **the eight areas.**

39  
40           The senior administrators and head coaches value diversity within the division and  
41           their recruitment efforts to diversify the staff and athletic teams have been recognized  
42           by the Office of Diversity & Equity. The Division of Athletics should review the  
43           2002 Diversity Action Plan to ensure appropriate response to those recommendations  
44           in which the Division has been identified. Specific attention should be given to the  
45           following recommendations: (GRID TO BE INSERTED)

1           Once a comprehensive diversity plan is developed for the Division of Athletics a  
2           systematic program review should be in place.

3  
4           A model format for a diversity plan has been provided by the Office of Diversity and  
5           Equity and includes the following:

6  
7           Unit Head's Rationale for the Diversity Plan

8           Assessment of Needs and Opportunities

9           Diversity Plan Development Process

10          Goals, Strategies and Measures:

- 11           o Recruitment and Retention of Underrepresented
- 12           o Faculty, Staff & Students
- 13           o Marketing and Communicating Diversity
- 14           o Diversity Education
- 15           o Campus Climate

16          Summary

- 17  
18  
19   2. Evaluation – Periodic review of Division of Athletics activities for consistency with  
20       goals and objectives set forth in the institution's and athletics department's written  
21       commitments to diversity.

22  
23       **a. Describe how the institution has ensured a complete study of each of the eight**  
24       **areas.**

25  
26       The Equity and Student-Athlete Well-Being Subcommittee reviewed and analyzed  
27       activities of the Division of Athletics as part of this self-study including its mission  
28       statement, student-athlete handbook, the PAAC reports, and the Diversity Action Plan.

29  
30       **b. Provide data demonstrating the institution's commitment across each of the**  
31       **eight areas.**

32  
33       The Affirmative Action Plan is comprehensive and addresses the goals and areas of  
34       concern for all departments on campus but it does not specifically reference the Division  
35       of Athletics, nor does it address minority opportunities and needs for student-athletes, or  
36       Division of Athletics personnel.

37  
38       The Division of Athletics plans to develop a comprehensive diversity plan that addresses  
39       minority opportunities and needs for student athletes and staff. The PAAC Diversity and  
40       Equity subcommittee reviews the policies and activities of the Division of Athletics. (See  
41       2(c) regarding PAAC's work)

42  
43       **c. Identify areas of deficiency and comment on any trends. If the institution**  
44       **identifies any areas of deficiency, include the deficiency in the institution's**  
45       **minority-issues plan for the future.**

46

1 None identified.  
2

3 **d. Explain how the institution's future plan for minority issues addresses each of**  
4 **the eight areas.**  
5

6 The PAAC's Diversity and Equity subcommittee will continue to act in an advisory  
7 capacity to the Division of Athletics. As mentioned earlier, in 2006 the Division  
8 appointed a Senior Associate Director of Athletics whose responsibilities includes  
9 serving as a liaison to the Office of Diversity and Equity and continuing to promote  
10 and enhance the diversity of the Division of Athletics.  
11

12 3. Organization and Structure – Policies, and or organization, and/or activities for the athletics  
13 program and its activities to help enhance diversity.  
14

15 **a. Describe how the institution has ensured a complete study of each of the eight**  
16 **areas.**  
17

18 The Equity and Student-Athlete Well-Being Subcommittee reviewed and analyzed  
19 the Division of Athletics' organizational chart and its structure as part of this self-  
20 study.  
21

22 **b. Provide data demonstrating the institution's commitment across each of the**  
23 **eight areas.**  
24

25 Although commendable recruitment efforts by the Division of Athletics are  
26 recognized the Office of Diversity and Equity, hiring outcomes have not been as  
27 productive. The Division has done due diligence in reaching out to diverse  
28 populations through their advertisement of positions, regional meetings and  
29 conferences, and networking with their contacts nationwide.  
30

31 **c. Identify areas of deficiency and comment on any trends. If the institution**  
32 **identifies any areas of deficiency, include the deficiency in the institution's**  
33 **minority-issues plan for the future.**  
34

35 None identified.  
36

37 **d. Explain how the institution's future plan for minority issues addresses each of**  
38 **the eight areas.**  
39

40 As part of a comprehensive diversity plan, the Division of Athletics should develop  
41 recruitment strategies and non-numerical hiring goals to promote full range diversity  
42 at all staff levels.  
43

44 4. Enrollment – Goals of the institution for enrollment of minority students and minority  
45 student-athletes.  
46

1 **a. Describe how the institution has ensured a complete study of each of the eight**  
2 **areas.**

3  
4 The University's Office of Institutional Research is responsible for collecting all  
5 enrollment management data. The Equity and Student-Athlete Well-Being  
6 Subcommittee reviewed and analyzed enrollment information for the general student  
7 body and compared it to student-athlete enrollment supplied by this office.  
8

9 **b. Provide data demonstrating the institution's commitment across each of the**  
10 **eight areas.**

11  
12 The University has been successful in recruiting students of high quality from  
13 Connecticut while simultaneously drawing highly qualified out-of-state students.  
14 Enrollment management efforts, with input from across the University, also have  
15 addressed these students' retention and persistence toward a timely degree. Strong and  
16 augmented student services in academic support, co-curricular and residential life have  
17 been integral to this success.

18  
19 Through its admissions screening process, the University of Connecticut reviews  
20 characteristics and learning needs of freshmen and transfer students to identify  
21 deficiencies and offer appropriate developmental or remedial support. University of  
22 Connecticut endeavors to integrate specifically recruited populations into the larger  
23 student body and assure comparable academic experiences. As called for in the Diversity  
24 Action Plan, the University has initiated recruitment programs targeted towards attracting  
25 high caliber African- American, Hispanic, Asian, Native American, and other students  
26 from underrepresented groups. The University also encourages enrollment of students  
27 from all parts of the world.

28  
29 **c. Identify areas of deficiency and comment on any trends. If the institution**  
30 **identifies any areas of deficiency, include the deficiency in the institution's**  
31 **minority-issues plan for the future.**

32  
33 None identified.

34  
35 **d. Explain how the institution's future plan for minority issues addresses each of**  
36 **the eight areas.**

37  
38 In 2004-2005 the overall full-time undergraduate enrollment was 14,822, of whom  
39 approximately 16% were minority students. 715 were student-athletes of whom 136  
40 (21%) were members of minority groups. The majority of minority student-athletes are  
41 African American males, concentrated on the football and cross country/track teams.  
42 Twenty-five percent of student-athletes are international students.  
43

1 In developing a diversity plan, a recruitment plan for student-athletes will be included  
2 that is reviewed on an annual basis. Consistent with their charge, the PAAC's Diversity  
3 and Equity Subcommittee will also review the plan.  
4  
5

- 6 5. Comparison of Populations – Examination of the student population and comparison of the  
7 percentage of minority student-athletes in all sports, to ensure that there are no signs of  
8 discrimination revealed through the recruitment practices of the institution.  
9

10 **a. Describe how the institution has ensured a complete study of each of the eight**  
11 **areas.**  
12

13 The Equity and Student-Athlete Well-Being Subcommittee compiled and reviewed three  
14 charts, as required in Operating Principle 3.2 #5, 6, & 7.  
15

16 **b. Provide data demonstrating the institution's commitment across each of the**  
17 **eight areas.**  
18

19 The University's Office of Institutional Research provides data regarding the ethnicity of  
20 the general student population. The data indicate that the number of Native American,  
21 Asian American and African American student-athletes in varsity or highly visible sports  
22 are in decline but Hispanic student-athletes and international student-athletes have made  
23 some modest gains.  
24

25  
26 **c. Identify areas of deficiency and comment on any trends. If the institution**  
27 **identifies any areas of deficiency, include the deficiency in the institution's**  
28 **minority-issues plan for the future.**  
29

30 None identified.  
31

32 **d. Explain how the institution's future plan for minority issues addresses each of**  
33 **the eight areas.**  
34

35 See recommendations made in 4 (d) above.  
36

- 37 6. Participation in Governance and Decision-Making – Involvement of minority student-  
38 athletes in the governance and decision-making processes of the athletics department, and  
39 provision of leadership opportunities (e.g. participation on student-athlete advisory  
40 committee) for minority student-athletes.  
41

42 **a. Describe how the institution has ensured a complete study of each of the eight**  
43 **areas**  
44

45 The Equity and Student-Athlete Well-Being Subcommittee (discussed above) reviewed  
46 the documents provided to the Student Athlete Advisory Committee (SAAC) as part of

1 this self-study report. SAAC, advised by the Division of Athletics' Associate Athletic  
2 Director for Rules and Compliance, addresses issues of concern to student-athletes.

3  
4 **b. Provide data demonstrating the institution's commitment across each of the**  
5 **eight areas.**

6  
7 SAAC meets regularly on a monthly basis to discuss issues of concern with senior  
8 athletic administrators, the FAR, the PAAC representative, and the CPIA representative.

9  
10 SAAC is designed to include at least two members from each team, who serve on a  
11 volunteer basis. At the time of the Self-Study there was, however, a disproportionate  
12 number of students from Women's Lacrosse, Women's Rowing, Women's Softball, and  
13 Women's Track & Field.

14  
15 SAAC members seek to provide all student athletes with assistance while also making  
16 significant contributions to the outside community (i.e., community school visits,  
17 collection of non-perishable food and winter coats for redistribution). SAAC members  
18 also encourage student-athletes to get to know each other across sport teams and other  
19 Big East and NCAA 1-A teams.

20  
21 **c. Identify areas of deficiency and comment on any trends. If the institution**  
22 **identifies any areas of deficiency, include the deficiency in the institution's**  
23 **minority-issues plan for the future.**

24  
25 None identified.

26  
27 **d. Explain how the institution's future plan for minority issues addresses each of**  
28 **the eight areas.**

29  
30 The Division of Athletics should review the involvement of minority student-athletes in  
31 the governance and decision-making process and should also identify additional  
32 leadership opportunities for these student-athletes. SAAC membership should be  
33 consistent across teams. Consistent minority student-athlete representation should also  
34 be encouraged in SAAC.

35  
36 7. Employment Opportunities – Establishment of goals for minority employment opportunities  
37 in the athletics department and the encouragement of promotion and hiring of minority  
38 coaches and administrators.

39  
40 **a. Describe how the institution has ensured a complete study of each of the eight**  
41 **areas.**

42  
43 The Equity and Student-Athlete Well-Being Subcommittee found that there is no specific  
44 recruitment plan for the Division of Athletics beyond conformity to the University's  
45 standard policies, as outlined by the Office of Diversity and Equity.

1       **b. Provide data demonstrating the institution's commitment across each of the**  
2       **eight areas.**

3  
4       The Division of Athletics has done due diligence in their recruiting efforts, advertising in  
5       minority professional journals and periodicals, the Black Coaches Association, the  
6       National Association of Trainers, and the Chronicle of Higher Education. The  
7       University's geographic issues sometimes limit the number of diverse candidates who  
8       accept employment offers, but the Division is proactive in seeking ways to attract  
9       candidates to the area.

