

Institution and Athletics Information

These entries on the university, our NCAA history, and the athletics program's structure and NCAA history precede the three substantive self-study report sections.

Athletics Information

[Questions 1-3 (subdivision status, conference affiliation, and athletics program structure) are already completed]

4. Date of NCAA major infractions case(s) (if any) since previous certification self-study and impact (if any) on the areas of the certification program.

There have been no major infractions cases since the 1999 self-study.

5. Other significant events (with dates) in the history of intercollegiate athletics program since previous certification self-study.

Since 1999, three university presidents and four chancellors have served the university.

Presidents:

Donald R. Haragan: 1996-2000

David Schmidly: 2000-2002

Jon Whitmore (incumbent): 2002-present

Chancellors:

John T. Montford: 1996-2001

David Smith: 2002-2006

Donald R. Haragan (interim): 2006

Kent Hance (incumbent): 2006-present

Previous Certification Self-Study

1. Date of previous orientation visit, evaluation visit and interim self-study report (if applicable):

Last NCAA orientation visit: March 9-10, 1998

NCAA site evaluation: June 7-10, 1999

First cycle self-study report submitted on March 25, 1999

2. Initial certification-status decision rendered by the NCAA Committee on Athletics Certification (and date):

The NCAA Division I CAC certified Texas Tech University's athletics program during its January 16-17, 2000, meetings. Based on our first self-study and the peer review team's June 1999 evaluation visit, the CAC concluded that we substantially conformed with Division I operating principles, and that any issues noted during the self-study and evaluation were "not serious enough" to affect our certification status.

3. Subsequent actions or changes in certification status (if any) made by the NCAA Committee on Athletics Certification (and date):

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

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

Certification Self-Study Information

3. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that actually were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before its findings and plans for improvement were formulated, and (b) review the self-study report after it was drafted.
4. Provide a copy of the institution's written plan for conducting the self-study.
[The university submitted its written plan to its NCAA liaison for review in November.]
5. Please provide the institution's mission, philosophy and goals statement and the athletics program's mission, philosophy and goals statement. Also, indicate the dates of formal approval for the latest versions.

Texas Tech University

Mission Statement: Committed to teaching and the advancement of knowledge, Texas Tech University, a comprehensive public research university, provides the highest standards of excellence in higher education, fosters intellectual and personal development, and stimulates meaningful research and service to humankind (2005).

Philosophy: Texas Tech University will be a national leader in higher education—manifesting excellence, embracing diversity, inspiring confidence, and engaging society. The university aspires to a national recognition of excellence and performance in scholarship through teaching, research, and service. Texas Tech University will be recognized as one of the top public educational and research universities in the United States, attracting the best students, faculty, and staff; prepare students to be leaders and decision makers, articulate and principled, innovative and confident, and able to think critically with sound reasoning ability; be a research-intensive institution where faculty discovery enhances learning and prepares students to compete in a knowledge-based society; and be engaged in local, regional, and state social and economic development for the benefit of both the public and private sectors.

Texas Tech University is committed to the values of mutual respect; cooperation and communication; creativity and innovation; community service and leadership; academic and intellectual freedom; pursuit of excellence; public accountability; and diversity” (2005)

Goals Statement: Our most recent strategic goals include investing in our students, faculty, and staff of Texas Tech University; recruiting and retaining prepared and diverse students and increasing campus resources and infrastructure; enriching the educational experience and advancing research and creative endeavors; and strengthening the university's community, industrial, educational, and governmental alliances.

The university's regents ratified the mission and vision statements in December 2001, and the goals statement comes from our 2005 strategic plan.

Texas Tech Department of Intercollegiate Athletics

Mission Statement: The mission of the Texas Tech Department of Intercollegiate Athletics is to provide programs that develop the character and integrity of student-athletes in their academic, athletic and personal quest for excellence. To be consistent with the principles of Texas Tech University, the department embraces the opportunities to enhance student-athlete welfare and promote diversity within student-athletes and staff with fair and equitable treatment for all. The Department of Intercollegiate Athletics will operate with fiscal responsibility and compliance under the rules, policies and procedures of Texas Tech University, the Big 12 Conference and the NCAA.

Philosophy: Texas Tech University will be a leader in intercollegiate athletics. The Department of Intercollegiate Athletics aspires to be nationally recognized for excellence and performance in athletic competition, academic excellence, and personal development of our student-athletes.

The Department of Intercollegiate Athletics will create an environment of excellence that fosters the highest standards of integrity, athletic competition, academics, facilities, as well as internal and external relationships; and recruit, educate, retain and graduate nationally competitive student-athletes.

The Department of Intercollegiate Athletics is committed to the values of leadership, integrity, excellence, and sportsmanship.

Goals Statement: The department's most recent goals include (1) increasing student-athlete and staff diversity; (2) improving academic services and support programs; (3) increasing staff participation in community service and student participation in life skills programs and the student-athlete advisory council; (4) completing current capital projects, and developing and maintaining stronger technological resources for athletics facilities; (5) increasing human and financial resources to support a quality work environment by addressing retention, recruitment, salaries, workload, and the policy-procedure manual; (6) strengthening strategic partnerships between the department and local, regional, and national corporations, conferences, and associations; (7) pursuing more regional and national opportunities for student-athletes to compete; and (8) develop a fiscally stable and supportive environment for athletics programs.

The mission, philosophy, and goals statements are all part of the athletics department's most recent five-year plan, which the Athletics Director authorized in [YEAR].

Governance and Rules Compliance

This is the working draft for the Governance and Rules Compliance sections of our report.

OP 1.1: Institutional Control, Presidential Authority, and Shared Responsibilities

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

The NCAA Division I Committee on Athletics Certification imposed no corrective actions or conditions on Texas Tech University in its first-cycle certification decision relating to Operating Principle 1.1.

The Committee did identify one “strategy for improvement”:

- a. Revise the athletics program mission statement to emphasize equitable opportunities for all staff including women and minorities, and develop a plan for publicizing the revised mission statement throughout the university and its publics.
- b. The head coaches and athletic department administrative staff revised the department’s mission statement in Spring 1999 to ensure that it supported equitable opportunities for all staff, including women and minorities.

As then redrafted, the revised mission statement provided, “The mission of the Texas Tech University Department of Intercollegiate Athletics is to provide a comprehensive program that emphasizes athletic and academic excellence. The Department will achieve this objective by promoting a standard of achievement consistent with the overall mission and objectives of Texas Tech University; by supporting the total development of the student-athlete and departmental staff; by providing equitable opportunities for male and female student-athletes; by promoting diversity in all aspects of the Department’s operations; by adhering to all University, Big XII Conference, and NCAA rules and regulations; and by enhancing the University’s public image through the fielding of competitive athletic teams whose sportsmanship and ability will engender a sense of pride and recognition among the Texas Tech and national communities.” This statement was submitted to the NCAA in November 2000 with our other strategies for improvement.

As described in former university President Schmidly’s letter dated November 22, 2000, to James Walker, the then-Chair of the NCAA Division I Committee on Athletics Certification, the athletics department also developed a plan for publicizing the revised mission statement throughout the university and its publics. This letter and its attachments will be made available for inspection by the Peer Review team.

That distribution plan provided that there would be annual distribution of the departmental mission statement through or to the following outlets or constituencies:

- Media guides for each sport (beginning 2001)
- Individual sport game programs
- Red Raider Club publications
- Academic Services publications (including the Student-Athlete Handbook)
- Compliance manuals for coaches

- Athletic Council
- Student Government Association
- Ex-Students Association
- University President
- Letterman's Association
- Athletic department employees

The department also planned to add the mission statement to its website, include it in departmental publications, distribute it to athletic department employees, and to place framed copies in high traffic areas throughout the department.

By letter dated February 22, 2001, James Walker, on behalf of the NCAA Division I Committee on Athletics Certification, informed former then-President Schmidly that the information submitted by Texas Tech University relating to this item regarding the department's mission statement and distribution plan had been "carefully considered," and that the actions taken by Texas Tech pertaining to this item satisfied the committee's requirements.

Subsequent to that process, the mission statement has been modified slightly. The University engaged in a campus-wide strategic planning process, which resulted in a few changes. And, then in 2005, an enhanced version was developed to address an array of issues including diversity, compliance, fiscal responsibility, and student-athlete welfare. The current version appears on the department's website as follows:

"The mission of the Texas Tech Department of Intercollegiate Athletics is to provide programs that develop the character and integrity of student-athletes in their academic, athletic and personal quest for excellence. To be consistent with the principles of Texas Tech University, the department embraces the opportunities to enhance student-athlete welfare and promote diversity within student-athletes and staff with fair and equitable treatment for all. The Department of Intercollegiate Athletics will operate with fiscal responsibility and compliance under the rules, policies and procedures of Texas Tech University, the Big 12 Conference and the NCAA".

As currently formulated, the mission statement continues the department's commitment to diversity and fair and equitable opportunities for all student-athletes and staff. In addition, this version has been widely distributed consistent with the previously approved plan. The Governance and Compliance Committee of the Athletic Council has previously reviewed this plan, and in 2005 recommended that the department be mindful of the previous commitment for wide distribution. The 2005 Athletic Council then undertook a review, finding that the statement was widely distributed among athletics constituents. A Fall 2007 spot-check confirmed that finding. Since 1999, senior athletic staff members have directed that the statement be included in an even greater array of outlets than listed in the original plan. These new outlets include newsletters, letters to fans and boosters, ticket mailings, and online presentations. In addition, the mission statement is being displayed prominently. For example, in all media guides for the various sports, the mission statement appears with the table of contents on page 1. The mission statement also appears on the department's website (<http://texastech.cstv.com/trads/text-mission.html>) alongside the department's vision statement and strategic plan. Indeed, the first goal identified in the department's strategic plan is to "promote diversity and equity among staff and student-athletes," which was the underlying goal of this particular strategy for improvement.

- c. The mission statement was revised in Spring 1999. Although the Self-Study Committee was unable to determine the precise date for completion of the plan for publicizing the revised

mission statement, the plan had been developed prior to November 22, 2000 – the date of former President Schmidly’s above-referenced letter. Thereafter, as described above, the mission statement was modified somewhat as part of a University-wide strategic planning process and was again modified to its current statement in 2005. The distribution effort has been ongoing since 2001

- d. The required action was completed and implemented. Although the Self-Study Committee could not ascertain whether the mission statement had actually been distributed on an annual basis to each and every constituency and in every publication identified in the 1999-2000 plan, the Self-Study Committee is satisfied that the mission statement is being broadly distributed throughout the University and beyond consistent with the original plan.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (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 will not be required to fulfill an element of first-cycle plan if the element does not affect conformity with an operating principle.

Texas Tech developed four plans for improvement/recommendations during the first-cycle certification process pertaining to Operating Principle 1.1.

1. Revise Mission Statement

- a. Texas Tech planned to update the athletic department’s mission statement to complement the mission and vision of the university and athletics program.
- b. As described more fully in response to Self-Study Question 1 pertaining to this Operating Principle 1.1, the mission statement has been updated. The current mission statement is quoted above and it, along with the vision statement and strategic plan for the athletics department are set forth at <http://texastech.cstv.com/trads/text-mission.html>. The University has been fully involved in a broad-based strategic planning initiative over the last number of years, and the current University mission statement and vision statement are set forth in the University’s strategic plan, available at <http://www.ttu.edu/stratplan/05stratplan.pdf>, with related information available at <http://www.ttu.edu/stratplan/>. Moreover, as with every college and department on campus, the athletics department has been included in the university-wide strategic-planning endeavors. *See* <http://techdata.irs.ttu.edu/stratreport/SPAR.asp>, which sets forth the strategic plans and most recent assessment reports for each college and unit within the University, including the athletics department.
- c. The mission statement was first revised in Spring 1999. Thereafter, as described above, the mission statement was modified somewhat as part of the University-wide strategic planning process and was again modified to its current statement in 2005.

- d. This plan was fully implemented.

2. Update Red Raider Club Bylaws

- a. The plan proposed that the athletics directors take steps to update the bylaws for the program’s official fundraising organization, the Red Raider Club.
- b. The Red Raider Club Bylaws were revised. A copy of these Bylaws will be available to the visiting peer review team.
- c. These bylaws were revised as of August 30, 2001.

d. This plan was accomplished. The bylaws for the Red Raider Club were revised.

3. Update the Operating Policy and Procedures Manual

- a. The plan recommended that the senior woman administrator within the athletics department, Judi Henry, update the athletics department's operating policy and procedures manual to document budget, purchasing, contract, and other fiscal procedures.
- b. In September 2004, the department promulgated a spiral-bound, printed operating policy and procedures manual. A copy will be made available for the Peer Review team. In addition, subsequent to recommendations by the Governance and Compliance Committee of the Athletic Council, the department developed and promulgated an online version of the operating policy and procedures manual in September 2007. That website may be viewed at <http://texastech.cstv.com/ot/athopmanual.html>.
- c. The printed copy of the manual was completed in September 2004. The online version became available for use in September 2007.
- d. This action was accomplished. Moreover, now that a new version of the operating policy and procedures manual has been developed for the web, the manual is both more readily accessible to coaches and staff, and can be updated in a more efficient and timely manner.

4. Define the Athletic Council's Program Oversight

- a. The plan suggested that the University President define the Athletic Council's oversight over the athletics program.
- b. Rule 11.02.1 of the board of regents' rules states that the "board has authorized the president to establish an Athletic Council to advise the president in the development and supervision of intercollegiate athletic programs." In turn, Rule 11.02.2 sets forth the role for the Athletic Council. The council:
 - (a) may review and make recommendations to the president on any matters pertaining to the enforcement of eligibility rules and regulations established by an athletic conference or national association in which the university holds membership; and review and make recommendations on any other pertinent matters related to the university's intercollegiate athletic program; and
 - (b) shall not have final authority to direct, control or supervise the operation or activities of the university's Department of Athletics or intercollegiate athletics programs.

In turn, the broader charge of the Athletic Council has been set forth in bylaws developed by the council and approved by the president. Those bylaws may be viewed at <http://www.depts.ttu.edu/athleticcouncil/bylaws.php>. Article V of those bylaws sets forth the duties and responsibilities of the Athletic Council in assisting the president and department. In particular, as set forth in Article V, the President has charged the Athletic Council with the following:

1. Recommend such policies, rules, and regulations as are necessary for the promotion and oversight of the University's intercollegiate athletics program.
2. Review and evaluate, on a regular basis, the academic integrity of the University's intercollegiate athletics program.
3. Review and evaluate, on a regular basis, the University's activities and procedures related to compliance with NCAA and Big Twelve conference rules.
4. Review and evaluate, on a regular basis, the fiscal integrity of the University's intercollegiate athletics program.

5. Review and evaluate, on a regular basis, the University's policies related to the welfare of student-athletes, Title IX gender equity issues, and minority issues.

In addition, the Athletic Council is charged with establishing and maintaining four standing committees: the Committee on Governance and Compliance, the Committee on Academic Integrity, the Committee on Fiscal Integrity, and the Committee on Equity. Each of these committees has further duties and responsibilities set forth in the bylaws, and each committee develops an annual report setting forth an evaluation and recommendations concerning their respective spheres. The council then meets as a whole to review and consider the committee reports, and a composite report of the council is developed along with recommendations for improvement. The final council reports are then presented to the president for his review. During his tenure, President Whitmore has met with the Athletic Council to review and consider these annual reports and recommendations each year. Copies of the Athletic Council's annual reports for the last three years will be made available for review by the Peer Review team.

- c. The Athletic Council charge and bylaws were substantially revised in October 2000, with several amendments thereafter.
 - d. This plan/action was completed. The Athletic Council continues to operate by the charge and directions set forth by the president and the board of regents' rules.
3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

There were two additional plans for improvement developed and implemented by Texas Tech relating to Institutional Control, Presidential Authority, and Shared Responsibilities since the first cycle certificate decision was rendered.

First, the University's Board of Regents adopted revised Regents' Rules pertaining to Athletics in October 2007. These revised rules were drafted with input and support from both the President's office and the Athletic Council. A copy of the revised rules is included in this Self-Study report as Appendix ___. As revised, these rules clearly emphasize that the authority and responsibility for the function of the Athletics Department is vested in the President of the University. An earlier version had provided for a degree of shared responsibility between the President and the Chancellor of the Texas Tech University System. The rules now clearly place the authority and responsibility strictly in the hands of the president, who merely has an annual reporting obligation to the chancellor and board of regents. Rule 11.01.3 also states the following relating to institutional control:

Institutional control. The board is committed to firm institutional control of athletics, to the unquestioned academic and financial integrity of the TTU athletics program, and to the accountability of the athletics department to the values and goals befitting higher education.

Second, the University developed a new policy and procedures for investigating and reviewing complaints regarding potential NCAA and Big 12 rules violations. That policy was finalized and approved by President Whitmore in November 2007. A copy of this revised policy will be made available to the peer review team. The new policy reconfirms the university's commitment to the principle of institutional control and its obligation to be in compliance with the rules and regulations of the NCAA and Big 12 Conference. The policy directs that all investigations are to be conducted consistent with the guidelines set forth in the new policy, along with NCAA Bylaw 19 and Big 12 Conference Section 7.

We will not set out the entire policy in this narrative, but the following is a brief summary. First, all suspected or alleged issues with the potential to result in an institutional, secondary or major violation will be communicated by the compliance office to the Faculty Athletics Representative (FAR). In turn, the FAR will determine the best course of action to investigate or audit the issue. Additionally, the associate athletic director for compliance will brief the Athletics Director regarding potential institutional or secondary violation issues. If evidence indicates that there could be a potential major violation, then the FAR will report to the office of the president. Thereafter, if deemed warranted, the President may initiate a formal investigation to be conducted through a committee established by the President. As judged appropriate, the FAR may also consult with the University General Counsel and the Athletics Director to discuss the allegations and appropriate action.

Under the new policy, if the President is of the view that the allegations and evidence support a further investigation, an investigation committee composed of the FAR as chair, the President's Chief of Staff, the Office of General Counsel, and any other members assigned by the President will then convene. The committee will consider any such matter on a case-by-case basis and determine whether further investigation should be internal, external, or a combination of both. The President is ultimately responsible to assign all or part of the investigation internally or as appropriate to an entity outside the university. The FAR will notify the Big 12 Conference of any such pending investigation. The reporting lines for the compliance office relative to an investigation of a possible major violation will be directly to the President's office through the FAR. The policy also sets forth reporting requirements for secondary or institutional policy violations, guidance relating to communications with the applicable head coach, and limits on communications with others during pending investigations.

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

The subcommittee reviewed minutes of Board of Regents' open discussions about athletic department issues and also considered the Regents' Rules. We found that the Board of Regents continues to adhere to the requirement that the authority and responsibility for the function of the Athletics Department is vested in the President of the University. The President reports directly to the Chancellor and Board of Regents and is responsible for providing necessary information regarding major decisions. He has similar reporting requirements regarding major decisions involving other campus units.

When the Board of Regents updated Chapter 11 of the Regents' Rules, which pertain to Athletics, in October 2007, the preamble to those changes emphasized two key matters:

First, the Board of Regents directs that the Department of Intercollegiate Athletics be conducted properly and in strict compliance with all applicable rules and regulations.

Second, authority and responsibility for the function of the Athletics Department is vested in the President of the University ... who shall report annually to the Chancellor and the Board on the Department's compliance with applicable rules and regulations, the academic and financial status of the Department, and appointments to the Athletic Council.

Members of the Compliance and Governance Subcommittee interviewed President Whitmore concerning this item. President Whitmore relayed his view that members of the Board of Regents take these rules seriously. He has, as required by the Regents' Rules, informed the Board about significant personnel decisions made by or in conjunction with the Athletics Director, but he has never been told what to do concerning these decisions by any Regent. Correspondingly, President Whitmore relayed that the Regents Rules also require the President to inform the Board of

Regents about significant personnel decisions concerning University Vice Presidents and Academic Deans. Likewise, the Regents review and approve all significant university facilities issues, athletic or otherwise, and their budget approval extends to the full university budget – which contains the athletic department budget along with the budgets of all other academic, research, and administrative departments.

5. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's president or chancellor has been significantly involved.

During the last three complete academic years (04-05, 05-06, & 06-07), Texas Tech University President Dr. Jon Whitmore has been involved in every significant decision related to intercollegiate athletics. The primary mechanism through which President Whitmore stays fully involved in athletic matters is a standing weekly meeting with Athletics Director Gerald Myers. The frequency of that regular meeting allows President Whitmore to stay informed concerning many athletic department processes and issues – significant and otherwise – and likewise ensures that Athletics Director Myers is attuned to the priorities and policies of the university outside the athletic department.

Some of the more significant areas discussed during these weekly meetings are

1. Hiring and dismissal of Head Coaches.
2. Raises and Contract Adjustments for Head Coaches.
3. Management of compliance issues and inquiries. These matters are normally removed from athletics and given to the Faculty Athletics Representative.
4. Budget issues.
5. Facilities issues.
6. Academics issues, e.g., the decision to hold no athletic contests during final exams.
7. Big 12 Conference and NCAA issues.

President Whitmore also ensures that he is aware of and involved in significant matters concerning intercollegiate athletics through his personal appointment of the Athletic Council – which serves him as an advisory body and does not have independent decision-making power – and also through his appointment of the Faculty Athletics Representative. President Whitmore also meets at least annually with the full Athletic Council to review the council's annual report and recommendations.

Additionally, President Whitmore meets annually with all athletic department personnel as a group to ensure they understand his expectations – especially that his priority for student-athletes, as with all students, is academic success. During this annual meeting President Whitmore actually displays the compliance manual and advises all present that a violation of that manual may be grounds for termination of employment.

6. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. If the institution has different processes for making various major decisions regarding intercollegiate athletics, describe the process for making each major decision. For each process, describe the role and authority of the institution's governing board, the president or chancellor, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in the process.

The two individuals who are primarily responsible for all major decisions in athletics are the Athletics Director and the President of the university. The Athletics Director and President meet

on a weekly basis. Issues discussed include, but are not limited to, budget, facilities, employment issues, policy and department performance (e.g., wins/losses, academic and compliance issues, ticket sales). Most major decision issues relate to budget, facilities, employment, and policies. The actual process by which the decision is made is that the Athletics Director gathers the information necessary to address issues of concern. The Athletics Director generally accomplishes this by meeting with various people in athletics and sometimes others on campus including the Faculty Athletics Representative, Athletic Council, the Office of General Counsel for the university, and the Chief of Staff for the President's office. After gathering the necessary data, the Athletics Director decides on an appropriate course of action and makes a recommendation to the President, along with providing a justification for the decision. The President, however, has the ultimate authority. This is the process not only for Athletics, but for all colleges and other units of Texas Tech University. That is, in general recommendations are developed and made by the Athletics Director for approval by the President, as is the process for all department units on Texas Tech's campus. Additional details and examples of this process are included below.

Budget

The budget for athletics must be approved by the Senior Vice President for Administration and Finance with final approval by the President. This is the same process for all university units. Specifically, a budget is compiled by the Deputy Athletics Director after meeting with coaches and department heads. The Athletics Director reviews and approves the budget for consideration and approval of the President. Monthly budget reviews are conducted by the Athletic Finance Committee (Athletic Council Chair, Faculty Athletics Representative, Athletics Director, Deputy Athletics Director, Senior Vice President for Administration and Finance, and the Chief of Staff to the President; the President serves as an ex officio member as appropriate). The committee reviews the reserve status, projected revenues and/or deficits, and general budget updates. It is the responsibility of this committee to advise the President if there are issues of concern. Additionally, twice per year the Managing Director of Audit Services meets with the Athletic Finance Committee for a briefing of the annual fiscal audit.

Facilities

The Athletics Department has a facilities master plan that is part of the university's overall master plan. The athletics department's plan was developed by a committee of senior athletic department staff members and with assistance from an outside architectural firm. Athletic facility budgets and construction follow the university's operating policies. Specifically, if construction costs are under \$1 million dollars, the office of grounds maintenance reviews, approves, and monitors construction. If construction costs are projected over \$1 million dollars, the office of Facilities, Planning and Construction oversees the process. The Athletics Director and President discuss fundraising related to the facilities plan. The Athletics Director heads fund raising efforts. As with any other department, all construction must have a budget that is approved by the Board of Regents Facilities Committee, which then presents to the full Board a recommendation for appropriate actions such as approval, denial, return for further study, etc.

Employment Issues

The Athletics Director makes recommendations related to the hiring or firing of major personnel (Head Coaches, Associate and Assistant Athletic Directors) to the President for his acceptance or rejection. The Athletics Director seeks input from various senior staff, the Faculty Athletics Representative and various other campus personnel as appropriate. Head coaches and department heads hire assistants with the Athletics Director's approval. The President reports to the Chancellor and the Board of Regents on personnel issues and is responsible for keeping them informed. Contracts are typically reviewed by the Athletics Director after four years. At that

juncture the Athletics Director establishes a plan for retaining coaches and staff at Tech who meet the department's vision of success or, alternatively, implements necessary action for coaches and staff who are not meeting the department's standards. Coaches make recommendations to the Athletics Director for hiring and firing of support staff and other department personnel. The person with the authority to make these decisions is the Athletics Director, and not the coaches.

