NCAA Division I Academic Performance Program Improvement Plans and Penalty Waivers - Best Practices

Eric Brey and Katy Yurk

Learning Objectives

• Conducting a thorough data analysis.
• Developing an NCAA Division I Academic Progress Rate (APR) Improvement Plan and its role in waiver decisions.
• Applying the NCAA Division I Academic Performance Program (APP) waiver directive to waiver requests.
• Developing an APP waiver request.

Case Study
Men's Soccer
Postseason Ineligibility and Level-One APP Penalty
Team’s Scenario For Data Submitted Fall 2014

- New academic advisor and new director of athletics in 2011-12.
- New coach in spring 2014.
- Team’s APR for fall 2014 is 1,000.
- Team’s term GPA for fall 2014 is highest it has been in past four years.
- Institution has committed additional resources for academic support.

Data

<table>
<thead>
<tr>
<th></th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
<th>Multiyear APR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single-year APR</td>
<td>964</td>
<td>964</td>
<td>892</td>
<td>857</td>
<td>919</td>
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<tr>
<td>Delayed-graduation points</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Number 0/2</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>6</td>
</tr>
<tr>
<td>Eligibility APR</td>
<td>26/28 (928)</td>
<td>26/28 (929)</td>
<td>23/28 (821)</td>
<td>24/28 (857)</td>
<td>99/112 (884)</td>
</tr>
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<td>Retention APR</td>
<td>27/28 (964)</td>
<td>28/28 (1000)</td>
<td>25/27 (928)</td>
<td>24/28 (857)</td>
<td>104/111 (937)</td>
</tr>
</tbody>
</table>

Data (cont.)

<table>
<thead>
<tr>
<th>Year of GSR data</th>
<th>2001-04</th>
<th>2002-03</th>
<th>2003-06</th>
<th>2004-07</th>
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</thead>
<tbody>
<tr>
<td>Team GSR</td>
<td>44%</td>
<td>53%</td>
<td>57%</td>
<td>73%</td>
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<tr>
<td>Institution average GSR</td>
<td>56%</td>
<td>58%</td>
<td>61%</td>
<td>69%</td>
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<tr>
<td>Sport average GSR</td>
<td>78%</td>
<td>77%</td>
<td>79%</td>
<td>79%</td>
</tr>
<tr>
<td>Team FGR</td>
<td>31%</td>
<td>40%</td>
<td>45%</td>
<td>77%</td>
</tr>
<tr>
<td>Institution average FGR</td>
<td>47%</td>
<td>47%</td>
<td>50%</td>
<td>54%</td>
</tr>
<tr>
<td>Sport average FGR</td>
<td>57%</td>
<td>58%</td>
<td>58%</td>
<td>59%</td>
</tr>
<tr>
<td>Student-body FGR</td>
<td>42%</td>
<td>43%</td>
<td>45%</td>
<td>47%</td>
</tr>
</tbody>
</table>
Data Analysis - Impact of Delayed Graduation Points

<table>
<thead>
<tr>
<th>Year</th>
<th>Multiyear APR</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>964/946</td>
</tr>
<tr>
<td>2011-12</td>
<td>984</td>
</tr>
<tr>
<td>2012-13</td>
<td>891/873</td>
</tr>
<tr>
<td>2013-14</td>
<td>857</td>
</tr>
<tr>
<td>2014-15</td>
<td>919/910</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Delayed-graduation points</th>
<th>1</th>
<th>0</th>
<th>1</th>
<th>0</th>
<th>2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of failures</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>6</td>
</tr>
<tr>
<td>Eligibility APR</td>
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</tr>
</tbody>
</table>