10  
11       It should be noted that the senior level professional staff has had minimal turnover. In  
12       fact, the most junior staff person has been in the position for eight years and four other  
13       staff have remained in their positions for 20 years or more. The retention of the senior  
14       level staff is commendable.

15  
16  
17       **c. Identify areas of deficiency and comment on any trends. If the institution**  
18       **identifies any areas of deficiency, include the deficiency in the institution's**  
19       **minority-issues plan for the future.**

20  
21       None identified.

22  
23       **d. Explain how the institution's future plan for minority issues addresses each of**  
24       **the eight areas.**

25  
26       In discussion with senior staff administration, while consistent efforts have been  
27       made to recruit diverse hiring pools, actual hiring practice has not resulted in a  
28       diverse staff across all levels. Full-time minority staff numbers have declined over the  
29       past three years but part-time numbers have increased.

30  
31       The Division of Athletics should continue to review and seek out other possible  
32       publications and listservs for advertising employment opportunities to minority  
33       communities. Working with the Office of Diversity and Equity, all athletic personnel  
34       conducting searches should continue to be committed to interviewing a diverse pool of  
35       candidates and be given appropriate support and guidance.

36  
37  
38       8. Programs and Activities – Establishment of programs that address the needs and issues  
39       affecting minority student-athletes.

40  
41       **a. Describe how the institution has ensured a complete study of each of the eight**  
42       **areas**

43  
44       The Equity and Student-Athlete Well-Being Subcommittee reviewed programs that are  
45       presently available to the general student body and address the needs and issues affecting



1 minority student-athletes. There were no specific programs within the Division of  
2 Athletics that address the needs and issues affecting minority student-athletes.

3  
4 **b. Provide data demonstrating the institution's commitment across each of the**  
5 **eight areas**

6  
7 The University of Connecticut offers many diversity education programs for the benefit  
8 of the entire student body through the Office of the Vice Provost for Multicultural and  
9 International Affairs, the African American Cultural Center, Asian American Cultural  
10 Center, Puerto Rican/Latin American Cultural Center, Women's Center, Rainbow Center,  
11 International Center, and the Native American Cultural Society Office. Additionally, the  
12 Student Involvement Office supports the work of over 200 registered student  
13 organizations which host a variety of cultural and social activities for the entire student  
14 body.

15  
16 The Counseling Program for Intercollegiate Athletes (CPIA) has developed a Life Skills  
17 Program that provides information, knowledge, and confidence that will help students  
18 feel secure in their new environment and promote the successful transition from high  
19 school to college, as discussed in the review of Operating Principle 2.2. The course helps  
20 students develop a set of adaptive, coping, critical thinking, and problem solving skills  
21 and acquaints them with available resources that enable them to balance the myriad of  
22 academic, athletic and social demands and adjust to college life. Issues of diversity and  
23 equity are addressed within the course. The Life Skills course for Junior/Seniors  
24 provides the student-athletes with the necessary skills to make successful transitions to  
25 life after sports and life after college.

26  
27 Several key senior administrators are available to address the needs of minority  
28 student-athletes, including the Director of Athletics, Senior Women's Administrator,  
29 Senior Associate Director, Associate Director-NCAA Compliance Officer, and the  
30 NCAA Faculty Representative.

31  
32 **c. Identify areas of deficiency and comment on any trends. If the institution**  
33 **identifies any areas of deficiency, include the deficiency in the institution's**  
34 **minority-issues plan for the future.**

35  
36 None identified.

37  
38 **d. Explain how the institution's future plan for minority issues addresses each of**  
39 **the eight areas.**

40  
41 Interviews with a group of student-athletes indicate concern that, due to time pressures,  
42 they may have less opportunity than other students to participate in internships,  
43 community service, and other student activities that contribute to general well-  
44 roundedness. Some student-athletes voiced a concern that they are less competitive when  
45 seeking employment opportunities because of their limited co-curricular involvement. It  
46 is important to note, however, that when recruiting student-athletes the coaching staff

1 emphasizes the time commitment and special demands of being an athlete, and that the  
 2 University (including CPIA) seeks to address some of the concerns about the impact of  
 3 time demands on internships and other academically-related activities.  
 4

5 Some student-athletes also indicated that they do not know where to go to address  
 6 questions or issues regarding racism, sexual orientation, or other bias.

7 Minority student-athletes should be made aware of campus-wide programs that address  
 8 their needs, and should be regularly asked for their feedback on identifying those issues  
 9 affecting them.  
 10

- 11 **9. Using the “plan for improvement” section please provide a written, stand-alone**  
 12 **institutional plan for addressing minority issues for the future in the intercollegiate**  
 13 **athletics program. The plan must address all eight program areas for minority issues**  
 14 **as listed previously; however, an evaluation mechanism to monitor the institution's**  
 15 **status in those program areas without deficiencies is acceptable, provided the**  
 16 **identification of such a mechanism is included in the institution’s minority-issues plan.**  
 17 **Further, the plan must extend at least five years into the future and be active at all**  
 18 **times.**

19  
 20 See Section 8.  
 21

- 22 **10. Describe the institution’s efforts to ensure the plan for addressing minority issues for**  
 23 **the future in the intercollegiate athletics program was developed through a process**  
 24 **involving broad-based participation and received institutional approval.**  
 25

26 The President appointed faculty (4 members), University-wide staff members (6 members),  
 27 athletic department staff members (3 members), athletes (1 member) and coaching staff  
 28 members (2 members) to the Equity and Student-Athlete Well-Being Subcommittee. The bi-  
 29 monthly meetings of the Subcommittee aimed at full and open discussions regarding each of  
 30 the areas covered under the purview of the Subcommittee in the NCAA Self-Study  
 31 document. Data were gathered from various groups including athletics administrators, CPIA  
 32 staff, student-athletes, coaches and sports medicine staff. The meetings provided an  
 33 opportunity for input, discussions and reflection on topics regarding equity and student-  
 34 athlete welfare. The comments and raw data were incorporated into the final report and  
 35 reflected in the subcommittee comments.  
 36

37 The final report was submitted by the chair of the ESAWS to the University community and  
 38 the Steering Committee for comments and approval. Finally, the report was reviewed and  
 39 approved by the President and Board of Trustees.  
 40

41 **3.2 Minority Issues – Plan for Improvement**  
 42

| Program Area                              | Issue(s)  | Measurable Goals                             | Steps to Achieve Goal                                     | Individuals Responsible for Implementation             | Specific Timetable For Completing the Work  |
|---|---|--|---|--|---|
| 1. Institutional and Athletics Department | The University’s Affirmative Action Plan does not | Set goals for the division that reflects its | Using current, unit-specific Diversity Plan template as a | Athletics Director and all senior level administrators | Fall 2007 and ongoing each year subsequent. |

|  |   |  |   |                            |   |
|--|---|--|---|----------------------------|---|
| Commitment   | specifically reference the Division of Athletics. Although there is a University-wide Diversity Action Plan, there is no specific diversity plan for the Athletics Division that addresses issues and goals related to the various departments within the Division. | commitment to diversity across all areas and the recruitment and retention of minority faculty, staff, and student-athletes.   | model, move forward with adopting a Diversity Plan for the Athletics Division that is consistent with institutional goals and guidelines. | within Athletics Division. |   |
| 6. Participation in Governance and Decision-Making | There is no student-based organization or group sponsored by the Athletics Division or CPIA that focuses on the unique interests and needs of minority student-athletes (similar to FAPC).  | Establish student-based organization or group sponsored by the Athletics Division or CPIA that focuses on the unique interests and needs of minority student-athletes (similar to FAPC). | ?   | ?                          | ? |

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**Operating Principle**

**3.3 Student-Athlete Well-Being.** *Conducting the intercollegiate athletics program in a manner designed to protect and enhance the physical and educational well-being of student-athletes is a basic principle of the Association. Consistent with this fundamental principle, the institution shall:*

- a. Provide evidence that the well-being of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.*
- b. Have established grievance or appeal procedures available to student-athletes in appropriate areas.*
- c. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for each of its student-athletes.*

**Self-Study Items**

1 **1. List all “corrective actions”, “conditions for certification” or “strategies for**  
2 **improvement” imposed by the NCAA Division I Committee on Athletics Certification in its**  
3 **first-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Student-**  
4 **Athlete Well-Being). In each case, provide: (a) the original “corrective action”, “condition”**  
5 **or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the**  
6 **action(s); and (d) an explanation for any partial or noncompletion of such required actions.**  
7 **Please note, the institution is not required to respond to recommendations for required**  
8 **actions developed by the peer-review team unless those same recommendations were**  
9 **adopted by the Committee on Athletics Certification.**

10  
11 There are none.

12  
13 **2. List all actions the institution has completed or progress it has made regarding all plans**  
14 **for improvement/recommendations developed by the institution during its first-cycle**  
15 **certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being).**  
16 **Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the**  
17 **date(s) of the action(s); (d) an explanation for any partial or noncompletion of such**  
18 **required actions. Please note, the institution will not be required to fulfill an element of a**  
19 **first-cycle plan if the element does not affect conformity with an operating principle.**

20 The Self-Study Subcommittee set forth three elements of a Plan for Improvement relative to  
21 Student-Athlete Well-Being. Specifically, the 1997 Report provided as follows:  
22

### 23 **Plan for Improvement**

24  
25 *During the next academic year, the following three items will be reviewed:*

- 26 1. *The Division of Athletics will work with the Office of Institutional Research to*  
27 *improve the use of data gathered by their Exit Interview Questionnaires.*
- 28 2. *The Office of Institutional Research will work with the Division of Athletics to*  
29 *determine whether the Office of Institutional Research should modify the recent*  
30 *Alumni Survey to capture information and data about the student-athlete population*  
31 *and experience.*
- 32 3. *The Division of Athletics will examine the value and feasibility of compiling the input*  
33 *provided by student-athletes through informal avenues, such as discussions with*  
34 *coaches or others, in a more formal and consistent manner.*  
35

36 **Response to Plan for Improvement Item # 1:** The Division of Athletics now uses the  
37 advanced technology available through *WebCT Vista* to electronically gather all data from  
38 Student-Athlete Exit Interview Questionnaires. The system allows the unit to efficiently export  
39 data into statistical analysis programs such as SPSS, and provides internal analysis features of its  
40 own.