Policies

Over the last few years the Athletics Department has made a substantial effort to upgrade and revise a policy and procedures manual that clearly defines issues such as investigations of major infractions, recruiting, and travel. The Athletics Director is responsible for establishing the appropriate committees or teams to address each area for the written operating procedures manual. Because the policy and procedure manual addresses issues as diverse as NCAA regulations, compliance, academics, travel, recruiting, drugs, alcohol, gambling and sex (female pregnancy issues, adult entertainment in recruiting) the committees that develop components are comprised of members as diverse as the University Provost's office, Big 12 staff, Athletic Council, Faculty Athletics Representative, Financial Aid, Admissions, and the Registrar's office. The manual is reviewed by the appropriate campus groups such as the Athletic Council, Provost Office, and/or the Faculty Athletics Representative. The procedure for adoption of specific operating policy or procedures includes a cover document that must be signed by the Athletics Director, the Faculty Athletics Representative, and the Provost. Thereafter, it is the FAR's responsibility to present the proposed policy and brief the President, who – if he approves – ultimately signs the document as a means of documenting university acceptance

7. Please provide the composition of the athletics board or committee (including titles and positions). The following comprise the Athletics Council for the 2007 school year.

The following members have comprised the Texas Tech Athletic Council for 2004-05, 2005-06, and 2006-07.

2004-05

Members

Nathan Nash, President, Student Government Association

Herschel Mann, Chair, Professor, Area of Accounting, Rawls College of Business

Eduardo Segarra, Professor, Agricultural and Applied Economics

Melynn Hunt, Lubbock Independent School District

Robert Bradley, Professor, Department of Biological Sciences

Dan Law, TT Alumni Association Representative

George Sell, TT Alumni Association Representative

Brian Shannon, Professor, School of Law

Sindee Simon, Professor, Chemical Engineering

Bonita Butner, Higher Education, College of Education

Larry Gill, Dodge Jones Foundation

Ex-Officio Members

Robert Baker, Faculty Representative to the NCAA, Horn Professor, Department of Biological Sciences

Ronald Phillips, Chief of Staff and Associate General Counsel, President's Office

Pat Britz, Senior Associate Director of Intercollegiate Athletics-Compliance

Steve Downing, Associate Director of Intercollegiate Athletics

Judi Henry, Associate Director of Intercollegiate Athletics

Gerald Myers, Director of Intercollegiate Athletics

Other Selected Department of Athletics Officials: Craig Wells, Senior Associate Director of Intercollegiate Athletics – Chief of Staff, Department of Athletics

2005-2006

Members

Ryan Worley, President, Student Government Association

Robert Bradley, Professor, Department of Biological Sciences

Larry Gill, Dodge Jones Foundation

Gene Wilde, Professor, Range, Wildlife, and Fisheries Management

Melynn Hunt, Lubbock Independent School District

Herschel Mann, Chair, Professor, Area of Accounting, Rawls College of Business Administration

Eduardo Segarra, Vice Chair, Department Chair, Agricultural and Applied Economics

Aretha Marbley, Professor, College of Education

The Honorable Sam Medina, Judge, Lubbock County District Court 237th

Brian Shannon, Professor, School of Law

John Scovell, Jr., Representative, Alumni Association

Ex-Officio Members

Gerald Myers, Director of Intercollegiate Athletics

Judi Henry, Associate Director of Intercollegiate Athletics

Ronald Phillips, Chief of Staff and Associate General Counsel, President's Office

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Jennifer Brasher, Associate Director of Intercollegiate Athletics- Compliance

Steve Downing, Associate Director of Intercollegiate Athletics

Other Selected Department of Athletics Officials: Craig Wells, Senior Associate Director of Intercollegiate Athletics – Chief of Staff, Department of Athletics

2006-2007

Members

Melynn Hunt, Lubbock Independent School District

Herschel Mann, Chair, Professor, Area of Accounting, Rawls College of Business Administration

Eduardo Segarra, Vice Chair, Department Chair, Agricultural and Applied Economics

Aretha Marbley, Professor, College of Education

The Honorable Sam Medina, Judge, Lubbock County District Court 237th

Mason Moses, President, Student Government Association

Brian Shannon, Professor, School of Law

John Scovell, Jr., Representative, Alumni Association

Robert Bradley, Professor, Department of Biological Sciences

Larry Gill, Dodge Jones Foundation

Gene Wilde, Professor, Range, Wildlife, and Fisheries Management

Ex-Officio Members

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OP 1.2: Rules Compliance

1. List all “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). In each case, provide: (a) the original “corrective action,” “condition” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The NCAA Division I Committee on Athletics Certification imposed no corrective actions or conditions on Texas Tech University in its first-cycle certification decision relating to Operating Principle 1.2.

The Committee did identify one “strategy for improvement”:

- a. Document and disseminate comprehensive, uniform job descriptions for employees with rules-compliance responsibilities.
- b. Shortly after the first-cycle certification decision, Texas Tech documented and disseminated comprehensive, uniform job descriptions for employees with rules-compliance functions. As described in former President Schmidly's letter dated November 22, 2000, to James Walker, the then-Chair of the NCAA Division I Committee on Athletics Certification, the University developed and submitted comprehensive, uniform job descriptions for the following individuals with rules-compliance responsibilities within the department of athletics and also individuals who are involved from the registrar and financial aid offices: (a) Associate Athletic Director for Compliance, (b) Assistant Compliance Officer, (c) Compliance Records

- Coordinator, (d) Assistant Registrar for Athletics Certification, and (e) Associate Financial Aid Director for NCAA Compliance. This letter and copies of the job descriptions will be made available for inspection by the Peer Review team. By letter dated February 22, 2001, James Walker, on behalf of the NCAA Division I Committee on Athletics Certification, informed former President Schmidly that the information submitted by Texas Tech University relating to this item had been “carefully considered,” and that the actions taken by Texas Tech pertaining to this item satisfied the committee’s requirements.
- c. The job descriptions were developed and submitted to the NCAA prior to November 22, 2000, the date of President Schmidly’s letter to CAC Chairman, James Walker.
 - d. The required action was completed.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Texas Tech developed one plan for improvement during the first-cycle certification process pertaining to Operating Principle 1.2:

- a. Texas Tech proposed that the athletics directors regularly audit their compliance functions.
 - b. To assure the independence of the audits, the department and University opted to have the Texas Tech University Office of Internal Audit conduct annual audits of the department’s compliance functions. This is an independent office outside of and external to the athletics department. Rather than auditing the entirety of the compliance functions all at one time every four years, the Office of Internal Audit began a four-year cycle of annual audits to consider and review selected portions of the compliance program each year. By the end of the four-year cycle, all areas of the entire compliance program are reviewed. These audits are discussed more fully below in conjunction with Self-Study Items 10, 11, and 12 pertaining to this Operating Principle.
 - c. The annual cycle of audits began in 2004. The first four-year cycle of the entire compliance program was completed in 2007. The cycle of audits begins anew in 2008.
 - d. The auditing plan has been implemented and continues to be executed.
3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Texas Tech developed and implemented one additional plan for improvement relating to Rules Compliance since the first cycle certificate decision was rendered. The University developed a new policy and procedures for investigating and reviewing complaints regarding potential NCAA and Big 12 rules violations. That policy was finalized and approved by President Whitmore in November 2007. A copy of the new policy will be available to the peer review team. Because this new policy relates not only to Rules Compliance, but also to Institutional Control, Presidential Authority, and Shared Responsibilities, it was identified and described above in conjunction with Self-Study item number 3 pertaining to Operating Principle 1.1.

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

There are three different organizations that Texas Tech University has identified as athletics booster groups. They are the Red Raider Club (supervised and directed by Steve Uryasz, Senior Associate Athletic Director), Marsha Sharp Leadership Circle (supervised and directed by Judi Henry, Senior Associate Athletic Director & Senior Woman Administrator, and Marsha Sharp, Associate Athletic Director), and the Hecklers (support group for baseball and softball). The Red Raider Club and Marsha Sharp Leadership Circle are entities within the Athletics Department, and the staff members responsible for the funds report directly to the Athletics Director. Because the above-mentioned organizations function within athletics, staff members attend meetings in which compliance education is presented and reviewed. In addition, money is donated directly to the athletics department where it enters the system as a particular line item in the budget and is under normal bookkeeping and audit functions that are approved by the athletics department and university. The Heckler's organization is outside of the athletics department but is coordinated primarily by two institutional staff members (Chris Sneed and Mike Gustafson of the Texas Tech University Alumni Association). Each group is discussed below.

Red Raider Club

The Red Raider Club is the primary fundraising arm for Texas Tech athletics. It is a unit with indirect reporting lines to the overall fundraising division of Texas Tech University. The department is housed in athletics and its employees are members of the athletics department staff. All policies, accounts, and finances follow the rules of the athletics department and the university. The hiring and firing of employees of the Red Raider Club follows the procedures of other departments and are under the supervision of the Athletics Director. In a departmental flow diagram the number one person is the Athletics Director followed by the Chief of Staff, Deputy Athletics Director/CFO and Senior Associate Athletic Director/Red Raider Club. Dispersal of funds from the Red Raider Club requires the signature of the Deputy Athletics Director/CFO. Various levels of membership exist depending on the level of giving. The university has supplied NCAA educational information to members of the Red Raider Club. As described above as part of the response to Self-Study question 2 to Operating Principle 1.1, following the first-cycle certification review, and consistent with a plan for improvement, the athletics department revised the Red Raider Club's bylaws in 2001. These bylaws will be available to the visiting peer review team.

Marsha Sharp Leadership Circle

This organization exists within the framework of the athletics department and raises money for women's athletics. Judi Henry, Senior Associate Athletic Director & Senior Woman Administrator, and Marsha Sharp, Associate Athletic Director, coordinate and organize this effort. They solicit funds on an annual basis. Individual donors who respond to this initiative become members of the Marsha Sharp Leadership Circle. Funds are deposited with the athletics department. All dispersals of funds from this organization go through normal athletics business office operations. This organization annually distributes funds to the seven women's sports and also reviews special requests for women's sport budget supplements. The university has supplied NCAA educational information to members of the Marsha Sharp Leadership Circle.

The Hecklers

This group's primary function is to serve as a support group for baseball. Their members sit together at baseball games and baseball-related events. In addition, they conduct an annual fundraiser that generates approximately \$8500, which they donate to the men's baseball and

women's softball programs. The annual donation is made to the athletics department and is accounted for through the athletics department's fiscal procedures. The group has a bank account in which they pay for expenses related to the fundraiser and write the donation check to the athletics department. On an annual basis this group also sponsors a local community little league or sports team. Chris Snead, an institutional staff member in the Texas Tech University Alumni Association is responsible for the funds. This group, through Chris Snead, is educated as to NCAA rules and routinely asks questions of the compliance office as needed. Beginning in 2008, this organization will be added to the compliance office's annual education plan.

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

Institutional Organization

The ultimate responsibility for Texas Tech's compliance with NCAA rules resides with the President of Texas Tech, Dr. Jon Whitmore. The two key individuals who report directly to the president that are charged with ensuring that Texas Tech complies with NCAA rules are the Athletics Director, Gerald Myers, and the Faculty Athletics Representative, Dr. Robert Baker. The president also receives written annual reports, including recommendations, from the Athletic Council regarding Texas Tech's compliance with NCAA rules.

Reporting Lines and Responsibilities

The athletics compliance officers and the Office of the President maintain records of the reporting lines and responsibilities below, which were adopted in Fall 2000.

Faculty Athletics Representative (FAR):

The FAR reports directly to the president, and the FAR's responsibilities include

- a. Advises the president as needed on NCAA rules issues.
- b. Is involved in all policy issues involving NCAA rules.
- c. Approves and signs all Conference and NCAA reports, waivers, and forms.
- d. Works closely with the Associate Athletic Director for Compliance and Associate Athletic Director for Academic Services regarding issues of compliance and academics.
- e. Informs the president of any suspected issues that could result in major rules violations and investigates at the direction of the president.

The specific duties and responsibilities of the FAR at Texas Tech are as follows:

1. The FAR must be knowledgeable of the rules and regulations of the NCAA and Big 12 Conference, especially those contained in NCAA Bylaws 14, 13 and 15 (in that order of priority).
2. The FAR will be signatory to the NCAA and Big 12 Conference forms ensuring that the processes used to verify that student-athletes meet all NCAA, Big 12 Conference and institutional requirements for eligibility, practice, financial aid and competition are effective.

3. As required by the NCAA and Big 12 Conference, the FAR must sign all requests for waivers and appeals of NCAA and Big 12 Conference legislation, rules or processes.
4. The FAR will receive, review and comment on reports from the Associate Athletic Director for Academic Services regarding the academic performance of student-athletes. Such reports should be reviewed to ensure that decisions related to admissions, academic advising, evaluations of academic performance and the extent of the academic support services are made in ways that are consistent with the primary academic mission of Texas Tech. The FAR shall report such information to the Athletic Council, the Faculty Senate, and the President.
5. The FAR will work in concert with the Associate Athletic Director for Compliance to ensure that a comprehensive and effective rules education and compliance program is in place in the Department of Intercollegiate Athletics. Additionally, the FAR will ensure that such programs are available to entities outside the athletics department. Such entities include, but are not limited to, the (a) Office of Financial Aid, (b) Admissions and Registrar's Offices, and (c) Offices of the Academic Deans.
6. The FAR will either prepare or receive copies of all correspondence concerned with self-reported violations of NCAA or Big 12 Conference bylaws, rules and regulations.
7. The FAR will be informed of any allegations of major violations of NCAA or Big 12 Conference rules or regulations or of any inquiries into alleged or suspected rules violations. Subsequently, the FAR will be actively involved with any investigation and the preparation of an infractions report submitted to the NCAA or Big 12 Conference.
8. The FAR will attend the regularly scheduled meetings with the President and the Athletics Compliance Group.
9. The FAR will receive the results of any audits of the athletics department.
10. The FAR will play a major role in any NCAA athletics certification program reviews.
11. The FAR, along with the athletics administration, will ensure that appropriate standards of student-athlete conduct are established (for both on-campus and off-campus and on-field and off-field behavior), clearly communicated and consistently enforced.
12. The FAR will be involved in discussions and review of proposed NCAA legislation along with the president, chair of the athletic council, athletics director, senior woman administrator and compliance director regarding the institution's voting position.
13. The FAR will represent the institution at NCAA and Big 12 Conference meetings and conventions.
14. The FAR will be an ex-officio, non-voting member of the university's athletic council.
15. The FAR will serve in an oversight capacity for the personal welfare of student-athletes. Such oversight shall include playing an active role with the institution's student-athlete advisory board and either participating in orientation sessions and in the mandated student-athlete exit interviews or reviewing the results of the exit interviews.
16. The FAR will report annually to the Faculty Senate on the academic performance of student-athletes and other athletically related matters of Senate interest and import.
17. The FAR will accept any additional responsibilities or perform any other duties that are assigned by the president of the university.

Director of Intercollegiate Athletics (AD):

The AD reports directly to the president and

1. Is responsible for the intercollegiate athletics program.
2. Has oversight responsibility for all compliance daily operations.

Compliance Coordinator:

The compliance coordinator (the Associate Athletic Director for Compliance) reports directly to the AD, reports on a “dotted line” basis to the president, and also has monthly meetings with the president. The compliance coordinator’s responsibilities include

1. Coordinating the overall compliance program
2. Ensuring that the Department of Intercollegiate Athletics complies with all NCAA, Big 12 Conference and Texas Tech rules, regulations, and policies as related to the Department of Intercollegiate Athletics
3. Coordinating compliance efforts for the institution, education of pertinent personnel, and oversight for monitoring of compliance systems
4. Overseeing day-to-day operations including education of coaches, student-athletes, and outside entities concerning standards of rules for compliance and monitoring activities that occur within the compliance framework.

Further, the compliance program consists of three distinct but interrelated components: education, monitoring, and enforcement. The compliance coordinator regulates all three components.

Education

The education division within compliance has the goal of educating the Board of Regents, Athletic Council, university employees whose job functions are impacted by NCAA rules, athletics department staff, coaches, student-athletes, boosters, and student-athlete employers.

Monitoring

The monitoring division was set up to demonstrate compliance with NCAA rules and to deter and detect violations. All monitoring systems require cooperation by university and athletics staff, coaches, and student-athletes. Monitoring systems include a documented institutional policy and procedure with intent and objective statements, and name the forms required to document compliance with the related NCAA bylaws.

Enforcement

Texas Tech is obligated to ensure compliance with institutional policy, Big 12 Conference and NCAA rules and regulations, and must report instances in which compliance is not achieved. Institutional employees and student-athletes are required to follow institutional policy to ensure compliance with Big 12 Conference and NCAA rules. It is Texas Tech’s position that a violation of institutional policy can be just as damaging as a violation of NCAA or Big 12 Conference rules with the only difference being that they need not be reported to the Big 12 or NCAA. Rules violations are reported as secondary (level one and level two) or major by the Athletics Director and/or Faculty Athletics Representative.

Coaches:

The coaches report directly to the AD.

The President, Athletics Director and Faculty Athletics Representative address the coaches annually regarding their responsibilities related to NCAA rules and regulations including

institutional control, education regarding NCAA, Big 12, and institutional policies and their responsibilities related to monitoring systems.

In addition, coaches' contracts include a statement related to their responsibility to follow institutional, Big 12, and NCAA rules and regulations. Sport Supervisors follow up as needed regarding meeting attendance and required submission of compliance-related paperwork as needed for monitoring.

Other key individuals:

Assistant Registrar/Athletics Certification Officer:

The assistant registrar/athletics certification officer reports outside of athletics to the University Registrar, and organizes and conducts the daily operational functions of athletics certification and eligibility for the university for all intercollegiate athletes including (a) determining initial eligibility for freshmen in compliance with existing NCAA and Big 12 regulations and guidelines, and (b) certifying continuing eligibility for all intercollegiate athletes for participation by taking into account progress toward degree requirements as defined by NCAA, Big 12, and University rules.

Assistant Director, Office of Student Financial Aid:

This position reports outside of athletics to the Director of Student Financial Aid. The Assistant Director

1. Performs various and complex administrative duties in the management and coordination of financial aid and NCAA compliance while applying established policies and procedures with respect to NCAA compliance and financial aid.
2. Certifies student athlete financial aid.

Office of Audit Services:

The Office of Audit Services reports directly to the Board of Regents through the chair of the Board's audit committee, and annually audits portions of the institution's compliance program for compliance with NCAA Bylaw 22.2.1.2.

Academic colleges:

As directed by the President's Office in 1998, representatives from each college complete Student-Athlete Progress Toward Degree forms each academic term. The University Registrar chairs a meeting during the fall and spring terms in which the forms are distributed and deadlines are set for completion. In addition, education regarding the processes and the importance of NCAA rules is provided by members of the compliance team (Compliance, Academics, and Athletics Certification Officer).

6. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department. Specifically, the institution must provide evidence that all individuals inside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions. All coaches and staff within the athletics department receive NCAA compliance training and education on a constant and ongoing basis. The Athletics Director, all head coaches, and select assistant coaches have contracts with the university. Each of those contracts has contractual language requiring compliance with NCAA rules. The standard contractual language is as follows:

Coach shall not, either directly or indirectly, breach or countenance the breach of any player or coach subject to her control or supervision of any of the rules and standards of the Big 12 Conference, the National Collegiate Athletic Association (NCAA), youth, collegiate, and master's amateur athletics as well as other associations or agencies to which the Texas Tech University adheres.

In addition, each contract lists violations of Big 12 and NCAA rules as cause for termination. The standard language in this regard is as follows:

The University specifically reserves the right to terminate this Employment Contract without further obligations at any time for cause, such as but not limited to the following: failure or refusal to perform assigned duties; actions detrimental to the University, such as a violation or violations of the governing policies, rules, regulations and procedures of the University, any athletic conference of which the University is a member, or NCAA.

The two clauses set forth above vary somewhat in a few of the contracts; however, the effect is the same. Together, both contractual clauses indicate that for every individual under contract within the athletics department, rules compliance is an essential element of the position, and failure to adhere to the rules can result in dismissal for cause (OP 70.31).

As to those coaches not under contract, the Position Description Questionnaire (PDQ) for each coaching position (including those under contract) includes, as an essential element of the position, a statement requiring adherence to and compliance with NCAA and Big 12 rules. By the end of calendar year 2007, all PDQs within the athletics department were reviewed and updated as needed to include such a statement regarding rules compliance for all athletics personnel. In turn, the standard university evaluation form related to these PDQs requires that the coach or staff member be evaluated specifically on each requirement listed within the PDQ, including NCAA and Big 12 rules compliance. Copies of sample PDQs for various levels of positions within the athletics department will be made available to the Peer Review team.

The Self-Study Committee determined that there have been regular evaluations of athletics department personnel, but not all employees have been evaluated on a consistent basis. Although the standard evaluation form requires that the employee be evaluated on each of the essential elements listed in the PDQ, including rules compliance, it appeared that this form or approach was not always used, particularly in regards to coaches' evaluations. On the other hand, the Self-Study Committee found that the Athletics Director has met with each head coach annually to evaluate the prior year, and that an assessment of commitment to rules compliance is included in that review. In addition, the sports supervisors provide regular feedback and assessment to coaches about rules compliance matters. The Self-Study Committee determined, nonetheless, that this was an area requiring improvement, and the athletics department committed to administering the standard evaluation form, to include rules compliance, for evaluations of all athletics department staff beginning in January 2008.

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

All employees of the Texas Tech University System are required to adhere to NCAA regulations. The Texas Tech Regents Rules state, in relevant part:

11.01.1 Compliance. The intercollegiate athletic programs of TTU shall be conducted in strict compliance with all rules, regulations and bylaws of the National Collegiate Athletic

Association ("NCAA"), the Big XII Conference, and the laws and constitution of the state of Texas.

Compliance training and education extends beyond the athletics department to other departments and offices including

- The Office of Recruitment and Admissions and the Office of the Registrar;
- The Office of Student Financial Aid;
- University Student Housing;
- All academic colleges;
- The Faculty Athletics Representative;
- The Office of the Provost;
- The Office of Audit Services; and
- The Office of the President.

This training is provided by the athletics department's compliance office, as well as through external compliance seminars.

The three individuals outside of the athletics department who work primarily with athletes are housed in the registrar's office and in the financial aid office. These positions include (1) the Assistant Registrar for Athletic Certification and Eligibility, (2) her assistant, a Unit Coordinator within the Office of the Registrar, and (3) the Assistant Director for Student Financial Aid/NCAA Compliance. The Position Description Questionnaires (PDQs) for these three positions specifically reference compliance with NCAA regulations as an essential function of the jobs. Correspondingly, these individuals are evaluated on that basis, as well as the other essential functions listed in their PDQs.

8. Please indicate by clicking "yes" or "no" by the areas below, whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance.
- Initial-eligibility
 - Continuing-eligibility certification
 - Transfer-eligibility certification
 - Financial aid administration
 - Recruiting
 - Camps and clinics
 - Investigations and self-reporting of rules violations
 - Rules education
 - Extra benefits
 - Playing and practice seasons
 - Student-athlete employment

[We have clicked "yes" for all of the above in the ACS database, which only accommodates yes/no answers to this question. Texas Tech University has written policies with step-by-step procedures related to the above listed areas. The Compliance Manual includes information regarding the written policies and procedures for each area. The Table of Contents for the Compliance Manual lists the policies and procedures for each area. A copy of the full Compliance Manual will be available for the Peer Review

team. Additional documentation includes university job descriptions, the compliance office's monthly task calendar, and the compliance office's responsibilities chart for coaches.]

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

Athletics Department Staff Members and Coaches

All athletics department staff members and coaches are required to attend a beginning of the year orientation meeting every year. The orientation is generally held toward the end of August and includes presentations by the President, Athletics Director, Faculty Athletics Representative, and Compliance staff. It is at this meeting that the Certification of Compliance form is signed by all staff members.

All coaching staff members are required to attend monthly compliance meetings to discuss NCAA rules, institutional monitoring systems, and related forms/paperwork.

Head Coaches may attend head coaches meetings as necessary with the Athletics Director, Senior Woman Administrator, and Associate AD/Compliance.

Coaching staff members may have individual summer sport meetings with the compliance staff at any time, as relevant topics arise and/or around their recruiting calendar.

All new coaching staff members are required to meet with a compliance staff member prior to recruiting to review all pertinent institutional policies and procedures as well as to review the past infractions case.

Departments within athletics will meet with compliance periodically and as needed (i.e., staff turnover, new policies created, etc.).

Athletics department personnel, as well as athletics representatives from the Financial Aid and Registrar's offices, are invited to attend the monthly coach compliance meetings and present materials when needed.

Student-Athletes

All student-athletes are required to attend a fall and spring student-athlete compliance meeting.

