



Presidential Directive on Self-Regulation of Intercollegiate Athletics November, 2010

I. Institutional Purpose and Athletic Philosophy

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

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

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

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

Observance of rules and awareness of policies are integral to the success of a program. It is the responsibility of the University administration and the Department of

Athletics and Recreation to adhere to all regulations promulgated for the governance of intercollegiate athletics by the Big Ten Conference, the NCAA, and other groups to which the University belongs. Beyond these controls, and in the interest of its student-athletes, Northwestern has adopted procedures, guidelines, and policies that are more stringent than those for which it is held accountable externally. The University administration and the Department of Athletics and Recreation are equally responsible for observing these internal standards. Northwestern must have a system that enables it to monitor its adherence to these standards. This system must provide all the assurances necessary to anticipate and prevent any breach of the rules.

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

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

II. Student Well-Being and Educational Experience

Recruiting

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

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

It is the responsibility of each coach to know and abide by all rules, to understand thoroughly the University's philosophy on intercollegiate athletics, to articulate that philosophy, and to become familiar with the academic programs of the University. Each coach must understand the sporting-like behavior regulations of the NCAA and the Big Ten Conference and, in particular, its prohibition of negative recruiting. In addition, each

coach must accurately represent both the athletic and academic programs of the University. To do so, each coach will include academic information in communications with all prospective student-athletes early in the recruiting process.

The faculty athletic representative, on a periodic basis, will assess compliance with institutional recruiting policies and procedures. The University's Committee on Athletics and Recreation will conduct interviews with selected coaches and other representatives of the University's athletic interests and use other means to verify that all personnel involved in the recruiting process have a firm understanding of the principles, policies, and rules governing recruiting.

Admission

All formal contact between the Department of Athletics and Recreation and the Office of Undergraduate Admission and the University Registrar will be through individuals designated by the director of athletics and recreation. Coaches, assistant coaches, and other department staff will not deal directly with either of these offices but will transmit materials through the appointed liaisons.

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

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

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

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

1. Completion of a credit evaluation by the University Registrar.

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

Financial Aid

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

All decisions regarding the packaging of financial aid for student-athletes will be made by the director of financial aid or his/her official representative. At the beginning of the academic year, all student-athletes receiving athletically related financial aid must submit a written statement listing any commitments that have been made to them for any forms of financial assistance and summer jobs other than that contained in their financial aid packages.

Academic Advising and Assistance

The University will provide academic advising to all student-athletes. Academic advising is the mutual responsibility of the faculty, the undergraduate deans' offices, and the designated academic advisor in the Department of Athletics and Recreation. Each student-athlete must be assigned a faculty academic advisor in accordance with the general policies of the undergraduate school in which the student-athlete is enrolled. While decisions regarding course programs and individual course choices are ultimately the sole prerogative of the student-athlete, the athletic academic advisor and faculty advisor of the undergraduate dean's office should be involved in all aspects of the academic advising process. The athletic academic advisor is responsible for ensuring that student-athletes consult faculty advisors on a regular basis and may not assume the sole responsibility for advising student-athletes.

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

All schedules of competition in intercollegiate athletic events are subject to the approval of the Committee on Athletics and Recreation. Competition must be arranged so as to

provide minimal interference with academic commitments. Northwestern expects coaches to allow occasional absences from practice for valid academic reasons. There will be no in-season competition during any final examination week without the approval of the Committee on Athletics and Recreation. Any postseason competition that interferes with a student-athlete's final examination schedule must also have the approval of the Committee on Athletics and Recreation or its designated subcommittee on scheduling. Coaches should also be sensitive to the academic demands of midterms.

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

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

Certification of Eligibility

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

All records of student-athletes are to be flagged in the University database. Full-time enrollment reports based on information in the University database will be reviewed regularly by the associate athletic director.

One copy of the required forms certifying eligibility to the Big Ten Conference and one copy of the internal forms verifying the data used on such certification will be filed with the University Registrar at the time of submission to the Big Ten office.