41  
42 **Response to Plan for Improvement Item # 2:** The alumni survey was not modified to capture  
43 information and data about the student-athlete population and experience.  
44

1 **Response to Plan for Improvement Item # 3:** Meetings of the Student-Athlete Advisory  
2 Committee (SAAC) provide a forum for student-athletes to express their experiences in an  
3 informal manner. Concerns about the quality of their athletic and academic situations are  
4 addressed through discussion with Athletic Administration. SAAC meets once a month so issues  
5 that arise on a day-to-day basis can be dealt with in a timely manner.  
6

7 **3. Describe any additional plans for improvement/recommendations in the area of**  
8 **Operating Principle 3.3 (Student-Athlete Well-Being) developed by the institution since the**  
9 **first-cycle certification decision was rendered by the Committee on Athletics Certification.**

10 No additional Plans for Improvement were developed by the University beyond those referenced  
11 in Self-Study Item #2 above.  
12

13  
14 **4. Explain how the institution is organized to further its efforts related to the student-**  
15 **athlete well-being operating principle and provide evidence that matters concerning**  
16 **student-athlete well-being are monitored, evaluated and addressed on a continuing basis.**

17 The University's organizational structure ensures that, on an on-going basis, issues that impact  
18 student-athlete well-being are monitored, evaluated, and addressed. Programs and services that  
19 ensure student-athletes' health, safety and overall well-being are the province of the Division of  
20 Athletics, the Division of Student Affairs, the Division of Student Health Services and the  
21 Department of Sports Medicine, the Counseling Program for Intercollegiate Athletics (CPIA),  
22 and the Division of Public Safety. While these divisions and units serve all students, specialized  
23 programs and services have been created, and are continually monitored and evaluated, to  
24 address the unique needs of student athletes.  
25

- 26 1. The Student Health Services is responsible for providing primary care services to all  
27 UConn Students, including athletes. It is an American Association of Academic Health  
28 Centers (AAAHC) accredited organization with a multidisciplinary staff including  
29 physicians, nurses, nurse practitioners, clinical psychologists, psychiatrists, clinical social  
30 workers, pharmacists, nutritionists, X-ray technicians, Laboratory technicians, women's  
31 health practitioners and an inpatient unit. Primary care services are available 24 hours  
32 per day, 7 days per week.  
33

34 Primary monitoring of student-athlete well-being is performed by those with the most  
35 direct contact with the student-athletes. Traditionally, this has fallen to the sport coaches,  
36 athletic trainers, and strength and conditioning coaches. Referrals are made from these  
37 front-line individuals to the team physicians who evaluate, treat, and make referral, as  
38 necessary. The University Department of Sports Medicine provides comprehensive  
39 services to meet the dual goals of preventing injury whenever possible and, when  
40 necessary, offering an appropriate rehabilitation program that is consistently focused on  
41 the health interests of the student athlete  
42

- 43 2. Matters concerning student-athletes' full integration into campus life, personal growth  
44 and development are proactively addressed through the programs and services sponsored  
45 by The Counseling Program for Intercollegiate Athletes (CPIA). CPIA's mission  
46 statement emphasizes its commitment to helping student-athletes optimize their

1 educational experiences, and in doing so also addresses the holistic development of  
2 student-athletes as people who the University is preparing to meet the challenge of their  
3 collegiate experiences and beyond. Accordingly, there are CPIA sponsored programs,  
4 services, and support groups that address the general well-being of the student-athletes  
5 beyond their academic standing. For instance, CPIA provides career counseling, and  
6 offers life skills training to student-athletes through formal courses that utilize traditional  
7 teaching methods as well as the shared experiences of former student-athletes who  
8 provide guidance and suggestions to current student-athletes on personal growth, and  
9 current and future career and educational choices. [ATTACHMENT X, The Life Skills  
10 Program Syllabus]

11  
12 As an example of this program's value in identifying and addressing issues that impact  
13 student-athlete well-being, CPIA recently responded to an expressed need for support  
14 services for gay, lesbian, bisexual and transgender (GLBT) student-athletes. CPIA  
15 partnered with the Rainbow Center (a campus-wide unit that provides educational,  
16 advocacy and support services for the GLBT community at the University) to sponsor the  
17 development of programs and secure resources to address this need. CPIA and the  
18 Rainbow Center's efforts resulted in the development of workshops and sensitivity  
19 training, commitments to maintaining gay-friendly office environments, and a website  
20 that 1) is dedicated to educating others about the GLBT community and, 2) links website  
21 users to hate crime reporting services.  
22

- 23 3. Matters concerning student-athletes' safety fall within the jurisdiction of the Division of  
24 Public Safety, which is committed to ensuring the safety of all students and other  
25 members of the University community, including visitors. This Division includes a fully  
26 functional police agency with the same statutory authority as any municipal police  
27 department in the State of Connecticut. The Division is responsible for, and its primary  
28 mission is, the protection of lives and property at the University of Connecticut and all  
29 adjacent areas within its jurisdiction. The other constituent parts of the Division of Public  
30 Safety are the Fire Department and Locksmith Services.  
31

32 In addition to the formally structured divisions and departments noted above, the following  
33 representative bodies are accountable for development, implementation, oversight or evaluation  
34 of various programs and services dedicated to student-athlete well-being. (Several are discussed  
35 in the Governance and Academic Integrity sections of this report.)  
36

- 37 1. The President's Athletic Advisory Committee (PAAC) advises and makes  
38 recommendations to the President on all matters relating to athletics and student  
39 participation in athletics. Of the six standing subcommittees within PAAC, three have  
40 been assigned specific responsibilities for identifying, and bringing forward a broad range  
41 of concerns and recommendations directly related to student-athlete well-being.  
42 a. The Student Life Subcommittee is concerned with the full integration of student-  
43 athletes into campus life; policies for determining when health and other non-  
44 academic factors are used to restrict a student's involvement in intercollegiate  
45 athletics; health screening and drug testing; and housing assignments.

- b. The Diversity and Equity Subcommittee is concerned with policies and practices affecting female and minority employees; policies and practices that impact the well-being of female and minority student-athletes; the existence of a supportive and bias-free academic and workplace environment; female and minority student-athletes' equitable access to resources, facilities, programs, and services; and mechanisms for soliciting input from student-athletes and employees regarding existing concerns.
  - c. The Academic Support Committee is concerned with all matters affecting academic standing of student-athletes, ranging from the recruitment and admissions process to the provision of academic support services, retention and graduation rates, and policies affecting scheduling, practice times, post-season and tournament participation.
2. The Student-Athlete Advisory Committee (SAAC) identifies "protecting student-athlete welfare" as one of its primary purposes. SAAC is comprised of student-athlete representatives from each sport who are nominated by the coaching staff and elected by their peers. This committee provides student-athletes with another forum to present their unique perspectives and experiences, and provides another mechanism through which student-athlete concerns may be identified and addressed either directly or by escalating issues to the appropriate University administrator or oversight authority.  
**[ATTACHMENT X, Student Athlete Advisory Council Bylaws].**
  3. The Female Athlete Performance Committee's (FAPC's) mission is to develop programs that educate and support female student-athletes on a broad range of issues impacting their well-being, including but not limited to eating disorders, body image, Human Papilloma Virus (HPV), communication and social issues, and is developing support services and resources for GLBT student-athletes. This committee also provides a forum for input, and solicits feedback, from female student-athletes.

**5. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No. 1]; non-academic components of life skills programs) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.**

The following describes educational enhancement programs available to student-athletes, and highlights the practices and procedures that encourage and assure student-athletes' access to these programs. (Several aspects were outlined in the section on Academic Integrity.)

1. Career Counseling – CPIA's services are intended to help student-athletes optimize their educational experience and develop skills to successfully transition from high school to college, and from college to post-graduate lives. CPIA has formalized programs and course curricula focused on resume writing, exploration of internship possibilities, professional demeanor and etiquette training. Additionally, the Female Athlete Performance Committee has designed a female athlete career fair to address the unique



1 needs of the female student-athlete population. More detailed descriptions of CPIA's  
2 services may be reviewed in the response to Self-Study Item #4 for Operating Principle  
3 3.3 (above) and responses to Self-Study Items for Operating Principle 2.2 (Academic  
4 Support).

- 5
- 6 2. Personal Counseling – As noted in response to Self-Study Item #4 for Operating  
7 Principle 3.3, Student Athletes' mental health care needs are addressed through Student  
8 Mental Health Services.
- 9
- 10 3. Health - As noted in response to Self-Study Item #4 (above), Student Athletes' health  
11 care needs care needs are addressed through Student Health Services and the Department  
12 of Sports Medicine.
- 13
- 14 4. Safety –The University is committed to ensuring the safety of all students and other  
15 members of the University community, including visitors. To the extent that student-  
16 athletes have unique safety concerns, the UConn Police Department offers special  
17 services, most of which are also available to the entire student population. For instance,  
18 if student-athletes must move about campus during odd hours to accommodate practice or  
19 game schedules, an Escort Service is available. This same service operates every night of  
20 the week upon request from all students who desire escort to their vehicles, dormitories,  
21 apartment complexes, and the library. In addition, Safe Rides is also available for those  
22 who realize their driving judgment has been impaired by drinking and wish to be driven  
23 home. This service is available Thursday, Friday and Saturday nights.
- 24
- 25 5. Alcohol and Drug Use – The University of Connecticut's Alcoholic Beverage Policy,  
26 [ATTACHMENT X] is intended to support the responsible use of alcohol in accordance  
27 with local, state and federal law. As part of our comprehensive alcohol prevention  
28 program implemented five years ago, the University of Connecticut is requiring that each  
29 member of the first-year class complete AlcoholEdu, an online, non-opinionated alcohol  
30 prevention program for college students. This program is used on over 350 campuses  
31 nationwide. The course uses science-based research to educate students about alcohol and  
32 its effects.

33 The Department of Athletics prohibits student-athletes from consuming alcoholic  
34 beverages while attending athletic or athletically-sponsored events, and prohibits the  
35 consumption of alcoholic beverages by student-athletes who are traveling with, or  
36 representing teams, regardless of whether the student-athlete has reached the age of 21.  
37 The Division investigates reported violations of these rules and takes appropriate action.

38 In accordance with its belief in the harmful nature of non-therapeutic drugs and the  
39 impact of drug use on student-athlete behavior, the Division of Athletics takes a strong  
40 stance against the use of non-therapeutic drugs. The Student-Athlete Handbook discusses  
41 the processes by which such matters are monitored and enforced, describes the Division's  
42 compulsory drug education programs, and lists drugs banned by the NCAA (22-23). The  
43 Division's drug education program ensures student-athlete awareness of the hazards of  
44 performance-enhancing drugs, illicit drugs and alcohol, and informs student-athletes of



1 counseling and rehabilitation services. Participation in these education programs is a  
2 prerequisite to maintaining status as a UConn Student-Athlete.

3  
4 Relative to monitoring and enforcement mechanisms, the Division conducts drug testing  
5 to ensure student-athlete's medical competence of participate in intercollegiate athletics  
6 and minimize risk of injury. The Division's Drug Testing Policy (Student Athlete  
7 Handbook, pp.44 - 47) describes drug testing procedures, sanctions for drug abuse,  
8 appeal procedures and support services. Additionally, the Student-Athletes Handbook  
9 emphasizes that members of the football and track teams may be tested by the NCAA at  
10 any time during the year, any number of times. (p. 22).