All student-athletes are required to complete paperwork for practice clearance prior to the first day of practice in their sport each fall. NCAA, Big 12 Conference, and institutional paperwork are completed for the Compliance Office, Academic Office, and Athletic Training Room.

Selected student-athletes with professional athlete potential in the sports of football and men's basketball are required to attend an agent educational meeting prior to agent interview week in April. Agent/advisor education is also presented to the baseball student-athletes.

Quarterly newsletters are disseminated to student-athletes via email and are also available to sports and departments.

Parents of student-athletes are sent an NCAA educational awareness flyer annually.

Compliance Office personnel attend Student Athlete Advisory Committee (SAAC) meetings as needed or requested.

Representatives of Athletic Interests (Boosters)

Compliance education is included in mailings to all Red Raider Club members and season ticket holders annually.

Letters are sent annually to merchants in the city of Lubbock regarding the NCAA Extra Benefit Rule.

A monthly question and answer column is published in the Red Raider Sports Magazine.

The compliance website includes information for boosters.

The Chancellor, President, and Athletics Director include information in their ticket envelopes explaining who is permitted to be in the suites at athletic events.

A NCAA booster awareness rules announcement is made at athletic events.

Other University Personnel (Financial Aid, Registrar, Bursar, Admissions, etc.)

Athletic Compliance meetings are held monthly in the President's Office to review issues related to NCAA Compliance. Attendees include: the President's Chief of Staff, Provost, Faculty Athletics Representative, Athletics Director, Associate Provost, Athletics Department Chief of Staff, Senior Woman Administrator, Associate Athletic Director/Compliance; Associate Athletic Director/Academics, Assistant Registrar/Athletic Certification Officer; Assistant Director/Student Financial Aid; Athletic Council Chair.

Compliance team meetings are held twice per month and include the Athletic Certification Officer, Certification Coordinator, and Assistant Financial Aid Director.

Individuals outside athletics with daily compliance responsibilities attend the NCAA Regional Rules Seminar and Big 12 Workshop annually.

NCAA Rules education meetings are held as needed by the compliance office with Admissions, Student Business Services, and Residence Life.

Representatives from all academic colleges attend in-person meetings each term regarding the distribution of the Progress Toward Degree Forms. The University Registrar chairs the meeting. The academic and compliance staffs present information on how to complete the forms and updates to NCAA rules.

NCAA rules education hand-outs are distributed to the Board of Regents annually (beginning in 2007-08)

NCAA rules education hand-outs are distributed electronically through the university's Tech announce system annually (beginning in 2007-08)

The Faculty Athletics Representative presents a compliance rules and academic update to the Faculty Senate annually.

Compliance Brief (newsletter) Distribution

The newsletter is distributed monthly to coaches, sport-specific personnel, strength and conditioning staff, trainers, administrative staff, Athletic Council, FAR, President, Chancellor, and the President's Chief of Staff.

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

Rules-Compliance Evaluators

The Texas Tech University System Office of Audit Services (OAS) is responsible for conducting Texas Tech's rules compliance evaluations. In order to assist Texas Tech University in meeting

the NCAA requirement that its rules compliance program be the subject of evaluation by an authority outside of the athletics department at least every four years, OAS audits selected aspects of NCAA compliance on an annual basis, with the intent to cover the entire athletic compliance function every four years.

To perform the evaluations, OAS uses the *Guide to Audits of NCAA Division I Athletics Compliance* provided by the Association of College & University Auditors (ACUA). ACUA provides the Guide to its members under an agreement with Chuck Smrt of The Compliance Group, who authored the Guide and who provides annual updates to reflect legislative changes. In addition, OAS obtains the *NCAA Division I Manual* each year in order to ensure a clear understanding of the applicable rules during performance of the audit. Finally, the OAS auditor leading the last several NCAA compliance audits attended the Big 12 Summer Rules Conference in 2006, and other auditors have received NCAA compliance training in prior years through ACUA and NCAA.

In addition, the Big 12 Conference performs an audit of rules compliance of each of the Big 12 institutions. The last Big 12 audit was in 2002, and another is scheduled for 2008.

Process for Selecting Independent Evaluators

In *The Rules and Regulations of the Board of Regents of the Texas Tech University System*, Section 07.02, Audits, states in part, “To ensure independence and objectivity, OAS reports to the Board [of Regents] through the Audit Committee. Additionally, the staff of OAS has no direct responsibility or authority for activities or operations that may be audited or reviewed.” Thus, OAS is organizationally independent from the athletics department, and OAS staff members are institutional auditors who have no responsibility for day-to-day compliance in athletics.

The Texas Tech University President’s Office selected the OAS to perform the rules compliance review. This selection was based on OAS’s independence, understanding of the University, training in NCAA compliance and related auditing topics, and longstanding experience with auditing various aspects of athletics, including NCAA rules compliance.

Most Recent Rules-Compliance Evaluations

The audits comprising the latest evaluation of the NCAA rules compliance program are as follows:

| <i>Date</i> | <i>Scope</i> |
|----------------|--|
| Sept. 15, 2004 | Recruiting; athletic equipment and apparel; representatives of athletic interests |
| Apr. 26, 2005 | Camps |
| Oct. 6, 2005 | Student financial aid; coaching staff limits and contracts; playing and practice seasons; general compliance |
| Apr. 28, 2006 | Eligibility; complimentary games admissions; student-athlete extra benefits related to vehicles; certification of institutional compliance |
| Jun. 7, 2007 | Team travel; student-athlete employment |

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

Initial-eligibility certification.

Continuing-eligibility certification.

Transfer-eligibility certification.

Financial aid administration, including individual and team limits.

Recruiting (e.g., official visit, etc.).

Camps and clinics.

Investigations and self-reporting of rules violations.

Rules education.

Extra benefits.

Playing and practice seasons.

Student-athlete employment.

[We have clicked “yes” for all of the above items.]

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

As described above, the Athletics Department has requested an annual compliance audit from the university’s internal audit office covering various aspects of the compliance program each year. In each year, the Athletics Department concurred with the recommendations, and developed responses to implement corrective actions. The audit recommendations and departmental responses for the past four years follow (and full copies of the audit reports will be available for the Peer Review team):

2004

1. Recommendation: The athletics department should ensure that all equipment managers continually update inventory records for athletic equipment and apparel. An annual physical inventory should be completed to ensure all athletic equipment and apparel is accounted for.

Response: The individual (e.g. head or assistant coach, equipment manager) responsible for distributing equipment in his or her particular sport(s) will be required to continually update inventory records and complete an annual physical inventory count to ensure all athletic equipment and apparel is accounted for.

2. Recommendation: Written policies and procedures covering athletic equipment and apparel should be developed by all equipment managers.

Response: The sport supervisor (Sr. Associate Directors of Athletics) for each particular sport will ensure such inventories are completed on an annual basis. . . . The Director of Athletics will also address this issue in a meeting with all head coaches.

2005

1. Recommendation: The Director of Athletics should remind all individuals of the University’s obligation to ensure institutional compliance with NCAA Bylaws related to camps. The Director of Athletics should further remind head coaches of their obligation to provide camp information to the Compliance Office upon request. Finally, new payment guidelines should be incorporated by all coaches for their individual camps to ensure timely payment of camp fees. The Director of Athletics should establish procedures to ensure that coaches report vacation leave during time spent preparing for and conducting private camps.

Response: The compliance office will recommend that all sports camps adopt new payment guidelines for the 2006 sports camps. Due to the timing of the summary, it may not be realistic to incorporate the suggested guidelines for the 2005 camps inasmuch as most 2005 sports camp brochures have been printed. However, most sports camps currently have similar payment guidelines. In addition, cash controls should be implemented by all sports with a plan of action for checks and balances related to camper payments and deposits. Further, compliance policy will require that any camp attendee of ninth grade or above who does not pay in full and fails to make restitution should be reported to the compliance office for self-reporting of the violation. The athletics compliance office has initiated a camp issues meeting with the athletics department including the Director of Athletics, Chief of Staff, Chief Financial Officer, and Athletics Sports Supervisors. This meeting will include policy review (including reporting of vacation time), establishment of a camp directors meeting, procedures for compliance with NCAA rules, and cash control assurances.

2. Recommendation: The Director of Athletics and the Compliance Officer should educate Athletics personnel that the NCAA requirement to report all outside income applies to all sources of income, even when that income is excluded by contract from guaranteed outside income calculations. The compliance staff should review the information received from coaches for inclusion of all known income sources and report to the Director of Athletics any possible income that may not have been reported.

Response: The compliance office will continue to solicit outside income information from all staff members and coaches and prepare a report of the Director of Athletics and the President. In addition, the compliance office will report to the Director of Athletics, in writing, any perceived athletically related outside income not reported. It is important to note the compliance office is now aware that all coaches are required to report camp income as outside income as per their contracts.

2006

1. Recommendation: Efficiencies could be recognized by working with Traffic and Parking to enhance the current process to ensure student-athletes are not receiving extra benefits related to vehicles. Traffic and Parking could use queries in their updated traffic and parking system to provide more frequent and timely information to the Athletics Compliance Officer.

Response: The Compliance Office will continue to work with Traffic and Parking and will seek to incorporate the most efficient monitoring process into our process. At least once per semester, a comparison between records will be reviewed and student-athletes will be requested to update their vehicle record.

2. Athletics should strengthen the compliance program by ensuring that job descriptions for Athletic Ticket Office employees as well as other Athletics employees include information regarding compliance with NCAA legislation

Response: The athletic ticket office will be required to review and update their current job descriptions to include the primary responsibility for visiting recruits and student-athlete complementary admissions. The compliance office will review and approve the revised job descriptions. In addition, management will review a plan of action for reviewing and updating of athletic department employee job descriptions to include language requiring compliance with NCAA legislation

2007

Recommendation: Spot checks of the coaches' phone logs would strengthen the monitoring program. We encourage the Compliance Officer to utilize the Excel version of the Communication Services telephone bills to efficiently accomplish that objective. In addition, if the Compliance office intends to transition to a more automated process, it will be necessary to begin building a database of prospective student-athlete telephone numbers.

Response: The Compliance Office will enhance the monitoring of coaches' telephone calls to prospective student-athletes in two ways. First, coaches will be required to sign a statement of certification regarding the logs that are maintained. Second, a random spot check will be done monthly and will include a crosscheck of the coaches' telephone logs with the Excel version of the Communication Services telephone bills.

Yes/No Evaluation and Plan for Improvement

Given the responses to the Governance and Commitment to Rules Compliance self-study items, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, which should include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of plans.]

The subcommittee believes the university to be in substantial conformity with operating principles 1.1 (Institutional Control, Presidential Authority, and Shared Responsibilities) and 1.2 (Rules Compliance).

Academic Integrity

This is the working draft for the Academic Integrity section of our report.

OP 2.1: Academic Standards

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

The CAC imposed no corrective actions or conditions for certification during our first cycle with regard to academic standards. The Committee did, however, impose three strategies for improvement:

Graduation Rate Analysis

- a. Explain declining student-athlete graduation rates, analyze rates demographically, and outline specific plans for improving those rates.
- b. The university analyzed student-athlete graduation rates, and developed plans to address the then-declining rates. These plans included additional funding, additional programs, and additional personnel. These actions were effective, and our graduation rates have improved significantly since then.
- c. This strategy was submitted to the NCAA on November 22, 2000, in a letter from former President David Schmidly. The actions described in that submission occurred between 1996 and 2000.
- d. The action was completed.

Entering Student Profile Analysis

- a. Explain the relationships between entering student-athletes’ academic profiles and their graduation rates, analyze that information demographically, and outline specific plans for improvement.
- b. The university analyzed, explained, and addressed the academic profiles of entering student-athletes and their relationship to student-athlete graduation rates. We developed and implemented plans to address these issues with additional funding, programs, and personnel. These actions were effective, and our graduation rates have improved significantly.
- c. We actioned these plans between 1997 and 2000, and reported them in our November 22, 2000 letter to the NCAA.
- d. The action was completed.

Systematizing Eligibility Certification

- a. Develop a checks-and-balances system for certifying student-athlete eligibility that would help the university’s registrar confirm the accuracy and reliability of student-athletes’ eligibility documentation.
- b. The university established a system of checks and balances for certification of student-athlete eligibility. The system we use now is described below in our response to self-study item 2.1(8).

- c. The actions described in the submission occurred between 1998 and 2000, and we submitted this strategy to the NCAA on November 22, 2000.
 - d. The action was completed.
2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

One of our three first-cycle plans for improvement related to Operating Principle 2.1:

- a. Review graduation goals and data for all students between 1999 and 2003.
 - b. The Department of Intercollegiate Athletics (Athletics Department) reviewed graduation goals and data as part of its restructuring of Academic Services. Regular, systematic, and thorough reviewing of graduation goals and data (and all Academic Integrity issues) became a part of the annual charge of the Athletic Council, and the Athletic Council reports its findings annually to the university president.
 - c. We began reviewing goals and data in 1999, and the current review systems were in place by 2000. The Athletic Council and university president also review graduation information annually, so this action continues to take place at the end of each academic year.
 - d. This recommendation was completed.
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.1 (Academic Standards) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Since 1999, through the Athletic Council's Committee on Academic Integrity, the university recommended ten plans to improve academic standards. Each of these recommendations is archived in one of the Athletic Council's annual reports and the recommendations of its Committee on Academic Integrity.

Review Academic Performance Policies

- a. The Athletic Council recommended that clear and internally consistent academic performance policies be in place regarding student-athletes' class attendance, participation, and missed classes. The Council also recommended that the university president initiate this policy review.
 - b. The president discussed this recommendation with the Director of Intercollegiate Athletics (athletic director) and confirmed that clear, written policies were already in place. In addition, the athletic director discusses this matter with coaches every year, coaches discuss academic performance standards with student-athletes, and coaches are accountable for the academic performance of student-athletes.
 - c. This policy review occurred during 2003 and 2004.
 - d. The recommendation was completed.

Review Academic Standards for Recruited Athletes

- a. In 2003 and 2004, the Athletic Council's Committee on Academic Integrity recommended that head coaches make every effort to recruit student-athletes who will be successful academics as well as outstanding athletes.

- b. The president discussed and followed-up this recommendation with the athletic director. Athletic Academic Services provides academic evaluations of all prospective student-athletes to coaches. The athletic director monitors academic standards issues with coaches every year, and coaches are accountable for how student-athletes on their teams perform academically.
- c. This review occurred in 2003 and 2004.
- d. The recommendation was fully implemented.

Review Admissions Processes for Student-Athletes

- a. The Athletic Council's Committee on Academic Integrity recommended that Academic Services should work with the Admissions Office to develop a tracking system for those student-athletes admitted under special criteria.
- b. Because student-athletes are not admitted under special criteria, no action was taken beyond clarifying the admissions process to members of the Athletic Council's Committee on Academic Integrity.
- c. The recommendation was made and actioned in 2005.

Review Operating Policies and Procedures for Team Travel and Missed Classes

- a. The Committee on Academic Integrity recommended that the university review its Operating Policies and Procedures (OPs) on team travel and missed classes, and also review the impact of team travel on student-athletes' class attendance.
- b. The OP on team travel and missed classes was reviewed by the Office of the Provost, and the issue of missed classes is now reviewed every year by the Academic Council and the president. The Committee on Academic Integrity had been concerned about reports that some faculty had required more difficult or extensive assignments of athletes who had missed classes due to excused travel.
- c. The review of student-athlete travel and attendance policies began in 2005 and continues every year.
- d. The recommendation was completed.

Develop Academic Recovery Plans

- a. The Athletic Council's Committee on Academic Integrity recommended that the Athletic Academic Services Office develop an academic recovery plan and an academic recovery team to assist sports programs deficient in the two-year threshold of 925.
- b. In 2006, these programs included baseball, men's and women's track, men's and women's tennis, and volleyball. The university acted on this recommendation by establishing an academic recovery team, a committee whose members included

Steve Downing, Senior Associate Athletics Director

Dr. Judi Henry, Senior Associate Athletics Director

Dr. Herschel Mann, Professor of Business and Chair of Athletic Council

Dr. Aretha Marbley, Associate Professor of Education and Member of Athletic Council

Dr. Gene Wilde, Professor of Biology and Member Athletic Council

Djuana Young, Director of Admissions (in 2006); Assistant Provost (since 2007)

John Anderson, Associate Athletics Director, Academic Services

This committee developed recovery plans for the deficient teams using the following process:

1. The committee analyzed Academic Progress Rate (APR) data and discovered issues for the teams that were below the NCAA's 925 APR threshold.
 2. The sport supervisor and director of Student Services presented issues to the respective coaches.
 3. Coaches addressed issues and submitted an APR Improvement Plan to the Committee in the NCAA-approved format.
 4. The committee reviewed the improvement plan and presented it to the athletic director and university president for approval. Two of the following administrators had to agree with and authorize the plan before it could be implemented: head coach for the named teams, faculty athletic representative, athletic director, and director of Academic Support.
- c. The Committee on Academic Integrity made its recommendation in 2006, and the university began implementing it that year.
 - d. All teams are now over the 925 threshold except for baseball, which has an APR plan on record and is steadily improving.

Review Student-Athlete Academic Recruitment Standards

- a. In 2007 the Committee on Academic Integrity reiterated its 2005 recommendation that coaches keep recruiting and retaining student-athletes who would be both outstanding athletes and exceptional scholars.
- b. The President discussed this recommendation with the Athletic Director, who provided appropriate follow-up. Athletic Academic Services officers provide coaches with academic evaluations of all prospective student-athletes. The Athletic Director also still discusses academic standards issues with coaches every year, and holds coaches accountable for student-athletes' academic performance.
- c. The Committee on Academic Integrity reissued this recommendation in 2007, and the Athletics Department reviewed procedures for recruiting student-athletes with academic as well as athletic potential that year.
- d. The recommendation was completed.

Include 925 ARP Threshold in Coach Evaluations

- a. The Committee on Academic Integrity recommended that the Athletics Department include whether coaches were meeting the 925 threshold in annual coach evaluations.
- b. The University President and Athletics Director discussed this recommendation, and athletics administrators are reviewing ways to incorporate such an assessment into annual evaluations.
- c. The Committee made this recommendation in 2007.
- d. Action on this recommendation is ongoing.

Develop More Stringent Admissions, Entrance, and Eligibility Standards

- a. Because meeting the NCAA-mandated APR threshold is increasingly important, the Committee on Academic Integrity recommended that the Athletics Department develop and implement more stringent admissions, entrance, and eligibility standards than those currently required of teams that fall below the APR threshold of 925.

- b. The president and athletic director discussed this recommendation and determined that because the APR improvement plans have had a positive effect on TTU athletics programs, current policies met the programs' needs. Consequently, no changes have been made to admissions, entrance, or eligibility standards, though they continue to be monitored.
- c. The Committee on Academic Integrity made this recommendation in 2007.
- d. The athletics administration determined that current policies satisfied the needs that the recommendation addressed.

Develop Policy On Student-Athlete Meeting Attendance

- a. The Athletic Council's Committee on Academic Integrity recommended that the Athletics Department should continue developing policies that addressed student-athletes who failed to attend academic meetings including scheduled classes and tutoring sessions.
- b. The president and athletic director discussed this recommendation and judged that athletic policies are written and clear with regard to student-athletes' academic responsibilities. The Athletic Director discusses this with coaches every year, and coaches are accountable for their athletes.
- c. The Committee made its recommendation in 2007.
- d. The president's and athletic director's evaluation of current policy completed this plan for improvement.

Increase Faculty Participation in Student-Athlete Academic Progress Reporting

- a. Because of concern about low faculty reporting of student athlete academic progress, the Athletic Council's Committee on Academic Integrity recommended that the Athletic Academic Services Office and Athletics Department consider any programs that might increase faculty response rates to progress surveys.
 - b. The president and athletic director discussed this recommendation during Fall 2007 and it is still under review.
4. Describe the process by which student-athletes are admitted to your institution and identify the agencies vested with this responsibility. In what ways (if any) do the process and/or criteria used for the admission of student-athletes differ from the process for admitting students generally? Be specific and, give careful attention to key decision points (e.g., establishment of admissions criteria, approval of special admissions) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the athletics department plays (if any) in the admissions process for student-athletes.

Student-athletes are admitted to Texas Tech University in the same way as are other students. The Office of Admissions is solely responsible for the process, and only admits applicants who have a reasonable expectation of earning a degree. The Office of Admissions reports to the provost, the university's chief academic officer.

Students who meet certain criteria are assured of admission to Texas Tech University. According to the *University Undergraduate Catalog*, admission is assured to students "who graduate from an accredited high school or equivalent (including Department of Defense schools) with required course work" and who either receive competitive scholarships from Texas Tech University or submit one of the following combinations of class rank and ACT or SAT test scores:

| High School Class Rank | Minimum Test Scores Excluding Writing Sections | |
|----------------------------------|--|------------|
| | ACT | SAT |
| Top 10% | No minimum | No minimum |
| First Quarter other than Top 10% | 25 | 1140 |
| Second Quarter | 28 | 1230 |
| Lower Half | 29 | 1270 |

(Source: *Texas Tech University Undergraduate Catalog*)

In Fall 2004, 4,274 students were granted assured admission. In Fall 2005, 4,097 students were granted assured admission. In Fall 2006, 5,691 students were granted assured admission. Approximately two-thirds of the freshmen classes over these three years were students with assured admission. All non-athlete students who were offered an institutional scholarship package were in the assured admissions category, and all student-athletes who were offered athletic aid were in the assured admissions category.

Applicants who do not meet one or more of the thresholds for assured admissions but have a transferable GPA of at least 2.0 on a 4.0 scale automatically have their credentials reviewed by a committee of faculty and staff. The items considered in these holistic reviews include high school course work, honors or advanced placement, extracurricular activities, leadership experiences, civic or other service activities, socioeconomic background, family educational background, bilingual proficiency, affiliation with Texas Tech University, special talents or awards, and diversity of experience (*TTU Undergraduate Catalog*). In Fall 2004, 2,060 students were admitted following review. In Fall 2005, 1,858 students were admitted after review. In Fall 2006, 2,486 students were admitted after review. Approximately one-third of the freshman classes in these three years consisted of students admitted after review. Athletes receiving an offer of aid, like any other student receiving a scholarship package from an official university source, fall into the category of assured admission and so their applications are not individually reviewed. As a result, the number and percentage of athletes admitted after reevaluation is zero.

The descriptions of admissions procedures listed in the *Undergraduate Catalog* apply to athletes and non-athletes alike. Any student who is being admitted with a Texas Tech University scholarship, regardless of department, will communicate with that department. The department's academic counselor will then track the student's progress through the admissions process. The athletic department stays informed about the progress of athletes with scholarship offers in the same way that all other departments are informed about prospective students' admissions progress, but neither the athletic department nor any other scholarship-granting entity is involved in decisions made by the Office of Admissions. The complete admissions process as outlined in the *Undergraduate Catalog* will be available to the visiting peer review team.

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

[Chart 1] (Standardized Test Scores, by Gender)

[Chart 2] (Standardized Test Scores, by Racial or Ethnic Group)

[Chart 3] (GPA and Test Scores, by Sport Group)

[Charts 1 and 2 are ready to be entered in the online ACS database, and the GPA-sport data for Chart 3 is being generated.]

Comparison by Gender: Male Students

In 2004-2005, male entering freshmen in general (N=1,939) had an average test score of 1139, while male entering freshmen student-athletes (N=33) had an average test score of 942. In 2005-2006, male entering freshmen in general (N=1,914) had an average test score of 1141, while male entering freshmen student-athletes (N=50) had an average test score of 926. In 2006-2007, male entering freshmen in general (N=2,018) had an average test score of 1127, while male entering freshmen student-athletes (N=54) had an average test score of 950. As these numbers show, male student-athletes had test scores in the range of 200 points lower than male students in general.

Explanation of Gender: Male Students

Male student-athletes comprise a small percentage (2%) of the total number of male students. Graduation rates [see 2.1(10)] show that these athletes, despite lower average entry test scores, have a successful academic experience overall. According to the Office of Enrollment Management, students' class rank has been found to be a better predictor of their success at TTU than their entering test scores. Student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests for better scores.

Comparison by Gender: Female Students

In 2004-2005, female entering freshmen in general (N=1,894) had an average test score of 1099, while female entering freshmen student-athletes (N=32) had an average test score of 1032. In 2005-2006, female entering freshmen in general (N=1,829) had an average test score of 1110, while female entering freshmen student-athletes (N=28) had an average test score of 1019. In 2006-2007, female entering freshmen in general (N=1,844) had an average test score of 1101, while female entering freshmen student-athletes (N=30) had an average test score of 984. As these numbers show, female student-athletes had test scores in the range of 100 points lower than female students in general.

Explanation of Gender: Female Students:

Female student-athletes comprise a relatively small percentage (fewer than 2%) of the total number of female students. Comparison of student graduation rates [see 2.1(10)] shows that student-athletes, despite lower average entry test scores, have an overall successful academic experience than non-athletes. Class rank has been found to be a better predictor of success in college than test scores. Student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests to try for better scores.