Academic Progress

In order for a student-athlete to graduate from Northwestern University within four academic years, he or she must make progress towards a degree at a faster rate than the minimum required for athletic eligibility by the NCAA and the Big Ten Conference. The associate athletic director is responsible for monitoring the academic progress of student-

athletes on both a quarterly and yearly basis. While every effort must be made to give every student-athlete the opportunity to graduate from Northwestern in four academic years, the University recognizes that in certain cases this is not possible. Under such circumstances, the University is fully committed to financial support of such student-athletes during their fifth year when indicated.

Well-Being of Student-Athletes

Northwestern is deeply concerned with both the short- and long-term effects of intercollegiate competition on the well-being of student-athletes. The head team physician will be responsible for the quality of medical and psychological care available to the student-athletes. A holistic approach to the care of student-athletes will be emphasized at all times, taking into account the entire person rather than just his/her medical/psychological condition. The head team physician or his/her designee will have sole authority for the return to practice and/or competition of any student-athlete who has been limited from participation by injury or illness. The head team physician will also directly supervise the athletic training staff and all ancillary healthcare providers regarding medical decisions and treatments as it pertains to the student-athlete.

All coaches must conduct their programs in such a way as to maximize the well-being of their student-athletes, and coaches will be provided with appropriate education and feedback from the department of intercollegiate sports medicine in order to do so. Opportunities for student-athletes to enhance their performance and overall health will be available through intercollegiate sports medicine resources such as educational seminars, sports nutrition, sports psychology, and massage therapy.

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

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

In addition, the Committee on Athletics and Recreation will talk to and distribute exit questionnaires to all graduating student-athletes. The questionnaires will cover all aspects of a student-athlete's social, academic, and athletic experience at Northwestern. In the interest of confidentiality, student-athletes will not be asked to sign their questionnaires. Results will be discussed by the Committee at large and shown to the respective coaches in batches of three or more.

III. Intercollegiate Financial Affairs, Personnel, and Administration

Final institutional authority in all personnel and financial affairs relating to intercollegiate athletics at Northwestern resides with the president of the University. The president and his staff are responsible for specifying the lines of authority for the hiring of the director of athletics and recreation and head coaches, approving the annual operating budget for the athletic program, and monitoring institutional compliance with NCAA and Big Ten rules and regulations.

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

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

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

IV. Interaction with Personnel outside the Department of Athletics and Recreation

The director of athletics and recreation will notify in writing N Club members, booster club members, and others who may come in contact with student-athletes or prospective student-athletes of the constraints imposed on such contacts by NCAA, Big Ten, and University regulations. Where appropriate, such notification will also be extended to University faculty and staff members.

No recurring guest benefits or privileges may be extended to members of the Northwestern faculty, staff, alumni, or friends. Personnel of the Office of Undergraduate Admission, the Office of Financial Aid, and University Registrar may not be invited as nonpaying guests to any games, trips, or other special functions. No payments may be made from the budget of the Department of Athletics and Recreation to any member of the faculty or to personnel of the Office of Undergraduate Admission or

University Registrar for any services rendered to the department. Any exception to this policy must meet with the approval of the director of athletics and recreation and the provost.

It is permissible for each member of the Committee on Athletics and Recreation and the University's faculty athletic representative to receive two complimentary season tickets for football, men's basketball, or any other home athletic event, as requested.

A complete list of individuals (and their affiliations) who receive complimentary tickets to football and men's basketball games will be maintained in the athletic ticket office and readily available to the president. A list of individuals invited to the Stadium Club for home football games will also be maintained on file. A complete manifest will be maintained of all individuals traveling with athletic teams to any contest away from the Northwestern campus. These files will be maintained by the director of athletics and recreation and will be subject to examination by the University's auditors at any time.

V. Review of the Directive

This directive will be reviewed periodically and revised to ensure compliance with all internal, NCAA, and Big Ten principles and regulations.

Morton O. Schapiro
President and Professor
Northwestern University