Data Analysis

<table>
<thead>
<tr>
<th>Year</th>
<th>Student-Athlete</th>
<th>Enroll- ment Year</th>
<th>Categ- ory</th>
<th>Fall E/R</th>
<th>Spring E/R</th>
<th>Deficiency Reason not Retained</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>George</td>
<td>4th</td>
<td>2 yr.</td>
<td>N/Y</td>
<td>N/N</td>
<td>% Trans.; playing time</td>
</tr>
<tr>
<td>2011-12</td>
<td>John A.</td>
<td>5th</td>
<td>Non-transfer</td>
<td>Y/Y</td>
<td>N/Y</td>
<td>Did not graduate</td>
</tr>
<tr>
<td></td>
<td>Thomas</td>
<td>5th</td>
<td>2 yr.</td>
<td>Y/Y</td>
<td>N/Y</td>
<td>Did not graduate</td>
</tr>
<tr>
<td>2012-13</td>
<td>James M.</td>
<td>2nd</td>
<td>Non-transfer</td>
<td>N/Y</td>
<td>Y/Y</td>
<td>GPA</td>
</tr>
<tr>
<td></td>
<td>Monroe</td>
<td>5th</td>
<td>4 yr.</td>
<td>Y/Y</td>
<td>N/Y</td>
<td>Did not graduate</td>
</tr>
<tr>
<td></td>
<td>Quincy</td>
<td>3rd</td>
<td>2 yr.</td>
<td>N/Y</td>
<td>N/N</td>
<td>GPA, 6</td>
</tr>
<tr>
<td></td>
<td>Andrew</td>
<td>4th</td>
<td>4 yr.</td>
<td>N/N</td>
<td>---</td>
<td>%, GPA</td>
</tr>
</tbody>
</table>

Data Analysis (cont.)

<table>
<thead>
<tr>
<th>Year</th>
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<th>Enroll- ment Year</th>
<th>Categ- ory</th>
<th>Fall E/R</th>
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<th>Deficiency Reason not Retained</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013-14</td>
<td>Martin</td>
<td>3rd</td>
<td>2 yr.</td>
<td>Y/Y</td>
<td>N/N</td>
<td>GPA, 6, 18, % Quit; insufficient financial aid</td>
</tr>
<tr>
<td></td>
<td>William</td>
<td>5th</td>
<td>Non-transfer</td>
<td>Y/Y</td>
<td>N/N</td>
<td>Did not graduate</td>
</tr>
<tr>
<td></td>
<td>John T.</td>
<td>1st</td>
<td>Non-transfer</td>
<td>Y/Y</td>
<td>N/Y</td>
<td>24 GPA</td>
</tr>
<tr>
<td></td>
<td>James P.</td>
<td>3rd</td>
<td>2 yr.</td>
<td>Y/Y</td>
<td>Y/N</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Zachary</td>
<td>2nd</td>
<td>4 yr.</td>
<td>Y/Y</td>
<td>N/N</td>
<td>% Quit; insufficient financial aid</td>
</tr>
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</table>
APR Improvement Plan Development

- Create a broad-based team.
- Use data to identify critical issues.
- Create initiatives to address issues.
- Secure institutional support of initiatives.
APR Improvement Plan Development (cont.)

▫ "Stop the bleeding."
▫ Consider the team's "long-term health."

APR Improvement Plan Development (cont.)

▫ Make Initiatives Specific:
  ▪ Measurable goals - consider how to assess.
  ▪ Clear steps.
  ▪ Staff identified to complete steps.
  ▪ Clear timelines.
  ▪ Accountability measures.

APR Improvement Plan Development (cont.)

▫ Analyze Data -- Who is losing points?
  ▪ Fifth-year student-athletes who do not graduate after 10 semesters (lost five of 20 points).
  ▪ Student-athletes who transfer (lost five of 20 points).
  ▪ Student-athletes quitting school (lost four of 20 points).
APR Improvement Plan Development (cont.)

- Analyze Data – Why are points lost?
  - Why don't fifth-year seniors graduate after 10 semesters?
    - Unable to pass a math course required for graduation.
  - Why are some student-athletes transferring?
    - Wanted more playing time.
  - Why are some students quitting school?
    - Financial aid is insufficient.

APR Improvement Plan Development (cont.)

- Identify Critical Issues and Develop Initiatives.
  - Issue 1: Fifth-year student-athletes unable to pass required math course.
    - Initiative?
  - Issue 2: Student-athletes transfer due to lack of playing time.
    - Initiative?
  - Issue 3: Student-athletes unable to balance school and sports because of work.
    - Initiative?

APR Improvement Plan Development (cont.)