It is not clear why the test scores of male students in general are slightly higher than the test scores of female students in general, or why the scores of male student-athletes are lower than the scores of female student-athletes. An explanation would need to account for the clusters of majors for male and female students in general, and compare them with the clusters of majors for the relatively small cohorts of male and female student-athletes. Further study might also consider whether female student-athletes have a lower expectation of assured admission due to scholarship offers, and therefore have a greater incentive to test well than their male peers.

It is not clear how the gender pattern identified at Texas Tech for the specified years compares to the gender pattern at other universities.

Comparison and Explanation of Race: American Indian/Alaskan Native Students

Because the number of freshmen-athletes identified as American Indian/Alaskan Native is fewer than 2, the group is too small to be compared with American Indian/Alaskan Native freshmen in the general student body.

Comparison and Explanation by Race: Asian/Pacific Islander Students

Because the number of freshmen-athletes identified as Asian/Pacific Islander is fewer than 2, the group is too small to be compared with Asian/Pacific Islander freshmen in the general student body.

Comparison by Race: Black Students

In 2004-2005, Black entering freshmen athletes (N=19) had an average test score of 896, while Black entering freshmen in general (N=127) had an average test score of 1032. In 2005-2006, Black entering freshmen athletes (N=30) had an average test score of 901, while Black entering freshmen in general (N=133) had an average test score of 1030. In 2006-2007, Black entering freshmen athletes (N=32) had an average test score of 865, while Black entering freshmen in general (N=153) had an average test score of 1002. Thus, the scores of Black athletes were 50 to 130 points lower than the scores of Black students in general.

Explanation of Race: Black Students

Class rank has been found to be a better predictor of success in college than test scores. Student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests to try for better scores. Comparison of graduation rates [see 2.1(10)] shows that athletes, despite having lower average entry test scores, have an overall successful academic experience than non-athletes.

Comparison by Race: Hispanic Students

In 2004-2005, Hispanic entering freshmen athletes (N=4) had an average test score of 965, while Hispanic entering freshmen in general (N=390) had an average test score of 1071. In 2005-2006, Hispanic entering freshmen athletes (N=4) had an average test score of 878, while Hispanic entering freshmen in general (N=390) had an average test score of 1069. In 2006-2007, Hispanic entering freshmen athletes (N=5) had an average test score of 976, while Hispanic entering freshmen in general (N=449) had an average test score of 1071. Thus, the scores of Hispanic athletes are 100 to 200 points lower than the scores of Hispanic students in general, but the number of Hispanic athletes constitutes a very small percentage of the total number of Hispanic students.

Explanation of Race: Hispanic Students

Hispanic student-athletes comprise a small percentage of the total number of Hispanic students. Graduation rates [see 2.1(10)] show that athletes, despite having lower average entry test scores, have an overall successful academic experience than non-athletes. Further, class rank has been found to be a better predictor of success in college than test scores, and student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests to try for better scores.

Comparison of Race: White Students

In 2004-2005, White entering freshmen athletes (N=36) had an average test score of 1040, while White entering freshmen in general (N=3,136) had an average test score of 1126. In 2005-2006, White entering freshmen athletes (N=35) had an average test score of 1016, while White entering freshmen in general (N=3,022) had an average test score of 1136. In 2006-2007, White entering freshmen athletes (N=40) had an average test score of 1040, while White entering freshmen in

general (N=3076) had an average test score of 1126. Thus, the scores of White athletes have been approximately 100 points lower than the scores of White students in general.

Explanation of Race: White Students

White student-athletes comprise a small percentage of the total number of White students. Graduation rates [see 2.1(10)] also show that athletes, despite having lower average entry test scores, have an overall successful academic experience than non-athletes. Further, class rank has been found to be a better predictor of success in college than test scores, and student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests to try for better scores.

Comparison of Race: Other Students

In 2004-2005, Other entering freshmen athletes (N=6) had an average test score of 960, while Other entering freshmen in general (N=40) had an average test score of 1145. In 2005-2006, Other entering freshmen athletes (N=9) had an average test score of 979, while Other entering freshmen in general (N=71) had an average test score of 1119. In 2006-2007, Other entering freshmen athletes (N=5) had an average test score of 924, while Other entering freshmen in general (N=39) had an average test score of 1043. Thus, the scores of Other athletes have been approximately 100 to 200 points lower than the scores of Other students in general, but the number of Other student-athletes constitutes a very small percentage of the total number of Other students.

Explanation of Race: Other Students

The category of Other constitutes a very small percentage of the student body ethnic groups at Texas Tech University, and Other student-athletes comprise a small percentage of the total number of Other students. Graduation rates [see 2.1(10)] show that athletes, despite lower average entry test scores, have an overall successful academic experience than non-athletes. Further, class rank has been found to be a better predictor of success in college than test scores, and student-athletes, knowing they are going to be accepted with an offer of financial support, have no incentive to prepare for entry tests or retake tests to try for better scores.

Comparison by Sport: Football

In 2004-2005, the average test score for entering football players (N=18) was 928, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering football players (N=21) was 890, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average test score for entering football players (N=27) was 891, while the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Football

The scores for entering football players are lower than what we would like to see, and are also lower than the entering scores for students in general. We believe a key factor is that because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores.

Comparison by Sport: Men's Basketball

In 2004-2005, the average test score for entering basketball players (N=3) was 957, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering basketball players (N=7) was 883, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the number of entering

basketball players was two or fewer, so no data can be compared against the average test score for all entering students in general (N=3862), which was 1115.

Explanation of Sport: Men's Basketball

The scores for entering basketball players are lower than we would prefer and are lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the number of entering basketball students is a very small percentage of the student body as a whole, so even one outlier with a higher or lower score, will significantly skew the average.

Comparison by Sport: Baseball

In 2004-2005, the average test score for entering baseball players (N= 7) was 984, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering baseball players (N=6) was 1007, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average score of entering baseball players (N=8) was 966, while the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Baseball

The scores for entering baseball players are lower than we would like to see them and are lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the number of entering baseball students is a very small percentage of the student body as a whole, so one outlier, either with a higher or lower score, will significantly skew the average.

Comparison by Sport: Men's Track/Cross Country

In 2004-2005, the average test score for entering men's track/cross country players (N=3) was 960, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering men's track/cross country players (N=9) was 964, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average score of entering men's track/cross country players (N=14) was 976, while the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Men's Track/Cross Country

The scores for entering men's track/cross country players are lower than we would like to see them and are lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the number of entering men's track/cross country students is a very small percentage of the student body as a whole, so one outlier, either with a higher or lower score, will significantly skew the average.

Comparison by Sport: Men's Other and Mixed Sports

In 2004-2005, the number of entering men's other/mixed sport players was 2 or fewer, so no data can be compared against the average test score (1119) for all entering students in general (N=3,833). In 2005-2006, the average test score for entering men's other/mixed sport players (N=7) was 960, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average score of entering men's other/mixed sport players (N= 4) was 948, while the average test score for all entering students in general (N=3862) was 1115.

Explanation of Sport: Men's Other and Mixed Sports

The scores for entering men's other/mixed sport players are lower than we would like to see them and are lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the number of student-athletes entering men's other/mixed sports is a very small percentage of the general student body, so one outlier, either with a higher or lower score, will significantly skew the average.

Comparison by Sport: Women's Basketball

In 2004-2005, the scores of entering women's basketball players (N=3) was 957, while the average test score for all entering students in general (N=3,833), which was 1119. In 2005-2006, the average test score for entering women's basketball players (N=3) was 923, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the number of women's basketball players was two or fewer, so no data can be compared to the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Women's Basketball

The scores for entering women's basketball players are lower than we would like and are lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the numbers of entering women's basketball students is a very small percentage of the student body as a whole, so one outlier, either with a higher or lower score, will significantly skew the average.

Comparison by Sport: Women's Track/Cross Country

In 2004-2005, the average test score for entering women's track/cross country players (N=4) was 1023, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering women's track/cross country players (N=10) was 1026, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average score of entering women's track/cross country players (N=7) was 970, while the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Women's Track/Cross Country

The scores for entering women's track/cross country players are somewhat lower than we would like, and also lower than the entering scores for students in general. Because student-athletes know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the numbers of entering women's track/cross country students is a very small percentage of the student body as a whole, so one outlier, either with a higher or lower score, will significantly skew the average.

Comparison by Sport: Women's Other Sports

In 2004-2005, the average test score for entering women's other sports players (N=25) was 1042, while the average test score for all entering students in general (N=3,833) was 1119. In 2005-2006, the average test score for entering women's other sports players (N=15) was 1034, while the average test score for all entering students in general (N=3,743) was 1126. In 2006-2007, the average score of entering women's other sports players (N=21) was 1051, while the average test score for all entering students in general (N=3,862) was 1115.

Explanation of Sport: Women's Other Sports

The scores for entering women's other sports players are slightly lower than we would like to see them and are lower than the entering scores for students in general. Because student-athletes

know they are going to be accepted with a scholarship offer in hand, they have no incentive to prepare for entry tests or retake tests to try for better scores. In addition, the numbers of entering women's other sports students is a very small percentage of the student body as a whole, so one outlier, either with a higher or lower score, will significantly skew the average.

We believe it is likely that these patterns of test scores for athletes and students in general at Texas Tech University are similar to patterns of test scores at other large state universities. Nationally, patterns of standardized test scores for various socioeconomic and various ethnic groups are significantly divergent, and the likelihood of bias being inherent in such testing is becoming more and more accepted. Whereas we would like to reduce or eliminate the gap between athletes' and non-athletes' entering test scores, we believe that students we admit can succeed academically and we provide the services students need to achieve academic success and reach their post-university goals.

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 that may be used when students are not automatically admitted because they do not meet the institution's published entrance requirements.

Students who are not admitted under the usual procedures—assured admission or admission after holistic review—have four options through which they can pursue admission.

One option is to request a reevaluation. The Office of Admissions is solely responsible for this process. The Office of Admissions is a unit within the Office of the Provost and Senior Vice President for Academic Affairs. Applicants most commonly request reevaluation when they have new information to report such as the results of a retake on the SAT. Reevaluation is done by an admissions committee using the same holistic process completed in an initial evaluation of an applicant. This process does not apply to athletes or any other students receiving scholarships because students with an offer of financial support from an official university source are automatically admitted (*Undergraduate Catalog*).

Another option is to enter the Gateway Program, which means that a student can live in a Texas Tech dormitory and pay Texas Tech student activity fees that enable the person to use campus facilities but will attend classes at the nearby South Plains Community College. Gateway students are not counted as Texas Tech students because they are not attending Texas Tech classes. Upon successful completion of course work at South Plains College, the students can transfer to Texas Tech. Admissions through the Gateway program are handled as transfer admissions by the Office of Admissions, which is solely responsible for the process. There are no Texas Tech athletes who are not students at Texas Tech, so there are no Texas Tech athletes who are Gateway students.

A related option is attend another institution and then apply for transfer at a future time. All transfer admissions are the sole responsibility of the Office of Admissions.

In addition to the above options, the university's operating policy on Admissions [OP 34.01(6)] also says, "The president or her/his designee may waive the admission requirements for a limited number of applicants under unusual or special circumstances." The president is responsible for exercising this option.

The full policies as described on the official Admissions webpage (<http://www.admissions.ttu.edu>) will be made available to the visiting peer review team.

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 sport groups, organized by year, and listed

in the NCAA Division I Graduation-Rates Supplemental Form. [Use the supplied chart (Special-Admissions Information on Page 23 to compile these data.)

Chart 4 (Special-Admissions Information)

Almost no students (less than .0005% estimated) have been admitted at the discretion of President Whitmore or the president's designee as allowed by OP 34.01. Cases of admittance at presidential discretion are extremely rare and none have involved athletes (0%).

Individuals who enter the Gateway Program (living on the campus of Texas Tech University but taking classes at the local community college) and later become Texas Tech students are viewed as a category of transfer students because they are, in fact, transferring credits from South Plains College and gaining admission through satisfactory performance at another institution. In Fall 2004, 34 students entered through the Gateway program. In Fall 2005, 483 students entered through the Gateway program. In Fall 2006, 462 students entered through the Gateway program. Because (a) the Gateway students are transfer students and so are not entering freshmen and because (b) freshmen athletes receiving aid are, like all prospective students receiving aid, in the category of assured admissions, by definition the Gateway students do not include any freshmen athletes (0%).

Students who ask for reevaluation after being initially denied admission are considered once again in the pool of all students being evaluated—that is, with all of the students being considered for admissions who do not meet the criteria for assured admission. Such cases of reevaluation most commonly occur when students retake the SAT or ACT or have some other new information to submit. A small number and percentage of students are admitted after reevaluation. In Fall 2005, 105 students were admitted following reevaluation. In Fall 2006, 108 students were admitted following reevaluation. No records are available prior to 2005 for numbers of admissions following reevaluation. Athletes receiving financial support from the university, like any other students receiving aid from an official university source, fall into the category of assured admission. Thus, the number and percentage of athletes admitted after reevaluation is zero (0%).

8. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify initial eligibility and transfer eligibility for student-athletes. Provide name(s) [including title(s)] of who has ultimate responsibility in determining student-athletes' initial and transfer eligibility.

Certifying Initial Eligibility

The final authority for initially certifying freshman athletes is Paula Hunter, Assistant Registrar-Certification Officer. Each Eligibility Report is also signed by Dr. Robert Baker, Faculty Athletic Representative, Gerald Myers, Athletics Director, and the head coach and forwarded to the Big 12 Conference

1. Student-athlete is identified by sport coach completing the Prospective Student-Athlete Information Card (PSA).
2. PSA Information Card is forwarded to Athletic Academic Services.
3. Prospective student-athlete is identified on Institutional Recruitment List (IRL) on NCAA Eligibility Center website as a potential student-athlete for Texas Tech University.
4. Certification Office is notified by Academic Services eligibility specialist that prospective student-athlete is certified by NCAA Eligibility Center. Certification Office prints 48-C form from Eligibility Center website.
5. Student is reviewed for admission by the Office of Admissions, and monitored by Academic Services eligibility specialist and sport counselor.

6. Student is admitted or deemed ineligible per NCAA, Big 12, and/or institutional legislation, and monitored by Academic Services eligibility specialist and sport counselor
7. Athletics Compliance generates each sport squad list and posts it to Compliance Team Folder. Every Monday the squad lists are printed out and sport codes are posted to SA1 screen for use in 12 hour/Less than 12 hour/Cancellation reports.
8. 12 Hour report/Less than 12 hour report/Cancellation reports are automatically generated at 9am and 4pm daily to monitor all student-athletes for full-time enrollment
9. Each sport is certified and posted to Big 12 Eligibility Report prior to first competition date
10. Big 12 Eligibility Reports and Squad Lists are compared for accuracy prior to submission to Conference office
11. Eligibility report is signed by the assistant registrar-certification officer, faculty athletic representative, director of athletics, and head coach
12. Eligibility report and squad list are forwarded to the conference office by Athletics Compliance Office
13. Eligibility Report and squad lists are scanned to Athletic Compliance Team Folder for view by Financial Aid, Academic Services, Athletic Business Office, Athletic Certification, and Athletic Compliance Office

Certifying Transfer Eligibility

The final authority for certifying transfer athletes is Paula Hunter, Assistant Registrar-Certification Officer. Each Eligibility Report is also signed by Dr. Robert Baker, Faculty Athletic Representative; Gerald Myers, Director of Athletics; Head Coach and forwarded to the Big 12 Conference

1. Student-athlete is identified by sport coach completing the Prospective Student-Athlete Information Card (PSA)
2. PSA Information Card is forwarded to Athletic Academic Services
3. PSA Information Card copy and unofficial transcripts from previous institution(s) are forwarded to Athletic Certification Office
4. Athletic Certification Unit Coordinator performs unofficial preliminary evaluation of transfer credit, transfer GPA and forwards to eligibility specialist
5. Admissions credentials/transcripts reviewed by Office of Admissions for admission
6. Sport code posted to SA1 screen after admission Percentage of Degree Requirement (PDR) form generated by eligibility specialist/Academic Services and forwarded to Dean's Office
7. Percentage of Degree form returned to Athletic Certification Office after completed/signed by Dean's Office
8. Transfer hours, GPA, major, percentage toward degree data keyed into CAi (NCAA Compliance Assistant Software) by Certification Office
9. Transfer hours, grade point average, 40/60/80, full-time enrollment, declared major reviewed for eligibility determination based on NCAA/Big 12 rules
10. Student-athlete added to eligibility report
11. Eligibility report compared to squad list to ensure accuracy

12. Eligibility report is signed by the Assistant Registrar-Certification Officer, Faculty Athletic Representative, Athletics Director, and the head coach
 13. Eligibility report and squad list are forwarded to the conference office
 14. Eligibility report and squad lists are scanned to Athletic Compliance Team Folder for viewing by Financial Aid, Academic Services, Athletic Business Office, Athletic Certification, and the Athletic Compliance Office.
9. 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.
- The final authority for certifying student-athletes' continuing eligibility is Paula Hunter, Assistant Registrar-Certification Officer. Each eligibility report is also signed by Dr. Robert Baker, Faculty Athletic Representative, Gerald Myers, Athletics Director, and the head coach, and then forwarded to the Big 12 Conference.
1. Student-athlete identified as returning for competition by coach via roster
 2. Sport code posted to SA1 screen
 3. Progress Toward Degree form generated after 12th class day each term
 4. Progress Toward Degree form sent to appropriate academic dean's office
 5. Progress Toward Degree form completed and forwarded to certification officer
 6. Certification officer copies Progress Toward Degree form and forwards to Academic Services for student-athlete's signature and the athletic academic advisor signature
 7. Certification Officer reviews Progress Toward Degree form and places data on eligibility worksheet; 40/60/80, 90/95/100, 6-hour rule full time enrollment, declaration of major reviewed
 8. Corrective action taken if applicable: summer school, distance learning, nonresident summer coursework
 9. Certification documents reviewed and eligibility decision completed
 10. Student-athlete added to eligibility report
 11. Eligibility report compared to squad list to ensure accuracy
 12. Eligibility report is signed by the assistant registrar-certification officer, faculty athletic representative, director of athletics, head coach
 13. Eligibility report and squad list are forwarded to the conference office
 14. Eligibility report and squad list are copied and sent to head coach
 15. Eligibility report and squad lists are scanned to Athletic Compliance Team Folder for viewing by Financial Aid, Academic Services, Athletic Business Office, Athletic Certification Athletic Compliance Office record
10. Review the six-year graduation rates for student-athletes who received athletics grants-in-aid for various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes. Specifically, identify and explain deficiencies in the six-year graduation rates for any of the following when compared to the graduation rates of students generally: student-athletes generally, student-athletes of particular sport teams, student-athletes by gender, student-athletes by ethnicity and student-athlete subgroups (i.e., ethnicity) within particular sport teams. If the six-year graduation rate for student-athletes, or for any

student-athlete subgroup, is less than the graduation rate for students generally, the institution must analyze, explain and address, as appropriate (1) the magnitude of the difference between the student-athlete (or subgroup) rate; and (2) the trends over the three reporting periods in these rate differences.

General Analysis

Some of the populations in this data review are so small that any conclusions about trends could be questioned. Because of the small numbers, one or two anomalies may throw off the average for a category. No group is exceptionally poor if we discount the sample size.

In most cases, the results can be interpreted as showing that, regardless of entering test scores, we do admit students who can succeed and we also provide students with the skills they need to succeed academically. Thus, entering test scores are not absolute indicators of future success. Lower SAT scores have not generally translated into lower graduation rates for our student-athletes.

The graduation rates for athletes are somewhat misleading because they only account for students who entered as freshmen in the fall semester. The rates thereby exclude students who entered as freshmen in the spring or summer terms and also exclude students who entered as transfer students in any semester. We judge that if transfer students could be included in our athletes' data, our graduation rates would be much greater.

According to the Office of Enrollment Management, almost all students (both students in general and student-athletes) who leave TTU without graduating leave academically eligible, not because they cannot do their coursework. They leave for various personal reasons rather than academic reasons: that is, because of medical conditions, because of international issues, because they became professional athletes, or because they missed their families, girlfriends, or boyfriends.

Previous sanctions have impacted our recruiting and graduation rates in some sports: some students left their program early and so some scholarships were lost. Further, of the eight current head coaches, only two were here ten years ago (Larry Hays and Tim Siegel). Coaching changes have also had an impact on whether some students have stayed or left.

Review of General Graduation Rates

The graduation rate for all students in the 1998-2004 cohort was 54%, whereas the graduation rate for student-athletes in that same period was 64%. The graduation rate for all students in the 1999-2005 cohort was 55%, whereas the graduation rate for student-athletes in that same period was 52%. The graduation rate for all students in the 2000-2006 cohort was 56%, while the graduation rate for student-athletes in that same period was 53%.

The six-year graduation rates for all students and for all student-athletes who entered in 1999 and 2000 are similar. For the group entering in 1998, the graduation rate of student-athletes was ten percentage points greater than the graduation rate of students in general, but the small sample size must be taken into account. The information on these six sets of cohorts supports our assertion that the university admits students who are capable of graduating, that the academic support for student-athletes is good, and that graduation rates of student-athletes are similar to those of the general student population.

Review of Graduation Rates by Gender: Male Students

The graduation rate for all male students (N=1,568) in the 1998-2004 cohort was 52%, whereas the graduation rate for male student-athletes (N=16) in that same period was 69%. The graduation rate for all male students (N=1,678) in the 1999-2005 cohort was 51%, whereas the graduation rate for male student-athletes (N=30) in that same period was 57%. The graduation rate for all

male students (N=2,016) in the 2000-2006 cohort was 52%, while the graduation rate for male student-athletes (N=38) in that same period was 53%.

Despite having entering test scores of 200 points or so lower than male students in general, in all three sets of years, male student-athletes had a greater graduation rate than male students in general. This supports our assertions that the university admits student-athletes who are as capable of graduating as are students in general, that entering test scores do not necessarily predict graduation potential, and that the academic support for student-athletes is good.

Review of Graduation Rates by Gender: Female Students

The graduation rate for all female students (N=1,585) in the 1998-2004 cohort was 57%, whereas the graduation rate for female student-athletes (N=12) in that same period was 58%. The graduation rate for all female students (N=1,725) in the 1999-2005 cohort was 58%, whereas the graduation rate for female student-athletes (N=26) in that same period was 46%. The graduation rate for all female students (N=1,982) in the 2000-2006 cohort was 59%, while the graduation rate for female student-athletes (N=37) in that same period was 57%.

Despite having entering test scores of 100 points or so lower than female students in general, in two of these three sets of years, female student-athletes had close to the same graduation rate as female students in general. This information supports our assertion that the university admits student-athletes who are as capable of graduating as are students in general, and that the academic support for student-athletes is good.

Review of Graduation Rates by Racial or Ethnic Group: American Indian/Alaskan Native Students

Because the number of freshmen-athletes identified as American Indian/Alaskan Native is fewer than 2, the group is too small to be compared with American Indian/Alaskan Native freshmen in the general student body.

Review of Graduation Rates by Racial or Ethnic Group: Asian/Pacific Islander Students

Because the number of freshmen-athletes identified as Asian/Pacific Islander is fewer than 2, the group is too small to be compared with Asian/Pacific Islander freshmen in the general student body.

Review of Graduation Rates by Racial or Ethnic Group: Black Students

The graduation rate for all Black students (N=83) in the 1998-2004 cohort was 47%, whereas the graduation rate for Black student-athletes (N=10) in that same period was 60%. The graduation rate for all Black students (N=107) in the 1999-2005 cohort was 45%, whereas the graduation rate for Black student-athletes (N=12) in that same period was 33%. The graduation rate for all Black students (N=128) in the 2000-2006 cohort was 39%, while the graduation rate for Black student-athletes (N=28) in that same period was 43%.

Despite having lower entering test scores than Black students in general, in two of the three sets of years, Black student-athletes had a higher graduation rate than Black students in general. In the set of years with lower graduation rates, the small size of the athletic cohort makes comparisons between Black athletes and Black students in general difficult. Overall, this information supports our assertion that the university admits student-athletes who are as capable of graduating as are students in general, and that the academic support for student-athletes is good.

Review of Graduation Rates by Racial or Ethnic Group: Hispanic Students

For the 1998-2005 cohort, the number of freshmen-athletes identified as Hispanic is 2 or fewer; the population is too small to be compared with Hispanic freshmen in the general student body. The graduation rate for all Hispanic students (N=261) in the 1999-2005 cohort was 43%, whereas

the graduation rate for Hispanic student-athletes (N=3) in that same period was 33%. The graduation rate for all Hispanic students (N=377) in the 2000-2006 cohort was 43%, while the graduation rate for Hispanic student-athletes (N=4) in that same period was 50%.

The small size of the athletic cohort makes comparisons of graduation rates between Hispanic athletes and Hispanic students in general difficult. Overall, this information supports our assertion that the university admits student-athletes who are as capable of graduating as are students in general, and that the academic support for student-athletes is good.