11  
12 To buttress the above policies and prohibitions, the Office of Alcohol and Other Drug  
13 Services coordinates prevention, intervention, education, and peer leadership  
14 opportunities in the area of substance abuse in accordance with the principles set forth in  
15 the University's Drug Free Campus & Alcohol Abuse Statement [ATTACHMENT X].

16 A confidential program known as the HEART / Alcohol & Other Drug (AOD)  
17 Rehabilitation Program offers the most intense level of AOD intervention currently in  
18 place at the University, and is thus designed to meet the needs of UConn students who  
19 are dealing with more serious AOD problems and situations. Since 1991 the HEART  
20 Program has evolved into an innovative, diverse, multi-dimensional, student-driven peer  
21 education and intervention program. The program was nationally recognized by  
22 Promising Practices in 1997 and again in 1998 for its innovative approach to recovery  
23 and creative student-driven intervention initiatives. The Program also received the Peer  
24 Education Program of the Year Award in 2004.

25  
26 The UConn Bacchus & Gamma is a student-led peer group committed to outside the  
27 box thinking and radical programs dedicated to helping students make great decisions  
28 around substance abuse and drug use.

- 29  
30 6. Life Skills Program (non-academic components) – CPIA develops and delivers Life  
31 Skills Programs intended to help student-athletes develop skills necessary to transition  
32 from high to college, and then from college to post-graduate life.
- 33 a. Beginning with their freshman year, student-athletes are enrolled in courses such  
34 as "Learning Skills for Student Athletes: The First Year Experience Fall 2006,"  
35 that focus on the development of adaptive, coping, critical thinking, and problem  
36 solving skills. Additionally, students' holistic development is addressed as  
37 student-athletes are introduced to the notion that college is a polishing ground  
38 where they can evaluate ethical, moral and behavioral choices, and clarify reasons  
39 for realistic major, career, and personal goals. This first year course is also  
40 designed to introduce student-athletes to numerous topics, campus support  
41 services and activities that enhance their college experience, such as classes on  
42 money management and stress management, sexual behavior and responsibility,

1 sexual orientation, and discussions surrounding community outreach and cultural  
2 diversity programs.

- 3 b. In their junior and senior years, student-athletes attend the “Life Skills for  
4 Junior/Senior Student-Athletes: Making the Transition To Life After Competitive  
5 Sports” class, which helps to prepare students to make decisions regarding their  
6 post-collegiate lives. Courses focus on development of self-advocacy skills and  
7 career goals, and provide practical training relative to resume writing, internship  
8 and job search techniques, interviewing, and managing personal finances.  
9 Student-athletes are also asked to explore how their personal identities have  
10 evolved since freshman year. This course also provides a forum for student-  
11 athletes to glean insight and guidance from panels of former student-athletes, and  
12 apprise the administration of programmatic strengths and weaknesses to help  
13 improve the academic and athletic experience of future students.

14 [ATTACHMENT X, HANDOUTS RE: LIFE SKILLS PROGRAMS]  
15

16 **Awareness of and Access to Services** Student-athletes are made aware of the aforementioned  
17 services and programs in a variety of ways. Prospective student-athletes meet with respective  
18 CPIA counselors during the recruiting process to receive an overview of services. Student-  
19 athletes are directed to both the Student-Athlete Handbook (available on-line) and the CPIA  
20 website, both of which provide an overview of services. CPIA counselors also periodically meet  
21 with teams at the beginning of the school year to provide an overview of expectations and  
22 services. Freshman student-athletes are enrolled in the CPIA First Year Experience courses,  
23 which present comprehensive information and guidance to services. All student-athletes meet  
24 with their academic counselors during the course of each semester to discuss classes.  
25

26 To help with the adjustment to their new environment, most new students attend the University’s  
27 summer orientation program. Student-athletes receive additional assistance. Before the first  
28 competition of the fall season, the Division of Athletics conducts an NCAA Squad Meeting for  
29 each team. During this meeting, the Division’s Compliance Staff explains Division policies and  
30 procedures, as well as NCAA regulations and the Division’s Substance Abuse Program. At the  
31 beginning of the year, coaches hold team meetings to discuss services provided by CPIA as well  
32 as provide opportunity to meet the team’s counselor and address any questions regarding the  
33 program.  
34

35 **6. Describe the institution’s process for conducting the student-athlete exit interviews**  
36 **required by NCAA Constitution 6.3.2 and the means by which this information is used to**  
37 **better the student-athlete experience. Describe other avenues available to student-athletes**  
38 **to provide input.**

39  
40 The Student-Athlete Exit Interview process is housed and maintained in *WebCT Vista*, a  
41 University system used for on-line course support for all students. The survey is administered to  
42 all student-athletes on an annual basis in one of two forms. One form is the Student Athlete  
43 Annual Survey. This is administered annually to all student-athletes who will be returning the  
44 following year. The second form is the Student-Athlete Exit Survey. This is administered to all  
45 exiting student athletes, whether they have completed their eligibility, transfer from UConn or  
46 just quit a team. The surveys are listed in the appendix.

1  
2 Process. There is a mock class set up in *WebCT Vista* called Athletics – “Student-Athlete Exit  
3 Interview” under the course number EKIN000ws where we have given all of our student-athletes  
4 access as students in the class.

5  
6 After completing their season of competition, student-athletes are notified of the availability of  
7 the survey via email and through their respective coaching staff and Counseling Program for  
8 Intercollegiate Program (CPIA) counselor. Student-athletes must use their University assigned  
9 Net ID and password to access the system. Once logged-in, the student-athletes select the  
10 interview appropriate for them (i.e. “Annual Student-Athlete Questionnaire” for returning  
11 students and “Student-Athlete Exit Questionnaire” for students who have exhausted their  
12 eligibility or are leaving the program) and complete the survey.

13  
14 All survey responses are completely anonymous. However, using the features of the *WebCT*  
15 *Vista* system, the University is able to track the participation rate by team. This allows us to  
16 know if a student-athlete has not completed the survey, but not the specific responses they have  
17 made.

18  
19 There is an option on both surveys for the student-athlete to indicate that he or she wishes to  
20 speak with someone about a specific issue. Generally, the contact person is the Faculty Athletics  
21 Representative.

22  
23 After completing the survey, anonymous results are tallied within the *WebCT Vista* system.  
24 Once tallied, the staff of the Athletics Compliance Office conducts a series of statistical analyses  
25 and generates a report for year. This report breaks down responses by team, gender, and  
26 race/ethnicity in order to monitor student-athlete patterns of responses and identify specific areas  
27 for improvement. Reports are examined over a series of years to assess the impact of specific  
28 programs designed to address any issues that may have arisen.

29  
30 **7. Describe the institution’s and/or athletics department’s written grievance and/or**  
31 **appeals procedures available to student-athletes in areas mandated by NCAA**  
32 **legislation (i.e., financial aid and transfers) and in other areas (e.g., harassment,**  
33 **hazing, abusive behavior, sexual orientation). Also, identify the individual(s)**  
34 **responsible for overseeing the administration of the grievance and/or appeals**  
35 **procedures and describe the means by which the grievance and/or appeals**  
36 **procedures are communicated to student athletes and staff.**

37 Procedures regarding the following matters are set forth in detail in the Student-Athlete  
38 Handbook.

- 39  
40 1. Financial Aid – The Student-Athlete Handbook sets forth the policies and procedures  
41 surrounding appeals from decisions to reduce or cancel financial aid. The individual(s)  
42 responsible for overseeing applicable processes include: Head Coach, Sport  
43 Administrator, Director of Athletics and the Director of Financial Aid. The following is  
44 an excerpt from relevant sections of the Student-Athlete Handbook.

45  
46 *If you believe the decision to reduce or cancel your aid is unfair or unjustified,*  
47 *you may request a hearing as provided by NCAA regulations. To make this*

1           *request, contact the Director of Financial Aid, located in Room 208 of the Wilbur*  
2           *Cross Building, within 2 weeks of the date of the non-renewal or reduction letter.*  
3           *A hearing will be scheduled with the Financial Aid Appeals Committee. The*  
4           *appeal process must be completed prior to the commencement of the academic*  
5           *year of the award. Inability to reach reasonable athletic performance goals,*  
6           *problems of motivation, incompatibility with the coaching staff or teammates, etc.,*  
7           *are considered legitimate reasons for non-renewal. If, during the school year, you*  
8           *feel there is a possibility your scholarship may not be renewed, you should talk*  
9           *with your coach. Should you disagree with his or her assessment of your standing,*  
10           *contact the Director of Athletics as soon as possible.*

### ***Non-Renewal of Athletics Grant-in-Aid***

- 13           1. *The Head Coach will meet with the student-athlete at the first sign of non-*  
14           *compliance of team rules to clearly delineate the responsibilities of the*  
15           *student-athlete to correct the reasons given by the coach as substandard.*  
16           *The Head Coach will memo the program administrator of this occurrence.*
- 17           2. *If the student-athlete does not correct the behavior, the Head Coach will*  
18           *notify the program administrator of intent to recommend a student-athlete*  
19           *for non-renewal of athletics grant-in-aid and present supporting*  
20           *documentation. (It is the Division of Athletics policy and philosophy to*  
21           *continue grant in aid unless a severe case would warrant recommendation*  
22           *of nonrenewal. This can NOT be due to an athletics performance reason*  
23           *and must follow NCAA Bylaw 15.3.4.).*
- 24           3. *If approved, the Head Coach must have met face to face with the student*  
25           *athlete to discuss the possibility of non-renewal of athletics grant in aid.*
- 26           4. *If, after a period of time, the student-athlete has not corrected the*  
27           *problem(s) as pointed out by the head coach in the face to face meeting, a*  
28           *formal written recommendation is submitted to the program*  
29           *administrator.*
- 30           5. *The Division of Athletics notifies the Director of Financial Aid of the*  
31           *recommendation for non-renewal of athletics grant in aid for the student*  
32           *athlete.*
- 33           6. *The student-athlete is notified of the non-renewal of athletics grant in aid,*  
34           *including the reason, by letter from the Director of Financial Aid and the*  
35           *opportunity for a hearing. The student-athlete must notify the financial aid*  
36           *office within 15 days of the date on the letter.*
- 37           7. *If the student-athlete does request a hearing within the prescribed time*  
38           *frame, a hearing is set-up in a timely manner. This hearing is scheduled at*  
39           *the convenience of the members of the Financial Aid Appeals Committee*  
40           *and the student-athlete is then notified of the date, time and place.*

### ***Hearing Protocol***

43           *A hearing brings several people together in an effort to allow for the full*  
44           *consideration of a financial aid appeal. The hearing participants may include the*  
45           *student-athlete, the coach, witnesses, one or more support persons, and members*  
46           *of the financial aid appeal committee. The Director of Student Financial Aid*  
47           *Services will serve as Chair and will select two other university officials to serve*