- Other Areas to Consider:
  - Entering academic profile?
    - Are student-athletes that lose points not as well prepared academically?
  - Mitigation impacting the entire team?
    - Can that mitigation be addressed in a plan so as to have less impact should it occur again?
  - Lack of sufficient academic support?
    - Does the analysis lead to questions of adequate academic support for all student-athletes?
## Role of APR Improvement Plan in Waiver Decisions

- **Demonstrate Institutional Commitment to Academic Improvement:**
  - Broad-based participation in development and implementation.
  - History of implementing prior plans.
  - Identification of critical issues impacting team's academic performance.
  - Development of initiatives to effectively address critical issues.
  - Team's ability to achieve 930 in a reasonable period of time.

## Role of APR Improvement Plan in Waiver Decisions (cont.)

- **Demonstrate Institution's Ability to Identify Issues and Develop Means to Address Them:**
  - Measurable goals (consider how to assess).
  - Clear steps.
  - Staff identified to complete steps.
  - Clear timelines.
  - Accountability and oversight.
APP Waiver Directive and Its Application

▫ **APP Waiver Directive:**
  - Requests to waive postseason ineligibility and APP penalties considered independently.
  - Penalty and postseason ineligibility waivers involve review of entire team’s overall academic performance.
  - APR Improvement Plans reviewed.
  - Resource level and squad size are considered in the determination of penalized teams.

APP Waiver Directive and Its Application (cont.)

▫ **Postseason Ineligibility Waiver Requests:**
  - First time a team is ineligible for postseason competition:
    • Extraordinary mitigating circumstances.
    • APR improvement plan.
    • Academic factors.
  - Second time (and beyond) a team is ineligible for postseason competition:
    • Academic factors.
    • APR improvement plan.
    • Mitigation.
    • Any alternative penalties.
APP Waiver Directive and Its Application

- **APP Penalty Waiver Requests:**
  - Academic factors.
  - APR improvement plan.
  - Mitigation.
  - Any alternative penalties.

Developing an APP Waiver Request

- **Consider the Waiver Directive in Making the Request:**
  - What is the team’s mitigation?
    - Changes in administration and coaching staff.
  - What is the team’s academic history?
    - Progress in fall 2014.
  - APR Improvement Plan.
    - Implementation of prior plans?
    - Does current plan address the team’s critical issues?
Developing an APP Waiver Request

- Documentation to Submit:
  - Data analysis with the APR Improvement Plan.
  - Recruiting profiles.
  - Evidence of dollars being committed to academic support and how they are being used.
  - Changes to academic policies:
    - Missed-class policies, study hall attendance policies.

Staff/Committee Analysis of an APP Waiver Request

- Consider the Directive:
  - Postseason Ineligibility.
    - Is this the team’s first time to face postseason ineligibility?
    - If so, is there extraordinary mitigation?
  - APP Penalties.
    - What is the team’s historic academic performance? Any progress?
    - Is there mitigation? Does it tie to the team’s performance?
    - What about the plan?
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Staff/Committee Analysis of an APP Waiver Request (cont.)

▫ Deciding the Request:
  ▪ Postseason Ineligibility.
    - No extraordinary mitigation.
  ▪ APP Penalties.
    - Lack of academic improvement.
    - Negative trending.
    - One good term does not demonstrate sustainable improvement.

▫ Other Considerations:
  ▪ Second Postseason Ineligibility.
    - Mitigation does not have to be extraordinary.
  ▪ Alternative Penalties.
    - Does the alternative penalty equate to the prescribed penalty? How has the institution explained that?
Institutional Resources

- NCAA Staff Specializing in the APP:
  - Eric Brey – ebrey@ncaa.org
    - APP Waivers (Levels 1 and 2)
  - Greg Dana – gdana@ncaa.org
    - APP Data Reviews
  - Andrew Louthain – alouthain@ncaa.org
    - APP Waivers (Level 3)
  - Anne Rohlman – arohlman@ncaa.org
    - APR Adjustments, APR and GSR Deadline Extensions, Cohort Inquiries
  - Katy Yurk – kyurk@ncaa.org
    - APP waivers (Levels 1 and 2) and APR Improvement Plans

APP Table Hours

Data/Waivers/Plans

- Wednesday:  9-11 AM
  2-4 PM
- Thursday:  9-11 AM
  1-4 PM

Rooms:  Atlanta - Cottonwood
        San Diego - Harbor E
Questions?

Thank you for attending!