Review of Graduation Rates by Racial or Ethnic Group: White Students

The graduation rate for all White students (N=2,674) in the 1998-2004 cohort was 56%, whereas the graduation rate for White student-athletes (N=16) in that same period was 69%. The graduation rate for all White students (N=2,892) in the 1999-2005 cohort was 56%, whereas the graduation rate for White student-athletes (N=38) in that same period was 61%. The graduation rate for all White students (N=3,346) in the 2000-2006 cohort was 57%, while the graduation rate for White student-athletes (N=39) in that same period was 59%.

Despite having lower entering test scores than White students in general, in these three sets of years, White student-athletes had a higher graduation rate than White students in general. Overall, this information supports our assertion that the university admits student-athletes who are as capable of graduating as are students in general, and that the academic support for student-athletes is good.

Review of Graduation Rates by Racial or Ethnic Group: Other Students

Because the number of freshmen-athletes identified as Asian/Pacific Islander is fewer than 2, the group is too small to be compared with Asian/Pacific Islander freshmen in the general student body.

Review of Graduation Rates by Race and Gender

The numbers of student-athletes in the categories of American Indian/Alaskan Native, Asian/Pacific Islander, and Other are too small (2 or fewer) for comparison.

The total numbers of Black male athletes and Black female athletes are also so small as to make meaningful conclusions difficult:

Graduation rates for Black male athletes:

1998-2004 (N=7): 57%

1999-2005 (N=8): 38%

2000-2006 (N=18): 39%

Graduation rates for Black female athletes:

1998-2004 (N=3): 67%

1999-2005 (N=4): 25%

2000-2006 (N=10): 50%

Factoring in the small cohort size, the graduation rates for Black athletes compare favorably with the overall graduation rates for Black students (combined gender) in the three cohort years of 47%, 45%, and 39%. The small population size for the groups above makes it inappropriate to delineate the non-academic factors (medical conditions or family situations, for example) that have affected whether these students stayed at Texas Tech. As noted in 2.1(6), most Texas Tech students and student-athletes who leave the university do not leave for academic reasons.

The total number of White male athletes and White female athletes is also proportionally small compared to the number of White males and White females at Texas Tech:

Graduation rates for White male athletes:

1998-2004 (N=9): 78%

1999-2005 (N=19): 63%

2000-2006 (N=17): 65%

Graduation rates for White female athletes:

1998-2004 (N=7): 57%

1999-2005 (N=19): 58%

2000-2006 (N=22): 55%

Factoring in the small cohort size, the graduation rates for White athletes compare favorably with the overall graduation rates for White students (combined gender) in the three cohort years (56%, 56%, and 57%).

Trends in Graduation Rates By Race and Gender

Because of the small numbers of students represented in some of these comparisons, it is difficult to make broad claims about graduation rates. It appears that male athletes have a slightly higher graduation rate than female athletes, a trend that varies from the general trends in university data (52% for males and 58% for females). The largest anomalies in the data, however, also have the smallest sample sizes. Overall, the graduation rates by gender and ethnicity do not appear to be considerably different between athletes and the student body in general.

Review of Graduation Rates by Sport: Football

The graduation rate for the 1998-2004 cohort of football players (N=12) was 75%, while the average graduation rate for all students in general in that set of years (N=3,149) was 54%. The graduation rate for Black football players in that set of years (N=6) was 67%, while the graduation rate for White football players (N=6) was 83%. The numbers of football players in other racial/ethnic groups are too small to report.

The graduation rate for the 1999-2005 cohort of football players (N=16) was 63%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The graduation rate for Black football players in that set of years (N=6) was 33%, while the graduation rate for White football players (N=9) was 78%. The numbers of football players in other racial/ethnic groups are too small to report.

The graduation rate for the 2000-2006 cohort of football players (N=17) was 59%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for Black football players in that set of years (N=8) was 38%, while the average graduation rate for White football players (N=7) was 86%. The numbers of football players in other racial/ethnic groups are too small to report.

Explanation for Sport: Football

Overall, the graduation rates for football players have been better than the graduation rates of the student population at large. Only in two cohorts (Black football players in 1999-2005 and in 2000-2006) are the graduation rates lower than average, but in the first case the rates are approximately the same as the average graduation rates of Black students in general. In both cases, the small size of the cohorts may make the numerical differences less noteworthy. Also, note that the set of years with the lowest graduation rates for Black football players was preceded

by a set of years with a much better than average graduation rate and followed by a set of years with an improving graduation rate.

Review of Graduation Rate by Sport: Men's Basketball

The graduation rate for the 2000-2006 cohort of men's basketball players (N=5) was 40%, while the average graduation rate for all students in general in that set of years (N=3,149) was 56%. The graduation rate for Black men's basketball players (N=5) was 40%. The numbers of men's basketball players in all other sets of years and in other racial/ethnic groups are too small to report.

Explanation for Sport: Men's Basketball

The small size of the cohort (N=5) makes any analysis difficult. Coaching changes and program restrictions due to the loss of scholarships in the 1990s had a major impact on recruitment and retention of players.

Review of Graduation Rate by Sport: Baseball

The population in the 1998-2004 cohort of baseball players in total and by racial/ethnic groups was too small to report.

The graduation rate for the 1999-2005 cohort of baseball players (N=5) was 20%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The graduation rate for White baseball players (N=4) was 25%. The numbers of baseball players in other racial/ethnic groups are too small to report.

The graduation rate for the 2000-2006 cohort of baseball players (N=3) was 33%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for White baseball players (N=3) was 33%. The numbers of baseball players in other racial/ethnic groups are too small to report.

Explanation for Sport: Baseball

Overall, the graduation rates for baseball players are the lowest of all sports reported here, but also represent the smallest population of students that we can report. As in other cases, baseball players who have left without graduating have been capable of graduating but have left for non-academic reasons, including recruitment to professional leagues. Baseball has an APR recovery plan in place, is making progress, and that progress continues in the current year. Because of the small sample size and because of the low rates, though, this improvement process will take time. This issue is also addressed in our response to self-study item 2.1(7).

Review of Graduation Rate by Sport: Men's Track/Cross Country

The population in the 1998-2004 cohort of men's track/cross country players was too small to report.

The graduation rate for the 1999-2005 cohort of men's track/cross country players (N=4) was 75%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The numbers of male track/cross country players in individual racial/ethnic groups were too small to report.

The graduation rate for the 2000-2006 cohort of men's track/cross country players (N=11) was 36%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for White men's track/cross country players (N=5) was 40%. The graduation rate for Black men's track/cross country players (N=5) was also 40%. The numbers of men's track/cross country players in other racial/ethnic groups are too small to report.

Explanation for Sport: Men's Track/Cross country

Overall, the graduation rates for men's track/cross country players are lower than average for the student population in general but approximately the same as for Black, non-athlete students. Given the small sample size and given that progress is being made by men's track/cross country, we are concerned but not alarmed by this data.

Review of Graduation Rates by Sport: Men's Other and Mixed Sports

The graduation rates for men's other/mixed sports cannot be reported because of the small sample size except for one set of years, 1999-2005, when a cohort of 4 players, all White, had a graduation rate of 75%, significantly higher than the graduation rate of 55% for all students in general.

Review of Graduation Rates by Sport: Women's Basketball

The graduation rate for the 1998-2004 cohort of women's basketball players (N=3) was 67%, while the average graduation rate for all students in general in that set of years (N=3,149) was 54%. The graduation rate for Black women's basketball players in that set of years (N=3) was 67%. The numbers of women's basketball players in other racial/ethnic groups are too small to report.

The graduation rate for the 1999-2005 cohort of women's basketball players (N=4) was 25%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The numbers of women's basketball players in individual racial/ethnic groups are too small to report separately.

The graduation rate for the 2000-2006 cohort of women's basketball players (N=5) was 80%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for Black women's basketball players in that set of years (N=3) was 67%. The numbers of women's basketball players in other racial/ethnic groups are too small to report.

Explanation for Sport: Women's Basketball

In two of the three sets of years, the graduation rates of women's basketball players are significantly better than the graduation rates of students in general and of Black female students in general (the only subgroup with enough data to report). Given the small size of the one cohort with a below-average rate (N=4) and given that that lower-than-average rate is preceded and followed by better than average years, those findings do not alarm us.

Review of Graduation Rates by Sport: Women's Track/Cross Country

The 1998-2004 cohort of women's track/cross country players is too small in total number and in individual racial/ethnic groups to report graduation data.

The graduation rate for the 1999-2005 cohort of women's track/cross country players (N=5) was 60%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The graduation rate of White women's track/cross country players in that set of years (N=4) was 75%. The numbers of women's track/cross country players in other individual racial/ethnic groups are too small to report separately.

The graduation rate for the 2000-2006 cohort of women's track/cross country players (N=13) was 54%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for Black women's track/cross country players in that set of years (N=6) was 33%. The graduation rate for White women's track/cross country players in that set of years (N=7) was 71%. The numbers of women's track/cross country players in other racial/ethnic groups are too small to report.

Explanation for Sport: Women's Track/Cross Country

Except in one subcategory (Black women's track/cross country players in 2000-2006), the graduation rates for this sport exceed the rates of the student population in general. The below-average score for Black women athletes is approximately the same in general for this set of years (2000-2006) as for the Black women's track/cross country players, but the sample size is small.

Review of Graduation Rates by Sport: Women's Other Sports

The graduation rate for the 1998-2004 cohort of women's other sports players (N=7) was 57%, while the average graduation rate for all students in general in that set of years (N=3,149) was 54%. The graduation rate for White women's other sports players in that set of years (N=5) was 60%, while the number of women's other sports players in other racial/ethnic groups is too small to report.

The graduation rate for the 1999-2005 cohort of women's other sports players (N=17) was 47%, while the average graduation rate for all students in general in that set of years (N=3,403) was 55%. The graduation rate for White women's other sports players (N=13) was 54%. The numbers of women's other sports players in other racial/ethnic groups are too small to report.

The graduation rate for the 2000-2006 cohort of women's other sports players (N=19) was 53%, while the average graduation rate for all students in general in that set of years (N=3,998) was 56%. The graduation rate for White women's other sports players (N=13) was 38%. The numbers of women's other sports players in other racial/ethnic groups are too small to report.

Explanation for Sport: Women's Other Sports

Overall, the graduation rates for women's other sports players are similar to graduation rates of the student population at large. Only in one cohort (White women's other sports players in 2000-2006) are the graduation rates lower than average, but in the other two sets of years the graduation rates of White women's other sports players are similar to or better than the graduation rate of the student population at large, so, given the small sample size, this one finding does not cause alarm.

Regarding our data above, we believe it is likely that the patterns of graduation rates for athletes and for students in general at Texas Tech University are at least similar to graduation rates at other large state universities. In addition the national patterns of graduation rates for various subcategories of students can diverge significantly, and the cohorts with lower rates presented here are also very small populations. We believe the students we admit are capable of succeeding academically, and we are committed to providing students with the services they need to achieve academic success and reach their post-university goals. The initial paragraph in this section also contains some general comments that frame the reporting of our data.

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

The same academic standards, definitions, and policies that apply to students in general also apply to student-athletes. All students, including student-athletes, receive academic advising from their major departments and colleges, and the same standards, policies, and procedures are applied to all. The same agencies and individuals are in authority over the university's academic standards and policies for athletes and for students in general.

The university's *Undergraduate and Graduate Catalog (2007-2008)* is the official source of information about the university's academic standards and policies. Page 50 of the *Catalog* contains the university's standard policies on academic status levels (academic good standing, academic probation, continued academic probation, and academic suspension), and this

information is also available online (<http://www.depts.ttu.edu/officialpublications/catalog/AcademicsProbation.html>).

The 2007-2008 *Student-Athlete Handbook* further explains how the athletics program monitors student-athletes' academic progress and how the university calculates all students' GPAs:

Grade Monitoring

During the semester, Academic Services will e-mail out grade reports to your instructors. The feedback will help your athletic academic advisor pinpoint problem areas and determine what course of action needs to be taken to correct any problems. All grades will be reported back to your head coach.

Grade Point Average Calculation

For each hour of credit received you will earn grade points based on the following grading system:

| | |
|---|----------|
| A | 4 points |
| B | 3 |
| C | 2 |
| D | 1 |
| F | 0 |

To calculate your grade point average (GPA), divide your total number of quality points earned by the total number of quality hours you have earned.

You must maintain a minimum GPA to remain a student at Texas Tech and to participate in intercollegiate athletics. (2007-2008 *Student-Athlete Handbook*, p. 12)

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

Texas Tech University has written policies related to scheduling and missed class time: OP 34.04, Academic Regulations Regarding Student Performance; OP 34.19, Student Absence for Observance of a Religious Holy Day; and Athletic OP 12.7, Class Attendance. Coaches and advisors within the Academic Advising unit of the Athletics Department monitor missed class time for student athletes. Coaches must follow university policies, Big 12 Conference policies, and NCAA policies when scheduling travel. The Athletic Council also monitors missed class time and regularly reviews student performance by sport in light of missed classes.

The university places responsibility for class attendance on the student, whereas faculty members have the responsibility of determining the effect of attendance on students' grades. In addition, the 2007-08 *Student-Athlete Handbook* explains the scheduling policy directly to students:

Team Travel

If you are going to miss classes due to team travel, you will be provided excuse letters to take to your instructors explaining your absence from class. Excuse letters will be available from your coach.

It is the responsibility of each student-athlete to give the excuse letters to each instructor as soon as the letters are received. It is expected that each student-athlete visit with the instructor **before** team departure to discuss make-up work. Failure to present the excuse letter prior to team travel leaves the decision to make up assignments (i.e. make-up quizzes, tests, homework, etc.) to the discretion of the instructor. (2007-2008 *Student-Athlete Handbook*, p. 11)

Coaches can check out notebook computers from Academic Services for traveling student-athletes to use while on university trips. This service helps student-athletes to keep up with their coursework even while they are away from campus.

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

Data are reported annually to the Athletic Council and to the President of the university regarding missed class time due to team travel. The Athletic Council and the President have not determined any sport to have excessive amounts of missed class time. (See page 17 of the 2006-07 Academic Summary of Student-Athletes, for example, for a list of classes missed by sport in the previous academic year. This document will be available to the visiting peer review team.)

14. Describe the means by which the institution's policies and procedures regarding the scheduling of athletics competition and practices (e.g., missed class policy) are communicated to student-athletes and institutional staff members.

Policies and procedures concerning schedules and missed classes are communicated specifically to student athletes through the Student-Athlete Handbook:

If you are going to miss classes due to team travel, you will be provided excuse letters to take to your instructors explaining your absence from class. Excuse letters will be available from your coach.

It is the responsibility of each student-athlete to give the excuse letters to each instructor as soon as the letters are received. It is expected that each student-athlete visit with the instructor before team departure to discuss make-up work. Failure to present the excuse letter prior to team travel leaves the decision to make up assignments (i.e., make-up quizzes, tests, homework, etc.) to the discretion of the instructor. (p. 11)

The *Student Athlete Handbook* (p. 10) also stresses students' responsibility to attend class regularly.

Information regarding policies and procedures on missed classes is also communicated to athletes during team meetings from coaches and academic services staff. In addition, such information is communicated to student athletes during the beginning of the year orientation / team meetings for each sport, again by coaches and academic services staff.

The institution's policies and procedures concerning class attendance are communicated to all faculty, staff, and students at the institution through the university's *Operations and Procedures Manual* (<http://www.depts.ttu.edu/opmanual>). Students who are away on university business, whether for sports or debate or any other university business, have certain rights and obligations that are clearly delineated in OP 34.04, Academic Regulations Concerning Student Performance.

Subcommittee Notes

Information required to be made available to peer-review team for Principle 2.1:

We have in paper copy:

- Catalog
- Student-Athlete Handbook
- Student Handbook
- Information reported regularly to the president concerning academic performances of sport teams
- Academic Summary of Student Athletes

- Athletic Council Annual Reports
- Information from exit interviews of student athletes

We have in web or on-line copy but NOT in paper copy:

- Athletics department manual and/or policies and procedures
- Standard admissions requirements (this is available in paper form in the university catalog, but we don't have a separate document on admissions requirements).

We will need to provide:

All student eligibility files (these ordinarily reside in John Anderson's office, so they will just have to be moved to a central location for the external review team)

OP 2.2: Academic Support

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

During the first certification cycle, the CAC imposed no corrective actions, conditions, or strategies for improvement with regard to academic support.

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

We developed two recommendations related to Operating Principle 2.2 during the first-cycle certification process:

More Efficiently Produce Monitoring Reports

- a. Our first recommendation was to more efficiently produce the informational reports we use to advise and monitor student-athletes.
- b. The university reorganized its oversight of the athletics department, recruited new staff and additional advisors, constructed a new academic center for athletes, and completely restructured the approach to academic issues for student-athletes. New systems of communication were developed between academic advisors, athletic advisors, the registrar, and other offices. Regular reporting was implemented as part of this restructuring so that reports are more efficiently produced to advise and monitor students.
- c. The restructuring of Academic Services began during our first cycle review in the late 1990s. The current system was in place by 2000.
- d. This recommendation was completed, but we continue to seek ways to operate more effectively and efficiently.

Develop a Life Skills Course

- a. The second recommendation was to create a life skills course for first-year student-athletes.

- b. A life skills course was developed and implemented.
 - c. The life skills course was fully implemented by Fall 1999.
 - d. This recommendation was completed.
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University’s Athletic Council (<http://www.depts.ttu.edu/athleticcouncil/bylaws.php>) monitors all aspects of the university’s athletic program, including issues of academic integrity, and is charged with advising the president on all matters related to academic integrity. To that end, the council submits an annual report that reviews graduation rates and academic progress of student athletes and that reviews policies and procedures. Embedded in those annual reports are advisory comments and recommendations such as the following additional or revised plans from the Athletic Council and its Committee on Academic Integrity.

Each year, the Athletic Council’s Committee on Academic Integrity has recommended an increase in financial support for academic services, within the operating budget constraints of the Athletic Department. As described below, additional funds for support of academic services have been provided, especially during the past two years, so this recommendation has been completed, though, of course, improvements are always ongoing.

| Year | Beginning Budget | Ending Actual |
|-------------|------------------|---------------|
| 1999 - 2000 | \$658,332 | \$645,001 |
| 2000 - 2001 | \$681,407 | \$570,382 |
| 2001 - 2002 | \$546,058 | \$532,599 |
| 2002 - 2003 | \$554,236 | \$500,601 |
| 2003 - 2004 | \$562,558 | \$627,299 |
| 2004 - 2005 | \$600,142 | \$695,672 |
| 2005 - 2006 | \$666,480 | \$754,563 |
| 2006 - 2007 | \$827,144 | \$824,528 |

The Athletic Council’s Committee on Academic Integrity emphasized the continuing need for the Marsha Sharp Academic Center in its 2001 and 2002 reports. Construction began in 2003 and the center opened in January 2004, so this recommendation has been completed.

Since 2003, the Athletic Council’s Committee on Academic Integrity has recommended continued distribution of Academic Progress reports. In 2003 the committee encouraged the Athletic Academic Services Office to identify appropriate methods to inform faculty how the academic performance information they provide is used and to report the academic success of Tech’s student-athletes. In 2004, Committee on Academic Integrity recommended consideration

of using technology to track grade reports. A software package for this purpose was purchased, and communication with faculty is ongoing, so the recommendations have been completed.

In 2003, 2004, and 2005, the Academic Council's Committee on Academic Integrity recommended the university president request that the Office of Athletic Academic Services prepare and submit to the administration of the athletic department a detailed proposal for the necessary funding for staff and related expenditures to continue to improve academic counseling and tutoring in response to the changing NCAA eligibility requirements. President Whitmore subsequently discussed and followed-up this recommendation with the athletic director. In 2005-2006, the beginning budget for Athletic Academic Services was \$666,480, and in 2006-2007, the beginning budget was \$827,144. These amounts represent a significant increase over the 2003-2004 budget of \$562,558.

In 2005, the Athletic Council's Committee on Academic Integrity recommended the creation of an advisory committee that would work specifically with Athletic Academic Services and would be comprised of "a representative from the Provost Office, Faculty Senate, Staff Senate, SGA, a liaison from the Athletic Council, the Faculty representative to the NCAA, a student athlete and others as may be designated to demonstrate the importance of academics in the Athletic Department." An advisory committee was not created, but Provost Marcy, who is the chief academic officer of the university, did direct a restructuring of the university-wide advising system with additional funds and support for academic advising across the university. In 2006, a senior academic advisor was appointed to coordinate advising in and between various units on campus. In 2006, President Whitmore created a new President's Academic Advising Award to emphasize the importance of academic advising and to reward excellent advising. (The panel of advisors from across the university that evaluates academic advisors for this award selected John Anderson, Athletics Associate AD for Academics as one of the first recipients in 2006.) Thus, whereas an advisory committee was not created, the importance of academics in athletics has been addressed in a broad and satisfactory way.

In 2005, the Athletic Council's Committee on Academic Integrity recommended that a new section of IS 1200 Life Skills for Student Athletes be created specifically to address the needs of transfer students. This recommendation was considered, but because the IS classes are by definition freshman classes, they are not appropriate for transfer students, so the recommendation could not be completed. Another consideration in not following the recommendation was that putting transfer students into a class not related to their degree requirements could actually impede their progress toward graduation. However, the needs of transfer students (both student-athletes who transfer in and students in general who transfer in) are under continuous review, and consideration is being given as to how best to meet those needs, which are currently attended to in the advising and mentoring processes and through the Life Skills program.

In 2006, the Athletic Council's Academic Integrity Committee recommended reinstatement of an incentive plan to reward counselors who are successful in graduating their students. Whereas coaches commonly are given performance incentives for win-loss records, post-season games/meets, and championships, the Athletic Council's Academic Integrity Committee encouraged the Athletic Department to consider adoption of incentives for coaches who successfully graduate student athletes. This specific recommendation was adopted although it is only paid when funding allows. The criterion mirrors the Athletics Directors' Academic Incentive based upon what percentage of student-athletes are above a 2.0 grade point average. If for both semesters, 80% of our student-athletes have a GPA higher than 2.0, then coaches are awarded a half-month salary. If 90% of our student-athletes have a GPA higher than 2.0, then coaches are awarded a one-month's salary.

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

In addition to the academic support that is available to all students through academic departments, programs, and colleges, the athletics department has specific structures in place to provide academic support and advising services to student-athletes.

Director Gerald Myers reports directly to President Jon Whitmore.

These individuals report directly to Athletics Director Gerald Myers:

Bobby Gleason, Chief Financial Officer of Athletics

Craig Wells, Chief of Staff/Senior Associate Athletics Director

These head coaches report directly to the athletics director:

Larry Hays, Baseball

Kristy Curry, Women's Basketball

Bob Knight, Men's Basketball

Mike Leach, Football

These Head Coaches report to the senior associate athletic directors:

Stacy Totman, Women's Golf

Greg Sands, Men's Golf

Teresa Wilson, Softball

Tim Siegel, Men's Tennis

Cari Groce, Women's Tennis

Wes Kittley, Men's and Women's Track and Cross Country

Nancy Todd, Volleyball

These individuals also report directly to the athletics director:

John Anderson, Associate Athletics Director/Academics

Jennifer Brashear, Associate Athletics Director/Compliance

Steve Uryasz, Senior Associate Athletics Director/Red Raider Club

Judi Henry, Senior Associate Athletics Director/Senior Women's Administrator

Ken Murray, Senior Associate Athletics Director/Sports Medicine

Ron Damron, Associate Athletics Director/Operations

Steve Downing, Senior Associate Athletics Director/Sports Programs

The following three units report to Associate Athletics Director John Anderson, who is responsible for Academics within Athletics:

All academic counselors

Life Skills

APEX Program

The Academic Counselors include the following:

Darren Fort, Assistant Athletic Director, Football
Amanda Banks, Men's and Women's Basketball
Michelle Brigham, Men's Track, Volleyball and Men's and Women's Tennis
Denise Hood, Coordinator for Academic Records
Matthew Jordon, Eligibility Specialist and Baseball
Sir Don Lewis, Tutoring, Women's Track and Golf
Victoria Simonoff, Football, Soccer and Softball

Position Description for Academic Counselors

This position assists with the degree progress and support of student-athletes participating in the assigned sports. Focus will be on the successful academic and personal transition and retention of student-athletes in a competitive, university environment and the development of independent learners. Position will report to and work collaboratively with the associate athletics director of Academic Services.

Major/Essential Functions:

Counsel student-athletes in a choice of major field of study and specific course work.

Help evaluate student-athlete's interests and abilities.

Monitor student-athlete's progress toward degree and eligibility requirements and maintain records in compliance with Texas Tech, Big XII and NCAA standards.

Prepare necessary reports for coaches and staff.

Evaluate prospective student-athlete's academic achievement and provide recruiting recommendations to coaches.

Provide consistent and frequent communication with associate athletics director for Student Services and coaches about the progress of assigned students.

Work with faculty and coaches to monitor class attendance and report on student progress.

Assist with the coordination of study table requirements at the Marsha Sharp Center for Student-Athletes.

Assist with the recruitment as needed with coaches and academic staff.