1            *on the committee. The Director of NCAA Compliance will be present and serve as*  
2            *an information resource to the committee. The Chair shall have the authority to*  
3            *discharge or remove any person whose presence is deemed unnecessary or*  
4            *obstructive to the proceedings. The number of witnesses coming to the hearing*  
5            *should be presented to the Chair of the hearing at least two days prior to the*  
6            *hearing. An essential component of any hearing is the determination and the*  
7            *weighing of the facts that pertain to the non-renewal of athletics grant-in-aid.*  
8            *Therefore, it is vital that personal statements and other information be presented*  
9            *clearly.*

10  
11            *All participants are expected to be respectful of each other's purpose in the*  
12            *hearing process and to conduct themselves according to the direction of the*  
13            *financial aid appeal committee chair. The hearing will open with the Chair of the*  
14            *Financial Aid Appeals Committee explaining the appeal process, including the*  
15            *organization of the hearing, participant presentations, rebuttal (if needed) and*  
16            *time lines on notification of results to all parties. The person(s) requesting the*  
17            *appeal hearing will give the first presentation, followed by the person*  
18            *representing the Division of Athletics. The committee may ask questions of either*  
19            *party as appropriate. The hearing will conclude with the chair apprising all*  
20            *parties of the remaining process and timelines for notification. Within 10 days,*  
21            *the financial aid appeals committee will reach a decision. Each party will be*  
22            *notified of the committee's decision in writing. The committee's decision is final.*  
23

- 24            8. Transfers – The Student-Athlete Handbook sets forth the policies and procedures  
25            surrounding transfers, and appraises student-athletes of their right to request a hearing with  
26            an institutional committee outside the Department of Athletics. The individual(s)  
27            responsible for overseeing applicable processes include: Head Coach, Associate Athletic  
28            Director for Rules and Compliance, Faculty Athletics Representative and Athletic  
29            Director. The following is an excerpt from relevant sections of the Student-Athlete  
30            Handbook.

31  
32            *The NCAA requires extensive documentation on a transfer student-athlete who*  
33            *wishes to compete in athletics at a new school (referred to as the certifying*  
34            *institution) prior to certification of eligibility. All students who have **ever** attended*  
35            *a 2- or 4-year school full-time, even those who did not participate in athletics at*  
36            *the former institution, are considered to be a transfer. A "Transfer Student-*  
37            *Athlete Certification of Eligibility" form must be completed by the Compliance*  
38            *Office, Transfer Admissions (2-4, 4-2-4 only) and the Registrar's Office before a*  
39            *transfer student-athlete can be certified. All transfer student-athletes must meet*  
40            *with the Compliance Office during the initial student-athlete meeting or*  
41            *individually before they can participate.*

42  
43            ***Factors Affecting Eligibility After Transfer***

44            *Your status as an eligible UConn student-athlete who has transferred from*  
45            *another 2- or 4-year school may be dependent on several factors. These may*  
46            *include:*

1. Were you a “qualifier,” “partial–qualifier” or “non-qualifier” coming out of high school or prep school?
2. What was your athletic history at your former institution?
3. What was your age when you first entered a 2-or 4-year school full-time?
4. Do you qualify for a waiver of the residence requirement?
5. Does your previous institution have any objection to a waiver?
6. Were you recruited out of high school?
7. Did you attend a UConn branch school that did not conduct an intercollegiate athletic program?

As you can see, your status as a transfer can be a very complicated issue. It is important that you inform your Head Coach, upon initial contact, of any transfer history you may have. You would then need to make an appointment to discuss your history with the Compliance Office in order to determine your eligibility.

#### ***Transfer from One Big East School to Another (As of Oct. 31, 2005)***

Student-athletes in the sports of football and men’s and women’s basketball are not permitted to transfer, directly or indirectly, from one BIG EAST institution to another BIG EAST institution and participate in athletics. There are no exceptions or waivers to this rule. Student-athletes in all other sports may transfer, directly or indirectly, from one BIG EAST institution to another BIG EAST institution and participate in athletics provided that prior to competing for the second Conference institution the student-athlete serves a year in residency at the second Conference institution. During the year in residency [two full semesters or three full quarters (which shall be determined in accordance with NCAA rules associated with transfers)] the student-athlete shall not lose a year of eligibility, and shall be eligible to practice and receive athletically related financial aid. In all situations, the NCAA rules regarding transfer students must be applied.

#### ***Transferring from UConn***

The decision to transfer from UConn to another institution is a matter that requires very careful thought. Below is a summary of NCAA rules which will help you better understand the consequences of such a decision.

1. Before you may begin to discuss possibilities with a new school, your potential future school **must first receive written permission from the UConn athletic administration**. First inform your coach of your interest in going elsewhere. It is important for you to understand that if you or your parents make contact with a new school they are obligated to let UConn know. The new school must receive written permission from us in order to have further discussions with you.
2. NCAA regulations require that you sit out at the new institution for one academic year prior to participating in athletics unless you meet the requirements of the “One-Time Transfer Exception.” This

1                    *exception is **not** available to football, basketball or men's ice hockey*  
2                    *players, unless you are transferring to a Division I-AA, II or III*  
3                    *institution.*

4  
5                    3. *One-Time Transfer Exception*

6                    *In sports other than football (except when transferring from Division*  
7                    *I-A to Division I-AA), basketball or men's ice hockey, it is possible*  
8                    *under NCAA 14 2006-2007 University of Connecticut Student-Athlete*  
9                    *Handbook rules to receive a one-time exception to the one-year*  
10                    *residency requirement under certain circumstances. In other words,*  
11                    ***you may be immediately eligible at a new school if all of the***  
12                    ***conditions listed below are met.***

- 13                    • *You participate in a sport other than football, basketball or*  
14                    *men's ice hockey.*
- 15                    • *It is your first transfer from one four-year college.*
- 16                    • *You are in good academic standing and would be eligible if*  
17                    *you returned to UConn.*
- 18                    • *A graduate student-athlete who is enrolled in a specific degree*  
19                    *program in a graduate or professional school of an institution*  
20                    *other than the institution from which he or she previously*  
21                    *received a baccalaureate degree may participate in*  
22                    *intercollegiate athletics, provided the student-athlete has*  
23                    *eligibility remaining and such participation occurs within the*  
24                    *applicable five-year period set forth in Bylaw 14.2.*
- 25                    • *The University of Connecticut certifies in writing that there is*  
26                    *no objection to the granting of an exception to the one-year*  
27                    *residency requirement.*
- 28                    • *A participant in Division I-AA football at the institution to*  
29                    *which the student is transferring may use this exception only if*  
30                    *the participant transferred to the certifying institution from an*  
31                    *institution that sponsors Division I-A football and has two or*  
32                    *more seasons of competition remaining in football or the*  
33                    *participant transfers from a Division I-AA institution that*  
34                    *offers athletically related financial aid in football to a Division*  
35                    *I-AA institution that does not offer athletically related financial*  
36                    *aid in football.*

37  
38                    4. *If you are not granted permission to discuss transfer possibilities with*  
39                    *the new school, you may request a hearing with an institutional*  
40                    *committee outside the Division of Athletics. If you are denied a*  
41                    *“release” to waive the residence requirement, you will be ineligible to*  
42                    *receive athletic aid at the new institution. You may decide to go ahead*  
43                    *and transfer anyway, in which case you would be able to practice.*  
44                    *However, you could not receive athletic aid nor could you compete.*  
45



1           *In all transfer cases, it is vital that you become familiar with the ramifications of*  
2           *your activities before you take action. Consult the Compliance Office or the*  
3           *Faculty Athletics Representative for information as soon as you think you may*  
4           *want to transfer.*

### 6           **Student-Athlete Conduct**

7           The Student-Athlete Handbook explicitly states that student-athletes are subject to the  
8           University of Connecticut Student Code, entitled *Responsibility for Community Life: The*  
9           *Student Code* (ATTACHMENT X). The Student-Athlete Handbook also acknowledges that  
10          student-athletes' unique and public visibility may lead to closer scrutiny of their behavior,  
11          and therefore requires a higher level of personal responsibility. (ATTACHMENT X, p. 7).

12  
13          *Responsibility for Community Life: The Student Code* (referred to hereafter as the "Student  
14          Code") describes prohibited conduct, and provides detailed guidelines regarding the  
15          complaint, hearing and appeals process available to students who believe they have been  
16          subjected to such conduct " (ATTACHMENT X, pp. 4-10). As with all students, complaints  
17          concerning student-athlete behavior may be filed with, and adjudicated by, the Division of  
18          Student Affairs. The individual(s) responsible for overseeing applicable processes include:  
19          the Director of Community Standards, the Dean of Students and the Vice President of  
20          Student Affairs.

21  
22          If student-athletes believe they are being harassed or subjected to discriminatory behavior on  
23          the basis of their protected class status (including but not limited to race, ethnicity, gender,  
24          sexual orientation, religion, disability, etc.) they may consult with the Office of Diversity &  
25          Equity, which is a unit outside the Department of Athletics. Complaints against other  
26          students may be filed with the Division of Student Affairs, as noted above.

27  
28          Certain behaviors are explicitly prohibited. Behavior deemed to be abusive in nature is  
29          proscribed by the Student Code. (ATTACHMENT X, pp. 4-5, Items 3-8). Harassment based  
30          on a person's protected class status (race, ethnicity, gender, sexual orientation, religion,  
31          disability, etc.) is referenced as prohibited behavior in both the Student Code  
32          (ATTACHMENT X, p. 5, Item 8) and the President's Policy on Harassment  
33          (ATTACHMENT X), and is clearly deemed unacceptable in the Student-Athlete Handbook  
34          ((ATTACHMENT X, p. 8). The Student-Athlete Handbook also notes that any crime  
35          believed by a law enforcement officer to be motivated by race, religion, ethnicity or sexual  
36          orientation (bigotry or bias) is considered deemed to be a hate crime (ATTACHMENT X, p.  
37          8)

38  
39          Hazing is prohibited, as outlined in the Student Code (p. 5, Item 7, referencing the  
40          University's statement on Hazing), and is also explicitly prohibited and defined in the  
41          Student-Athlete Handbook. The following appears on page 8 of the Student-Athlete  
42          Handbook (see ATTACHMENT X, p. 8):

43  
44                   *Hazing is prohibited under the State statute (see below) as well as by the*  
45                   *University of Connecticut Student Conduct Code. The University does not*  
46                   *condone hazing in any form. Any allegations of hazing by a student-athlete will be*  
47                   *subject to penalties contained in the University of Connecticut Student Conduct*



1 Code. In addition, the Division of Athletics may apply sanctions as deemed  
2 appropriate, regardless of whether action under the Student Conduct Code is  
3 taken.  
4

5 **Connecticut General Statutes § 53-23a. Hazing.**

6 (a) For purposes of this section:

7 (1) "Hazing" means any action which recklessly or intentionally  
8 endangers the health or safety of a person for the purpose of initiation,  
9 admission into or affiliation with, or as a condition for continued  
10 membership in a student organization. The term shall include, but not be  
11 limited to:

12 (A) Requiring indecent exposure of the body;

13 (B) Requiring any activity that would subject the person to extreme  
14 mental stress, such as sleep deprivation or extended isolation from  
15 social contact;

16 (C) Confinement of the person to unreasonably small, unventilated,  
17 unsanitary or unlighted areas;

18 (D) Any assault upon the person; or

19 (E) Requiring the ingestion of any substance or any other physical  
20 activity which could adversely affect the health or safety of the  
21 individual. The term shall not include an action sponsored by an  
22 institution of higher education which requires any athletic  
23 practice, conditioning, or competition or curricular activity.