Assist with summer orientation programs and occasional evening study hall supervision.

Other duties as assigned by the associate athletics director for Academic Services.

Position Description for Life Skills Coordinator

The Life Skills staff includes Brenda Martinez, Life Skills Coordinator

This position directs and manages a comprehensive program to enhance the welfare and assist in the personal development of Texas Tech student-athletes. This is a full-time position reporting to the Associate Athletics Director for Student Services. Focus will be on the successful academic and personal transition of student-athletes. This position will also aid in the retention of student-athletes in a competitive, university environment and the development of independent learners. Focus will also be on preparing student-athletes for a successful career transition after graduation. This position will report to and work collaboratively with the associate athletics director of Student Services and Academic Services staff.

Major/Essential functions:

The coordinator will have responsibility for the implementation and management of a comprehensive student development program designed to meet the needs of a diverse group of student-athletes.

Effective programming includes: community outreach, leadership development, career planning, and personal development programs for Texas Tech student-athletes.

The coordinator will also be expected to teach/coordinate educational seminars for student-athletes that include three sections of a two credit hour course targeted towards the freshman student-athlete transition.

Must be able to manage a budget.

Give annual assessments/evaluations on programming and staff.

Serve as advisor for Student-Athlete Advisory Committee.

Manage and coordinate peer mentor program.

Serve as liaison to various university departments and committees.

Prepare necessary reports for coaches and staff.

Assist with the coordination of study table requirements at the Marsha Sharp Center for Student-Athletes.

Assist with the recruitment as needed with coaches and academic staff.

Assist with summer orientation programs and occasional evening study hall supervision.

Must be available for some evening and weekend work.

Other duties as assigned by the associate athletics director for Student Services.

Position Description for Learning Specialist

The Apex Program staff include interim learning specialist, Dr. Amanda Banks

This position directs, plans and coordinates the learning assistance program for all student-athletes. Focus will be on the successful academic and personal transition and retention of student-athletes in a competitive, university environment and the development of independent learners. Responsible for the academic assessment of learning disabled and learning deficient student-athletes, and to integrate the academic counselors within the athletics department to assist with student-athlete learning programs. Develops and implements policies and procedures. Position will report to and work collaboratively with the associate athletics director of Academic Services.

Major/Essential Functions:

Coordinate and implement, in conjunction with professional academic staff, individualized academic support plan for identified student-athletes including the assessment and evaluation of individual students to determine academic needs and additional support.

Direct and coordinate tutorial program for student-athletes, including training, hiring and evaluations including the supervision of graduate assistant.

Responsible for the coordination of services for student-athletes with learning disabilities and/or remedial needs.

Serve as liaison with university personnel that can assist and supplement the program and contribute to the maintenance of good working relationships with all members of faculty and the athletics department.

Serve as mentor for assigned student-athletes with consistent meetings and review academic progress. Provide instruction related to study skills, time management, note taking, test taking strategies and overall academic success. The caseload will be determined each academic year.

Provide consistent and frequent communication with academic staff and coaches about the progress of assigned students.

Act as a resource for staff and coaches in the areas of learning development, disability information and referral. Providing training as needed.

Assist with the coordination of study table requirements at the Marsha Sharp Center for Student-Athletes.

Work with academic counselors to review student-athlete schedules and degree plans including Texas Tech, Big 12 and NCAA academic standing and progress.

Develop and maintain resources for all student-athletes in the area of study skills.

Assist with the recruitment as needed with coaches and academic staff.

Assist with summer orientation programs and occasional evening study hall supervision.

Other duties as assigned by the associate athletics director for academic services.

The information above is specific to Athletics, but in addition to services provided through the athletics department, student-athletes have access to all of the university's academic services and academic advising, just like all other students.

5. Using the following program areas for academic support issues as examples, please describe:
- The specific academic support services offered to student-athletes (if any);
 - Any policies that govern which students can use these services;
 - The mechanisms by which student-athletes are made aware of these services;
 - The mechanism for review of these services by academic authorities outside athletics at least once every three years; and
 - The mechanism for periodic approval of these services by academic authorities outside athletics.

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

- As the 2007-08 Student-Athlete Handbook explains on page 9, Athletic Academic Services provides a variety of programs to help meet the academic and personal goals of every student-athlete. The staff is comprised of professionals with extensive backgrounds, experience, and expertise within academics and athletics. In addition to providing the tools necessary to achieve academic success, Academic Services within the Athletics Department continues to implement components that provide continuous support for student-athletes throughout their academic and personal development. Academic Services has advisors assigned to work with student-athletes on a sport-by-sport basis. However, the student-athlete's athletic academic advisor is not the student's college advisor. Each student-athlete, like each student in general, has an academic advisor. In most colleges, each separate department has academic advisors in addition to the college advisors. Thus, students can access an entire network of staff advisors and faculty advisors who are overseen by department chairs and by assistant/associate deans and deans. The athletic academic advisors

help student-athletes with course registration, balancing athletics with academics, and understanding eligibility requirements. Each sport is assigned a specific academic advisor.

The Marsha Sharp Center for Student-Athletes is a facility to support the academic success of student-athletes at Texas Tech. The 15,500- square-foot facility has a hall of honor to recognize the academic performance of student-athletes, two classrooms, two computer labs, tutoring rooms, a study lounge, and administrative offices. In addition to enhancing academic performance of student-athletes, the center also serves as the primary facility to administer the Life Skills program for student-athletes at the university. It is also a meeting facility for the Student-Athlete Advisory Committee and for other athletic and campus meetings and events.

- b. All academic support services are available to all student-athletes. Specific procedures for using the services are outlined in the *Student-Athlete Handbook*, *Athletic Department Policies and Procedures Manual*, the Athletic Academic Services *Tutor Manual*, the Academic *Mentor Manual*, and the Athletic Academic Services *Mentor Handbook*. These services supplement services available to all students including student-athletes.
- c. Student athletes are made aware of these services at orientation, at meetings with their coaches, and with meetings with their advisor. They are also made aware of these services through the *Student-Athlete Handbook*, which they receive a new copy of each academic year.
- d. In a sense, these services are reviewed continuously as the Athletic Academic Services advisors and personnel work with conjunction with the student's departmental and college advisors. More specifically, though, the services are reviewed each year by the Athletic Council, whose Committee on Academic Integrity reports on academic issues to the Council, which then reports annually to the university president. A more formal review procedure is being created to satisfy recent NCAA requirements and third-cycle legislation [see 2.2(7)].

These observations being true of all academic support services at Texas Tech University, the following sections describe current programs in more detail.

Academic Advising

The Athletic Department's Academic Services has advisors assigned to work with each student-athlete on a sport-by-sport basis. As explained above in the Overview section, these athletic academic advisors are in addition to each student's college and/or departmental advisors.

As explained in the *2007-08 Student-Athlete Handbook*, every student-athlete is expected to register for classes during the athletes' advance pre-registration period to ensure an appropriate class schedule that will not interfere with required athletic practices. Each student must meet with his or her athletic academic advisor to register for classes, although it is the department or college academic advisor who determines which courses meet degree requirements and who will supply the proper forms for registration. Students who have not yet declared a major are advised through the university's central Advising Center. The athletic academic advisor will be available to advise students as to eligibility requirements as well (p. 15).

The *Undergraduate and Graduate Catalog 2007-08* outlines the general academic advising philosophy of the university as follows:

Texas Tech University believes in the potential of each student to succeed and values their pursuit of excellence. Therefore, Texas Tech provides academic advisors and advising programs to inform, guide, empower, and encourage students from the time of their new student orientation until graduation. While students are responsible for their academic progress, academic advisors assist with educational planning that leads to timely

matriculation and graduation. Students' success requires their commitment to and investment in an action-oriented decision-making process. This fosters intellectual and personal development which results in informed and invested educational choices.

Students' Responsibilities. The advising process is designed to prepare students to be leaders and decision-makers. To that end, students are responsible for being active and invested participants, especially by:

Investing the time and energy necessary to meet and exceed the highest standards of academic excellence.

Engaging in a mutually respectful working relationship with their academic advisor(s).

Making and keeping a minimum of one appointment per semester with the appropriate academic advisor(s).

Creating a class schedule based on deliberate examination of educational, career, and life goals.

Cooperating and communicating with the university by reading and responding to all official communications.

Reading and acting in accordance with official university documents related to institutional procedures, degree program requirements, standards of academic progress, and the code of student conduct.

Completing required paperwork and adhering to university deadlines.

Discussing the Graduate-On-Time (GOT) contract program with an academic advisor to determine its merits to their

educational plan and, when deemed appropriate, signing a contract in the academic advisor's office before the university- stipulated deadline.

Keeping advisors informed about circumstances that could influence academic performance (e.g. work schedules, illness, etc.)

Notifying advisors immediately when receiving a course grade of D or F, when dropping a course, or when withdrawing from the university.

Exploring and, as appropriate, utilizing available student resources.

Investigating opportunities to study abroad, conduct under- graduate research, and participate in service learning.

Documenting and maintaining records of all university interactions.

Advisors' Responsibilities. Advising is a process through which students examine themselves, explore their opportunities, determine their best-fit educational paths, and develop action plans for achieving their university degrees. Academic advisors facilitate this process. Additionally, advisors advocate for students in the university system, serve as resource brokers for the university community, and help students thrive in a large university setting. Academic advising programs identify relevant and desirable student learning and development outcomes and provide programs and services that encourage the achievement of those outcomes. The most important outcome of academic advising is self-discovery: each student's educational goals are matched with offerings of the university. To that end, advisors are responsible for:

Student Growth and Development

Reinforcing student self-direction and self-sufficiency.

Assisting students in assessing their interests and abilities, making decisions, and developing short-term and long-term plans to meet their objectives.

Discussing and clarifying educational, career, and life goals to assist in the development of a meaningful educational plan.

Assisting students to understand the educational context within which they are enrolled.

Assisting students to make the best academic decisions possible by encouraging identification and assessment of alternatives and consideration of the consequences of their decisions.

Instructing students in the use of course selection tools and registration systems.

Interpreting university policies, procedures, and standards, and clarifying requirements for both general education and their chosen academic major.

Providing current, accurate, and timely information, especially for the selection of appropriate courses and other educational experiences.

Making advising conferences available to students each academic term in a format that is convenient to the student (i.e., in person, by telephone, or online, individually or in groups).

Allowing an appropriate amount of time for students to discuss plans, programs, courses, academic progress, and other subjects related to their educational programs.

Directing students with educational, career or personal concerns, or skill/learning deficiencies to resources and programs on the campus when necessary.

Making students aware of and referring to educational, institutional, and community resources and services (e.g., internship, study abroad, honors, service-learning, research opportunities).

Identifying environmental conditions that may positively or negatively influence student academic achievement and proposing interventions that may neutralize negative conditions.

Evaluating and monitoring student academic progress and the impact on achievement of goals.

Maintaining confidentiality in accordance with the Operating Policies of Texas Tech University and the Family Educational Rights and Privacy Act of 1974.

Departments in each academic college provide academic advisors who specialize in specific majors. Texas Tech also values students who have yet to choose an academic major or who are uncertain of their educational direction. The Texas Tech University Advising Center serves these students through retention-based academic advising and conducts university-wide transition programs to facilitate the persistence and success of all students. When faced with a difficult question or challenging situation, the University Advising Center is always a good place to begin. From here, it's possible. (p. 53)

Tutoring

As explained on page 23 of the *2007-08 Student-Athlete Handbook*, tutorial assistance is available to all student-athletes, trainers, managers, spirit squad members, and staff. Policies and procedures for utilizing the tutorial program have been established to ensure that every student has access to the best tutoring services possible. These policies are outlined in orientation and are

on every tutor request. By filling out a tutor request, the student is automatically agreeing to follow the policies of the tutoring program. Not abiding by these policies may cause delays with a tutoring request and/or problems with the appointment. Tutor request forms are available outside the study lounge in the Marsha Sharp Center. Tutor request forms must be completed properly to schedule an appointment.

Athletic tutors have CRLA Certification (College Reading and Learning Association). The *Athletic Academic Services Tutor Manual* outlines the policies and procedures related to tutoring. The following information about tutoring is taken from official materials within the athletics department:

The tutor request form is located in the tutor manual (last page) that has instructions for the request. Tutors are compensated based on experience and market demand for subject. Generally undergrad tutors start at \$7.00 an hour and graduate tutors start at \$10 an hour—tutor compensation is currently being reviewed. The following is from the Athletic Department Policies and procedure.

12.2 TUTORIAL SERVICES

A comprehensive tutoring program is available to all student-athletes. More than half of the tutors are currently seeking graduate degrees in the fields in which they tutor. Student-athletes complete a tutorial request form at least 24 hours prior to the desired tutoring appointment. The tutorial staff then contacts the tutor to make arrangements for the tutorial session.

The hours to arrange a tutor appointment during the school year are:

Monday through Thursday, 8 a.m. to 9 p.m.

Friday, 8 a.m. to 4 pm

Sunday, 5 p.m. to 9 p.m.

Most tutoring occurs during the evening study hall hours. As many as 35 appointments may take place in one night between the hours of 7:00 p.m. and 10:00 p.m. Tutoring must be done in the Marsha Sharp Center for Student-Athletes, or in special circumstances, in the library. No tutoring is done in residences or living areas of students or tutors.

Tutors must have at least a 3.0 grade point average and a "B" or better in any course they tutor. However, most tutors have well above 3.0. Tutors attend a training and information session at the beginning of each semester. All tutors complete a tutorial session evaluation form for each session. The tutor coordinator reads each evaluation to look for patterns in learning difficulties and to maintain constant records of how many hours of tutoring have taken place.

No-show policy:

- For each no show, the student-athlete will be charged five dollars and contacted via phone and e-mail to notify the student-athlete. The student-athlete will only be allowed one week to pay no show fee. If fee is not paid within the one week span or agreed upon time with the tutor coordinator, then the student-athlete will be cancelled from ALL permanent tutor appointments until fee is paid.
- If student-athlete report legitimate excuse with proof, within the one week span of missed appointment, then the student-athlete may be excused from no show fee.
- Tutors are required to report no shows to tutor coordinator immediately, which will then be documented, filed, distributed to student-athlete's athletic advisor and reported to coaches.

All students also have access to the Learning Center, administered by the university's PASS Center (Programs for Academic Support Services). The Learning Center provides students with a wide variety of services designed to increase their study strategy effectiveness and enable them to get the most out of their education. In-house and online peer tutoring, a self-help computer lab, and individual academic skills counseling provide learning assistance.

Under the direction of Programs for Academic Support Services (PASS), Supplemental Instruction (SI) offers regularly scheduled modified forms of discussion sections in a select number of historically difficult courses. Persistent attendance with SI has proven to assist students in increasing their final course grade as compared to students who do not use SI. A full list of courses that include SI is available at www.pass.ttu.edu (follow the Supplemental Instruction link). These SI services are available to all students in general, including but not limited to student-athletes.

Success Skills

Success skills including study skills, note and test taking, writing and grammar skills, and time-management skills are all part of the Peer Mentoring Program in the Athletic Department's Academic Services programs of peer mentoring and tutoring, and in the programs in athletic orientation for freshmen and transfer students, especially in "Life Skills for Student-Athletes." The manuals of these programs, which are available for review, demonstrate this clearly.

Available to all students, including but not limited to student athletes, the DISCOVERY! Program helps students find direction by examining values, skills, interests, and abilities. The university's catalog explains the following on page 54:

Through a deliberate study of yourself and one-to-one meetings with an academic advisor, you will narrow the range of academic alternatives and be equipped to choose a compatible career. Then, the DISCOVERY! Academic Physical will help you:

Determine your style of procrastination, learn how to manage it, and begin to take action.

Understand how to learn in a classroom in which your preferred learning style is different from the instructor's style of teaching.

Identify your Top 10 Survival Strategies, and design your action plan for success.

DISCOVERY! will help you find your direction to an amazing university experience, an on-time graduation, and a future career field that will be fulfilling and rewarding.

Contact Information: 79 Holden Hall, 806.742.2189; discovery@ttu.edu, www.discovery.ttu.edu.

Also available to all students, The University Writing Center assists writers during the various stages of their writing projects without regard to their status as a student (undergraduate or graduate) or faculty member, their level of proficiency, or their particular college. The center strives to create a supportive environment in which writers and their tutors can work effectively one-to-one either in person or on-screen and online. In addition, the center trains writing tutors to become knowledgeable, effective readers of and responders to texts from various disciplines. Tutors read and respond to texts at any stage of the writing process and address sentence-level issues as well as global issues involving focus, organization, and development. They do not proofread or edit documents for clients but help clients learn to proofread and edit for themselves. The University Writing Center is located in Room 175 of the English/Philosophy Complex and is open from 9 a.m. to 5 p.m. each weekday. Writers may call the center to make appointments for 30-minute sessions. They also may bring their writing projects as either a hard copy or texts on discs. To submit texts electronically, writers may access the University Writing Center through its Web site (<http://english.ttu.edu/uwc01>).

Study Hall

Located within the Marsha Sharp Center is the Verizon computer lab which offers personal computers for student-athletes' use. In addition to the computer lab, there are laptop computers available for check out during team travel. Athletic department staff members (coach/secretary)

must check out laptops, but student-athletes can return them (2007-08 Student-Athlete Handbook, p. 20).

Academic Services monitors a study hall program for student-athletes. The purpose of study hall is to provide an atmosphere conducive to learning. Study hall is held in the Marsha Sharp Center. During study hall, students can meet with tutors or mentors, use computers, or study individually. (2007-08 Student-Athlete Handbook, pg. 22)

All new student-athletes at Texas Tech are required to attend study hall their first semester of enrollment. This includes freshmen and transfer student-athletes. After the first semester, required attendance in study hall is based on academic achievement, your grade point average, and recommendations from coaches and athletic advisors. If these hours are not met, your coach will be notified. See your athletic academic advisor for specific hour requirements. (2007-08 Student-Athlete Handbook, pg. 22).

Below is information from the Athletic Policies and Procedures Manual regarding Study Hall:

12.13 STUDY HALL

The Athletics Academic Services is responsible for staffing and administering a study hall for all scholarship student-athletes. The objective of study hall is to provide an environment that is conducive to learning and to help foster productive study habits for student-athletes. Study hall operates in the Marsha Sharp Center for Student-athletes and includes a computer lab, tutorial/mentor rooms, and a quiet study room. The hours of operation are:

Sunday- 5 p.m. to 10 p.m.

Monday through Thursday- 8:00 a.m. to noon and 1 p.m. to 10 p.m.

Friday- 8 a.m. to noon and 1 p.m. to 5 p.m.

Hour requirements per week are established by the sport program and their respective Academic Counselor.

Total hours are calculated from Sunday till Friday unless special arrangements have been made between the sport program and their respective Academic Counselor.

There is a mandatory Study Hall orientation at the beginning of each school year for those student-athletes who have a study hall requirement. Tutorials are available by request (with 24-hour notification) during study hall hours.

ATTENDANCE POLICIES

The student-athletes who must attend will be decided between the sport program and the respective sport counselor. Student-athletes who are required to attend must check in at a computerized time clock and a weekly report is generated that summarizes study activity for a particular week. This report is sent to coaches who are responsible for discipline of a student-athlete who does not meet their specific time requirement.

COMPUTER LAB

A comprehensive computer lab has been installed in the Marsha Sharp Center for Student-athletes and is available at all times in which the facility is open. The computer lab houses 38 computer terminals equipped with Dell computers, software and flat screen monitors. Each system is equipped with the necessary software for word processing, spreadsheet, database, and graphics applications. In addition, full access to the Texas Tech University network is available via fiber optic cable. Access to this system provides availability to the Internet and other informational databases on the Texas Tech campus. In order to use the computer lab,

the student MUST have a valid email name and password that is obtained during orientation and sign on the policies and procedures statement for the use of the computer lab.

Laptops are available for check-out ONLY to coaches for use during team travel. The sport program is responsible for the laptop once it is checked out.

Freshman/transfer Orientation

As a member of the NCAA CHAMPS/Life Skills Program, Texas Tech provides programs to enhance athletic and academic excellence; promote career and personal development; and encourage community outreach. Life Skills for Student-Athletes is a 2-credit hour course that helps entering freshmen with time management, goal setting, stress management, major and career exploration, and understanding NCAA and Big 12 rules, among other issues. Texas Tech is proud to have a CHAMPS/Life Skills program that was honored as a 2005 Program of Excellence by the D1A Athletic Directors Association. As a Program of Excellence, Red Raider Life Skills provides all TTU student athletes with educational opportunities through career planning events and activities, personal development seminars, and community service events to help obtain necessary skills for life after Texas Tech. Coaches and student athletes also have the opportunity to identify and schedule educational seminars for their teams on a number of topics related to personal development, athletic development, community service, and career development (2007-08 *Student-Athlete Handbook*, p. 21).

Below is information from Athletic Policies and Procedures regarding orientation:

12.9 ORIENTATION SESSIONS

Campus orientation sessions are held at the beginning of each academic year which are mandatory per institutional rules. Athletic Academic Advisors will be available during these sessions to assist with registration and provide direction.

Since the orientation is mandatory, sport programs can elect to pay for the fee attached to orientation from their scholarship budget.

Academic Advisors will go over policies and procedures with their respective assigned sports at the beginning of the academic year and will arrange these times with Head Coaches or designee. Topics include NCAA, Big 12 and institutional rules and the policies and support services offered by the institution and Athletics.

12.10 PRE-ADMISSION COUNSELING

Prior to enrolling at Texas Tech University, all students are required to document compliance with the Texas Higher Education Assessment (formerly known as TASP). Students not exempt must test and provide scores prior to enrollment. Scores are used not only to ensure proficiency, but also to place students in the appropriate course work based upon their specific level of achievement. Students claiming exemption must provide official ACT, SAT, or TAAS (Texas Assessment of Academic Skills) scores, or transcripts of college course work taken which document eligibility for exemption.

Specific departments may require placement exams prior to students enrolling in college level courses. Students not meeting the minimum requirement are placed in appropriate and/or remedial courses until such time as they satisfactorily complete these requirements.

Texas Tech University requires all students to complete various achievement tests that are used for placement purposes prior to initial enrollment. This also assists Academic Services for placement in the tutorial and mentoring programs. Moreover, remediation/tutorial software is available in the student-athlete computer lab for students needing additional assistance.

Academic Progress Monitoring and Reporting

Responsibility for class attendance rests with the student. Regular and punctual attendance to all scheduled classes is expected. Some instructors and/or professors may penalize your grades due to absences. The staff of Academic Services checks the class attendance of student-athletes. Penalties for missing classes are determined by the individual head coach of each sport

During the semester, Athletic Academic Services requests grade reports from the instructors of all student-athletes. The feedback from instructors helps the athletic academic advisor pinpoint problem areas and determine what course of action needs to be taken to correct any problems. All grades are reported back to the student athlete's head coach. (2007-08 *Student-Athlete Handbook*, p. 10)

Assistance for Special Academic Needs

The university and athletics department provide for diagnosis and treatment of learning disabilities through several programs and support services.

The *Undergraduate Academic Support Resource Guide* provides information about the many and varied services available to all students, including, for example, the following:

PASS Center: www.pass.ttu.edu

Student Ombudsman: www.ttu.edu/ombudsman

Academic Testing Services: www.depts.ttu.edu/testing

Academic Advising Center: www.depts.ttu.edu/actt

Career Center: www.depts.ttu.edu/careercenter/mainBG.php

Center for Campus Life: www.campuslife.ttu.edu

Cross Cultural Academic Advancement Center: www.depts.ttu.edu/diversity

Housing and Residence Life: www.housing.ttu.edu

IS 1100 Tech Transition: www.is1100.ttu.edu

Language Learning Laboratory: www.depts.ttu.edu/classic_modern/lang/lab/place.htm

Mentor Tech: www.mentortech.ttu.edu

Student Counseling Center: www.depts.ttu.edu/scc

University Writing Center: <http://english.ttu.edu/uwc01>

XL0201 Strategies for Learning: www.depts.ttu.edu/passxl

The above is a partial list of university-wide resources; many other resources within specific academic departments and colleges are also available.

All students are eligible to access the university's Student Disability Services and the university's TECHniques Center.

The Student Disability Services (www.studentaffairs.ttu.edu/accesstech) is operated with the Division of Student Affairs. There is no charge to be part of Student Disabilities Services. This program provides a supportive learning community for students with documented disabilities by providing reasonable academic accommodations. Such accommodations might include, for example, sign language interpreters, books on tape, auxiliary aids, and other academic needs

(such as notetakers) deemed appropriate to meet the letter and the spirit of ADA accommodations.

The TECHniques Center (www.techniques.ttu.edu) is a fee-for-service academic enhancement program that is the only one of its kind in Texas. The program provides supplemental academic support services to meet the needs and promote the retention of undergraduate students with documented evidence of learning disabilities and attention deficit disorders. Student participants are undergraduates majoring in degree programs that they have chosen. They are expected to meet the same academic requirements and have the same curricula as other students. Qualified staff members work closely with students enrolled in this program to provide support, assistance, and guidance. Certified tutors provide interactive study skills and content tutoring and are trained to work with each student's individual learning style.