24 (2) "Student organization" means a fraternity, sorority or any other  
25 organization organized or operating at an institution of higher education.

26 (b) No student organization or member of a student organization shall engage in  
27 hazing any member or person pledged to be a member of the organization. The  
28 implied or express consent of the victim shall not be a defense in any action  
29 brought under this section.

30 (c) A student organization which violates subsection (b) of this section

31 (1) shall be subject to a fine of not more than one thousand five hundred  
32 dollars and (2) shall forfeit for a period of not less than one year all of the  
33 rights and privileges of being an organization organized or operating at  
34 an institution of higher education.

35 (d) A member of a student organization who violates subsection (b) of this section  
36 shall be subject to a fine of not more than one thousand dollars.

37 (e) This section shall not in any manner limit or exclude prosecution or  
38 punishment for any crime or any civil remedy.  
39  
40

41 **8. Describe the institution's educational and support programs in the area of sexual**  
42 **orientation. Also, describe the institution's structure and/or policies that ensure the**  
43 **provision of a safe environment for all students, including student-athletes with diverse**  
44 **sexual orientations.**  
45

1 The University's educational and support programs in the area of sexual orientation are in place  
2 to support the Gay, Lesbian, Bisexual, and Transgender (GLBT) members of the campus  
3 community. Because each program is organic and needs to change with our students needs,  
4 UConn consistently polls the student body as well as the faculty and staff on campus to ensure  
5 student's needs are being met.  
6

7 The mission of the Women's Center is to educate, advocate, and provide support services for the  
8 achievement of women's equity at the University and within the community at large. Special  
9 attention is focused on, but not limited to, women who face additional challenges due to their  
10 race, ethnicity, socio-economic class and sexual identity. This mission is accomplished through  
11 major components of the Women's Center: Educational Programs/Cultural Events, Advocacy,  
12 Support Groups/Services, and Violence Against Women Prevention Program (VAWPP). The  
13 Women's Center offers a weekly discussion group called "Between Women".  
14

15 The Rainbow Center (opened in 1998) is an active part of campus life at UConn. It is committed  
16 to addressing the needs of GLBT members of the campus community by providing educational,  
17 advocacy and support to sponsor the development of progress and secure resources to address the  
18 needs of this group. Some of these needs are met through workshops, sensitivity training,  
19 commitments to maintaining gay-friendly office environments, and a website that 1) is dedicated  
20 to educating others about the GLBT community and 2) links website users to hate crime  
21 reporting services.  
22

23 Within the Rainbow Center are the Queer Resource and Response Network (QRRN) which  
24 consists of faculty, staff, students and professional who voluntarily support the GLBT population  
25 on campus. QRRN is organized to respond to the issues of harassment, isolation and general  
26 feelings of being in an unsafe environment.  
27

28 The Rainbow Center is aligned with The Counseling Program for Intercollegiate Athletes (CPIA)  
29 in proactively addressing the issues of the GLBT student-athletes. For more information see 3.2,  
30 No.4 which explains the support offered by CPIA.  
31

32 The Rainbow Center works closely with the other cultural centers—African American Cultural  
33 Center, Asian American Cultural Center, Puerto Rican/Latin American Cultural Center and the  
34 All Cultural Center Staff Retreat. The establishment of cooperative relationships between all  
35 these centers provides a more comfortable environment for all GLBTQ students on campus.  
36

37 In 2006 UCONN was recognized as one of the 100 most GLBT-friendly campuses in the United  
38 States by *The Advocate College Guide*.  
39

40 The University is committed to providing the safest possible environment for all members of the  
41 community. For all students, a system of emergency phones is located throughout the campus.  
42 An escort program is available to assist students in moving around campus. A state-of-the-art  
43 Emergency 911 Center is located on campus.  
44

1 In accordance with Connecticut and federal law, each Institution of higher education is required  
 2 to annually prepare a Campus Crime Report. This report is to reflect the crime statistics on the  
 3 property of the university for the previous three years.

4  
 5 UNIVERSITY OF CONNECTICUT

| <i>CRIME CATEGORY</i>   | <i>2003 INCIDNET</i> | <i>2004 INCIDENT</i> | <i>2005 INCIDENT</i> |
|-------------------------|----------------------|----------------------|----------------------|
| Sexual Orientation Bias | 4                    | 1                    | 1                    |
| Gender Bias             | 0                    | 0                    | 0                    |

6  
 7 **9. Identify the mechanisms in place to ensure the health and safety of student-athletes and**  
 8 **the administrator(s) responsible for the institutional awareness of health, safety, travel and**  
 9 **sports medicine policies. Describe the process by which these policies and guidelines are**  
 10 **approved and communicated to athletics department staff and student-athletes. In**  
 11 **addition, describe the process by which these policies are periodically evaluated to ensure**  
 12 **continued effectiveness.**

13  
 14 The Athletic Director, the Director of Student Health Services, and the Director of Sports  
 15 Medicine Services are the administrators accountable for the health care services provided to  
 16 student-athletes. In coordination with coaches, athletic trainers, and strength and conditioning  
 17 staff, all are responsible for the development and communication of policies concerning the  
 18 health and safety of student-athletes. The paramount concern of the Division of Athletics is to  
 19 provide and maintain a safe environment for the participation and experience of the student  
 20 athletes. The Division ensures that the safety of student athletes is the central element of concern  
 21 through a comprehensive approach where issues are constantly monitored, evaluated and  
 22 addressed by personnel throughout the Division.

23  
 24 The Student-Athlete Handbook, which is available on-line, articulates policies related to health,  
 25 safety, sports medicine and travel policies. Relevant sections of the handbook are referenced  
 26 below:

- 27  
 28 a. *All incoming freshmen and transfer students must undergo physical examinations and*  
 29 *evaluations by the Sports Medicine and Athletic Performance staff prior to*  
 30 *participating in sports programs. All upperclassmen undergo interim examinations*  
 31 *based on previous injuries, family history or medical diagnosis.*  
 32 b. *Relative to medical care, student-athletes are directed to report all injuries and*  
 33 *illnesses, whether athletically related or not, to staff in the Training Room*  
 34 *(ATTACHMENT X, p. 19). The Student-Athlete Handbook directs student-athletes, in*  
 35 *cases of injury, to see their team's Athletic Trainer for initial evaluation and referral*  
 36 *to outside medical professionals. Specific referral information and appointments are*  
 37 *arranged through Athletic Trainers. Referrals for physical rehabilitation must come*  
 38 *directly from the Director of Sports Medicine Services. (ATTACHMENT X, p.20)*  
 39 c. *Routine health care is provided by Student Health Services.*  
 40

41 The Division of Athletics maintains a comprehensive Strength and Conditioning Program, which  
 42 includes customized programs for each athletic team. Weight rooms are located in the Gampel  
 43 Pavilion, Greer Field House and Burton Family Complex. Student-athletes who have been

1 injured must receive the approval of the Director of Sports Medicine before proceeding with  
2 work-outs. Relative to issues of safety, the Student-Athlete Handbook references weight room  
3 rules, and discusses the necessity of spotters to assist student-athletes during workouts  
4 (ATTACHMENT X, p. 24.). The Student-Athlete Handbook instructs student-athletes to contact  
5 Strength and Conditioning staff members or Athletic Trainers to immediately address injuries  
6 that may occur.

7  
8 The Student-Athlete Handbook describes Training Room Facilities, and articulates rules  
9 designed to ensure the effectiveness of the Training Room “in its role of prevention, treatment  
10 and rehabilitation of athletic injuries.” (ATTACHMENT X, p. 21).

11  
12 Beyond the essential collaborative relationships that exist between the student athlete, the  
13 coaching staff and the Sports Medicine staff, the Division of Athletics supports an aggressive  
14 and preventative approach to safety by the routine inspection of all athletics facilities and fields  
15 prior to competition, practice and training. The Sports Medicine staff and the Athletics  
16 Operations staff collaborate to consistently monitor facility and weather conditions and will  
17 appropriately cancel, re-schedule or adjust event time/location in accordance with the objective  
18 of providing the safest environment for the student athletes, staff and fans.

19  
20 Guidelines for travel are set by the Director of Athletics, communicated to student-athletes  
21 through coaches, and outlined in the Student-Athlete Handbook (ATTACHMENT X, p. 7). The  
22 Division engages in comprehensive planning of all matters related to the transportation of  
23 student athletes to practice and competition. The coaching staff of each sport works in  
24 conjunction with the Division of Athletics Business Office to plan and coordinate all travel  
25 arrangements. Pursuant to Division policy, the mode of transportation of team travel is  
26 determined with safety as the most important factor of consideration. Air travel, including all  
27 arrangements for booking and ticketing, is provided by an experienced travel service firm  
28 selected following a competitive bid process compliant with state statute and University policy.  
29 Ground transportation is provided either directly by the University or by contract with  
30 commercial transportation companies with a demonstrated commitment to safety, well  
31 maintained and inspected vehicles and appropriately trained and qualified drivers. A recent  
32 illustration of the ongoing evaluation of critical issues of student-athlete travel is the recent ban  
33 by the Division of Athletics of the use of fifteen-passenger vehicles for the transport of student  
34 athletes. This followed a comprehensive study and review of the use of fifteen-passenger  
35 vehicles by the NCAA.

36  
37 **10. Describe the institution’s written emergency medical plan for practices and games.**  
38 **Describe the process by which these policies and guidelines are approved and**  
39 **communicated to athletics department staff and student-athletes. In addition, describe the**  
40 **process by which these policies are periodically evaluated to ensure continued effectiveness.**

41  
42 There is a written Emergency Action Plan (EAP) for each venue utilized for practice or  
43 competition. These EAPs are reviewed and revised every year, usually during the summer. Their  
44 existence is made known to the athletic administration by the Head Athletic Trainer and is made  
45 known to the coaches and student-athletes of each sport by the assigned athletic trainer.  
46 Additionally, the Emergency Action Plan is posted at each venue, and every EAP is printed on

1 the department website. During August of each year, the entire Sports Medicine staff walks  
2 through each EAP and physically visits each site. The appropriate implementation of each plan  
3 requires an immediate, onsite responder who is both CPR and AED certified. Student athletic  
4 trainers with communication contact with Sport Medicine staff have been utilized on-site in  
5 circumstances where coverage of multiple events was needed. Beginning next fall, however, the  
6 students will not be permitted by their program to be at a site without a certified athletic trainer  
7 (ATC) present. The Sports Medicine Department will address this issue by implementing a  
8 training program by next fall with the assistance of the American Red Cross for all coaches and  
9 several administrators in CPR and AED use.

10  
11 **11. Describe the institution's written emergency medical plan for the athletics**  
12 **program and specific coverage for out-of-season workouts, strength training and skills**  
13 **sessions. Describe the process by which these policies and guidelines are approved and**  
14 **communicated to athletics department staff and student-athletes. In addition, describe the**  
15 **process by which these policies are periodically evaluated to ensure continued effectiveness.**

16  
17 The development and review of the Emergency Action Plan (EAP) for each sport is described in  
18 the response to Self Study Item 10. The current policy is to have an ATC available on campus  
19 and available for immediate response during any workout, practice, or game. The ATC is present  
20 onsite for all traditional season practices and games. There is an ATC available within five  
21 minutes any time a strength training session is occurring, and the strength and conditioning staff  
22 are all CPR/AED certified. One staffing issue that has been identified is the coverage of  
23 nontraditional season practices and games. It has been a practice for sports in the  
24 nontraditional/off-season to use student athletic trainers who are CPR/AED certified for event  
25 coverage. As noted above, this practice will not continue during the next fall semester. Instead,  
26 the Division of Athletics administration will coordinate the scheduling of non-traditional season  
27 events to achieve the necessary ATC coverage and the previously referenced CPR/AED training  
28 will be implemented by next fall semester.

29  
30 The Sports Medicine and Athletic Training policies are determined jointly by the Head Athletic  
31 Trainer and the Director of Sports Medicine. They are communicated to the athletic  
32 administrator responsible for sports medicine, and are ultimately approved or disapproved by the  
33 Director of Athletics. The policies and practices are consistently reviewed during each academic  
34 year for strict compliance with best practices and the accepted standard of care.

35  
36  
37 **12. Using the four program areas for student-athlete well-being issues, provided as**  
38 **Attachment No. 4 on Page 37, please:**

- 39 a. Describe how the institution has ensured a complete study of each of the four  
40 areas;
- 41 b. Provide data demonstrating the institution's commitment across each of the  
42 four areas for all student-athletes; and
- 43 c. Explain how the institution will address these topics in the future for the  
44 well-being of all student-athletes.
- 45

1 1. Evaluation – Periodic review of athletics department activities for consistency with goals and  
2 objectives set forth in the institution’s and athletics departments’ written commitments to  
3 student-athlete well-being, including the evaluation of the effectiveness of mechanisms to ensure  
4 the health and safety of student-athletes.

5  
6 **a. Describe how the institution has ensured a complete study of each of the four areas.**

7  
8 Written commitments to student-athlete well-being are best illustrated by the *Divisional*  
9 *Philosophy* (ATTACHMENT X) and *Divisional Mission Statement* (ATTACHMENT X).  
10 Both statements place a high priority on student-athletes’ intellectual growth and personal  
11 development, and explicitly emphasize the role of student-athletes as regular members of the  
12 student body who are subject to the same regulations and privileges afforded to other  
13 students. To the extent that student-athletes experience unique levels of visibility and  
14 challenges, these statements also allude to support services and an institutional commitment  
15 to student-athletes’ growth mentally, physically, and socially, referencing the importance of  
16 responding to both the educational and social needs of student-athletes. These are excerpted  
17 below:

18  
19 **Divisional Philosophy**

20 *At UConn, excellence in academics and athletics are mutually compatible. High*  
21 *standards in both academic and athletic programs insure that students will be given the*  
22 *best possible foundation for their future lives and careers.*

23  
24 *The Division of Athletics adheres, in principle and in fact, to the rules and regulations of*  
25 *The Big East Conference, the Eastern College Athletic Conference (ECAC) Hockey East,*  
26 *Atlantic Hockey and the National Collegiate Athletic Association (NCAA).*

27  
28 *The broad mission of the Division of Athletics at UConn is to provide an opportunity for*  
29 *students to enrich their college experience through comprehensive, challenging and*  
30 *professionally managed intercollegiate, intramural and recreational sports programs.*  
31 *Through associated athletic events, student-athletes are encouraged to achieve levels of*  
32 *excellence in competition and individual development, gaining interpersonal and*  
33 *leadership skills in the process. Additionally, the Division is dedicated to enhancing the*  
34 *University’s reputation for integrity and excellence, as demonstrated by the performance*  
35 *of student-athletes, coaches, and all Division staff members both on and off the field.*

36  
37 *The existence of the intercollegiate athletics program provides University students,*  
38 *faculty, alumni, and friends an opportunity to share in the life of the collegiate*  
39 *community. Because of the positive recognition involved, UConn’s support on regional,*  
40 *state and national levels is enhanced.*

41  
42 *Your success as a student-athlete at UConn must be measured first in terms of academic*  
43 *performance and then in terms of athletic performance. **Intellectual growth and***  
44 ***academic progress is the primary purpose for your being here.** Representing the*  
45 *University in its intercollegiate athletics program is a privilege earned by your successful*  
46 *academic efforts, as well as by your athletic performance. Therefore, we believe our*

1 program's success must be measured by our ability to support you **both** as a student and  
2 as an athlete.

3  
4 Although you may be "on display" much more than the average student may be because  
5 of your athletic participation, you must realize that this status confers no special  
6 privileges. You are expected to participate as a regular member of the student body,  
7 subject to the same regulations and afforded the same privileges as all other students. In  
8 fact, the following sections of this Handbook will emphasize how your increased  
9 visibility requires that you assume even more personal responsibility for your conduct.

10  
11 **Being a UConn student-athlete affords you a unique opportunity to grow mentally,**  
12 **physically, and socially in an atmosphere of excellence. Everything—from the**  
13 **coaching, facilities and equipment to the academic support you receive—is planned to**  
14 **ensure that your collegiate experience will be a positive one.**

15  
16 **Divisional Mission Statement**

17 In conjunction with the mission of the University of Connecticut to serve as a center for  
18 teaching and research, dedicated to excellence in higher education and fulfillment of its  
19 land grant status, the mission of the Division of Athletics is to operate a broad-based  
20 program of intercollegiate athletics and recreational and intramural sports opportunities  
21 that reflects the ethical philosophy of the University, the interests of the student body, and  
22 the desires of the University's internal and external constituencies.

23  
24 The priority of the Division of Athletics is to give students the opportunity to excel in  
25 academic achievement and athletic accomplishments. In addition, the Division of  
26 Athletics fosters among its students a sense of citizenship, leadership and social  
27 responsibility.

28  
29 The athletic program of the University adheres to the highest standards of integrity and  
30 ethics. The Division of Athletics promotes principles of good sportsmanship, honesty and  
31 fiscal responsibility in compliance with university, state, NCAA, and conference  
32 regulations. The Division of Athletics promotes and supports the University's  
33 comprehensive commitment to diversity and equity, providing equitable opportunity for  
34 all students and staff, including women and minorities.

35  
36 Through its program of intercollegiate athletics, recreational and intramural activities,  
37 public service and outreach efforts, the Division of Athletics enhances the student  
38 experience and contributes to the quality of life within the campus community, the State,  
39 and across the nation.

40  
41 The Division of Athletics and its programs undergo regular and periodic evaluation so  
42 that the Division may remain responsive to the educational and social needs of its  
43 students, the outreach efforts of the University, the competitive standards of the athletic  
44 conferences with which it is affiliated, and the fiscal demands of rapidly changing  
45 environments.

1 Periodic and regular reviews of the Department's activities ensure that programs and  
2 activities are aligned with the goals and objectives illustrated in the above statements. These  
3 direct or indirect reviews are accomplished through the following mechanisms:

4  
5 Counseling Program for Intercollegiate Athletes (CPIA) – As discussed above in Self-  
6 Study Item #4 (above), CPIA focuses on the holistic development of student-athletes,  
7 including issues related to student-athletes' academic, personal and career development,  
8 and provides forums whereby student-athletes' unique needs may be addressed through  
9 special programs.

10  
11 Student-Athlete Surveys – an annual survey which is administered to all student-athletes  
12 who are returning the following year serves to capture data concerning student-athletes'  
13 experiences, concerns and needs. Survey responses are anonymous, but respondents are  
14 invited to speak with the faculty athletic representative (Scott Brown). The Athletics  
15 Compliance Office tallies results, produces reports and monitors patterns of responses to  
16 identify areas for improvement.

17  
18 Student-Athlete Exit Interviews – All exiting student-athletes (including those who have  
19 completed eligibility, transferred from UConn, or quit the team) complete this survey.  
20 Survey responses are anonymous, but respondents are invited to speak with the faculty  
21 athletic representative (Scott Brown). The Athletics Compliance Office tallies results,  
22 produces reports and monitors patterns of responses to identify areas for improvement.

23  
24 The Student-Athlete Welfare & Academic Team (SWAT) holds monthly meetings during  
25 the academic year to discuss student life issues and concerns related to their academic  
26 success. The departments represented on SWAT include the Counseling Program for  
27 Intercollegiate Athletes (CPIA), Division of Athletics Compliance, Financial Aid,  
28 Registrar/Degree Audit, NCAA Faculty Athletics Representative (Chair) and the Director  
29 of Athletics. In addition, an executive board has been established to include the directors  
30 of each department (CPIA, Compliance, Financial Aid, Registrar, Faculty Athletics  
31 Representative & the Director of Athletics).

32  
33 The Department of Sports Medicine and Student Health Services – This division and unit  
34 are directly responsible for monitoring and addressing the physical and mental health  
35 needs of the student-athlete population.

36  
37 The Student-Athlete Advisory Committee (SAAC) has a programmatic focus on the  
38 welfare of student-athletes, including student-athlete image and the provision of  
39 opportunities for student-athletes. SAAC, which is comprised of representatives from  
40 each varsity athletic team at UConn, meets monthly to discuss upcoming community  
41 service events, ideas, issues, and concerns regarding the well being of student-athletes.  
42 Recommendations of SAAC are presented to leadership of the Department of Athletics  
43 for follow-up and resolution.