Learning Assessments

Within the athletic department, provisions are made for testing and evaluating students' learning ability. Incoming student athletes will be sent a questionnaire and assessment and will have transcripts and test scores reviewed to see if there is a possibility of a learning disability. Also incoming student-athletes may undergo the Wide Range Achievement Test (WRAT) to test for learning differences and/or deficiencies by the learning specialist. If a student-athlete needs to be formally tested because contemporary or sufficient testing is not available the student-athlete is responsible for the expense. The respective head coach can also choose to fund this expense testing to determine if any special academic needs exist. In addition to these learning assessments within athletics, all students in Texas take certain required standardized tests (now called THEA, formerly known by TASP, TAAS, and other acronyms) to determine their achievement of basic skills. In addition, athletes as well as all students in general have access to all of the university's Programs for Academic Support Services (PASS, see web address above), which include various testing, evaluation, and accommodation programs.

All questions and testing results in Athletics are used to identify and develop the proper academic support tailored to the needs of the individual student.

Mentoring

The goal of the Academic and CHAMPS/Life Skills Mentor Programs in the Academic Services division of Athletics is to foster an environment that would enable individual academic growth and to provide the success skills necessary to develop independent learners. The CHAMPS/Life Skills Mentor Program is designed to ease freshmen and transfer student athletes in their transition to Texas Tech University while providing an introduction to various success skills and programs. The basis of the program is to foster the student athletes' growth in each commitment area of the CHAMPS/Life Skills Program: Academics, Athletics, Personal Development, Career Development, and Community Service.

The Academic Mentors work with the APEX Program. The mission of the APEX Program is to assist the student athlete with success in college and beyond. The program utilizes campus resources to provide maximum support for the student athletes' academic pursuits. It also works on strategies for studying, test taking, note taking, as well as any other learning concerns a student-athlete may encounter. Mentoring is a one-on-one relationship between a student-athlete and another student who has achieved academic success by maintaining an excellent grade point average while balancing campus involvement. Mentors receive specialized training and are required to attend regular meetings for continuous improvement. They are here to assist you in the transition to Texas Tech and should be considered role models. Mentors assist you with a wide variety of topics including time management, study skills, and major/career exploration. Student-athletes will meet with their assigned mentor every week to develop study skills and

explore various other topics concerning academics at Texas Tech. Mentoring appointments are held in the individual rooms in the Marsha Sharp Center and will count as study hall credit (2007-08 Student-Athlete Handbook, p. 24).

Student athletes may also avail themselves of mentoring services available to all students, including the Pegasus program, available to first-generation college students, and MentorTech, available to all students with some emphasis on students from traditionally underrepresented groups. The McNair Scholars Program, which prepares first generation college students for doctoral study, and the Cross Cultural Academic Center also provide mentoring services for all students at Texas Tech.

Post eligibility Programs

5th Year Scholarships – 5th year aid is only available to student-athletes who have exhausted eligibility and who still lack hours to complete their undergraduate degree. 5th year aid is not available to student-athletes who have graduated and exhausted eligibility. Once awarded, you must enroll and stay enrolled in at least 12 degree applicable hours during the long semester or 6 degree applicable hours during the summer session unless otherwise approved. In addition, any course that is withdrawn from, failed, or if a “D” is earned where a “C” is needed for degree programs, the student will be required to reimburse part or all of the 5th year aid scholarship. Other restrictions do apply and will be strictly enforced so please see your respective athletic academic advisor. 5th year scholarships are not guaranteed to all student-athletes that apply. (2007-08 Student-Athlete Handbook, pg. 11)

Other Programs

Student-Athlete Opportunity Fund: The Student-Athlete Opportunity Fund (SAOF) is established to pay costs for student-athletes that arise in conjunction with participation in college sports, enrollment in an academic curriculum or costs designated by an institution to recognize academic achievements. Allocations from the SAOF may also be utilized to supplement funds provided by the NCAA for the Special Assistance Fund. All student-athletes are eligible to receive SAOF allocations. Examples of past uses include summer school books and health insurance premiums for international students. Prohibited uses include salaries, tuition, room and board, books (except for summer school costs and fifth or six year aid), capital improvements, or stipends for student-athletes. An SAOF Committee administers the funds and is comprised of staff and students. The policies governing this fund are clearly set forth in the document “Student-Athlete Opportunity Fund Policies and Procedures,” and the application form is also clear.

Summer School Scholarships: Applications for summer scholarships (based on the amount of aid received during the academic year) at Texas Tech will be available in March and must be submitted to your sport advisor in early May. Summer school scholarships can only be applied to courses taken at Texas Tech University. Restrictions do apply and are strictly enforced. Approval for summer school aid is not guaranteed. (2007-08 Student-Athlete Handbook, pg. 11)

Summer Bridge Program: Texas Tech offers a Summer Bridge program for all scholarship student-athletes who would like to get a ‘head start’ on their academic course work before entering the fall term. This program is intended to better acclimate student-athletes to our campus and the rigors of higher education. Restrictions do apply so interested student-athletes must contact their respective sport advisor or their recruiting coach to evaluate the benefits of this program for their individual academic success. (2007-08 Student-Athlete Handbook, pg. 11)

The Center for Campus Life and the Student Ombudsperson are options for all students to seek assistance.

6. Please submit a copy of the report from the academic support services review to your NCAA staff liaison with the submission of your self-study report. [Please use the file upload link contained

within this question on the athletics certification system (ACS) database to submit a copy of your most recent academic support services review.]

We will make available to the peer review team our most recent Athletic Council review (Summer 2007), but also plan to complete an additional review of academic support services during Spring 2008 [see 2.2(7)].

7. Describe relevant corrective actions planned or implemented from the academic support services review.

Our answers to the questions in this self-study instrument, especially questions 3 in 2.1 and 2.2 above, outline the actions we have planned or implemented in response to reviews of academic support services by our university's Athletic Council. The Athletic Council's Committee on Academic Integrity reviews academic support services annually.

In the process of doing this self-study, we have come to realize that NCAA requirements stipulate a specific type of review of academic support services every three years. As of December 2007, we are in the process of developing a plan to implement that review and, at present, it is our recommendation that the Provost's Office arrange such a review within the next year. The review will cover a specified checklist and will be conducted with input from the appropriate academic elements (faculty, academic advisors, and academic administrators) across campus. The details of the plan are being worked out at the present time and will be included in the revised answer to this question which will be prepared in Spring 2008.

Following the advent of the Academic Progress Rate measuring all athletic teams, we recommend that the Athletic Council in particular closely monitor and evaluate the Athletics Department's efforts and outcomes related to retaining and graduating student-athletes. We recognize there is current deficiency in the sport of baseball in meeting NCAA required thresholds, but we also acknowledge recent improvements in baseball. However, until baseball meets the required NCAA 4 year threshold rate, there should be continuous monitoring and review of the APR Improvement Plan for baseball by the Athletic Council, by Academics through the Office of the Provost, and by the APR Improvement Plan Committee.

We recommend that the Athletic Director annually review resources for Academic Support Services within Athletics to ensure that appropriate support services and staff are available to serve student-athletes, especially those who are at-risk academically.

Evaluation and Plan for Improvement

Given the responses to the Academic Integrity self-study items, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.] Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, which include/meet the following required elements: (a) standalone and in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of a plan.]

As we have conducted this self-study, we have developed several recommendations for the university. These include the following:

We recommend that wording in the Student Athlete Handbook concerning academic suspension (page 12) be updated so as to reflect verbatim the current wording in the University's Undergraduate Catalog concerning academic suspension.

We recommend that the Office of Admissions consider distinctive coding for students in the different categories of admission (assured admits, reviewed admits, re-evaluated admits, and transfer admits), including distinctive coding for the various subcategories of assured admits due to an offer of aid (that is, different codes for students admitted with athletic aid, academic aid, musical aid, artistic aid, or any other scholarship aid category), so that the academic progress and graduation rates of cohorts in each of these categories can be tracked and assessed.

Furthermore, we recommend that another layer of tracking of student-athletes be considered so that it will be possible to identify at the time of their arrival on campus those student-athletes who would not have been admitted as assured admits or reviewed admits but for the offer of aid. Such identification help the university analyze the retention and graduation rates for student-athletes and would also enable Athletic Academic Services to work more closely with students and provide them with appropriate services and programs.

This information is not currently being tracked. However, as a result of subcommittee discussion during Fall 2007, a retrospective analysis was conducted in the Office of the Provost that suggests in Fall 2004, 55 students in general and 15 student athletes were admitted automatically with an offer of aid who might not have ordinarily been admitted under assured admissions based on GPA and test scores or under reviewed admissions according to our holistic review procedures. In Fall 2005 65 students in general and 27 student-athletes were admitted automatically with an offer of aid who might not have ordinarily been admitted under assured admissions based on GPA and test scores or under reviewed admissions according to our holistic review procedures. In Fall 2006, 76 students in general and 24 student-athletes were admitted automatically with an offer of aid who might not have ordinarily been admitted under assured admissions based on GPA and test scores or under reviewed admissions according to our holistic review procedures. We believe this analysis is important for fully understanding our retention and graduation rates and for addressing the needs of such students who may need additional attention to succeed academically.

Equity and Student-Athlete Well-being

This is the working draft for the Equity and Student-Athlete Well-being section of our report.

OP 3.1: Gender Issues

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 noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The CAC imposed no corrective actions or conditions on the university with regard to gender equity.

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 noncompletion of such required actions.

Our first-cycle institutional plan for improvement included the following seven items.

1. Improve Facilities for Track, Soccer, Basketball, Volleyball, Softball, Tennis, and Golf

- a. Our original plan was to build a locker room and offices for track and soccer and purchase a track and soccer scoreboard by 1997; develop the basketball and volleyball arenas by 1999; start constructing a \$2.5 million softball stadium with VIP boxes by 2000; add lighting to the softball, tennis, and soccer facilities, and purchase portable covered benches for soccer teams and officials by 2000; add coaching offices, storage, locker, and rest rooms to the golf course by 2000; begin constructing a tennis facility suitable for a Big 12 tournament and including permanent seating for at least 1,800 people by 2001; construct a correctly dimensioned soccer field by 2001; and resurface the indoor track by 2001.
- b. We completed a locker room and offices for the track and soccer programs, purchased a new scoreboard for soccer, and built a new soccer field. The men’s and women’s basketball and volleyball teams have trained and played in the United Spirit Arena since 1998. Although we began building the softball program’s Rocky Johnson Stadium on schedule, and the original structure includes the proposed lighting, construction problems have forced us to renovate the facility significantly since then. The McLeod Tennis Facility opened on time, and features 12 lit outdoor courts with seating for up to 1,000. We resurfaced the indoor track as planned.
- c. We built the track and soccer locker room and offices in [YEAR], and bought the soccer scoreboard in [YEAR]. The United Spirit Arena opened in 1998, a year ahead of our deadline. In 2001, we completed the Rocky Johnson Stadium and the McLeod Tennis Facility with lighting for both, and resurfaced the indoor track. We have been renovating sections of the softball stadium since 2007, the same year that we completed the new soccer field. Tennis and softball staff began using their offices and storage in [YEAR].
- d. Our first-cycle plan had assumed that track and soccer could share facilities, but we realized that each program needed more space in which to operate effectively. We will separate the two sports’ facilities and complete construction on the new soccer field by Fall 2008. Construction for soccer will include amenities such as locker rooms, restrooms, concession stands, and [permanent? quality?] seating. Current soccer facilities do not have covered benches for teams or officials. The track scoreboard still needs replacing, and the athletics department is planning to make TTU track facilities suitable for hosting the 2009 Big 12

Conference Outdoor Track Championship. [What's our explanation for being 6 years behind on the soccer construction? What were we prioritizing instead?]

We began renovating the Rocky Johnson Stadium field and dugout in Fall 2007. Silos and ground compaction had caused the field and dugouts to sink, and it was no longer safe to use the facility. Because of these construction problems, we have not yet added the VIP boxes specified in our 1999 improvement plan. Our golf course plans are as yet unmet because of structural problems with the proposed site.

[Is a committee studying how to resume the golf course work, or have alternative arrangements been made that satisfy the requirements of the current program? Do we have an explanation for not meeting the seating plan in the new tennis facility?]

2. *Increase Numbers of Women Applicants for Administrative and Coaching Jobs*

- a. In 1999 we planned to increase the number of women who applied for athletics administrative and coaching jobs. Our plan did not propose any quotas.
- b. In FY 2000, 41% of all athletics department staff members were women, and by FY 2007, that overall percentage was 37%. The female-male ratio decreased in part because the department gained five male assistant coaches between 2000 and 2007. During the same period, however, we also increased the number of female head coaches from 3 to 5, and promoted a female from assistant head coach to associate head coach for the track program.
- c. The two new female head coaches were hired in [YEAR], and the new track associate head coach, in [YEAR].
- d. The number of women in academic counseling, strength training, compliance, operations, marketing and promotions, and fundraising has increased since 1999, and the athletics department plans to continue hiring qualified females for such significant roles. The athletics director and each department head will remain responsible for developing applicant pools for these positions that include qualified women and minority candidates.

3. *Increase Number of Staff Equipped to Meet Female Student-Athlete Needs*

- a. Our first-cycle improvement plan made Gerald Myers (Athletics Director) and Judi Henry (Senior Woman Administrator) responsible for increasing the number of program staff who could address the needs of our female student-athletes. We included no quotas in that target.
- b. We ended FY 2000 with four female program counselors. In FY 2007, although we had one less senior female counselor, we had 12 more women in the athletics administration, as well as two female head coaches and a female track associate head coach. Each of these women is ideally placed to address the needs of our female student-athletes. In addition, we hired one female full-time operations director each for softball and women's basketball, and a female full-time administrative assistant to support both soccer and [NAME], the senior associate director for sports medicine. Two of our eight full-time athletics trainers are now female, and a female full-time strength and conditioning coach works with several of the women's sports teams.
- c. [List of new administrators] [Year hired]
 - Head coach 1
 - Head coach 2
 - Track associate head coach
 - Softball operations director

- Women's basketball operations director
- Soccer and sports medicine AD assistant
- Athletics trainer 1
- Athletics trainer 2
- Strength and conditioning coach
- d. In [YEAR], the university revamped its human resources and hiring practices. A particularly significant change was the introduction of a comprehensive job-search website that centralizes applications for open positions in all university departments, including Athletics. With the new website, applicants can self-disclose EEO data such as their gender, but they are not required to do so, and the EEO Office removes such data from applications before forwarding them to hiring managers. Consequently, our ability to track female applicants sometimes depends on applicants disclosing their status while they apply or are recruited.
4. *Regularly Review the Athletics Program for Title IX Issues*
- a. In the first certification cycle, we tasked Gerald Myers (Athletics Director), Judi Henry (Senior Woman Administrator), the President's Office, and the university's Office of General Counsel with ensuring that the athletics program completed regular Title IX reviews.
- b. Since 1999, Texas Tech University's Office of Audit Services (OAS) has completed two Title IX audits of the athletics department. OAS functions independently of all other university departments including athletics, and reports directly to the Board of Regents' audit committee.
- c. The auditors completed their reviews in 1999 and 2005.
- d. This subcommittee recommends that the OAS conduct a Title IX audit every three years, and that the Senior Associate Athletics Director/Senior Woman Administrator be responsible for support the auditing process.
5. *Implement Student-Athlete Exit Interview System*
- a. In our last self-study report, we planned to develop and implement a systematic process for conducting student-athlete exit interviews and analyzing the interview data.
- b. Judi Henry (Senior Associate Athletics Director, Senior Woman Administrator) and Steve Downing (Senior Associate Athletics Director for Internal Affairs) remain responsible for managing the exit interview process from design through distribution and analysis. As of Fall 2007, each team will also be surveyed annually, and the department will be able to compare annual survey data with exit data. The response rate for exit interviews is now 40%, quite a strong rate for surveys, and the exit interviews yield information useful to the Diversity Committee and the Student-Athlete Advisory Committee.
- c. --
- d. The Equity and Well-being subcommittee proposes that the Athletics Director become more immediately involved in the exit survey process to help students perceive it as more important and to underscore the value that the department places on their feedback. A face-to-face briefing with the Athletics Director might make students more likely to respond to a subsequent written survey instrument. The department may also consider issuing follow-up instruments to new athletics alumni six months after they have graduated.
6. *Review the Student-Athlete Room Accommodation Policy*

- a. Our first-cycle plan to review the student-athlete room accommodation policy arose from our concern that the department begin to limit the number of athletes sharing rooms when their teams traveled.
 - b. We revised the department's operating policies, including the OPs for travel. These policies limit how many dollars the department may authorize for each room, and also address how many persons may occupy a single room. The new policy on lodging states that "student-athletes should be housed in hotels according to the number of beds in the room" (*Department of Intercollegiate Athletics Policy and Procedure*, §5.64, 2007).
 - c. The new athletics operating policy manual was revised through Fall 2007, and published on the departmental website in October 2007 (<http://texastech.cstv.com/ot/athopmanual.htm>).
 - d. This plan was implemented.
7. *Review Staff Salary Differences and Adjust Where Appropriate*
- a. In 1999 we planned to review athletics staff salaries and adjust them if there were gender-based inequities.
 - b. Although the department has not yet completed its own staff salary review, the Athletic Council has completed internal reviews and some staff salaries have been adjusted since 1999.
 - c. --
 - d. In addition to continued Athletic Council review, this committee recommends that the athletic department's deputy athletics director and chief financial officer initiate an independent salary review during the 2008 financial year.
3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 3.1 (Gender Issues) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.
1. *Extend Facilities for Tennis and Softball.*
 - a. After 1999, we completed additional construction to support the tennis and softball programs.
 - b. We constructed a separate building with shared lockers, showers, and restrooms for the tennis and softball teams. The building is situated between the teams' training and playing areas, and provides the tennis coaches with two small offices and softball players with a small equipment storage closet. The building also includes a satellite athletic training room.
 - c. The shared amenities for tennis and softball were completed with the stadium and courts in [2001].
 - d. At 10 units, the locker space in the facility is only minimally adequate for women's tennis, and is too small for both softball and men's tennis. There is insufficient space to accommodate visiting or competing teams. Further, neither the tennis nor the softball facilities include permanent ticket offices, concessions, or restrooms for fans. This means that fans must exit the sports grounds to use concessions or restrooms. [Is the committee planning to recommend that the university address these issues?]
 2. *Increase Coach Involvement in the Acquisition of Equipment.*
 - a. Surveys of coaching staff indicated that some coaches were dissatisfied with the equipment acquisition process, and so the department made some changes to address that.
 - b. The department moved a football equipment staff member to the Jones stadium and tasked [him? her?] with creating and implementing a new equipment and supplies ordering process

- for one of the team's suppliers. We expect this new process will alleviate coaches' concerns about equipment acquisition and also smooth their access to the supplies they need.
- c. We moved and recommitted this staff member in [YEAR].
 - d. We have no further recommendations for this item.
4. Explain how the institution is organized to further its efforts related to the gender issues operating principle for both athletics department staff and student-athletes, and provide evidence that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis. The athletics department routinely discusses gender diversity issues in its administrative retreats and departmental staff meetings, and has included goals for increasing gender diversity in its current 5-year strategic plan. In 2006, we formed a Diversity Committee to study departmental hiring practices, evaluate staff and students' diversity awareness and education, and collect diversity data. The program's diversity policy statement, which addresses staffing demographics, is currently under review [by whom?].
5. Using your institution's completed Equity in Athletics Disclosure Act survey form and the worksheets for the three most recent academic years for which the information is available, analyze, explain and address any discrepancies through institution's gender-equity issues plan for the future, in the data between male and female student-athletes and comment on any trends or significant changes.
- We reviewed EADA forms and worksheets for 2004, 2005, and 2006.
- We observed that women are represented less in the student-athlete population than they are in the general undergraduate student body. Whereas women make up approximately 45% of the general student population, they represent about 35% of the student-athlete population. Further, between 2004 and 2006, the percentage of female student-athletes decreased from 45.4% to 44.8%, a 0.6% difference equaling 69 fewer female student-athletes. We attribute this decrease primarily to changes in the athletics department's roster management practices and secondarily to more accurate participant reports since 2005. Roster management caps the number of student-athletes that the department can offer scholarships and efficiently train, and it also limits the number of walk-ons that coaches may accept.
- In 2004, the department monitored and limited team squad sizes. Between 2005 and 2006, however, the department stopped managing team rosters, and we have found that, without management, women's team rosters have become smaller while men's rosters have stayed roughly the same size. This has increased our male-female participation gap.
- In the same period, however, we also discovered a reporting error that overemphasized how many more males than females participate in athletics at Texas Tech University. In 2004, the compliance unit's routine forms reported female track team members twice, once as part of the women's track team, and again as women's cross country team members. Although this error created a stark dip in recent female participant statistics, we corrected that error in our subsequent reports, and participation numbers since 2005 have been more accurate. The department plans to reintroduce roster management to help decrease the disparity, increase under-rostered women's teams, and reduce over-rostered men's teams.
6. Using the program areas for gender issues, provided as Attachment No. 2 on Page 36, please a. Describe how the institution has ensured a complete study of each of the 13 areas; b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the 13 areas; c. Identify areas of deficiency and comment on any trends. If the institution identifies any areas of deficiency, include the deficiency in the institution's gender-equity issues plan for the future; and d. Explain how the institution's future plan for gender issues addresses each of the 13 areas. [Note: The institution may want to refer to the equitable medical care

section of the NCAA Sports Medicine Handbook Guideline No. 1 as a guide in responding to Item No. 9 of the program area checklist.

During the course of this self-study, the equity and student-athlete well-being subcommittee collected data on all 13 gender equity program areas, and discussed the athletics department's activities in each one. [The committee will discuss this again during Spring 2008.]

1. *Athletics Scholarships* – Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.
2. *Accommodation of Interests and Abilities* – Participation proportionate to enrollment; and/or, history and continuing practice of program expansion for under-represented sex; and/or, fully and effectively accommodate under-represented sex; equivalent levels of competition. Please note, when presenting gender-equity plans for the future, institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities.
3. *Equipment and Supplies* – Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.
4. *Scheduling of Games and Practice Time* – Number of games; number, length and time of day of practices; time of day of games; preseason and postseason opportunities.
5. *Travel and Per Diem Allowance* – Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.
6. *Tutors* – Availability – procedures and criteria for obtaining assistance; Assignment – qualifications, training, experience, etc.; Compensation – rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
7. *Coaches* – Availability – full time, part time, assistant, and graduate assistants; Assignment – training, experience, professional standing and other professional qualifications; Compensation – rate of compensation, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions and other terms and conditions of employment.
8. *Locker Rooms, Practice and Competitive Facilities* – Quality, availability and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.
9. *Medical and Training Facilities and Services* – Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletic trainers; health, accident and injury insurance coverage.
10. *Housing and Dining Facilities and Services* – Housing provided; special services as part of housing; dining arrangements.
11. *Publicity* – Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.
12. *Support Services* – Administrative, secretarial and clerical support; office space.
13. *Recruitment of Student-Athletes* – Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective athletes.

Although other committees are responsible for reviewing athletics department progress over the last 10 years, the NCAA requires that Equity and Student-Athlete Well-being program reviews focus on the current year and be conducted during the course of the self-study. The Equity and Student-Athlete Wellbeing subcommittee is in the process of reviewing the athletics department's conformity with NCAA operating principle 3.1, and will complete its review later in the Spring 2008 semester.

7. Plan for Improvement

As required by the NCAA, the plan for improvement for Equity and Student-Athlete Well-being operating principle 3.1 will address all 13 program areas and be based on this year's program

review, which is currently underway. Both program review and plan for improvement will be completed later in the Spring 2008 semester.

1. *Athletics Scholarships* – Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

a. The subcommittee identified no issues with regard to scholarship disbursement: the athletics department fully funds all programs so that each sport distributes the maximum allowable amount of scholarships to student-athletes. This plan will help us to maintain that situation.