44  
45 Student-Athlete Life Subcommittee – This subdivision of the President's Athletic  
46 Advisory Committee (PAAC) reviews policies for determining when health and other



1 non-academic factors are used to restrict a student's involvement in intercollegiate  
2 athletics; addresses issues concerning health screening and drug testing; and discusses  
3 matters related to housing assignments.  
4

5 Diversity and Equity Subcommittee – This subdivision of the President's Athletic  
6 Advisory Committee (PAAC) reviews policies and practices that impact the well-being  
7 of female and minority student-athletes.  
8

9 Academic Support Committee – This subdivision of the President's Athletic Advisory  
10 Committee (PAAC) reviews all matters affecting academic standing of student-athletes,  
11 ranging from the recruitment and admissions process to the provision of academic  
12 support services, retention and graduation rates, and policies affecting scheduling,  
13 practice times, post-season and tournament participation.  
14

15 Lamar Daniel Reports – The consulting firm of Lamar Daniel, Inc. conducts annual Titles  
16 IX compliance reviews for the Division of Athletics, and develops plans for addressing  
17 any gender equity issues identified during the annual review.  
18

19 **b. Provide data demonstrating the institution's commitment across each of the four**  
20 **areas for all student-athletes.**  
21

22 The Director of Athletics oversees the academic, personal and career development and  
23 overall well-being of student-athletes. Institutional commitment to student-athlete well-being  
24 is evident through the extensive involvement of additional individuals, departments,  
25 programs and committees in the oversight of the Department of Athletics' activities.

- 26 • Student Health Services
- 27 • Department of Sports Medicine
- 28 • Counseling Program for Intercollegiate Athletes
- 29 • Faculty Athletic Representative
- 30 • Student Athlete Advisory Committee
- 31 • Diversity and Equity Subcommittee of PAAC
- 32 • Student-Athlete Life Subcommittee of PAAC
- 33 • Academic Support Subcommittee of PAAC  
34

35 **c. Explain how the institution will address these topics in the future for the**  
36 **well-being of all student-athletes.**  
37

38 In 2006, the Division of Athletics established a new position, the Senior Associate  
39 Director of Athletics/Administration, with a portfolio that references accountability  
40 for regular review of issues concerning student-athlete well-being, including:

- 41 • The provision of daily operations and risk management assistance for athletic  
42 programs including administrative support for coaching staff and supervision  
43 of athletic/student athlete interests.  
44

- The monitoring of all federal and state laws and regulations concerning the operation of the Division of Athletics.

This new position, along with those departments, programs and services noted in (c) above, provide continuing reviewing and handling of matters related to student-athlete well-being.

2. Organization and Structure. Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete well-being.

- a. Describe how the institution has ensured a complete study of each of the four areas**

The policies, offices, programs and services of the Division of Athletics that serve to enhance student-athlete well-being are outlined in the Student-Athlete Handbook, which includes information, resources, and guidance on sports participation and eligibility rules, academic activities, physical welfare, personal conduct, team travel rules, medical care, student complaints and support services. Substantive information provided in the Student-Athlete Handbook complements guidance and information provided in the handbook and website maintained by the Division of Student Affairs (see Student Code), which is applicable to all students in addition to student-athletes. As discussed in Self Study Item #4 and #5 the various offices, programs and services that enhance student-athlete well-being include the following:

1. Department of Sports Medicine Services
2. Counseling Program for Intercollegiate Athletics
3. President's Athletic Advisory Committee
4. Student Athlete Advisory Committee
5. Female Athlete Performance Committee
6. Office of the Athletic Director
7. Faculty Athletics Representative
8. Division of Student Affairs-Student Health Services
9. Women's Center
10. Rainbow Center
11. Other Cultural Centers
12. Office of Diversity and Equity

The institution ensured a complete study of the above through the Equity and Student-Athlete Well-Being Subcommittee, which interviewed student-athletes, conducted a survey of student-athletes, and reviewed the policies, procedures, offices, programs and services related to enhancing student-athlete well-being.

- b. Provide data demonstrating the institution's commitment across each of the four areas for all student-athletes**

1  
2 Numerous offices, committees, individuals and activities serve to facilitate  
3 appropriate administration and management of policies, activities and services  
4 that enhance student-athlete well-being including those units, programs,  
5 committees and individuals listed in Self-Study Items #4, #5, and #12a (above).  
6 In addition, the following individuals' job duties encompass accountability for  
7 student-athlete well-being:  
8

- 9 • Executive Associate Director of Athletics
- 10 • Senior Associate Director of Athletics and Administration
- 11 • Associate Director of Athletics/Senior Women's Administrator
- 12 • Associate Director of Athletics and NCAA Rules Education and Compliance
- 13 • Head Athletic Trainer
- 14 • Strength and Conditioning Coordinator
- 15 • Faculty Athletic Representative
- 16 • Director of the Counseling Program for Intercollegiate Athletics
- 17 • Academic Advisors and Staff of the Counseling Program for Intercollegiate  
18 Athletics

19  
20 **c. Explain how the institution will address these topics in the future for the**  
21 **well-being of all student-athletes.**  
22

23 Continued oversight and evaluation of the policies, organization and activities that  
24 serve to enhance student-athlete well-being will be conducted by those office  
25 noted in (a) above. In addition, and as more fully described in 1(d) the Division  
26 of Athletics created a new position of Senior Associate Athletic  
27 Director/Administration.  
28

29 3. Participation in Governance and Decision-Making. Involvement of student-athletes in the  
30 governance and decision-making processes of the athletics department (including the student-  
31 athlete advisory committee).  
32

33 **a. Describe how the institution has ensured a complete study of each of the four**  
34 **areas**  
35

36 Relative to student-athlete involvement in the governance and decision-making  
37 processes of the Athletics Department, the Equity and Student-Athlete Well-  
38 Being Subcommittee ensured a complete study of the following offices,  
39 committees and individuals by conducting student-athlete surveys and  
40 interviewing student-athletes:  
41

- 42 1. Student Athlete Advisory committee
- 43 2. President's Athletic Advisory Committee
- 44 3. Faculty Athletics Representative
- 45 4. Counseling Program for Intercollegiate Athletics
- 46 5. Female Athlete Performance Committee

1  
2 **b. Provide data demonstrating the institution's commitment across each of the**  
3 **four areas for all student-athletes**  
4

5 The University's commitment to student-athlete participation in governance and  
6 decision-making processes of the Athletics Department is illustrated through the  
7 activities of offices, committees and individuals noted in (a) above. For instance,  
8 SAAC meets monthly to discuss a broad range of issues and concerns of student-  
9 athletes, which are escalated to the attention of the Director of the Athletics  
10 Division in the form of SAAC recommendations. Also, the Faculty Athletics  
11 Representative fields inquiries and comments of student-athletes directly and by  
12 referral and brings them to the attention of the appropriate personnel in the  
13 Department of Athletics  
14

15 **c. Explain how the institution will address these topics in the future for the**  
16 **well-being of all student-athletes.**  
17

18 The offices, committees and individuals noted in (b) above will continue to ensure  
19 student-athlete participation in the governance and decision-making processes of  
20 the Division of Athletics.  
21

22 4. Programs and Activities. Establishment of programs that address the needs and issues  
23 affecting student-athletes.  
24

25 **a. Describe how the institution has ensured a complete study of each of the four**  
26 **areas**  
27

28 The University has established a broad range of offices, programs and activities  
29 dedicated to addressing the needs and issues affecting student-athletes. These  
30 offices, programs and activities, which are noted above in Self-Study Items #4,  
31 #5, and #12. For this recertification process, the Equity and Student-Athlete  
32 Well-Being Subcommittee reviewed the mission, charges and activities of the  
33 aforementioned offices, programs and activities associated with student-athlete  
34 well-being, and collected input from the client population by interviewing  
35 student-athletes and conducting a survey of student-athletes.  
36

37 **b. Provide data demonstrating the institution's commitment across each of the**  
38 **four areas for all student-athletes**  
39

40 Programs, activities and services that address the needs of student-athletes are  
41 typically available to all students at the University of Connecticut. Nonetheless,  
42 some programs address the unique experiences and needs of student-athletes.  
43

- 44 • Education and support services concerning drug and alcohol abuse (noted in  
45 Self-Study Item #5).
- 46 • Life Skills Programs (noted in Self-Study Item #5).

- 1 • Gambling and Bribery - To the extent that the student-athlete population is  
2 particularly vulnerable to issues concerning gambling and bribery, the  
3 Student-Athlete Handbook apprises student-athletes of the dangers of these  
4 activities and mandates immediate reporting of such activities to coaches  
5 (ATTACHMENT X, p. 8).
- 6 • Education and Support Programs Related to Issues of Sexual Orientation -  
7 The University has established educational and support programs to address  
8 the needs and concerns of Gay, Lesbian, Bisexual, and Transgender members  
9 of the campus community. In addition, as noted in Self-Study Item #4, CPIA  
10 recently responded to an expressed need for support services for GLBT  
11 student-athletes. As mentioned above, in 2006 UConn was recognized as one  
12 of the 100 most LGBT friendly campuses in the United States by *The*  
13 *Advocate College Guide*.

14  
15 **c. Explain how the institution will address these topics in the future for the**  
16 **well-being of all student-athletes.**  
17

18 The University will review, evaluate and enhance the aforementioned programs  
19 and activities to ensure that the above topics are addressed on a continuing basis  
20 in the future. As mentioned above, the Senior Associate Director of Athletics and  
21 Administration's job duties encompass accountability for matters concerning  
22 student well-being. A further example of institutional commitment to student-  
23 athlete well-being includes the recent decision to add create a new position  
24 dedicated to sports psychology, which will be associated with the Department of  
25 Sports Medicine within Student Health Services.  
26

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

- 28 ▪ Facilities schedule for practice and competition.
- 29 ▪ Sports schedules.
- 30 ▪ Sports marketing materials.
- 31 ▪ Media guides.
- 32 ▪ Institution's student-athlete handbook or, if no such handbook exists, institution's method(s)  
33 for conveying athletics policies and procedures to student-athletes.
- 34 ▪ Written materials (e.g., forms) used to document student-athlete exit interviews.
- 35 ▪ Institution's and/or athletics department written grievance and/or appeal procedures available  
36 to student-athletes in areas mandated by NCAA legislation and in other areas.

37  
38 **EVALUATION**

39 **Does the institution provide evidence that the well-being of student-athletes and the**  
40 **fairness of their treatment is monitored, evaluated and addressed on a continuing basis?**

41 Currently Yes.

42  
43 **Does the institution have established grievance or appeal procedures available to student-**  
44 **athletes in appropriate areas?**

45 Currently Yes.  
46

1

| Program Area                             | Issues(s)   | Measurable Goals   | Steps to Achieve Goal  | Individuals Responsible for Implementation | Specific Timetable for Completing the Work |
|--|---|--|--|--|--|
| 2. Organization and structure (Policies) | Focus group discussion and responses to student-athlete survey suggests student-athletes need additional guidance regarding rights and responsibilities re: discrimination and discriminatory harassment complaint process. | Expand upon currently existing notices, orientations and classes that emphasize the availability of resources, support services and policies designed to facilitate complaint intake, resolution, and protection from retaliation. | Follow through with current plans to update Student-Athlete Handbook and embed related topics of discussion into orientations and classes sponsored by CPIA and the Athletics Department. Follow through with current plans to secure student-athletes' written acknowledgement of the receipt of related notices and participation in related orientations. | ?  | ?  |

2 **Does the institution provide evidence that the institution has in place programs that protect**  
 3 **the health of and provide a safe environment for its student-athletes?**  
 4 Currently Yes.

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