However, the subcommittee does recommend regular review of the athletics department's male-female participation ratios so that both scholarships and participation are equitable. Current participation ratios (65:35) advantage male athletes and the men's teams.

b. Measurable goals:

i. Continue educating student-athletes about the scholarships and resources available to them.

ii. Continue funding all permissible student-athlete scholarships.

iii. Review participation data for all team rosters annually and make recommendations that support equitable participation for male and female student-athletes.

c. Steps to achieve goals [This will need expansion]

i. Review current education and publicity for university-wide and student-athlete-specific funding opportunities.

ii. Review funding allocations to male and female student-athletes

iii. Reintroduce roster management for both men's and women's teams

d. Responsible: Gerald Myers, Athletics Director; Gender Equity and Diversity Committee

e. Specific timetable for completing the work: Ongoing through 2007-2012

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

a. Issues identified

b. Measurable goals

c. Steps to achieve goals

d. Individuals or officers responsible for implementation

e. Specific timetable for completing the work

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

a. Issues identified

b. Measurable goals

c. Steps to achieve goals

d. Individuals or officers responsible for implementation

- e. Specific timetable for completing the work
4. *Scheduling of Games and Practice Time* – Number of games; number, length and time of day of practices; time of day of games; preseason and postseason opportunities.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
5. *Travel and Per Diem Allowance* – Modes of transportation; housing furnished during travel; length of stay before and after competitive events; dining arrangements and per diem.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
6. *Tutors* – Availability – procedures and criteria for obtaining assistance; Assignment – qualifications, training, experience, etc.; Compensation – rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
7. *Coaches* – Availability – full time, part time, assistant, and graduate assistants; Assignment – training, experience, professional standing and other professional qualifications; Compensation – rate of compensation, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions and other terms and conditions of employment.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
8. *Locker Rooms, Practice and Competitive Facilities* – Quality, availability and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation

- e. Specific timetable for completing the work
9. *Medical and Training Facilities and Services* – Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletic trainers; health, accident and injury insurance coverage.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
10. *Housing and Dining Facilities and Services* – Housing provided; special services as part of housing; dining arrangements.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
11. *Publicity* – Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
12. *Support Services* – Administrative, secretarial and clerical support; office space.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work
13. *Recruitment of Student-Athletes* – Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective athletes.
- a. Issues identified
 - b. Measurable goals
 - c. Steps to achieve goals
 - d. Individuals or officers responsible for implementation
 - e. Specific timetable for completing the work

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

The equity and well-being subcommittee developed its gender equity improvement plan in committee meetings through Fall 2007. Subcommittee members include current student-athletes, athletics department staff and administrators, faculty members from a variety of colleges, and university administrative representatives. This plan [will be] reviewed by Gerald Myers (Athletics Director), Judi Henry (Senior Woman Administrator), Provost Bill Marcy and the self-study steering committee, and President Jon Whitmore.

OP 3.2: Minority Issues

1. List all “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Minority Issues). In each case, provide: (a) the original “corrective action,” “condition” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The CAC imposed no corrective actions or conditions on the university with regard to minority equity.

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

Increase Numbers of Minority Applicants for Administrative and Coaching Jobs

- a. Our first cycle plan for equity and well-being included increasing the number of minority applicants for administrative and coaching jobs. Our recommendation included no quotas.
- b. In FY 2000, 21% of departmental staff members were ethnic minorities. By FY 2007, although we had hired eight new minority staff members, minorities accounted for 19% of the total athletics staff. Between the last cycle and the present one, Steve Downing joined the athletics administration as senior associate athletics director for internal affairs, and [name] became one of our five associate athletics directors. We also added a Black female assistant coach to the [Sport] team, and a Hispanic male assistant coach to [Sport], and other minorities joined the unit management and coordination staff.

| c. New administrators and coaches | Demographics | Year hired |
|-------------------------------------|-----------------------|------------|
| Senior associate athletics director | Black, Male | |
| Associate athletics director | Black, Male | |
| Head coach | Black, Male | |
| Assistant coach 1 | Black, Female | |
| Assistant coach 2 | Hispanic, Male | |
| Unit coordinator | Asian/Pacific, Male | |
| Unit supervisor | Hispanic, Male | |
| Unit manager 1 | Asian/Pacific, Female | |
| Unit manager 2 | Hispanic, Male | |

- | | |
|---------------|------------------|
| Coordinator 1 | Black, Female |
| Coordinator 2 | Hispanic, Female |
- d. The university revamped its human resources and hiring practices in [YEAR]. One of the major additions was a comprehensive job-search website that helps the university to centralize applications for open positions in all university departments, including Athletics. With the new website, applicants can self-disclose EEO data such as their ethnicity and gender, but they are not required to do so. Our ability to track minority applicants thus partially depends on their disclosing their status during the job application or recruitment process.

The Athletics department has also continued to advertise open TTU positions using the NCAA's and Big 12 Conference's news bulletins and employment listings. When jobs are available, the senior administrators including Steve Downing and Judi Henry discuss how to better attract and hire minority candidates. Current workers in each Athletics sector have also developed their own informal, sector-specific networks for advertising new jobs to potential team members. Applicants for key positions such as head coach or coach are usually pursued directly on the basis of their reputation.

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

[Changes since 1999]

Integrate Diversity Initiatives into Institutional Strategic Planning and Operations

- a. Under President Jon Whitmore, the university began looking for ways to further integrate diversity initiatives into its strategic and operational goals.
 - b. The campus established the Office of Institutional Diversity and hired a Special Assistant to the President for Diversity in 2004. That year, President Whitmore issued a statement that introduced the campus to Dr. Muñoz and his office. The statement described the university as "open to the expansion of its multicultural community" and reinforced the university's strategic commitments to increasing student and faculty diversity. Still headed by Dr. Muñoz, the Office of Institutional Diversity supports campus diversity education, sensitivity, and mentorship programs and oversees recruitment efforts targeted at minority staff or students.
 - c. Dr. Muñoz joined TTU as an assistant professor and presidential assistant in 2004.
 - d. The university completed this strategic improvement, and continues to evaluate its institutional diversity programs.
4. Explain how the institution is organized to further its efforts related to the minority-issues operating principle for both athletics department staff and student-athletes and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.

Increasing diversity among staff and students has been an explicit part of the university's recent strategic plans and operations. Between Fall 2000 and Fall 2005, for example, incoming freshmen and transfer class diversity increased 2.3 and 3.1% respectively. Since 2004, through the Office of Institutional Diversity, the university has developed several effective diversity initiatives in all twelve academic schools and colleges, and in nonacademic units such as University Housing and Athletics.

In 2006, the athletics department formed the [#]-member Diversity Committee to study departmental hiring practices, evaluate staff and students' diversity awareness and education,

and collect diversity data. The program's diversity policy statement, which addresses staffing demographics, is currently under administrative review.

5. For the three most recent academic years, provide the racial or ethnic composition for (a) full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); (b) other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); (c) full and part-time head coaches; (d) full- and part-time assistant coaches (including graduate assistant and volunteer coaches); (e) faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and (f) other advisory or policy-making group (e.g., governing board for athletics, student-athlete advisory committee) members (if any). Analyze and comment on any trends over the three-year period. [Note: Use the supplied chart (Racial or Ethnic Composition on Page 33) to compile the data requested in this self-study item.]

Chart, p. 33 – [Status]

Trends Analysis:

6. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally. [Note: Use the supplied chart (Racial or Ethnic Composition on Page 34) to compile the data requested in this self-study item.]

Chart, p. 34 – [Status]

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

Chart, p. 35 – [Status]

8. Using the eight program areas for minority issues, provided as Attachment No. 3 on Page 37, please: a. Describe how the institution has ensured a complete study of each of the eight areas; b. Provide data demonstrating the institution's commitment across each of the eight areas; c. Identify areas of deficiency and comment on any trends. If the institution identifies any areas of deficiency, include the deficiency in the institution's minority-issues plan for the future; and d. Explain how the institution's future plan for minority issues addresses each of the eight areas.

During the course of this self-study, the equity and student-athlete well-being subcommittee collected data on the 8 minority equity program areas, and discussed the athletics department's activities in each area.

1. *Institutional and Athletics Department Commitment* – Development and maintenance of written statements that address the issues of diversity.]

- a. [Commitment] Texas Tech University's most recent strategic plan includes "embracing diversity" as one of the institution's core values. The strategic plan also proposes that university departments increase staff and student diversity by focusing on the recruitment, retention, and graduation of diverse students.

The athletics department's own strategic plan also addresses diversity. During the 2007-2008 school year, the department drafted a written statement that explained the role of diversity in athletics.

- b. [Deficiencies]

- c. [How improvement plan addresses deficiencies]
2. *Evaluation* – Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
3. *Organization and Structure* – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
4. *Enrollment* – Goals of the institution for enrollment of minority students and minority student-athletes.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
5. *Comparison of Populations* – Examination of the student population and comparison of the percentage of minority student-athletes in all sports, by sport, to ensure that there are no signs of discrimination revealed through the recruitment practices of the institution.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
6. *Participation in Governance and Decision-Making* – Involvement of minority student-athletes in the governance and decision-making processes of the athletics department, and provision of leadership opportunities (e.g., participation on student-athlete advisory committee) for minority student-athletes.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
7. *Employment Opportunities* – Establishment of goals for minority employment opportunities in the athletics department and the encouragement of promotion and hiring of minority coaches and administrators.
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]
8. *Programs and Activities* – Establishment of programs that address the needs and issues affecting minority student-athletes
- a. [Commitment]
- b. [Deficiencies]
- c. [How improvement plan addresses deficiencies]

Although other committees are responsible for reviewing athletics department progress over the last 10 years, the NCAA requires that Equity and Student-Athlete Well-being program reviews focus on the current year and be conducted during the course of the self-study. The Equity and Student-Athlete Wellbeing subcommittee is in the process of reviewing the athletics department's conformity with NCAA operating principle 3.2, and will complete its review later in the Spring 2008 semester.

9. [Plan for Improvement]

As required by the NCAA, the plan for improvement for Equity and Student-Athlete Well-being operating principle 3.2 will address all 8 program areas and be based on this year's program review, which is currently underway. Both program review and plan for improvement will be completed later in the Spring 2008 semester.

1. *Institutional and Athletics Department Commitment* – Development and maintenance of written statements that address the issues of diversity.

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

2. *Evaluation* – Periodic review of athletics department activities for consistency with goals and objectives set forth in the institution's and athletics department's written commitments to diversity.

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

3. *Organization and Structure* – Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance diversity.

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

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

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

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

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

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

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

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

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

8. *Programs and Activities* – Establishment of programs that address the needs and issues affecting minority student-athletes

- a. Issues identified
- b. Measurable goals
- c. Steps to achieve goals
- d. Individuals or officers responsible for implementation
- e. Specific timetable for completing the work

OP 3.3: Student-Athlete Well-being

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

The CAC imposed no corrective actions or conditions on the university with regard to student-athlete well-being.

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

Texas Tech University included no plans for improving student-athlete well-being in its first cycle report.

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

[Changes since 1999: The athletics department will need to contribute items to this section.]

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

The program’s annual and exit interview system provide administrators with regular feedback on how student-athletes perceive their experiences at TTU. Beyond these surveys, however, monthly departmental meetings of the senior athletics directors, the Equity and Diversity Committee, and the Student-Athlete Advisory Committee all support regular assessment of student-athletes’ well-being. The directors and committees review life skills and support programs in terms of the athletic department’s strategic goals, the university’s policies, and NCAA and Big 12 conference regulations.

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 athletics program’s 1999 academic integrity plan included the development of a life skills course for freshman student-athletes. To supplement the academic life skills curriculum and support services, we have developed several other programs that focus on incoming student-athletes’ transition into college, and support athletes through the rest of their tenure at TTU. Some of these programs operate within athletics, and the rest are co-sponsored with other departments.

Student-athletes first learn about many of these programs at the New Student Orientation (NSO) we require them to attend with all other incoming students. Brochures and service representatives introduce students to the facilities, explain what features students might use during their course of study, and indicate how students can access each service. Student-athletes can access any service

available to members of the general student body but we have also allocated additional support staff to help our athletes resolve issues especially significant to them.

We enroll all first-year scholarship student-athletes in two transitional courses, IS 1100 and IS 1200. IS 1100 is designed for all entering freshmen and so addresses general transitional issues such as time management, critical thinking, note-taking, study and test-taking skills, library tools, and responding to diversity. IS 1200, however, is specifically for student-athletes and covers topics such as alcohol, drugs, gambling, positive interpersonal relationships, dealing with the media, and exploring majors and careers.

Career guidance counseling: All students can receive individualized career counseling from Texas Tech Career Services, which also facilitates discipline-specific career preparation workshops on request. Since 1999, Career Services staff members have held [X] career workshops for student-athletes. Further, during the New Student Orientation all students including student-athletes discuss their programs with academic advisors, handle any departmental business, and register for their first semester of courses. The university's Advising Center also conducts the DISCOVERY! Program, which helps students to learn about their skills, strengths and professional interests. Students can then use this information to help them decide on their major discipline and career path. DISCOVERY! usually serves incoming freshmen but we also refer other students as needed. TRI modules and Next Step seminars give our student-athletes additional college and career support. We require incoming freshmen and transfer student-athletes to complete the 10 TRI modules, which are online lessons focused on time management, study skills, career development, personal finance, and community service. Next Step seminars teach our athletes about résumés, cover letters, job search strategies, professional dress, salary negotiations, and transitioning from student life to professional life.

Personal counseling: The TTU Student Counseling Center (SCC) and the Raider Assistance Program (RAP) work together to offer student-athletes professional counseling services. Whereas the SCC provides counseling for general issues such as anger and stress management, suicidal feelings, and eating disorders, the RAP focuses on supporting students with alcohol or drug problems. RAP can also refer students to treatment centers off-campus. The SCC tailors its general services for athletics by designating a licensed, on-call psychologist who is trained to work with student-athletes. Students can meet with this psychologist in an athletics office if they have concerns about maintaining their privacy outside of the department.

Health and safety: The online TRI modules that all student-athletes must complete include a unit on eating disorders and quality nutrition. Students also discuss general health and food issues in their IS 2000 class. In addition, Student Health Services makes presentations on sexual responsibility and STIs, alcohol and drug use, and addictions.

Alcohol and drug guidelines: Texas Tech University's guidelines on tobacco, alcohol, and drug use are detailed in the general *Student Handbook*, which all students have access to through the Student Affairs website. Student-athletes are further advised about university rules, departmental policies, and NCAA and Big 12 Conference regulations at department orientations and in their *Student-Athlete Handbook*. Students receive an updated copy of the *Student-Athlete Handbook* at the start of each school year.

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

Judi Henry (Senior Woman Administrator) and Steve Downing (Senior Associate Athletics Director) oversee the student-athlete exit interview process as part of their sport supervisory functions. Refining that process was one of our plans for improvement in the first certification cycle, and since 1999 we have tested a variety of procedures including interviewing exiting

students orally, with paper-based surveys, and at the end of each season rather than after students have graduated.

Currently, the exit interview survey is administered on paper by the academic services branch of athletics, not by the coaching or administrative branches. This helps to distance the survey administrators from staff members discussed in the survey instrument and reduces the likelihood of interference or biased responses. We do not require respondents to submit their names with their surveys, but because we do ask for demographic data such as academic standing, sport, and gender, absolute anonymity is not always possible: some teams have comparatively small populations and we can sometimes identify individual students from whatever data they do provide.

In 2007, the Diversity Committee revised the survey instrument, and the department transitioned from paper-based surveys to web-based ones to help make distribution and data collection easier on the academic services team, and to decrease student-athletes' paper burden but increase students' response rates. Whether surveys are conducted on paper, online, or by phone, the academic services team analyzes the results, identifying the number of respondents, the kinds of issues that they raise, and any general trends in the data. Their global report on the issues goes to Gerald Myers (Athletic Director) without demographic information. He and other senior administrators then distribute specific information to the staff members best able to address those issues, and those staff members follow up. Staff members do see exit interview feedback broken down by sport, but as a rule senior administrators do not.

Further to the established interview process, Steve Downing routinely seeks informal feedback from student-athletes on their departmental experiences and any concerns about programs or facilities that they might have. In addition, the Student-Athlete Advisory Committee meets monthly to discuss issues important to student-athletes, communicate formally with the program administrators, and make programmatic suggestions.

The department incorporates major trends from student-athletes' exit interviews data into Athletics Council annual reports. Through the Student-Athlete Advisory Committee and staff and administrators' regular communications with students, the athletics staff discuss and act on any issues that arise from the exit interviews.

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

Student-athletes have access to the same grievance and appeals procedures as members of the general student body, and the *Student Handbook* outlines these procedures in detail. The *University Catalog* discusses services such as the Ombudsman for Students that students can use to help them informally resolve disputes and concerns. Both documents are available online, the *Handbook* through the Student Affairs website, and the *Catalog* through the Office of Official Publications. The university gives all incoming students a free copy of the most recent catalog during their orientation or admission.

If students or student-athletes have a grievance with a university department or worker, they can attempt to resolve it directly with that individual, or informally with the assistance of the independent Ombudsman's Office or that department's supervisor. They can also direct academic concerns to the relevant academic department chair. As well as handling grievances in these informal ways, students may file formal, written grievance reports with specific offices. For example,

| | |
|---|---|
| If the issue regards | The student should file their report with |
| Employment | The Office of Equal Employment Opportunity |
| Final course grades | The dean for the college that administers the course |
| Academic discrimination based on gender, ethnicity, nationality, or sexual orientation | The academic administrator responsible for the department or unit |
| Nonacademic discrimination based on gender, ethnicity, nationality, or sexual orientation, or sexual harassment | The Dean of Students and Student Affairs |

[What are the grievance or appeal procedures for financial aid and transfer issues?]

For nonacademic issues, the Dean of Students is ultimately responsible for administering students' grievance and appeals procedures. For academic issues, the Provost (Senior Vice President for Academic Affairs) is the final authority.

The Student Handbook lists and defines specific behaviors that violate the Code of Student Conduct and that are subject to disciplinary action by Student Judicial Programs. The Handbook also explains how students can file an allegation or incident report in such instances, or begin a disciplinary appeal. Hazing, harassment, and abuse are all listed as violations of the Code of Student Conduct.

As well as the *Student Handbook*, which governs all students, student-athletes also have a *Student-Athlete Handbook*. The *Student-Athlete Handbook* emphasizes conduct violations and procedures especially important to student-athletes including rules about alcohol and drugs, gambling, sexual misconduct, and academic integrity, and procedures for maintaining academic and NCAA eligibility. Each student athlete receives a copy of the *Student-Athlete Handbook* during their first semester at Texas Tech University, and the athletics department reviews major guidelines during a four-hour orientation session at the start of each semester. The Handbook is also available to students through the Athletics department's rules and compliance webpage.

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

The institution addresses sexual orientation as an element of diversity most explicitly through Student Affairs, the Student Counseling Center, and the Office of Institutional Diversity.

The Student Affairs' Center for Campus Life website states that "diversity goes beyond race, ethnicity, and national origin, but also encompasses gender, age, socioeconomic background, religion, sexual orientation, physical and mental abilities, marital status, education level, family unit, and life experiences." In line with that inclusive definition, the Center for Campus Life, the Student Counseling Center, and University Student Housing co-sponsor Gay, Lesbian, Bisexual, and Transgender Awareness Month each October. During GLBT Awareness Month, the Housing and Residence Life Awareness Committee presents special programs for National Coming Out Day (October 11). These programs often include panel discussions, staff and student training sessions, myth-busting information boards, art trails, and publicity about year-round campus support services. Since [YEAR], the Student Diversity Relations branch of Student Affairs has shouldered responsibility for serving the campus' GLBT students.

The Student Counseling Center (SCC) also operates under a definition of diversity that includes various sexual orientations and gender identities. As a result, the Counseling Center facilitates several programs and initiatives that offer support to GLBT students and staff throughout the school year and regardless of their department. In addition to the co-sponsored events of GLBT

Awareness Month, the Counseling Center trains students, staff, and faculty members as allies or advocates for our GLBT community, offers GLBT clients access to free walk-in counseling sessions, and manages a GLBT student support group that meets weekly. The Allies program began in 2002, and has served approximately [XXX] students since then.

The Office of Institutional Diversity supports each of these initiatives by contributing staff and additional resources to the departments and programs that need it. [Further information from the Office of Institutional Diversity on involvement, roles, or policies it has developed]

Our athletics program has some internal structures designed to support student-athletes with diverse sexual orientations, and we also encourage students to make use of existing institutional programs and facilities. The new Diversity Committee has discussed departmental support for GLBT student-athletes in its meetings, but has not yet developed a policy statement on the subject. Although student-athletes do discuss sexual orientation and gender identity during yearly orientation meetings and the department has hosted NCAA diversity speakers, discussion and sensitivity training are not currently extensive. Both the Diversity Committee and the Equity and Well-being Subcommittee agree that stronger and more intentional training in this area would be an asset to the university's athletics program and a service to our student-athletes.

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

The institution's health and safety policies for student-athletes are comprehensively outlined in the department's *Sports Medicine Policy Handbook*. The handbook was last updated in October 2007, and a copy will be available to the visiting peer review team.

The strength and conditioning staff members develop health and safety policies that the athletics director must approve before the policies become binding. These policies are reviewed annually for effectiveness within the strength and conditioning program, and trainers sign off on current policies at the start of each semester.

Coaches in each sport discuss health and safety policies with their trainers, and trainers in turn explain policies to student-athletes.

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

The institution's written emergency medical plan for practices and games is part of the department's *Sports Medicine Policy Handbook* (2007), and will be made available to the visiting peer review team. Like the health and safety policies, the emergency medical plan is reviewed annually for continued effectiveness by strength and conditioning staff and, ultimately, the athletics director. Trainers give student-athletes any emergency directions as needed, and in police-controlled venues such as the football stadium and basketball arena, all athletics staff members submit to the directions of security, police, and other emergency officers.

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

The institution's written emergency medical plan for out-of-season workouts, strength training and skills sessions is the same as the plan for practices and games, and, as part of the

department's *Sports Medicine Policy Handbook* (2007), will be made available to the visiting peer review team. Like the health and safety policies, the emergency medical plan is reviewed annually for continued effectiveness by strength and conditioning staff and, ultimately, the athletics director. Trainers give student-athletes any emergency directions as needed.

12. Using the four program areas for student-athlete well-being issues, provided as Attachment No. 4 on Page 37, please: a. Describe how the institution has ensured a complete study of each of the four areas; b. Provide data demonstrating the institution's commitment across each of the four areas for all student-athletes; and c. Explain how the institution will address these topics in the future for the well-being of all student-athletes.

Although other committees are responsible for reviewing athletics department progress over the last 10 years, the NCAA requires that Equity and Student-Athlete Well-being program reviews focus on the current year and be conducted during the course of the self-study. The Equity and Student-Athlete Wellbeing subcommittee is in the process of reviewing the athletics department's conformity with NCAA operating principle 3.3, and will complete its review later in the Spring 2008 semester.

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

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.

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

Student-athletes participate in departmental governance and decision-making through an active Student-Athlete Advisory Committee (SAAC) and their responses to annual and exit surveys. Our SAAC is composed of two athletes from each sport, meets monthly, and organizes at least one community service event every year. SAAC representatives discuss funding issues with administrators, including how the administration disburses money from the Student-Athlete Opportunity Fund. During regular SAAC meetings, student-athletes also represent student interests and present problems to the administration. Annual and exit surveys allow student-athletes to comprehensively evaluate the program's services, staff, and their overall experiences as students and athletes. Our administrators use this survey data to help them refine the way that the program operates.

4. *Programs and Activities* – Establishment of programs that address the needs and issues affecting student-athletes.

Mentoring and Tutoring Programs

TTU Athletics runs three mentoring-tutoring programs, the first for incoming students, the second for students with learning disabilities, and the third for students having difficulty with specific courses. The Peer Mentoring program focuses on incoming or transferring students and provides them with social support from more senior athletes and advice about useful campus services. This program began in [YEAR]. The APEX program pairs student-athletes with documented learning disabilities or deficiencies with student mentors/tutors, and aims to teach the student-athlete to learn independently and succeed academically. A learning specialist manages the program and helps the mentor to reinforce good learning and study habits, and sound time management skills. We established the APEX program in [YEAR]. The Tutor program is open to any student-athlete and provides subject-specific tutoring. The tutor coordinator matches qualified tutors, usually graduate students, with student-athletes' subject and time requests.

Speaker Series

Since [YEAR], some sports coaches have requested speakers to address their teams on specific topics. [Need more information on this item, including dates and sample presentation subjects, to explain the range of issues this program addresses and to show its value to student-athletes.]

Community Service Projects

Each year, the Student-Athlete Advisory Committee plans Red Raider Play Day, a games event for local kindergarteners through fifth graders. During the event, athletes from nearly all teams interact with the children, and so gain experience organizing, leading, and serving the community. Student-athletes have participated in several other projects since the first certification cycle. Local beneficiaries have included Covenant Children's Hospital, University Medical Center Children's Hospital, local Independent School Districts, The Haven Animal Shelter, Texas Tech Equine Therapy Program, TTU College of Education community programs, the Boys & Girls Club, the Salvation Army's Adopt-An-Angel program, Habitat for Humanity, city drug rehabilitation clinics, and private schools near the campus. [Information on sample projects performed at these sites would be helpful.]

Evaluation and Plan for Improvement

13. Given the responses to the Equity and Student-Athlete Well-Being self-study items, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the entire operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist. Please see Appendix B, Page 44 and Appendix C, Page 53 for examples of Gender-Equity and Minority Issues plans, respectively.] For Operating Principle 3.3 (Student-Athlete Well-Being): Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plan for improvement, which include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of a plan.]

As required by the NCAA, a plan for improvement for Equity and Student-Athlete Well-being operating principle 3.3 will be based on this year's program review, which is currently underway. If the program review reveals that an improvement plan for any element of the equity and well-being principle is necessary, that plan for improvement will be completed later in the Spring 2008 semester.